



SHAPES

Smart and Healthy Ageing through People Engaging in supporting Systems

D9.5 - SHAPES Open Calls for Innovation and Collaboration – Publication, Evaluation and Selection Process

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Table 1 Revision History

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1.0	30/12/2021	Artur Krukowski (ICOM)	Final version for peer-review
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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 9.5 explains the process of SHAPES Open Calls up to the selection of tenderers.

It starts with the outline and scheduling of the three Open Calls in the SHAPES project, before providing the report on the organisation, preparation, launch, evaluation of submitted proposals, the selection of successful applicants and finally the process of contracting them as third parties to the project. Since this report is being submitted after the signature of the contracts with selected Open Call projects, hence also the contracting of those projects has been also described, including roles and responsibilities of project partners in monitoring and support of those projects as well as the record of the official kick-off meeting.

Since the 1st Open Call has been a steep learning curve for all involved in its organisation and execution, both at the side of the SHAPES project and from EC perspective, a number of hiccups and issues have been faced, which required mitigation actions. They have been mentioned throughout the text, providing also to the consortium valuable lessons for the subsequent launch of the next two Open Calls.

The delivery of D9.5 has been delayed by two (2) months, subject to the accumulated delays in selecting and contracting of projects from the 1st Open Call, necessitating completion of the process of bringing in third parties from successful applications before the deliverables could be completed. This process has finished in the course of October 2021 with the common kick-off meeting conducted subsequently in November 2021.

1 SHAPES Open Calls

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

1.1 Open Call 1

Open call 1 was launched 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 1st 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 1st Open Call focused 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 1st Open Call, those including,,: HL7-FHIR-CDA for health care services¹, Continua Alliance² regarding Medical Device certifications with consideration for FIWARE³ API (FIWARE NGSI) curated framework of

¹ [https://en.wikipedia.org/wiki/Health_Level_7#Clinical_Document_Architecture_\(CDA\)](https://en.wikipedia.org/wiki/Health_Level_7#Clinical_Document_Architecture_(CDA))

² https://en.wikipedia.org/wiki/Continua_Health_Alliance

³ <https://www.fiware.org>

open source platform components useful for building Smart Solutions faster, easier and cheaper. 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.

1.2 Open Call 2

The 2nd 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 1st 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.

1.3 Open Call 3

The 3rd 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 3rd Open Call will directly target providers of e-Health solutions and will request evaluation of the SHAPES Platform in operational environments of Health Care organizations, 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.

2 Open Calls Health & Care Cluster

Open call Info	TOPICS	ANSWERS		
	Challenge	Extending technical capabilities of the core SHAPES platform through Open Call 1	Extending the range of Digital Solutions offering through Open Call 2	Promotion and early adoption of SHAPES platform in e-Health domain practices through Open Call 3
	Scope	The 1st 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 Language Processing capabilities) or medical standard-based procedures and designed and implemented in the SHAPES Platform."	Open Call 2 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	This 3rd 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,

			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."	after the platform has been extensively evaluated and validated such that to ensure sufficient level of reliability and compliance with ethics specifications.
	Expected Impact	Achieve complete set of functionalities required to support core Digital Solutions of the SHAPES project and enable execution of early Pilot Theme trials by WP6.	Extension of Digital Solutions portfolio to cover most important domains, incl. COVID-19.	Achieve early adoption of SHAPES platform in selected clinical environments with potential for long-term adoption and promotion to other medical establishments.
Budget	Call budget	Funding per application cannot exceed €50.000, only one application per beneficiary. Up to 10 projects to be funded.		
	Project budget range	1,000,000 over 3 calls		
Call announcement	Where is the information on the call going to be published?	SHAPES Website, SHAPES Social Media, F6S promotion channels.		
Evaluation criteria	e.g. Excellence, Impact, Implementation	(1) Excellence (added-value for SHAPES), (2) Implementation (technological excellence, project management and implementation process), (3) Impact (dissemination and exploitation potential). The 1st and the 2nd Open Call will put more stress (25%) on (1) and (2), while the 3rd Open Call will give stronger focus (25%) on (3).		
How to apply	Evaluation tools, means of submission	Applicants will have to apply through the SHAPES application portal (https://www.f6s.com/SHAPES) *Subject to change		
Eligibility criteria	e.g. which countries can participate; are more than one	EU member states and associated countries. (https://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/3cp/h2020-hi-list-ac_en.pdf)		

	entities required	
Method of evaluation	Number of expert opinions per proposal	Three (3) including one (1) from WP4, one (1) from WP5 and one (1) from WP6. The representative from WP4 will chair review board and provide consensus report for OC1, from WP5 for OC2 and from WP6 for OC3. Coordinator and leaders from WP4, WP5 and WP6 will have access to review reports, but will NOT be able to formally intervene into the review process.
	Conflict of interest procedure	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 subcontract may be automatically terminated. Moreover, costs may be rejected.
	Ranking rules	Standard EU-adopted ranking approach will be used. The official ranking list will list all eligible submitted application according to their total score. The cut-off line will be set at minimum pass score of 10 and/or at the 10th proposal from top of the list out of those that passed the minimum pass score, whichever is smaller. The second (internal) list with 25% supplement added to scores in categories of importance for a given Open Call (1 & 2 for OC1&2, 3 for OC3) for all proposals within the funding range. Subsequently proposals taken from the top of the second list that correspond to one third of the available budget for all Open Calls will be retained for funding. The rest of the proposals up to position 10 will be retained for the reserve list, to be funded in case that any of the invited proposals fails to sign (accession to) SHAPES Grant Agreement or more funding is left to allocate (i.e. in case that projects request funding less than the maximum one).
Timetable	Call announcement	1st Open Call to be announced in M12 (end of October 2020), shifted by six months earlier from originally planned M18 on request from WP6 and GNOMON
	Call publication/opening	1 st Nov 2020
	Submission deadline	31 st Dec 2021 17pm CET
	Completion of admissibility and eligibility checks	11 th Jan 2021
		2nd Open Call to be announced in M27 (end of January 2022)
		1 st Feb 2022
		30 th April 2022 17pm CET
		7 th May 2022
		3rd Open Call to be announced in M36 (end of October 2022)
		1 st October 2022
		31 st Dec 2022 17pm CET
		11 th Jan 2023

Assignment of experts to proposals	11 th Jan 2021	7 th May 2022	11 th Jan 2023
Evaluation period	25 th Jan 2021	7 th May - 15 th June 2022	25 th Jan 2023
Panel meeting	1 st Feb 2021	15 th June 2022	1 st Feb 2023
Preparation of panel report	8 th Feb 2021	15 th – 30 th June 2022	8 th Feb 2023
Finalisation of ranked list	15 th Feb 2021	30 th June 2022	15 th Feb 2023
Invitation to grant signature	22 nd Feb 2021	1 st July 2022	22 nd Feb 2023
Target deadline for signing Grants	31 st Feb 2021	31 st July 2022	31 st of Feb 2023
Final deadline for signing Grants	22 nd Mar 2021	1 st September 2022	22 nd Mar 2023

NOTE:

Please note the changes to the schedule of the 2nd and 3rd Open Call, the former one with the process shifted by one month forward and the latter one to be announced a month earlier than originally expected. The reason was that original schedule has anticipated a two (2) month period for submission of proposals from the date of the call announcement. However, having learned that EC requirements in Horizon 2020 program are to have at least three (3) month period for proposal submission, the dates for the 2nd and 3rd Open Call in the SHAPES project had to be re-adjusted accordingly and those had been communicated to the Project Officer at the European Commission.

3 Report on the execution of the Open Call 1

This section reports on the organization, preparation, launch, evaluation, selection of successful applicants and finally the contracting of successful consortia. As mentioned earlier in section 2, the 1st Open Call has been launched on the 1st of December 2019 with the submission deadline at the end of February 2020. The following list of documents have been provided to potential applicants on the F6S WEB portal of the 1st Open Call:

- “*SHAPES-OC1-Enablers - Digital-Solutions*” providing details of Digital Solutions offered by SHAPES consortium such that applicants can avoid duplication, instead focussing on complementarity and integration (copy provided in the Annex)
- “*SHAPES-OC1-Enablers - Eligibility Criteria*” defining and detailing the eligibility criteria and conditions for applicants to be able to apply and receive funding from Horizon 2020 program via SHAPES Open Call (copy provided in the Annex)
- “*SHAPES-OC1-Enablers - Evaluation Criteria*” defining and detailing criteria against which applicant proposals would be evaluated (copy provided in the Annex)
- “*SHAPES-OC1-Enablers - Guide for Applicants*” providing all the necessary and required information about the SHAPES project and its Open Call (copy provided in the Annex)
- “*SHAPES-OC1-Enablers - Technical Details*” being the main document with a list of topics and their requirements (copy provided in the Annex)

3.1 Call Publication

The first Open Call has been published at the end of November 2020 with the closing date on the 28th of February 2021 at 17pm CET. This call aimed to promote innovation by identifying challenges within the SHAPES pilot sites and invited especially SME’s and all EU organizations that were eligible to EC funding under the rules of H2020 to meet these challenges with innovative solutions that can be integrated in the SHAPES Platform in support of active and healthy ageing and independent living. The SHAPES open calls provide opportunities for organizations to integrate their solutions in a large ecosystem at European level.

3.1.1 Call Topics

The SHAPES pilots have identified a number of challenges that applicants are invited to propose solutions for. They included the following topics for applicants to choose from:

- SHAPES-OC1- Enablers-ST1 Urinalysis in home setting
- SHAPES-OC1- Enablers-ST2 Monitoring of nutrition intake
- SHAPES-OC1- Enablers-ST3 Monitoring hydration and quantity of fluid intake
- SHAPES-OC1- Enablers-ST4 Smart Connectable for Health and well being

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- SHAPES-OC1- Enablers-ST5 Speech-enabled Chat-bots
- SHAPES-OC1- Enablers-ST6 Social support in local community
- SHAPES-OC1- Enablers-ST7 Open Topic

The last of them was an open topic in which applicants are invited to suggest innovative solutions that can extend the current capabilities of the SHAPES platform. Details on all topics were provided in [SHAPES-OC1-Enablers – Technical Details.pdf](#) document, part of the information package made available to applicants.

3.1.2 Application Package for Applicants

The complete info package for applicants contained the following documents:

- [SHAPES-OC1 – Enablers Digital Solutions.pdf](#)

Containing descriptions of Digital Solutions developed in the SHAPES project for applicants to be able to assess integration aspects of their proposals with them such that to address the needs and requirements of the target use cases and Pilot Themes that were requested to be addressed in each of the topics listed in section 3.1.1 above.

- [SHAPES-OC1 – Enablers Eligibility Criteria.pdf](#)

Outlining the eligibility criteria for organizations to be able to apply for funding. They were based on the official Horizon 2020 eligibility guidelines published by EC at: https://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/from-evaluation-to-grant-signature/eligibility-check_en.htm. The same eligibility criteria with the H2020 rules of participation (cf. Article 10) apply in this Open Call. More specifically, eligible to receive funding through this Open Call is any legal entity established in a Member State or associated country or created under Union law.

- [SHAPES-OC1 – Enablers Evaluation Criteria.pdf](#)

Following a standard EC process a document detailing the evaluation criteria to be used when assessing submitted proposals was also provided to applicants. It was based on a standard three-tier approach whereby proposals were to be evaluated for Excellence, Impacts and Implementation.

- [SHAPES-OC1 – Enablers Guide for Applicants.pdf](#)

This document provided to applicants general info regarding:

- Open Call overview and organization, budget and timelines
- General requirements for submitting applications
- Clarifications related to Intellectual Property and Data protection
- SHAPES commitment to EC rules related to Open Call management
- Rules for support to third parties

- Responsibilities for beneficiaries coming to SHAPES through Open Call
 - Conflict of Interest conditions and rules
 - Data Protection and Confidentiality clauses
 - Aspects of promotion of SHAPES and acknowledgment of EC funding
 - Financial audits and control rules
 - Contacts to SHAPES Open Call management team for more info
- [SHAPES-OC1 – Enablers Technical Details.pdf](#)

This document provided the most necessary and the most up-to-date info regarding the design and implementation of the SHAPES Technical Platform to applicants, such as:

- SHAPES Architecture
 - Interoperability mechanisms
 - List of topics: summary, contact/lead organization, relevant pilot themes, expected time frames, expected funding amount, Digital Solutions to be integrated into and the number of requested devices for use in pilots(s)
- [Deliverable D6.1 “SHAPES Pan-European Pilot Campaign Plan”.pdf](#)

It details the relevant information regarding the SHAPES Pilot Themes:

- Objective of the SHAPES pilot campaign activities
 - SHAPES co-design process to develop personas, scenarios and use cases
 - Strategy of the different pilot themes:
 - Pilot Theme 1 - Smart Living Environment for healthy ageing at Home
 - Pilot Theme 2 - Improving In-Home and Community-based Care
 - Pilot Theme 3 - Medicine Control and Optimisation
 - Pilot Theme 4 - Psycho-social and Cognitive Stimulation Promoting Wellbeing
 - Pilot Theme 5 - Caring for Older Individuals with Neurodegenerative Diseases
 - Pilot Theme 6 - Physical Rehabilitation at Home
 - Pilot Theme 7 - Cross-border Health Data Exchange
 - A list of use cases to be tested within the shapes pilot campaign
 - Evaluation methodologies for use cases and pilots
 - Planning of the shapes pilot campaign
- [SHAPES-OC1-Enablers-Sections1-3-template.rtf](#)
- with an application template for three obligatory sections covering: 1) Excellence, 2) Impacts and 3) Implementation.
- [SHAPES-OC1-Enablers-Sections4-5-template.rtf](#)

with an application template for two obligatory sections covering: 4) Applicant profile, and 5) Ethical/Security issues assessment. The later was requested for enabling pre-

validation of possible ethical and in particular privacy aspects of the proposal for subsequent Ethical screening (part of the post-evaluation process).

3.1.3 Timeline of the 1st Open Call

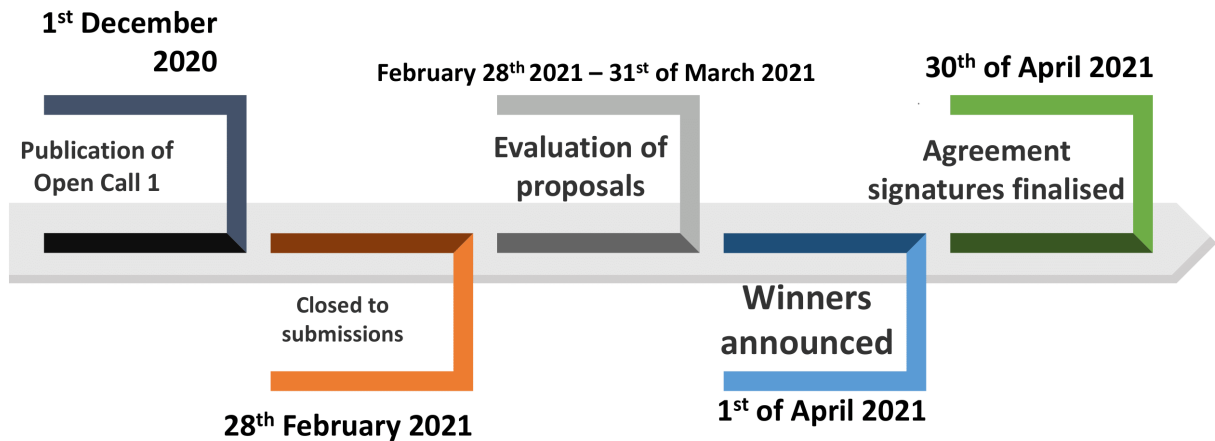


Figure 1 Planned timeline of the 1st Open Call

3.1.4 Eligibility criteria

The SHAPES aim was to attract European Industry, SMEs, start-ups, universities, research and technology centers that can illustrate how their solutions can meet the challenges outlined in OC1. Every participant was expected to be legally registered in a member state of the European Union or in a Horizon 2020 associated country. Details on eligibility criteria were provided to applicants in the SHAPES-OC1-Enablers – Eligibility Criteria.pdf documents made also available to applicants as part of the information package.

3.1.5 Evaluation Criteria

When proposal was admissible and eligible, the independent experts followed the below evaluation criteria during the evaluation. The experts were expected also to advise if applicants had the sufficient operational capacity with respect to their role and tasks in the proposed action. This assessment was based on the competence and experience of the applicants, including operational resources (human, technical and other) and, if applicable, exceptionally the concrete measures proposed to obtain it by the time of the implementation of the tasks.

3.1.5.1 Operational capacity

As a distinct operation, carried out during the evaluation of the award criterion ‘Quality and efficiency of the implementation’, experts will indicate whether each individual participant has, or will have in due time, a sufficient operational capacity to successfully carry out its tasks in the proposed work plan. This assessment will be based on the competence and

experience of the applicant, including its operational resources (human, technical and other) and, if applicable, exceptionally the concrete measures proposed to obtain it by the time of the implementation of the tasks.

3.1.5.2 Scoring

Evaluation scores will be awarded for the criteria, and not for the different aspects listed in the above table. For full proposals, each criterion will be scored out of 5. The threshold for individual criteria will be 3. The overall threshold, applying to the sum of the three individual scores, will be 10. Experts score each awarded criterion on a scale from 0 to 5 (half point scores could be given):

- 0 – Fail**
failed to address a criterion or could not be assessed due to missing/incomplete info.
- 1 – Poor**
criterion is inadequately addressed or there are serious inherent weaknesses.
- 2 – Fair**
proposal broadly addresses the criterion, but there are significant weaknesses.
- 3 – Good**
proposal addresses the criterion well, but a number of shortcomings are present.
- 4 – Very good**
proposal addressed a criterion very well, but had a small number of shortcomings
- 5 – Excellent**
proposal successfully addressed all relevant aspects of a criterion.

The table below presents the template of the Evaluation Report communicated to applicants.

Evaluation Criteria	Scoring
Criterion 1 - Excellence Sub-criteria: <ul style="list-style-type: none"> <i>Clarity and pertinence of the objectives</i> <i>Credibility of the proposed approach</i> <i>Soundness of the concept, including trans-disciplinary considerations, where relevant.</i> <i>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)</i> 	Score range: 0 - 5 Threshold: 3 / 5
Criterion 2 - Impact Sub-criteria:	Score range: 0 - 5 Threshold: 3 / 5

<p><i>Expected impacts listed in the work programme under relevant topic</i></p> <ul style="list-style-type: none"> • <i>Enhancing innovation capacity and integration of new knowledge</i> • <i>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.</i> • <i>Any other environmental and socially important impacts</i> • <i>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</i> 	
<p>Criterion 3 - Quality and efficiency of the implementation</p> <p>Sub-criteria:</p> <ul style="list-style-type: none"> • <i>Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources.</i> • <i>Complementarity of the participants within the consortium (when relevant)</i> • <i>Appropriateness of the management structures and procedures, including risk and innovation management</i> 	<p>Score range: 0 - 5</p> <p>Threshold: 3 / 5</p>

3.2 Call Publication

The 1st Open Call was advertised through multiple channels:

- SHAPES dedicated Open Call pages:
<https://shapes2020.eu/open-calls/call-1/>
- SHAPES Social media:
<https://www.facebook.com/SHAPESH2020/>
<https://www.linkedin.com/search/results/content/?keywords=open%20call%20shapes>
- EC List of Open Calls:
<https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/opportunities/competitive-calls>
- F6S Page:
<https://www.f6s.com/SHAPES>

3.2.1 Contacts for Applications

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

More info was provided at: <https://shapes2020.eu/open-calls/call-1/>

3.2.2 Online list with Frequently Asked Questions (FAQ)

Soon after the publication of the 1st SHAPES Open Call, a number of questions have been asked by potential applicants via the contact email provided as part of the info package. In

order to avoid risk of unfair advantage should each of such questions was to be answered individually, a Frequently Asked Questions (FAQ) list has been created to provide same answers to all potential applicants. The list of questions and answers provided follows:

- We are from outside of the European Commission. Are we still eligible for funding?

Please check the eligibility document provided in the Open Call for details. In brief, EU Member States and Associated Countries are eligible for receiving funding from Horizon 2020 program, including SHAPES Open Call. In case of any doubts please refer to Horizon 2020 eligibility guidelines online.

- What do you mean by “project” and “proposal” in the provided template?

The provided template formulates the complete proposal of a micro-project, aimed to offer a value-added solution extending and/or complementing the Digital Solutions of the SHAPES project with additional capabilities. Such needs are listed in a form of topics, one of which is expected to be addressed by the submitted proposal.

- What do you mean by “explain the overall concept underpinning the project”?

The proposal of the micro-project is expected to be provided, which can be run individually by the applicant, while offering means of monitoring its progress by SHAPES project, as well as ensure ease of integration of its results into the SHAPES infrastructure. Each proposed solution is expected to be integrated into a specific SHAPES Digital Solution, identified in each Open Call topic.

- What is meant by “Provide a draft ‘plan for the dissemination and exploitation of the project’s results’”?

The applicants will be expected also to contribute to the SHAPES project dissemination and exploitation. Therefore, they are expected to describe their own strategy for disseminating the results of their project and their strategy for exploiting results they would produce in their project. Joint dissemination and exploitation with partners in SHAPES would be considered as added advantage in the evaluation of the submission.

- What do you expect to provide for the “overall structure of the work plan”?

The proposal is expected to describe process of implementing the proposed solution in a form of one Work Package with a number of tasks targeting individual activities, as commonly expected in Horizon 2020 projects. Example activities may include e.g. needs analysis, applied R&D, implementation and validation, integration into SHAPES Digital Solution, support to SHAPES pilots, contribution to SHAPES dissemination and exploitation, etc.

- What deliverables are expected?

Applicants are expected to produce at least one report as well as a prototype of their solution, both considered as formal deliverables of their project. The report must describe in sufficient detail, work completed per each task of their work plan, results achieved, description of implementation and tests performed, to a sufficient level of detail to enable SHAPES partners to integrate produced results into their own solutions. Based on those

we will be able to verify that applicants' project has satisfied its objectives and can receive the final payment.

- What do you mean by “*timing of the different work packages and their components (Gantt chart or similar)*”?

The proposal needs to fit to the project schedule of pilots, if this has been explicitly requested in the topic targeted by the applicant. Note that since we expect only one Work Package in the proposal, we only ask for graphical description of inter-relations among tasks that are proposed by applicants (PERT chart) and their timing (Gantt chart).

- How to “Describe *the match between partner profile and project objectives*”?

We expect applicants to justify and prove that they have sufficient expertise, experience and capabilities to pursue the development they propose in their application. Please follow similar structure of Section 4 as for all proposals submitted under Horizon 2020 program.

- What are we expected to provide under Section 5 “Ethics”?

Since solutions proposed in our Open Call are targeting e-Health services, they may potentially be subject to ethical concerns, one of which being, but not limited to, privacy or data and as such governed by the GDPR regulation from the European Commission. Applicants are expected to identify and describe if any ethical issues may be applicable to the solution that they develop and how they expect to deal with such issues.

- Where will my solution/product be deployed?

The solutions selected by the SHAPES open calls will be implemented in the leading pilot site as well as replicating sites. You can find details of this in [Deliverable D6.1 “SHAPES Pan-European Pilot Campaign Plan”](#).

- I am based in the UK. Can I still apply to the open calls after Brexit?

Yes, UK entities can continue to participate and receive funding in Horizon 2020 projects.

- Where can I see the pilot schedule?

You can find the pilot schedule here. [Pilot Schedule Gantt chart](#).

3.3 Applications received

Overall, 34 proposals were submitted in response to this call, out of which 4 were ineligible, for the total budget of 1,986,100 Euros and the requested funding of 1,556,120 Euros.

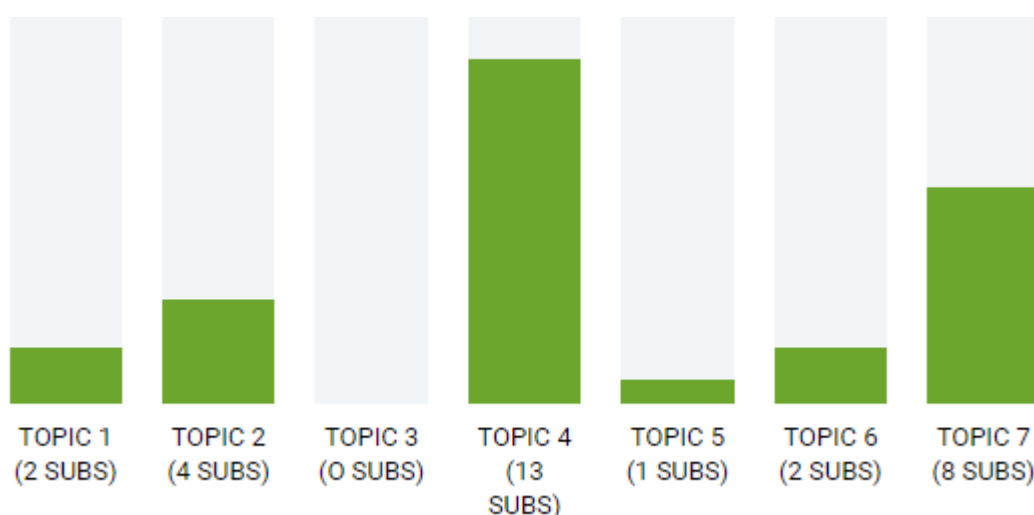


Figure 2 Statistics of received applications

A maximum of 10 proposals were expected to be funded in this call, while ultimately only eight (8) most relevant were selected.

Due to unforeseen circumstances, there has been a slight delay in announcing the winners of the SHAPES 1st Open Call.

3.4 Selection of Peer Reviewers

Since SHAPES project had no special budget foreseen in the project for financial reimbursement of external evaluators, a cost-free approach has been adopted whereby evaluation team for each application has been composed of two (2) representatives of SHAPES consortium partners (where possible from organisations who came up with Open Call topic descriptions) and one (1) external evaluator. The latter ones were volunteers from SHAPES Advisory Board members, who kindly agreed to help in proposal evaluations:

- Marco de la Feld (ENCO srl) m.delafeld@enco-consulting.it
- Dafoulas, Georgios (ETHEL) george.dafoulas@ehtel.eu
- Prof Michael Wendt (UNIG) wendt@uni-greifswald.de

The full list of reviewers from SHAPES consortium included:

Organisation	Full name	Contact email
ICOM	Krukowski, Artur Zarogianni, Eleni Pietri, Ilia	krukowa@intracom-telecom.com ezarog@intracom-telecom.com ilpiet@intracom-telecom.com
NUIM	Redmond, Niamh Labor, Melanie	Niamh.Redmond@mu.ie Melanie.Labor@mu.ie
GNO	Gonidis, Fotis Berler, Alexander	f.gonidis@gnomon.com.gr a.berler@gnomon.com.gr
EDGE	Manso, Marco Guerra, Barbara	marco@edgeneering.eu barbara@edgeneering.eu

VICOM	Serras Saenz, Manex Carrasco, Eduardo	mserras@vicomtech.org ecarrasco@vicomtech.org
FINT	Bogdos, George Sideris, Anargyros	gbogdos@f-in.eu asideris@f-in.eu
TREE	Silva, Tatiana González Barrera, David	tatiana.silva@treetk.com david.gonzalez@treeologic.com
LAU	Alapuranen, Nina Sarlio-Siintola, Sari	Nina.Alapuranen@laurea.fi Sari.Sarlio@laurea.fi
HMU	Markakis, Evangelos	emarkakis@hmu.gr
CCS	Franke, Philip	Philip.Franke@uniklinikum-dresden.de
FhG	Berchtold, Claudia	claudia.berchtold@int.fraunhofer.de

3.5 Evaluation Process

Evaluations followed a standard EC approach:

- 1 **Individual Evaluation Reports (IER)** were produced by each assigned evaluator independently from one another to avoid influencing one another's opinions
- 2 **Consensus Report (CR)** was then produced in collaboration among three (3) assigned evaluators, two of which were from SHAPES consortium and one (1) external, to ensure transparency. The CR were moderated by the Open Call Manager to ensure that same standards and criteria were followed for each evaluated proposal.
- 3 **Ranking:** following the production of individual and consensus reports, a ranking list has been produced, whereby all proposals were listed in reverse order of their scores. In case of equal scores, a 25% offset has been made to internally order the proposals.
- 4 **Consensus Meeting:** was then held among all evaluators with a presence of the project coordinator and Open Call Manager where results and scores have been presented and a common agreement has been reached as to the group of eight (8) applications to be recommended for funding.
- 5 **Notifications to applicants:** ALL applicants have been communicated results of their evaluations by email to the main contact person with a Consensus Report (CR) attached. In case of the proposals selected for funding, an invitation was made by the project Coordinator to enter the negotiation phase.
- 6 **Ethical Screening:** considering that applications potentially targeted sensitive patient data, additional Ethical screening has been performed and managed by Sari Sarlio-Siintola Sari.Sarlio@laurea.fi from LAUREA.

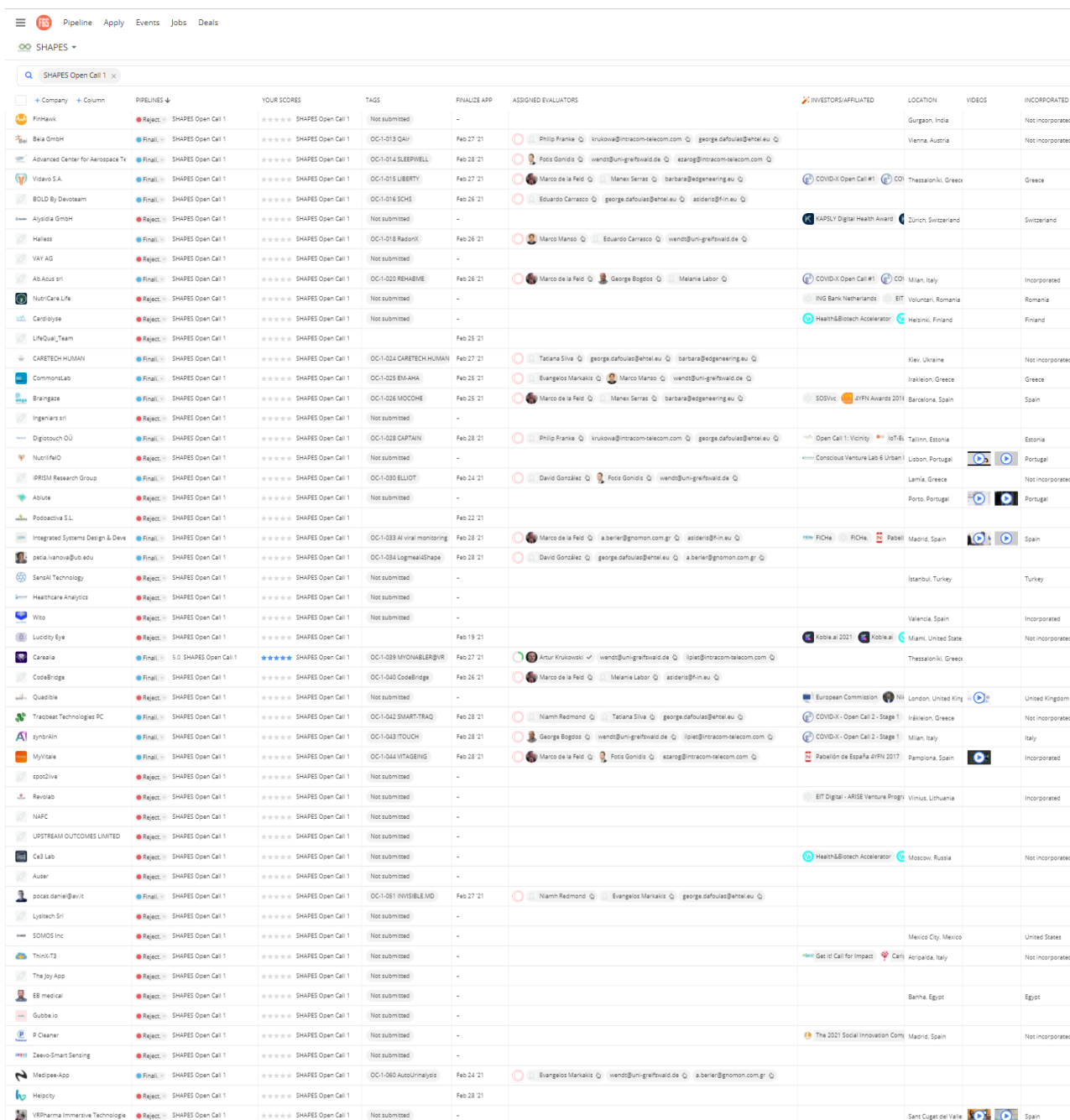
3.5.1 Assignment of Reviewers

The process of assigning reviewers to received applications has been conducted using F6S built-in system, whereby all received applications were stored, permitting Open Call Manager and SHAPES Project Coordinator to:

- Mark applications as “eligible” of “ineligible”

- Create a list of available evaluators
- Assign and notify evaluators about assigned applications

A screenshot from the final version of the relevant page at F6S site is shown below.



Company	Pipeline	YOUR SCORES	TAGS	FINALIZE APP	ASSIGNED EVALUATORS	INVESTORS/AFFILIATED	LOCATION	VIDEOS	INCORPORATED
FinHawk	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-			Gurgaon, India		Not incorporated
Beta GmbH	Final: SHAPES Open Call 1	SHAPES Open Call 1	OC1-013 QAIR	Feb 27 '21	Philip Franke, Krutova@intracom-sei.com, george.dafoulas@ethel.eu		Vienna, Austria		Not incorporated
Advanced Center for Aerospace Tr	Final: SHAPES Open Call 1	SHAPES Open Call 1	OC1-014 SLEEPWELL	Feb 28 '21	Pots Gontis, wendt@uni-graftwald.de, asarg@intracom-sei.com				
Vidaro S.A.	Final: SHAPES Open Call 1	SHAPES Open Call 1	OC1-015 LIBERTY	Feb 27 '21	Marco de la Feid, Manes Serraz, barbara@edgenet.eu	COVID-19 Open Call #1	Thessaloniki, Greece		Greece
BOLD By Devoteam	Final: SHAPES Open Call 1	SHAPES Open Call 1	OC1-016 SCHS	Feb 26 '21	Eduardo Carrasco, george.dafoulas@ethel.eu, asideris@fin.eu	KAPSL Digital Health Award	Zurich, Switzerland		Switzerland
Alydia GmbH	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-					
Halios	Final: SHAPES Open Call 1	SHAPES Open Call 1	OC1-018 Radonix	Feb 26 '21	Marco de la Feid, Eduardo Carrasco, wendt@uni-graftwald.de				
VAY AG	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-					
Abacus srl	Final: SHAPES Open Call 1	SHAPES Open Call 1	OC1-020 REHABIME	Feb 26 '21	Marco de la Feid, George Bogdos, Melanie Labor	COVID-19 Open Call #1	Milan, Italy		Incorporated
NutCare Life	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-		ING Bank Netherlands	EIT Voluntas, Romania		Romania
Cardioeye	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-		Health&Biotech Accelerator	Helsinki, Finland		Finland
LifeQual Team	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-					
CARETECH HUMAN	Final: SHAPES Open Call 1	SHAPES Open Call 1	OC1-024 CARETECH HUMAN	Feb 27 '21	Tatiana Silva, george.dafoulas@ethel.eu, barbara@edgenet.eu		Kiev, Ukraine		Not incorporated
CommonsLab	Final: SHAPES Open Call 1	SHAPES Open Call 1	OC1-025 EMAMAH	Feb 25 '21	Evangelos Markakis, Marco de la Feid, wendt@uni-graftwald.de		Iraklion, Greece		Greece
BrainGate	Final: SHAPES Open Call 1	SHAPES Open Call 1	OC1-026 MOCHE	Feb 25 '21	Marco de la Feid, Manes Serraz, barbara@edgenet.eu	SOSive	Barcelona, Spain		Spain
Ingenieria srl	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-					
Digistouch OÜ	Final: SHAPES Open Call 1	SHAPES Open Call 1	OC1-028 CAPTAIN	Feb 28 '21	Philip Franke, Krutova@intracom-sei.com, george.dafoulas@ethel.eu	Open Call 1: Victory	Tallinn, Estonia		Estonia
NutriFlow	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-		Conscious Venture Lab 6 Urban	Lisbon, Portugal		Portugal
IRISMA Research Group	Final: SHAPES Open Call 1	SHAPES Open Call 1	OC1-030 ELLIOT	Feb 24 '21	David Gonzalez, Pots Gontis, wendt@uni-graftwald.de		Lamia, Greece		Not incorporated
Abiuta	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-			Porto, Portugal		Portugal
Podactiva S.L.	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-					
Integrated Systems Design & Deve	Final: SHAPES Open Call 1	SHAPES Open Call 1	OC1-033 AI viral monitoring	Feb 28 '21	Marco de la Feid, a.berier@gnomon.com.gr, asideris@fin.eu	FICHE	Madrid, Spain		Spain
peia.nano@ub.edu	Final: SHAPES Open Call 1	SHAPES Open Call 1	OC1-034 LogmeandShape	Feb 28 '21	David Gonzalez, george.dafoulas@ethel.eu, a.berier@gnomon.com.gr		Istanbul, Turkey		Turkey
Sensiti Technology	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-					
Healthcare Analytics	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-					
Wito	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-			Valencia, Spain		Incorporated
Lucidly Eye	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-		Kobla 2021	Miami, United State		Not incorporated
Canavia	Final: 5.0 SHAPES Open Call 1	SHAPES Open Call 1	OC1-039 MYONABLER@VR	Feb 27 '21	Artur Krutowski, wendt@uni-graftwald.de, ipiet@intracom-sei.com		Thessaloniki, Greece		
CodeBridge	Final: SHAPES Open Call 1	SHAPES Open Call 1	OC1-040 CodeBridge	Feb 26 '21	Marco de la Feid, Melanie Labor, asideris@fin.eu				
Quedile	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-		European Commission	London, United King		United Kingdom
Trapbeat Technologies PC	Final: SHAPES Open Call 1	SHAPES Open Call 1	OC1-042 SMART-TEAQ	Feb 28 '21	Niamh Redmond, Tatiana Silva, george.dafoulas@ethel.eu	COVID-19 - Open Call 2 - Stage 1	Iraklion, Greece		Not incorporated
SynBrain	Final: SHAPES Open Call 1	SHAPES Open Call 1	OC1-043 TOUCH	Feb 28 '21	George Bogdos, wendt@uni-graftwald.de, ipiet@intracom-sei.com	COVID-19 - Open Call 2 - Stage 1	Milan, Italy		Italy
MyVital	Final: SHAPES Open Call 1	SHAPES Open Call 1	OC1-044 VITAGEING	Feb 28 '21	Marco de la Feid, Pots Gontis, asarg@intracom-sei.com	Pabellón de España d'FN 2017	Pamplona, Spain		Incorporated
spetLive	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-					
Revolab	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-		EIT Digital - ARISE Venture Progr	Vilnius, Lithuania		Incorporated
NAPC	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-					
UPSTREAM OUTCOMES LIMITED	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-					
Ca3 Lab	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-		Health&Biotech Accelerator	Moscow, Russia		Not incorporated
Auster	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-					
pocas.daniel@vit	Final: SHAPES Open Call 1	SHAPES Open Call 1	OC1-051 INVISIBLE MD	Feb 27 '21	Niamh Redmond, Evangelos Markakis, george.dafoulas@ethel.eu				
Lystech Srl	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-					
SOMOS Inc	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-			Mexico City, Mexico		United States
Thrive73	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-		Get it! Call for Impact	Airpala, Italy		Not incorporated
The Joy App	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-					
EB medical	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-			Bahia, Egypt		Egypt
Gubbejo	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-					
P Cleaner	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-		The 2021 Social Innovation Com	Madrid, Spain		Not incorporated
Zeevo-Smart Sensing	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-					
Medpee-App	Final: SHAPES Open Call 1	SHAPES Open Call 1	OC1-060 Autoanalysis	Feb 24 '21	Evangelos Markakis, wendt@uni-graftwald.de, a.berier@gnomon.com.gr				
Hapcity	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-					
VRPharma Immersive Technology	Reject: SHAPES Open Call 1	SHAPES Open Call 1	Not submitted	-			Sancti Cugat del Val		Spain

Figure 3 F6S Evaluation Management portal for SHAPES 1st Open Call

3.5.2 Information Meeting for Evaluators

In order to familiarise all evaluator with the process and ensure common way of reviewing the applications, an online Expert Briefing was held by the Open Call Manager on the 8th of March 2021 via Zoom. The presentation was based on the based on the official Horizon

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

2020 presentation for evaluators version 2.9 dated 4th of September 2020⁴ used by Project Officers prior to launching evaluation process. The presentation has been adapted to the specifics of SHAPES Open Call. The full version is provided as Attachment 4.

3.5.3 Record of the Evaluation Process

The evaluation process has been recorded in an Excel form where each step of the evaluation process has been traced for all eligible applications, including all scores from each evaluator, consensus reporting and finally the ranking. The final version of the reporting Excel is provided below in Figure 4 below.

NOTE:

Considering a public dissemination foreseen for this deliverable, the confidential info regarding IER scores and reviewers assigned to each of the proposal have been obfuscated.

⁴

[h2020_expert-briefing_en.pdf \(europa.eu\)](#)

Ranking position	Proposal ID	Proposal Acronym	Notified (Y/N) ?	Submitted ?	Complete (Y/N)?	Topic NO	Total budget (kEuros)	Grant requested (kEuros)	PIC declared/validated?	Internal													External			Consensus report available (Y/N)?	Signed (no)?	Score (Impact + 25%)	Final score
										Krukowski, Artur	Zarogianni, Eleni	Pietri, Ili	Redmond, Niamh	Labor, Melanie	Gonidis, Fotis	Berler, Alexander	Manso, Marco	Guerra, Barbara	Markakis, Evangelos	Franke, Philip	Serras Saenz, Manex	Carrasco, Eduardo	Bogdos, George	Sideris, Anargyros	Silva, Tatiana				
RANKING LIST																													
1	OC-1-028	CAPTAIN		Y	Y	4	71.425	49.998	V														Y	3	14.6	13.5			
2	OC-1-030	ELLIOT		Y	Y	2	49.625	49.625	V														Y	4	14.6	13.5			
3	OC-1-034	Logmeal4Shape		Y	Y	2	50.000	50.000	V														Y	3	13.5	12.5			
4	OC-1-003	BRAINCODE		Y	Y	7	70.000	49.000	V														Y	3	13.0	12.0			
5	OC-1-039	MYONABLER@VR		Y	Y	7	50.000	50.000	D														Y	3	13.0	12.0			
6	OC-1-001	QuaFair		Y	Y	7	71.350	49.945	V														Y	3	13.0	12.0			
7	OC-1-015	LIBERTY		Y	Y	4	71.250	49.875	V														Y	3	13.0	12.0			
8	OC-1-024	CARETECH.HUMAN		Y	Y	1	71.410	49.987	D														Y	3	12.5	11.5			
10	OC-1-009	SHoW		Y	Y	4	71.00	49.70	V														Y	3	12.5	11.5			
9	OC-1-010	E@SYCG		Y	Y	4	50.00	50.00	V														Y	3	12.5	11.5			
11	OC-1-042	SMART-TRAQ		Y	Y	4	50.00	50.00	D														Y	3	12.4	11.5			
12	OC-1-013	QAir		Y	Y	4	50.00	50.00	D														Y	3	12.4	11.5			
13	OC-1-051	INVISIBLE.MD		Y	Y	4	50.00	50.00	V														Y	3	12.3	11.5			
14	OC-1-008	ATRCONN		Y	Y	4	52.70	52.70	D														Y	3	11.5	10.5			
15	OC-1-020	REHABME		Y	Y	7	57.10	39.97	V														Y	3	11.4	10.5			
16	OC-1-025	EM-AHA		Y	Y	4	68.00	47.60	V														Y	4	11.4	10.5			
18	OC-1-002	Shapes-UPCVS		Y	Y	7	70.00	50.00	V														Y	3	11.4	10.5			
17	OC-1-060	AutoUrinalysis		Y	Y	1	71.00	49.70	D														Y	3	11.4	10.5			
19	OC-1-011	HANGTAPP		Y	Y	6	71.43	50.00	V														Y	3	11.3	10.5			

Figure 4 Evaluation Process Monitoring Excel

3.5.4 Selection of Successful Applications

The selection of successful proposals was based on the following criteria:

- 1 Passing eligibility check: only those passing this check were evaluated
- 2 Passing all criteria in Consensus Reports (CR), i.e. 3/5 for individual and 10 for total
- 3 Assuming that 8 proposals were to be funded, the ranking list has been cut off at 8th one
- 4 Since three proposals were at the same score on position 8, additional criteria were used:
 - Internal 25% extra mark for impact, which has not led to a clear winner
 - Since two of the proposals addressed topic 4, which was already covered by two (2) other, better scoring proposals and one of them targeted topic 1, not yet covered by any of the higher scored ones, this proposal was finally added to the funding list.

The proposed selection of proposals has been presented at the Ranking Meeting held on the 4th of April 2021. The quorum of partners and evaluators has analysed the winning proposals and has agreed with the list suggested by the Open Call Manager and the SHAPES Project Coordinator, represented by Niamh Redmond. The participants have all agreed to send invitations to the eight selected proposal to start the contractual process.

The presentation from this meeting is provided as Appendix B.

The condition suggested by LAUREA and EDGE was that prior to signing the contracts, those proposals should first complete Ethical evaluation. As such proposals ranked 9th and 10th have been retained in the reserve list, in case that any of those scored higher fails to pass the ethical review.

3.5.5 Post Evaluation Ethical Screening by WP8

Following the Ranking Meeting held on the 4th of April 2021, each of the eight (8) highest scored proposals in the ranking list have been sent the Ethical Self-Assessment (refer to Appendix E) form by the WP8 leader in view of ensuring that such projects would comply with SHAPES Ethical Framework, as detailed in deliverables D8.4⁵.

After the evaluation process of the form provided by each of the applicants, lasting until the 10th of May 2021, the final report has been sent to the SHAPES project Coordinator and Open Call Manager, giving them a green light to proceed to officially inviting the successful applicants to signing contracts with the SHAPES project.

3.5.6 Public Evaluation Report

As required by EC rules a “Public Evaluation Report” has been produced and communicated to the SHAPES consortium and the EC Project Officer (refer to Appendix B).

⁵ D8.4 SHPES Ethical Framework:
<https://shapes2020.eu/wp-content/uploads/2020/11/D8.4-SHAPES-Ethical-Framework.pdf>

3.5.7 Invitations and Rejections

Following the Ranking Meeting on the 9th of April 2021, all unsuccessful applicants have been sent a rejection letter, a template of which is provided in Appendix F, along with an Evaluation Summary Report (ESR), template of which is provided in Appendix H.

Similarly, applicants considered for funding have been sent the invitation letters (refer to Appendix F for the template), which outlined the next steps of the process, including the requirement to pass through the Ethical screening.

3.6 Contracting of Open Call Projects

After the successful assessment of the latter proposals by WP8, the eight proposals from the top of the ranking list have been officially invited on the 9th of August 2021 by e-mail to contract preparation by the SHAPES Project Coordinator, Ms Niamh Redmond. Each of such invitation emails had three attachments:

- 1 Invitation Letter (see Appendix I)
- 2 Subgrant Agreement (refer to Appendix J for a template)
- 3 A copy of the “SHAPES: Guide for Applicants” from the Open Call info package

The contract preparation and signature process has concluded on various dates for each of the projects. For details refer to the Table 4 below, which also shows expected project start and end dates.

Proposal ID/Acronym	Contract signed by applicant/coordinator	Project start date	Project end date
OC-1-001 QuaFair	19-09-2021 / 28-09-2021	15/10/2021	14/10/2022
OC-1-003 BRAINCODE	19-09-2021 / 20-09-2021	3/01/2022	2/01/2023
OC-1-015 LIBERTY	21-09-2021 / 24-09-2021	1/10/2021	30/09/2023
OC-1-024 CARETECH HUMAN	TBC / TBC	1/10/2021	30/09/2023
OC-1-028 CAPTAIN	17-09-2021 / 04-10-2021	1/10/2021	30/09/2023
OC-1-030 ELLIOT	07-10-2021 / 12-10-2021	13/10/2021	12/10/2023
OC-1-034 Logmeal4Shape	29-09-2021 / 04-10-2021	1/10/2021	30/09/2023
OC-1-039 MYONABLER@VR	08-09-2021 / 23-09-2021	15/10/2021	14/10/2022

Table 4 Contract signature dates for Open Call projects with their start and end dates

3.6.1 Kick-off Meeting with Open Call Projects

A common kick-off meeting has been agreed by the SHAPES Project Management Board (PMB) partners to be held in order to speed up the integration of Open Call project solutions into SHAPES Technological Platform, such that they could be quicker made available to their respective use cases within the SHAPES Pilot Themes.

Therefore an invitation was issued by the Open Call Manager to all winners from the 1st Open call to the Zoom meeting on the 17th of November 2021 at 14pm (CEST). The meeting had a purpose of familiarising Open Call projects with:

- 1 the environment in which they would be working within the SHAPES project, key persons and project organization
- 2 to learn about their contractual obligations, funding conditions, reporting etc.
- 3 to learn about the SHAPES technological platform into which they are expected to integrate their solutions
- 4 to learn about pilots and use cases which would be evaluating Open Call solutions
- 5 to get informed about SHAPES Ethical framework that Open Call projects need to comply with

Furthermore, this was an opportunity for SHAPES consortium to learn more about the form of solutions coming to the project through Open Call projects.

The meeting agenda included:

1. Introduction by SHAPES project coordinators (WP1 leaders), Michael Cooke and Mac MacLachlan, from NUIM
2. Outline of relevant managerial, administrative and financial rules (10 min) by Eilish Lynch from NUIM
3. Pilot Themes & Use Cases relevant to Open Call projects with their schedule (5-10min), by WP6 leader, Sonja Grigoleit (Fraunhofer)
4. Introduction of the SHAPES Technological Platform (10 min) by Technical Project Manager (WP4 leader) Artur Krukowski (ICOM)
5. Presentations (5-10min each) of each of core platform components (functionalities, integration and references):
 - **ASaPA** Single Sign-on (SSO) Authentication mechanism (HMU)
 - **symbloTe** IoT Interoperability Platform (ICOM)
 - **Message Broker** (ICOM)
 - **FINoT** IoT Data Management Platform (FINT)
 - **Gateway** (FINT)
 - **FHIR Medical Data Interoperability** with Medical Data repo (GNO)
 - **Big Data Platform** combining Data Lakehouse with Analytics Engine (TREE)
 - **SHAPES Front-end Application** (EDGE)
 - **Visual Interaction** (VICOM)
 - **ADILIB** 1.0 + Skills (VICOM)
6. Ethics framework (10 min) by Sari Sarlio-Sintola (WP8 leader) from Laurea
7. Presentations of Open Call projects (5-10 min each) with focus on: functionalities, target pilots, use of SHAPES components, schedule of deliveries
 - i. OC-1-001 QuaFair
 - ii. OC-1-003 BRAINCODE
 - iii. OC-1-015 LIBERTY
 - iv. OC-1-024 CARETECH HUMAN

- v. OC-1-028 CAPTAIN
- vi. OC-1-030 ELLIOT
- vii. OC-1-034 Logmeal4Shape
- viii. OC-1-039 MYONABLER@VR

8. Q&A session

During the meeting a schedule of work and main contacts have been agreed with Open Call projects, which were summarised in the following table:

Project ID	Acronym	Topic	Dates		Contract signed?	Contact Person		
			Start	End		Name	Email	Phone
OC-1-001	QuaFair	7	15/10/2021	14/10/2022	Yes	Antonio Jesús Jara Valera	ajara@copu.es	+34 617 28120
OC-1-003	BRAINCODE	7	03/01/2022	02/01/2023	Yes	Dr Aureli Soria-Frisch	aureli.soria@marlab.es	+34 93 3540300
OC-1-015	LIBERTY	4	01/10/2021	30/09/2023	Yes	Alexis Fourlis	afourlis@winayo.es	+30 2310-474752
OC-1-024	CARETECH HUMAN	1	01/10/2021	30/09/2023	TBC	Marina Matsui	maria.matsui@emul.com	+1(20) 0666863600
OC-1-028	CAPTAIN	4	01/10/2021	30/09/2023	Yes	Soumya Kanti Datta	soumya.k.datta@telia.se	+33 658104342
OC-1-030	ELLIOT	2	01/10/2021	30/09/2023	Yes	Prof Ioanna Laliotou	ioanna.laliotou@upm.edu	+30 21310 74510
OC-1-034	Logmeal4Shapes	2	01/10/2021	30/09/2023	Yes	Prof. Jordi Garcia	jordi.garcia@upm.edu	+34 91 33617383
OC-1-039	MYONABLER@VR	7	15/10/2021	14/10/2022	Yes	Ioannis Tsampoulatidis	tsampoul@upm.edu	+30 2310302100

Table 5 Open Call project time frames and official contacts

Furthermore the allocation of Open Call projects to SHAPES Pilot Themes has been agreed:

Project ID	Acronym	Topic	Target PT(s) / UC(s) **							Use of core platform components							
			PT1	PT2	PT3	PT4	PT5	PT6	PT7	ASAPA	symbioTe	FINoT	Gateway	FHIR	Datalake	Analytics	MSG broker
OC-1-001	QuaFair	7					UC1/3			Y	L2?						
OC-1-003	BRAINCODE	7					UC2/3			Y	TBC						
OC-1-015	LIBERTY	4	Y	Y	N			UC1/3			Y	L1+			Y	Y	Y?
OC-1-024	CARETECH HUMAN	1		UC1							Y	L1+			Y	Y	
OC-1-028	CAPTAIN (not presented)	4	Y	Y	N			UC1/3			Y	L1+			Y	Y	
OC-1-030	ELLIOT (not presented)	2		UC1				UC1/3			Y	L1+					
OC-1-034	Logmeal4Shapes	2		UC1				UC1/3			Y	L1+		Y			Y?
OC-1-039	MYONABLER@VR (not presented)	7		UC3							Y	TBC					

Table 6 Allocation of Open Call projects to SHAPES Pilot Themes and use cases

Open Call projects have been provided a full set of reference documents to enable them to have comprehensive info about SHAPES Technological Platform including guides for integrating their solution, the scope of Pilot Themes and their schedule. The list included, per WP:

SHAPES Technological Platform (WP4):

- D4.1 SHAPES TP Requirements and Architecture (PU) (sent by ICOM via email)
- D4.2 SHAPES TP Dev. Tools & Capabilities Toolkit (PU) (access provided by ICOM)
- D4.3 Integration Testing Plan (**Confidential**) (sent by ICOM via email)

SHAPES Digital Solutions (WP5):

- D5.1 SHAPES User Experience and Guidelines (PU)
- D5.2 SHAPES Digital Solutions V.1 (PU) download link provided
- D5.3 SHAPES Digital Solutions V.2 (PU) (sent by EDGE after the meeting via email)

SHAPES Pilots and Use Cases (WP6):

- D6.1 SHAPES Pan-European Pilot Campaign Plan (PU) download link provided

Ethics Framework (WP8):

- D8.4 SHAPES Ethical Framework (PU) download link provided

The management structure and responsibilities have been clarified to Open Call projects:

- **NUIM:** Administrative and Financial coordination, including monitoring of contractual obligations of the 3rd-party organisations, such as formal deliverables and reports as agreed in the contract between the NUIM as the SHAPES coordinator and organisations representing each of the Open Call projects
- **ICOM (WP4 leader and Open Call Manager):** technical management and support to Open Call projects in integration of their solutions into the SHAPES Technological Platform. Providing mediation with developers of each core components.
- **TREE (WP5 leader):** intermediary between Open Call projects and SHAPES organisations developing Digital Solutions with which such projects were to integrate with
- **Fraunhofer (WP6 leader):** intermediary between Open Call projects and Pilot Theme leaders, which such projects were expected to support
- **Laurea (WP8 leader):** supervising Open Projects to ensure that they comply with SHAPES Ethical Framework, during development and especially during pilot trials

Lastly Open Call project were provided contact details for contacting all above partners:

- SHAPES coordinator: Michael Cooke & Eilish Lynch: shapes.info@mu.ie
- Open Calls team: opencalls@shapes2020.eu
- Open Calls mailing list: shapesopencallprojects@maynoothuniversity.onmicrosoft.com
- WP4 leader: Artur Krukowski (krukowa@intracom-telecom.com)
- TP integration support:
Ilia Pietri (ilpiet@intracom-telecom.com)
Eleni Zarogianni (ezarog@intracom-telecom.com)
- PT core components: provided in each presentation of core components
- WP5 leader: Tatiana Silva (tatiana.silva@treetk.com)
- WP6 leader: Sonja Grigoleit (sonja.grigoleit@int.fraunhofer.de)
- Pilot Themes: WP6 leaders for each project, as in the table below:

Use Case	Organisation	Contact Person	
		Name	Email
PT2-001	GEWI - Institut für Gesundheitswirtschaft e.V.	Bettina Meenen	meenen@gewi-institut.de
PT2-003	AUTH - Aristotle University of Thessaloniki	Annita Varella	varellaannita@gmail.com
PT5-002/003	UPORTO - University of Porto	Pedro Rocha	parocha@icbas.up.pt
		Luisa Teles	lrtelas@icbas.up.pt
PT6-001/003	UCLM Universidad de Castilla - La Mancha	Xavier del Toro Garcia	xavier.delToro@uclm.es
		María José Santofimia	MarialJose.Santofimia@uclm.es
PT7-001/003	5th YPE (Regional Health Authority of Central Greece)	Vagelis Stamatiadis	vstam@dypethessaly.gr
			shapes@dypethessaly.gr

Table 7 Table of contacts to Pilot Theme leaders

The Open Calls were requested to provide informal progress report in the 1st week of January, to be followed with a formal progress teleconference in the middle of January 2022.

4 Conclusions and Future Actions

The 1st SHAPES Open Call has successfully completed its objectives and has resulted in bringing into the project eight (8) solutions to benefit its Pilot Themes, despite several delays still being expected to manage integration into relevant use cases with end users.

Delays have been caused by various reasons, primarily due to unclear EC rules governing introduction of third parties through Open Calls into Horizon 2020 projects. This necessitated the Open Call Management team and the Project Coordinator to develop a custom process, by adapting a process used by REA in evaluating proposals in Horizon 2020 program. With frequent consultations with the EC Project Officer, the process and relevant documents have been successively produced, often going through multiple revisions as new rules and guidelines were discovered or communicated by the Project Officer.

The most important issues affecting the timing of the 1st Open Call were:

1. Need to change the submission deadline from two (2) months after the call launch to three (3) months, requested by the EC Project Officer to comply with Horizon 2020 guidelines, despite having agreed with EC a different schedule earlier.
2. Originally expected internal review of the submitted proposals was requested by the Project Officer to include external evaluators. The problem faced was that SHAPES project had no budget for reimbursing external evaluators for their work and hence the Open Call Management team has faced a difficulty in finding volunteers for such evaluations in a very short time. The mitigation approach suggested by the Project Coordinator was to request help from members of SHPES Advisory Members in evaluating proposals as one of the experts. With their kind support the evaluations could proceed forward.
3. Despite a dedicated telco for evaluators where guidelines for evaluating proposals have been presented, the individual evaluations have missed a number of key requirements, resulting in some of the proposals not clearly addressing SHAPES pilots theme needs. This has not been noticed throughout the evaluations, not even during the ranking meeting among all evaluators. This has been only noticed after having issued invitations to successful applicants and sending rejection letters to

those below the funding borderline. As a mitigation actions, an internal request was made to WP6 to investigate if any of the Pilot Themes was interested in solutions from projects that had no such allocation anticipated earlier. Thankfully, with an exception of one proposal, all other projects have found interested Pilot Themes to adopt their solutions. The remaining project that addressed the Open Topic no. 7 will be used to evaluated and test the symbloTe interoperability platform by Intracom.

4. The CAPTAIN proposal has been also rejected by EDGE as not-compliant with their eCARE platform and as constituting a conflict of interest with their platforms. Since this has also been identified only after the ranking meeting, an executive process has been initiated by SHAPES Project Coordinator. This led to a dedicated Project Management Board meeting on the 15th of October 2021. The minutes of the meeting have been sent by Prof Cooke (refer to Appendix K). In this meeting the issue with CAPTAIN projects and EDGE conflict of interest has been resolved and the agreement was reached about management of projects from Open Calls.
5. Following the Ranking Meeting there has been an additional issue flagged by WP8 leader and supported by other partners, especially with respect to WP6, about ensuring that projects to come from Open Calls comply with adopted SHAPES Ethical Framework. Since the application package included an ethics section, though not marked as obligatory, a mitigation action was agreed to perform additional Ethical screening of all candidates for funding. They were subsequently requested to fill a self-assessment ethical form, which was then validated by WP8.
6. Since there have been no EC guidelines available for contracting third parties through Open Calls, MS Redmond as SHAPES Coordinator together with Dr Krukowski as Open Call Manager have agreed to use a model grant agreement as a base for contracts, which was then revised and enhanced by the NUIM contracting department. The process has taken nearly three months and involved a number of additional, standard for Horizon 2020, documents to be provide by the third parties, incl. Financial Identification Form, Declaration of Honour (DoH) as well as negotiated version of the scope of work with deliverables and their due dates, such that payments could be scheduled accordingly to work reported. With Ms Redmond leaving the NUIM in the middle of this process, the final signature of contracts with third parties have been further delayed until October 2021.

In conclusion, the 1st SHAPES Open Call has gone through a rough learning curve and despite several obstacles, lack of relevant guidelines and conflicting information from various sources, including the EC, has led to successful completion, even if delayed. Projects that have been funded are already progressing with integration into SHAPE Technological Platform, in few cases having also submitted their first deliverables.

The 1st Open Call has led to establishing a working structure that can now lead to a more efficient preparation, launch and execution of the next two Open Calls. Lesson learned have been also shared with a number of other projects that expected to launch their Open Calls as well, such as GATEKEEPER. Dedicated calls have been also conducted with e.g. ETHEL (<http://www.ehtel.eu>) to analyse and compare experiences from Open Calls in the Healthcare Cluster.

Appendix A: 1st Open Call publication on EC Portal

The screenshot shows a web browser window with the URL <https://ec.europa.eu/info/funding-tenders/opport...>. The page title is "Smart & Healthy Ageing through People Engaging in Supportive Systems – Open Call 1". A red "closed" button is visible in the top right corner. The page content includes the following information:

Project full name: Smart & Healthy Ageing through People Engaging in Supportive Systems
Project acronym: SHAPES
Grant agreement number: 857159
Publication date: 1 December 2020
Deadline: 28 February 2021 at 17:00 (Brussels time)
Expected duration of participation: 6 to 12 months, as indicated in each challenge; other durations are possible if sufficiently justified
Total EU funding:

Total budget for three (3) Open Calls: €1 000 000
Funding in each call will be capped to €500 000 and/or up to the amount remaining of the total budget after funding projects in earlier calls.
Subject to the eligibility criteria being met, at least once proposal will be funded per challenge, up to 50 000 per project. Other amounts may be accepted if sufficiently justified.
Subject to any challenge not funded in one call, such a challenge and its associated funding budget will be retained for the next call.

Submission & evaluation process:

Submissions can be made [via the F6s website](#).

SHAPES adopts the same scoring scale (0-5 excellent) as in all H2020 calls with half marks. Applications will be assessed under the following criteria;

- Excellence
- Implementation
- Impact and Sustainability

Further information: For queries please contact opencalls@shapes2020.eu and visit the [SHAPES website](#).

Task description:

The SHAPES open calls aim to promote innovation by identifying challenges within the SHAPES pilot sites and inviting SME's and all EU organisations that are eligible to EC funding under the rules of H2020 to meet these challenges with innovative solutions that can be integrated in the SHAPES Platform in support of active and healthy ageing and independent living. The SHAPES open calls provide opportunities for organisations to integrate their solutions in a large ecosystem at European level. There are 7 challenges associated with the calls.

1. Urinalysis in a home setting
2. Monitoring of nutrition intake
3. Monitoring hydration and quantity of fluid intake
4. Smart Connectables for health and wellbeing
5. Speech-enabled chatbots
6. Social Support in local community
 - Medical Devices not yet available in SHAPES
 - IoT sensors with added value for Digital Solutions, Pilot Themes and medical domains
 - 3rd-party IoT platform integration into SHAPES
7. Open Topic calling for:
 - Digital Solutions aimed at applications not yet available in SHAPES

Figure 5 1st SHAPES Open Call publication on EC portal

Appendix B: Public Evaluation Report

Public Evaluation Report

Results of open call (call ID : SHAPES-OC-1) for recipients of financial support

Project **acronym**: SHAPES

Project **grant agreement No.:** 857159

Project **full name**: “The Smart & Healthy Ageing through People Engaging in Supportive Systems”

Project SHAPES, co-funded from the European Union’s Horizon 2020 research and innovation program under grant agreement No 857159, launched an open call (call ID ref SHAPES-OC-1) for recipients of financial support.

The call closed on the 28th of February 2021.

A total of 63 proposals were received for this call. Out of those seven (7) proposals will receive funding for a total amount of 348,440 EUR.

The evaluation and selection has been completed. All proposers have been informed about the evaluation results for their proposal for financial support.

Call information

The call was published on the SHAPES project website (URL: <https://shapes2020.eu/open-calls>) and on the Horizon 2020 Participants Portal (URL: <https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/opportunities/competitive-calls>) on the 1st of December 2020. Full call details were published at: (URL: <https://shapes2020.eu/open-calls/call-1>) with submission portal hosted by F6S (URL: <https://www.f6s.com/shapesopencall1/apply>).

Response to the call in detail


	Number of proposals	Funding requested
Proposals received	33	1,705,100
Eligible proposals	30	1,556,120
Proposals above threshold	19	938,100
Selected proposals	7	348,440

List of selected proposals

ID	Acronym	Organisation	Country	Funding awarded
OC-1-028	CAPTAIN	Digiotouch OÜ	Estonia	50.00
OC-1-030	ELLIOT	University of Thessaly	Greece	49.63
OC-1-034	Logmeal4Shape	University of Barcelona	Spain	50.00
OC-1-003	BRAINCODE	Starlab Barcelona SL	Spain	49.00
OC-1-039	MYONABLER@VR	Carealia PC	Greece	50.00
OC-1-001	QuaFair	HOP Ubiquitous	Spain	49.95
OC-1-015	LIBERTY	VIDAVO S.A.	Greece	49.88

Appendix C: Proposal Evaluation Briefing presentation

Presentation given to internal and external evaluators of the 1st SHAPES Open Call on the 8th of March 2021 based on the official Horizon 2020 presentation for evaluators version 2.9 dated 4th of September 2020⁶.



The slide features a dark blue background with a starry space theme. At the top center is the European Commission logo. The main title 'HORIZON 2020 PROPOSAL EVALUATION' is in large, bold, yellow capital letters. Below the title, a glowing globe of the Earth is shown. To the right of the globe, the text 'Standard briefing' is written in white. In the bottom right corner, 'Version 2.9' and '4 September 2020' are displayed. A small 'HORIZON 2020' logo is at the bottom center.

Countries whose entities are eligible for funding

- Member States of the European Union, including their overseas departments and outermost regions.
- Associated Countries – Iceland, Norway, Albania, Bosnia and Herzegovina, FYRM, Montenegro, Serbia, Turkey, Israel, Moldova, Switzerland, Faroe Islands, Ukraine, Tunisia, Georgia, Armenia
- [Third Countries eligible for funding – see 'Annex A - List of countries, and applicable rules for funding'.](#)
- Exceptionally, other countries if:
 - Bilateral agreement e.g. EU-US/NIH arrangement
 - Identified in the Work Programme
 - Deemed essential for carrying out the action. The participation has clear benefits for the consortium, such as:
 - outstanding competence/expertise
 - access to research infrastructure
 - access to particular geographical environments
 - access to data.

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Brexit

UK participants remain eligible for EU funding in all grants given under the ongoing 2014-2020 Multi-annual Financial Framework. This applies to existing grants and ongoing and future calls even if launched after 31 December 2020 (as long as financed from the 2014-2020 MFF).

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Content

- **Role of independent experts**
 - Confidentiality
 - Conflicts of interest
- **The evaluation procedure in practice**
 - Individual evaluation, including evaluation criteria and proposal scoring
 - Consensus
 - Panel review and ranking, including proposals with identical total scores

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HORIZON 2020 PROPOSAL EVALUATION ROLE OF INDEPENDENT EXPERTS



Role of independent experts

- **You are responsible for carrying out the evaluation of the proposals yourself**
 - You are not allowed to delegate the work to another person!
- **You must close reports within a given deadline**
- **Significant funding decisions will be made on the basis of your assessment**
- **If you suspect any form of misconduct (e.g. plagiarism, double funding), please report this to SHAPES Open Call management staff**
- **You need not comment on ethics, as proposals that are successful in this scientific evaluation will undergo an ethics review**

Guiding principles

- **Independence**
 - You are evaluating in a personal capacity
 - You represent neither your employer, nor your country!
- **Impartiality**
 - You must treat all proposals equally and evaluate them impartially on their merits, irrespective of their origin or the identity of the applicants
- **Objectivity**
 - You evaluate each proposal as submitted; meaning on its own merit, not its potential if certain changes were to be made
- **Accuracy**
 - You make your judgment against the official evaluation criteria and the call or topic the proposal addresses, and nothing else
- **Consistency**
 - You apply the same standard of judgment to all proposals

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Confidentiality

You must:

- **Not discuss evaluation matters**, such as the content of proposals, evaluation results or opinions of fellow experts, with anyone, including:
 - Other experts or SHAPES staff or any other person (e.g. colleagues, students...) not directly involved in the evaluation of the proposal
 - The sole exception: your fellow experts who are evaluating the same proposal in a consensus group or Panel review
- **Not contact partners in the consortium, sub-contractors or any third parties**
- **Not disclose names of your fellow experts**
 - The Commission publishes the names of the experts annually - as a group, no link can be made between an expert and a proposal
- **Maintain confidentiality of documents**, paper or electronic, at all times and wherever you do your evaluation work (on-site or remotely)
 - Please take nothing away from the evaluation building (be it paper or electronic)
 - Return, destroy or delete all confidential documents, paper or electronic, upon completing your work, as instructed

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Conflicts of interest (COI) (1)

Potential Conflict of Interest conditions include:

1. I was involved in the preparation of a proposal
2. I am a director, trustee or partner or is in any way involved in the management of an applicant
3. I am employed or contracted by one of the applicants
4. I was involved in the preparation of a proposal submitted to the same topic/other topic
5. I would benefit if any proposal submitted to the same topic/other topic within the same call budget-split is accepted or rejected
6. I have close family ties or other close personal relationship with a person involved in the preparation of a proposal submitted to the same topic/other topic within the same call budget-split, or with a person which would benefit if such a proposal is accepted or rejected
7. I am a member of an advisory group set up by the Commission to advise on the preparation of EU or Euratom Horizon 2020 work programmes or work programmes in an area related to the call in question
8. I am a National Contact Point (NCP) or I am working for the Enterprise Europe Network (EEN)
9. I am a member of a programme committee

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Conflicts of interest (COI) (2)

The following situations may be considered as a Conflict Of Interest:

1. I was in a employment by one of the applicants in the last three years
2. I was involved in a contract, grant, prize or membership of management structures or research collaboration with an applicant, a linked third party or another third party involved in the action in the last three year
3. Please mention any other situation that could cast doubt on your ability to participate in the evaluation impartially, or that could reasonably appear so in the eyes of an outside third party

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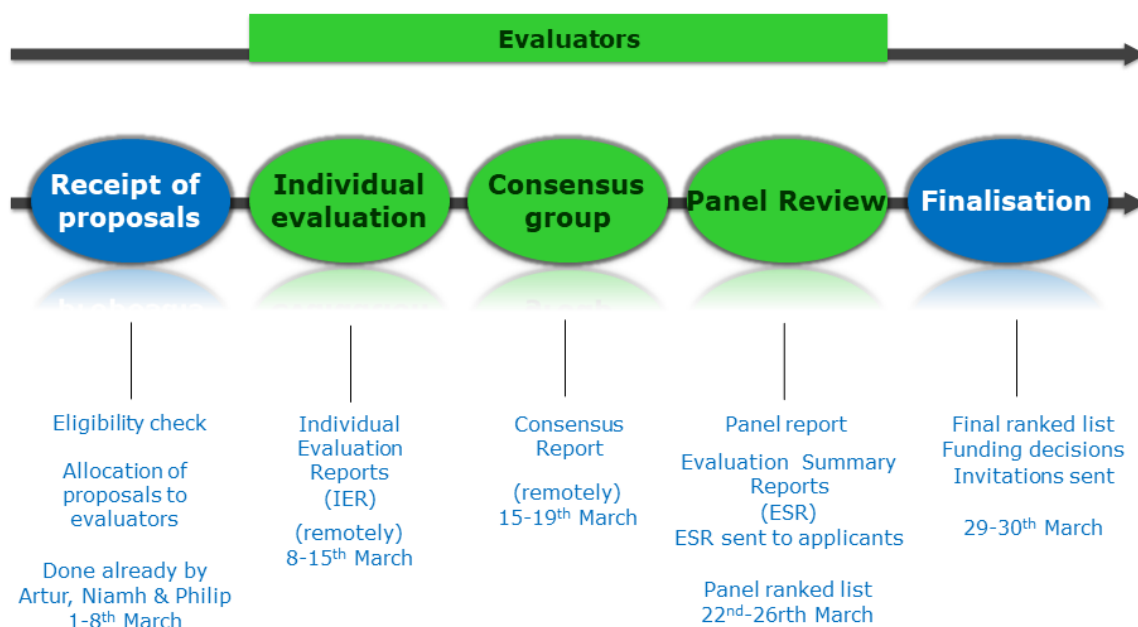


HORIZON 2020 PROPOSAL EVALUATION

THE EVALUATION PROCEDURE IN PRACTICE



Overview of the Evaluation Process



Admissibility, eligibility checks and additional requirements

- **Admissibility is checked by SHAPES Open Call management team:**
 - Readable, accessible and printable
 - Completeness of proposal, presence of all requested forms (e.g. missing sections)
 - Inclusion of a plan for exploitation and dissemination of results (n/a first stage of two stage proposals or unless otherwise specified in the WP)
- **Eligibility checked by SHAPES Open Call management team - however, if you spot an issue relating to eligibility, please inform SHAPES Open Call management team**
 - Number of partners as set out in the call conditions (single applicant)
 - Other criteria as set out in the call conditions
- **“Out of scope” – content of a proposal corresponds, wholly or in part, to the description of the call or topic**
 - A proposal is deemed ineligible in clear-cut cases when there is no obvious link between proposal and call topic, such as the (sub)topic NOT specifically stated
- **Information on page limits for Section 1-3 (10 pages) are set out in call documents, excess pages are to be ignored!**

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Evaluation Criteria

- ✓ For the first stage of a two-stage procedure, only the aspects of the criteria in **bold** are evaluated

Excellence

To the extent that the proposed work corresponds to the topic description:

- Clarity and pertinence of the objectives
- Soundness of the concept, and credibility of the proposed methodology
- Extent that proposed work is beyond the state of the art, and demonstrates innovation potential (e.g. ground-breaking objectives, novel concepts and approaches, new products, services or business and organizational models)
- Appropriate consideration of interdisciplinary approaches and, where relevant, use of stakeholder knowledge and gender dimension in research and innovation content.

Impact

- **The expected impacts listed in the work programme under the relevant topic**
- Any substantial impacts not mentioned in the Open Call, that would enhance innovation capacity; create new market opportunities, strengthen competitiveness and growth of companies, or bring other important benefits for society
- Quality of proposed measures to exploit and disseminate project results (including IPR, manage research data where relevant); communicate the project activities to different target audiences

Implementation

- Quality and effectiveness of the work plan, including extent to which resources assigned in work packages are in line with objectives/deliverables
- Appropriateness of management structures and procedures, including risk & innovation management
- Complementarity of the participants and extent to which the consortium as a whole brings together the necessary expertise
- Appropriateness of allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfill that role



Operational capacity

- **As part of the Individual Evaluation, give your view on whether each applicant has the necessary basic operational capacity to carry out their proposed activity(ies) based on**
 - Curriculum Vitae or description of the profile of the applicant
 - Relevant publications or achievements
 - Relevant previous projects or activities
 - Description of any significant infrastructure or any major items of technical equipment
 - description of third parties contributing to work, not represented as project partners

In exceptional cases the concrete measures proposed to obtain operational capacity by the time of project implementation are assessed.
- **You report whether an applicant lacks basic operational capacity**

The coordinator may not delegate or subcontract coordinating tasks to any other beneficiary or third party (including linked third parties). However, it may use in-kind contributions from third parties (e.g. seconded staff) to carry out those coordination tasks.

In addition, secondary or higher education establishments or public bodies have given an 'authorisation to administer' to a third party created, controlled or affiliated to them, may delegate to that third party the tasks related to the distribution of EU contribution.

Proposal scoring

- **Give a score between 0 and 5 to each criterion based on your comments**
 - The whole range of scores should be used; use steps of 0.5
 - Scores must pass *thresholds* if a proposal is to be considered for funding
- **Thresholds apply to individual criteria...**

The default threshold is 3
- **...and to the total score**

The default overall threshold is 10
- **The criterion Impact is given a weight of 1.5 to determine the ranking**

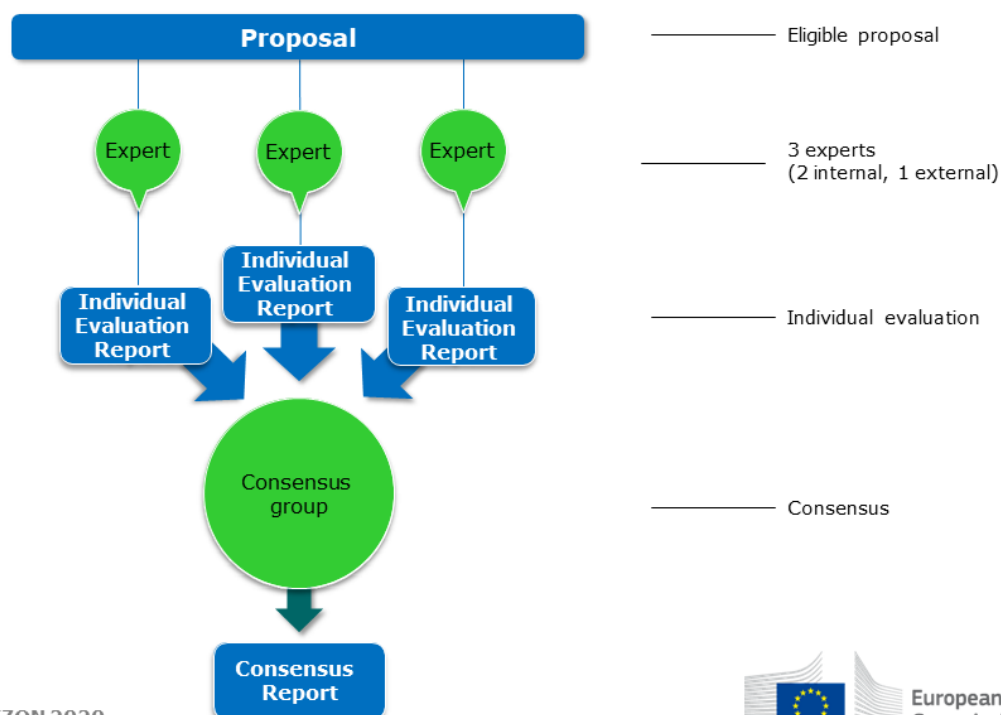
Interpretation of the scores

- 0** The proposal **fails to address the criterion** or cannot be assessed due to missing or incomplete information.
- 1** **Poor.** The criterion is inadequately addressed, or there are serious inherent weaknesses.
- 2** **Fair.** The proposal broadly addresses the criterion, but there are significant weaknesses.
- 3** **Good.** The proposal addresses the criterion well, but a number of shortcomings are present.
- 4** **Very Good.** The proposal addresses the criterion very well, but a small number of shortcomings are present.
- 5** **Excellent.** The proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

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Evaluation Process



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Individual evaluation

- **Read the proposal and evaluate it against the evaluation criteria**
Look at the substance:
 - Without discussing it with anybody else
 - As submitted - not on its potential if certain changes were to be made
 - Do not penalise applicants that did not provide detailed breakdown costs they are not required
- **Disregard excess pages for Sections 1-3
(more than 10 excluding template & title page)**
- **Check to what degree a proposal is relevant to the call topic**
- **Complete an Individual Evaluation Report (IER)**
 - Give your view on operational capacity
 - Give comments and scores for all evaluation criteria (scores to match comments)
 - Explain shortcomings, but do not make recommendations
(e.g. no additional partners, work packages, resource cuts)
- **Send IER to SHAPES management team
(opencalls@shapes2020.eu)**

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If a proposal

- **Is only marginally relevant in terms of its scientific, technological or innovation content relating to the call or topic addressed, you must reflect this in a lower score for the Excellence criterion**
 - No matter how excellent the science!
- **Does not significantly contribute to the expected impacts as specified in the call topic, you must reflect this in a lower score for the Impact criterion**
- **Would require substantial modifications in terms of implementation (i.e. additional work packages, significant budget or resources cut...), you must reflect this in a lower score for the "Implementation" criterion**
- **If specific issues are explicitly mentioned in the scope of the call topic, and not properly addressed, you must reflect this in the assessment of the relevant criterion and the corresponding score**
 - A successful proposal is expected to address them, or convincingly explain why not relevant in a particular case
 - Proposals addressing cross-cutting issues which are not explicitly mentioned in the scope of the call or topic can also be evaluated positively

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Impact of grant preparation on evaluation

- **No grant negotiation phase!**

The time from submission of a proposal, evaluation and signature of the grant set to a maximum of 1 month

First project contracts to start within April-May 2021

Evaluate each proposal as submitted

not on its potential if certain changes were to be made

- **If you identify shortcomings (other than minor ones and obvious clerical errors), reflect those in a lower score for the relevant criterion**
- **Explain the shortcomings, but do not make recommendations**
i.e. do not suggest additional partners, additional work packages, resources cut...
- **Proposals with significant weaknesses that prevent the project from achieving its objectives or with resources being seriously over-estimated must not receive above-threshold scores**
- **Any proposal with scores above the thresholds and where there is sufficient budget will be selected as submitted**

Successful applicants are invited to address shortcomings

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Consensus (moderated by OC MGT team)

- **Involves a discussion on the basis of individual evaluations**

- The average is a starting point
- Final report is based on combination of IERs

- **The aim is to find agreement on comments and scores**

- Agree comments before scores!
- If an applicant lacks basic operational capacity, you make comments and score the proposal without taking into account this applicant and its associated activity(ies)

- **"Outlying" opinions need to be explored**

- They might be as valid as others – be open-minded
- It is normal for individual views to change

- **Moderated by SHAPES Open Call management team**

- Neutral and manages evaluation
- Protects confidentiality and ensures fairness
- Ensures objectivity and accuracy, all voices heard and points discussed



Consensus report (CR)

- **The *rapporteur* is responsible for drafting the CR**
 - Including consensus comments and scores
 - In some cases, the rapporteur does not take part in the discussion
- **The quality of the CR is of utmost importance**
 - It often remains unchanged at the panel stage
- **The aim of the CR is to give:**
 - A clear assessment of the proposal based on its merit, with justification
 - Clear feedback on the proposal's weaknesses and strengths, of an adequate length, and in an appropriate tone
 - Explain shortcomings, but not to make recommendations
- **Avoid:**
 - Comments not related to the criterion in question
 - Comments too long, or too short and inappropriate language
 - Categorical statements that have not been properly verified
 - Scores that don't match the comments
 - Marking down a proposal for the same critical aspect under two different criteria

Remember, applicants will read your comments and, based on them, can challenge the evaluation through the evaluation review procedures

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The panel review

- Consists of experts from the consensus groups and/or new experts
- Ensures the consistency of comments and scores given at the consensus stage
- Resolves any cases where a minority view is recorded in the CR
- Endorses the final scores and comments for each proposal
 - Any new comments and scores (if necessary) should be carefully justified
- Recommends a list of proposals in priority order
- Prioritises proposals with identical total scores
- May also hold hearings at which applicants are invited to present their proposal

HORIZON 2020



Proposals with identical total scores

- **For each group of proposals with identical total scores, the panel considers first proposals that address topics that are not already covered by more highly-ranked proposals**
- **The panel then orders them according to:**
 - First, their score for Excellence,
 - And second, their score for Impact
- **If there are ties, the panel takes into account the following factors:**
 - First, budget allocated to SMEs
 - Second, gender balance of personnel carrying out the research activities
- **If there are still ties, the panel agrees further factors to consider:**
 - e.g. synergies between projects or contribution to the objectives of the call
- **The same method is then applied to proposals that address topics that are already covered by more highly-ranked proposals**

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Organisational (Q&A)




- **Expertise match to proposals scope**
 - In case of such issues please let us know so to be able to reassign them to other reviewers or find other alternative solution/reviewer
- **Access to F6S portal**
 - Some reviewers do not have account
 - Solution -> provided shared access to Google Drive
 - Access will be full to assigned proposals & read-only to other ones
- **David González Barrera:**
 - Can review ELLIOT and Logmeal4Shape (ST2)
 - Cannot OC-1-008 - ATRCONN & OC-1-013 - Qair (ST4)
- **Georgios Dafoulas:**
 - Prefers health focus, rather than social care focus

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Appendix D: Ranking Meeting presentation

Presentation from the SHAPES Open Call Ranking meeting held on the 8th of April 2021.



SHAPES


**Smart and Health Ageing
through People Engaging in
supporting Systems**



OC1 Ranking Meeting
Date and Time: 8/04/2021
Location: MS Teams
Organisers:
Artur Krukowski (ICOM)
Niamh Redmond (NUIM)

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

Process



Completed

- Individual evaluation (IER) by internal and external evaluators
- Consensus Report (CR) among 3-4 assigned reviewers
- Evaluation Summary Report (ESR) by OC Manager
- Rejection, Information and Invitation Letters by OC Manager

Pending:

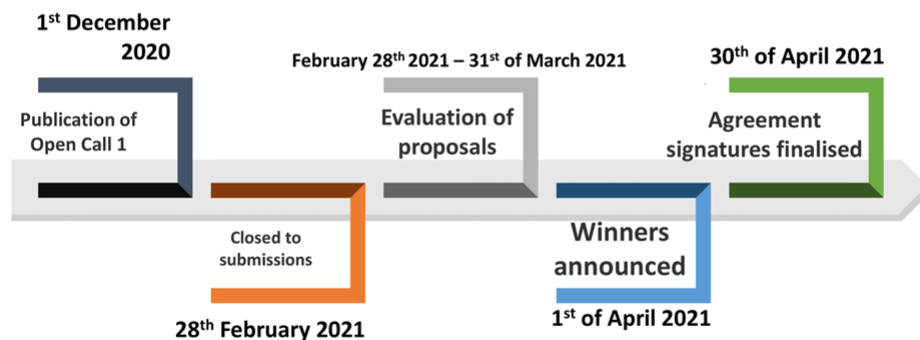
- Ethical screening of invited (reserve) proposals

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

Timeline



Timeline Open Call 1



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

Results



- 30 proposals evaluated
- 19 above thresholds
- 11 below thresholds
- 7 scoring 12 or above – to be invited
- 6 scoring 11.5 – one of which to be on a reserve list

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



POS	ID	Proposal Acronym		Topic	Budget	Funding	+25%	Total
1	OC-1-028	CAPTAIN		4	71.425	49.998	14.6	13.5
2	OC-1-030	ELLIOT		2	49.625	49.625	14.6	13.5
3	OC-1-034	Logmeal4Shape	-	2	50.000	50.000	13.5	12.5
4	OC-1-003	BRAINCODE		7	70.000	49.000	13.0	12.0
5	OC-1-039	MYONABLER@VR		7	50.000	50.000	13.0	12.0
6	OC-1-001	QuaFair		7	71.350	49.945	13.0	12.0
7	OC-1-015	LIBERTY		4	71.250	49.875	13.0	12.0
8	OC-1-024	CARETECH.HUMAN		1	71.410	49.987	12.5	11.5
9	OC-1-009	SHoW		4	71.00	49.70	12.5	11.5
10	OC-1-010	E@SYCG		4	50.00	50.00	12.5	11.5
11	OC-1-042	SMART-TRAQ		4	50.00	50.00	12.4	11.5
12	OC-1-013	QAIR		4	50.00	50.00	12.4	11.5
13	OC-1-051	INVISIBLE.MD	-	4	50.00	50.00	12.3	11.5
14	OC-1-008	ATRCONN		4	52.70	52.70	11.5	10.5
15	OC-1-020	REHABME		7	57.10	39.97	11.4	10.5
16	OC-1-025	EM-AHA		4	68.00	47.60	11.4	10.5
18	OC-1-002	Shapes-UPCVS		7	70.00	50.00	11	10.5
17	OC-1-060	AutoUrinalysis		1	71.00	49.70	11.4	10.5
19	OC-1-011	HANGTAPP		6	71.43	50.00	11.3	10.5

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

Appendix E: Ethical Self-Assessment Form (template)

This shows the form that each of the projects selected for potential funding during the Ranking Meeting held in April 2021 was requested to fill in for WP8 leader to be able to verify that the proposed solutions would comply with SHAPES Ethical Framework..

Ethical Self-Assessment Form

Proposal ID:	
Proposal Acronym:	
Contact person name:	
Contact person email:	

Section 1: HUMAN EMBRYOS/ FOETUSES		YES/NO		Page	Information to be provided	Documents to be provided/kept onfile
Does your research involve Human Embryonic Stem Cells (hESCs)?		<input type="checkbox"/>	<input type="checkbox"/>			
If YES:	Will they be directly derived from embryos within this project?	<input type="checkbox"/>	<input type="checkbox"/>		<i>Research not eligible for funding</i>	<i>Research not eligible for funding</i>
	Are they previously established cells lines?	<input type="checkbox"/>	<input type="checkbox"/>		1) Origin and line of cells. 2) Details of the licensing and control measures by the competent authorities of the Member States involved.	1) Copies of Ethics Approval. 2) Declaration that the human embryonic stem cell lines used in the project are registered in European hESC registry (www.hescereg.eu) — both for hESCs and Human-induced pluripotent stem cell (hiPSC) lines. 3) Declaration confirming that the 6 specific conditions (see below) for research activities involving human embryonic stem cells are met.
Does your research involve the use of human embryos?		<input type="checkbox"/>	<input type="checkbox"/>		1) Origin of embryos. 2) Details of the recruitment, inclusion and exclusion criteria and informed consent procedures. 3) Confirm that informed consent has been obtained.	1) Copies of ethics approval. 2) Informed Consent Forms + Information Sheets.
If YES:	Will the research lead to their destruction?	<input type="checkbox"/>	<input type="checkbox"/>		<i>Research not eligible for funding</i>	<i>Research not eligible for funding</i>
Does your research involve the		<input type="checkbox"/>	<input type="checkbox"/>		1) Origin of human foetal	1) Copies of ethics approval.

use of human foetal tissues / cells?				tissues/cells. 2) Details of the informed consent procedures. 3) Confirm that informed consent has been obtained.	2) Informed Consent Forms + Information Sheets.
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Section 2: HUMANS		YES/ NO		Page	Information to be provided	Documents to be provided/kept on file
Does your research involve human participants?		<input type="checkbox"/>	<input type="checkbox"/>		Confirm that informed consent has been obtained	Informed Consent Forms + Information Sheets
If YES:	Are they volunteers for social or human sciences research?	<input type="checkbox"/>	<input type="checkbox"/>		Details of the recruitment, inclusion and exclusion criteria and informed consent procedures.	Copies of ethics approvals (if required).
	Are they persons unable to give informed consent (including children/minors)?	<input type="checkbox"/>	<input type="checkbox"/>		1) Details of the procedures for obtaining approval from the guardian/legal representative and the agreement of the children or other minors. 2) What steps will you take to ensure that participants are not subjected to any form of coercion?	Copies of ethics approvals.
	Are they vulnerable individuals or groups?	<input type="checkbox"/>	<input type="checkbox"/>		1) Details of the type of vulnerability. 2) Details of the recruitment, inclusion and exclusion criteria, and informed consent procedures. These must demonstrate appropriate efforts to ensure fully informed understanding of the implications of participation.	Copies of ethics approvals.
	Are they children/minors?	<input type="checkbox"/>	<input type="checkbox"/>		1) Details of the age range. 2) What are your assent procedures and parental consent for children and other minors? 3) What steps will you take to ensure the welfare of the child or other minor? 4) What justification is there for involving minors?	Copies of ethics approvals.
	Are they patients?	<input type="checkbox"/>	<input type="checkbox"/>		1) What disease/condition /disability do they have? 2) Details of the recruitment, inclusion and exclusion criteria and informed consent procedures. 3) What is your policy on incidental findings?	Copies of ethics approvals.
	Are they healthy volunteers for medical studies?	<input type="checkbox"/>	<input type="checkbox"/>			Copies of ethics approvals.

Does your research involve physical interventions on the study participants?		<input type="checkbox"/>	<input type="checkbox"/>			
If YES:	Does it involve invasive techniques (e.g. collection of human cells or tissues, surgical or medical interventions, invasive studies on the brain, TMS etc.)?	<input type="checkbox"/>	<input type="checkbox"/>		Risk assessment for each technique and overall.	Copies of ethics approvals.
	Does it involve collection of biological samples?	<input type="checkbox"/>	<input type="checkbox"/>		1) What type of samples will be collected? 2) What are your procedures for collecting biological samples?	Copies of ethics approvals.
For research involving processing of genetic information, see also section 4 .						

Section 3: HUMAN CELLS / TISSUES		YES/ NO		Page	Information to be provided	Documents to be provided/kept on file
Does your research involve human cells or tissues (other than from Human Embryos/Foetuses, see section 1)?		<input type="checkbox"/>	<input type="checkbox"/>		Details of the cells or tissue types.	1) Copies of relevant ethics approvals. 2) Copies of accreditation / designation / authorisation / licensing for using, processing or collecting the human cells or tissues (if required).
If YES:	Are they available commercially?	<input type="checkbox"/>	<input type="checkbox"/>		Details of the provider (company or other).	Copies of import licences (if relevant).
	Are they obtained within this project?	<input type="checkbox"/>	<input type="checkbox"/>		1) Details of the source of the material, the amount to be collected and the procedure for collection. 2) Details of the duration of storage and what you will do with the material at the end of the research. 3) Confirm that informed consent has been obtained.	Informed Consent Forms + Information Sheets.
	Are they obtained from another project, laboratory or institution?	<input type="checkbox"/>	<input type="checkbox"/>		1) Country where the material is stored. 2) Details of the legislation under which material is stored. 3) How long will the material be stored and what will you do with it at the end of the research project? 4) Name of the laboratory/institution. 5) Country where the laboratory/institution is located. 6) Confirm that material is	1) Copies of import licences (if relevant). 2) Statement of laboratory/institution that informed consent has been obtained.

				fully anonymised or that consent for secondary use has been obtained.	
Are they obtained from abiobank?	<input type="checkbox"/>	<input type="checkbox"/>		1) Name of thebiobank. 2) Country where thebiobank is located. 3) Details of the legislation under whichmaterial is stored. 4) Confirm that material is fully anonymised or that consent for secondary use has been obtained.	1) Copies of import licences (if relevant). 2) Statement of biobankthat informed consent has been obtained.

Section 4: PROTECTION OF PERSONAL DATA		YES/NO	Page	Information to be provided	Documents to be provided/kept onfile
Does your researchinvolve processing of personal data?		<input type="checkbox"/>	<input type="checkbox"/>	1) Details of the technical and organisational measures to safeguard the rights of the research participants For instance: For organisations that must appoint a DPO under the GDPR: Involvement of the data protection officer (DPO)and disclosure of the contactdetails to the research participants. For all other organisations: Details of the data protectionpolicy for the project (i.e. project-specific, not general). 2) Details of the informedconsent procedures. 3) Details of the securitymeasures to prevent unauthorised access to personal data. 4) How is all of the processeddata relevant and limited to the purposes of the project ('data minimisation' principle)? Explain. 5) Details of the anonymization /pseudonymisation techniques 6) Justification of why research data will not be anonymised/ pseudonymised (if relevant). 7) Details of the data transfers (type of data transferred and country to which it is transferred – forboth EU and non-EU countries).	Informed Consent Forms + Information Sheets used (if relevant).
If YES:	Does it involve the processing ofspecial categories of personal data(e.g. genetic, health, sexuallifestyle, ethnicity, political opinion, religious or philosophical	<input type="checkbox"/>	<input type="checkbox"/>	1) Justification for the processing of special categories of personal data. 2) Why can the research objectives not be reached byprocessing anonymised/ pseudonymised data (if applicable)?	

	conviction.)?					
	Does it involve processing of genetic, biometric or health data?	<input type="checkbox"/>	<input type="checkbox"/>			Declaration confirming compliance with the laws of the country where the data was collected.
	Does it involve profiling, systematic monitoring of individuals or processing of large scale of special categories of data, intrusive methods of data processing (such as, tracking, surveillance, audio and video recording, geo- location tracking etc.) or any other data processing operation that may result in high risk to the rights and freedoms of the research participants?	<input type="checkbox"/>	<input type="checkbox"/>		1) Details of the methods used for tracking, surveillance or observation of participants. 2) Details of the methods used for profiling. 3) Risk assessment for the data processing activities. 4) How will harm be prevented and the rights of the research participants safeguarded? Explain. 5) Details on the procedures for informing the research participants about profiling, and its possible consequences and the protection measures.	Opinion of the data controller on the need for a data protection impact assessment (art.35 GDPR) (if relevant).
	Does your research involve further processing of previously collected personal data (including use of pre-existing data sets or sources, merging existing data sets)?	<input type="checkbox"/>	<input type="checkbox"/>		1) Details of the database used or of the source of the data. 2) Details of the data processing operations. 3) How will the rights of the research participants be safeguarded? Explain. 4) How is all of the processed data relevant and limited to the purposes of the project ('data minimisation' principle)? Explain. 5) Justification of why the research data will not be anonymised/pseudonymised (if relevant).	1) Declaration confirming lawful basis for the data processing. 2) Permission by the owner/manager of the data sets (e.g. social media databases) (if applicable). 3) Informed Consent Forms + Information Sheets + other consent documents (opt in processes, etc.) (if applicable).
	Does your research involve publicly available data?	<input type="checkbox"/>	<input type="checkbox"/>		Confirm that the data used in the project is publicly available and can be freely used for the project.	Permission by the owner/manager of the data sets (e.g. social media databases) (if applicable).
	Is it planned to export personal data from the EU to non-EU countries? <i>Specify the type of personal data and countries involved</i>	<input type="checkbox"/>	<input type="checkbox"/>		Details of the types of personal data to be exported. How will the rights of the research participants be safeguarded? Explain.	Declaration of confirming compliance with Chapter V of the GDPR.
	Is it planned to import personal data from non-EU countries into the EU? <i>Specify the type of personal data and countries involved</i>	<input type="checkbox"/>	<input type="checkbox"/>		Details of the types of personal data to be imported.	Declaration confirming compliance with the laws of the country in which the data was collected.

Section 5: ANIMALS	YES/NO	Page	Information to be provided	Documents to be provided/kept on file
Does your research involve	<input type="checkbox"/>	<input type="checkbox"/>	1) Details of the species and	

animals?					<p>rationale for their use, numbers of animals to be used, nature of the experiments, procedures and techniques to be used.</p> <p>2) Justification of animal use (including the kind of animals to be used) and why alternatives cannot be used.</p>	
If YES:	Are they vertebrates?	<input type="checkbox"/>	<input type="checkbox"/>			
	Are they non- human primates(NHP) (e.g. monkeys, chimpanzees, gorillas, etc.)?	<input type="checkbox"/>	<input type="checkbox"/>		<p>1) Why are NHPs the only research subject suitable for achieving your scientific objectives? Explain.</p> <p>2) What is the purpose of the animal testing? Give details.</p> <p>3) Where do the animals come from? Give details.</p>	Personal history file of NHP.
	Are they genetically modified?	<input type="checkbox"/>	<input type="checkbox"/>		<p>1) Details of the phenotype and any inherent suffering expected.</p> <p>2) What scientific justification is there for producing such animals? Give details.</p> <p>3) What measures will you take to minimise suffering in breeding, maintaining the colony and using the GM animals? Give details.</p>	Copies of GMO authorisations.
	Are they cloned from animals?	<input type="checkbox"/>	<input type="checkbox"/>		<p>1) Details of the phenotype and any inherent suffering expected.</p> <p>2) What scientific justification is there for producing such animals? Give details.</p> <p>3) What measures will you take to minimise suffering in breeding, maintaining the colony and using of the GM animals? Give details.</p>	Copies of authorisations for cloning (if required).
	Are they an endangered species?	<input type="checkbox"/>	<input type="checkbox"/>		<p>1) Why is there no alternative to using this species? Give details.</p> <p>2) What is the purpose of the research? Give details.</p>	Copies of authorisations for supply of endangered animal species (including CITES).

Section 6: THIRD COUNTRIES	YES/ NO		Page	Information to be provided	Documents to be provided/kept on file
In case non-EU countries are	<input type="checkbox"/>	<input type="checkbox"/>		1) Risk-benefit analysis.	1) Copies of ethics approvals

involved, do the research related activities undertaken in these countries raise potential ethics issues? <i>Specify the countries involved:</i>				2) What activities are carried out in non-EU countries? Give details.	and other authorisations or notifications (if required). 2) Confirmation that activity could have been legally carried out in an EU country (for instance, an opinion from an appropriate ethics structure in an EU country).
Is it planned 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="checkbox"/>	<input type="checkbox"/>		What type of local resources will be used and how exactly? Give details.	1) For human resources: copies of ethics approvals. 2) For animals, plants, micro-organisms and associated traditional knowledge: documentation demonstrating compliance with UN Convention on Biological Diversity (e.g. access permit and benefit sharing agreement).
Is it planned to import any material from non-EU countries into the EU? <i>For data imports, see section 4. For imports of human cells or tissues, see section 3.</i>	<input type="checkbox"/>	<input type="checkbox"/>		What type of materials will you import? Give details.	Copies of import licences.
If YES: <i>Specify the materials and countries involved:</i>					
Is it planned to export any material from the EU to non-EU countries? <i>For data exports, see section 4.</i>	<input type="checkbox"/>	<input type="checkbox"/>		Details of the type of materials to be exported.	Copies of export licences.
If YES: <i>Specify material and countries involved:</i>					
In case research involves low and/or lower-middle income countries , are any benefit-sharing actions planned?	<input type="checkbox"/>	<input type="checkbox"/>		1) Details of the benefit sharing measures. 2) Details of the responsiveness to local research needs. 3) Details of the procedures to facilitate effective capacity building.	
Could the situation in the country put the individuals taking part in research at risk?	<input type="checkbox"/>	<input type="checkbox"/>		1) Details of safety measures you intend to take, incl. training of staff and insurance cover.	

Section 7: ENVIRONMENT & HEALTH AND SAFETY	YES/NO		Page	Information to be provided	Documents to be provided/kept on file
Does your research involve the use of elements that may cause harm to the environment, to animals or plants? <i>For research involving animal experiments, see section 5.</i>	<input type="checkbox"/>	<input type="checkbox"/>		1) Risk-benefit analysis. 2) Show how you apply the precautionary principle (if relevant). 3) What safety measures will you take? Give	1) Safety classification of laboratory. 2) Copy of GMO and other authorisations (if required).

				details.	
Does your research deal with endangered fauna and/or flora /protected areas?	<input type="checkbox"/>	<input type="checkbox"/>			Specific authorisations(if required).
Does your research involve the use of elements that may cause harm to humans, including research staff? <i>For research involving human participants, see section 2.</i>	<input type="checkbox"/>	<input type="checkbox"/>		1) Details of the health and safety procedures.	Safety classification of laboratory.

Section 8: DUAL USE	YES/NO		Page	Information to be provided	Documents to be provided/kept on file
Does this research involve dual-use items in the sense of Regulation 428/2009, or other items for which an authorisation is required?	<input type="checkbox"/>	<input type="checkbox"/>		1) What goods and information used and produced in your research will need export licences? 2) How exactly will you ensure compliance? 3) How exactly will you avoid negative implications?	Copies of export licences.

Section 9: EXCLUSIVE FOCUS ON CIVIL APPLICATIONS	YES/NO		Page	Information to be provided	Documents to be provided/kept on file
Could your research raise concerns regarding the exclusive focus on civil applications?	<input type="checkbox"/>	<input type="checkbox"/>		1) Explain the exclusive civilian focus of your research. 2) Justify inclusion of military partners or military technologies (i.e. explain how they relate to civilian applications, e.g. in the context of law enforcement activities).	

Section 10: MISUSE	YES/NO		Page	Information to be provided	Documents to be provided/kept on file
Does your research have a potential for misuse of research results?	<input type="checkbox"/>	<input type="checkbox"/>		1) Risk-assessment. 2) Details of the applicable legal requirements. 3) Details of the measures to prevent misuse.	1) Copies of authorisations (if required). 2) Copies of security clearances (if applicable). 3) Copies of ethics approvals (if applicable).

Section 10: OTHER ETHICS ISSUES	YES/NO		Page	Information to be provided	Documents to be provided/kept on file
Are there any other ethics issues that should be taken into consideration? <i>(e.g. new developments in the fields of neurobiology, man-machine interaction, developments in nanotechnology, genetic enhancement, the creation of androids and cyborgs, etc.).</i> <i>Please specify:</i>	<input type="checkbox"/>	<input type="checkbox"/>		Any relevant information.	Any relevant document.

Appendix F: Rejection Letter (Template)

The template of the rejection letter sent to unsuccessful applicants.



“The Smart & Healthy Ageing through People Engaging in Supportive Systems (SHAPES)” project funded from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 857159.

<Main contact full name>

<Company name>

<Address>

Subject: SHAPES Open Call #1

Proposal: <Proposal ID and Short name>

Proposal rejection letter

Dear Madam/Sir,

We are writing in connection with your proposal for the above-mentioned call.

Having evaluated your proposal, we regret to inform you that, despite its merits, unfortunately it cannot be funded because the score obtained does not suffice, given the budgetary resources available for the call.

Please find enclosed the evaluation summary report (ESR).

We thank you for your interest and hope that you will not be discouraged from applying to the next SHAPES Open Calls in the future.

Yours faithfully,

Artur Krukowski PhD
SHAPES Open Call Manager

Appendix G: Invitation Letter (template)

A template of the invitation letter sent to successful applicants.



“The Smart & Healthy Ageing through People Engaging in Supportive Systems (SHAPES)” project funded from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 857159.

<Main Contact full name>

<Company name>

<Address>

Subject: SHAPES Open Call #1

Proposal: <Proposal ID and acronym>

Evaluation result letter — Contract Preparation invitation letter

Dear Madam/Sir,

I am writing in connection with your proposal for the above-mentioned call.

Having completed the **evaluation**, we are pleased to inform you that your proposal has **passed this phase** and that the Agency would now like to **start contract preparation**.

Please find enclosed the evaluation summary report (ESR), based on the comments and opinion of the experts that evaluated the proposal for the SHAPES Open Call.

Invitation to grant preparation

Grant preparation will be based on the following:

1. **Proposal:** <Proposal ID and acronym>

2. **Topic:** <Topic ID>

3. **SHAPES Project Manager:** Niamh Redmond
Niamh.Redmond@mu.ie
Maynooth University

4. **Maximum grant amount:**

Requested SHAPES contribution (according to proposal): <amount> EUR

Maximum grant amount (proposed amount, after evaluation): <amount> EUR

5. **Duration of the action:** <length> months

6. **Action & budget:**

The **description of the action (DoA)** (Annex 1 to the contract) and the **estimated budget for the action** (Annex 2 to the contract) must be based on the proposal submitted.

⚠ Please be aware that you may have to change your ‘description of the action’, in order to address ethics and security issues.

⚠ Please note that you may NOT make changes to the project and its budget (including linked third parties). Please immediately inform the project officer (see above), if you need to make any change.

7. Timetable & deadlines for grant preparation

Submission of contract data & annexes: within **2 weeks** after receiving this letter

Once the SHAPES Project has checked the information you have provided, you will have **2 weeks** to submit your final version — to bring it in line with the comments of the project officer.

⚠ Please note that repeated **failure to respect deadlines** may lead to the **rejection of the partner/proposal** (Lack of cooperation during grant preparation will be taken to mean that you are no longer interested in the grant).

8. Contract preparation

You will be contacted in due time by the SHAPES Project Manager (see above) regarding your grant (including signature of the contract agreement).

Please note that the **data** (from your proposal, the Beneficiary Register or contract preparation) **may be used** by the SHAPES Project for monitoring and statistical purposes.

9. Other information

In addition, the applicant is invited to reflect on the shortcomings identified in the Evaluation Summary Report (ESR) and come up with suggestions to address them in the Description of the Action (DoA) during the contract preparation phase, respecting delays regarding time to grant.

Further adjustments to align the Description of the Action (DoA) with the Horizon 2020 rules as documented in the annotated Model Grant Agreement (aMGA), might be necessary and will be addressed during the contract preparation phase.

The SHAPES Project Manager will contact you shortly to discuss all issues related with the contract preparation.

For British applicants: Please note that until the United Kingdom leaves the EU, EU law continues to apply to and within the United Kingdom, when it comes to rights and obligations; this includes the eligibility of United Kingdom legal entities to fully participate and receive funding in Horizon 2020 actions. Please be aware however that the 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 the termination provisions in the grant agreement.

⚠ Please note that this letter does **NOT** constitute a **formal commitment for funding**. The final decision by the SHAPES Project will only be taken at a later stage, since it depends on the finalisation of the contract preparation and the rest of the selection procedure (implying further checks, for instance, of operational and financial capacity, non-exclusion, etc.)


For any questions, please contact the SHAPES Project Manager (see above).

Yours faithfully,
Artur KRUKOWSKI PhD
SHAPES Open Call Manager

Enclosures: Evaluation summary report (ESR)

Appendix H: Evaluation Summary Report (template)

A template of the Evaluation Summary Report (ESR) sent to all Open Call applicants.

Proposal Evaluation Form		
	<p>"The Smart & Healthy Ageing through People Engaging in Supportive Systems (SHAPES)"</p> <p>Project funded from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 857159</p>	<p>Evaluation Summary Report</p> <p>SHAPES Open Call 1</p>

Call: SHAPES Open Call #1
 Proposal number: <Proposal ID>
 Proposal acronym: <Proposal acronym>
 Proposal title: <Proposal title>
 Duration (months): <Proposal duration>
 Activity: <Topic targeted>

Proposer Name	Country	Total Cost	Grant Requested
<Main contact full name>	<Country>	€<total cost>	€<amount requested>

Abstract:

<Proposal abstract as in the application>

Evaluation Summary Report

Evaluation Result

Total score: <Total score> (Threshold: 10)

Form information

SCORING

Scores are in the range 0-5.

Interpretation of the score:

- 0– The proposal fails to address the criterion or cannot be assessed due to missing or incomplete information.
- 1– Poor. The criterion is inadequately addressed, or there are serious inherent weaknesses.
- 2– Fair. The proposal broadly addresses the criterion, but there are significant weaknesses.
- 3– Good. The proposal addresses the criterion well, but a number of shortcomings are present.
- 4– Very good. The proposal addresses the criterion very well, but a small number of shortcomings are present.
- 5– Excellent. The proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

Criterion 1 - Excellence

Score: <Score> (Threshold: 3/5.00, Weight: -)

The following aspects were taken into account, to the extent that the proposed work corresponds to the identified topic description in the SHAPES Open Call #1 work program:

- Clarity and pertinence of the objectives
- Soundness of the concept, and credibility of the proposed methodology
- Extent that proposed work is beyond the state of the art, and demonstrates innovation potential
- Appropriate consideration of interdisciplinary approaches and, where relevant, use of stakeholder knowledge and gender dimension in research and innovation content

<Comments from reviewers for this criterion from the Consensus Report>

Criterion 2 - Impact

Score: <Score> (Threshold: 3/5.00, Weight: -)

The following aspects were taken into account:

- The extent to which the outputs of the project would contribute to each of the expected impacts mentioned in the SHAPES Open Call work program under the relevant topic

- Any substantial impacts not mentioned in the SHAPES Open Call, that would enhance innovation capacity, create new market opportunities, strengthen competitiveness and growth of companies, address issues related to climate change or the environment, or bring other important benefits for society
- Quality of the proposed measures to: exploit and disseminate the project results as well as SHAPES project itself, and to manage research data where relevant (including management of IPR), communicate the project activities to different target audiences

<Comments from reviewers for this criterion from the Consensus Report>

Criterion 3 - Quality and efficiency of the implementation

Score: **<Score>** (Threshold: 3/5.00, Weight: -)

The following aspects were taken into account: quality and effectiveness of the work plan, including extent to which the resources assigned to work packages are in line with their objectives and deliverables, including:

- Appropriateness of the management structures and procedures, including risk and innovation management
- Appropriateness of the allocation of tasks, ensuring adequate resources to fulfil required scope of work
- Appropriateness and justification of the budget, costs and requested funding

<Comments from reviewers for this criterion from the Consensus Report>

Scope of the proposal

Status: **Yes**

Comments (in case the proposal is out of scope)

Not provided

Operational Capacity

Status: **Operational Capacity: Yes**

If No, please list the reasons for the rejection.

Not provided

Use of human embryonic stem cells (hESC)

Status: **No**

If yes, please state whether the use of hESC is, or is not, in your opinion, necessary to achieve the scientific objectives of the proposal and the reasons why. Alternatively, please state if it cannot be assessed whether the use of hESC is necessary or not because of a lack of information.

Not provided

Overall comments

<Comments from reviewers for this criterion from the Consensus Report>

This document is digitally signed. The digital signature mechanism ensures its integrity and authenticity. Any attempt to modify the content will lead to a breach of the electronic signature, which can be verified at any time by clicking on the digital seal validation symbol.

Appendix I: Invitation Letter to contract signature (template)

A template of the letter sent by the project coordinator on the 9th of August 2021 to successful applicants with invitation to start contract preparations.



“The Smart & Healthy Ageing through People Engaging in Supportive Systems (SHAPES)” project funded from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 857159.

<Main contact full name>

<Company name>

<Company address>

Subject: SHAPES Open Call #1

Proposal: <Proposal ID and Acronym>

Contract Preparation invitation letter

Dear Madam/Sir,

I am writing in connection with your proposal for the above-mentioned call.

We are pleased to inform you that the SHAPES project coordinator would now like to **start contract preparation**.

Please find enclosed a draft of the sub grant agreement. Sections of the agreement will need to be completed and returned by the 27th of August. Please note Appendix 1 Description of activities to be performed by the Subgrantee includes 1 additional ethics deliverable to be completed. If you require further information in relation to the ethics deliverables, please contact the SHAPES Ethics Manager, Mrs Sari Sarlio sari.sarlio@laurea.fi

If you have any additional queries in relation to the contract, please contact opencalls@shapes2020.eu , cc'ing shapes.info@mu.ie

Yours faithfully,
SHAPES Coordination Team

Appendix J: Subgrant Agreement (template)

A template of the contract sent by the project coordinator on the 9th of August 2021 to successful applicants with invitation to start contract preparations.



<Proposal Acronym>

<Proposal Title>



SHAPES has received funding from the European Union's Horizon 2020 Research and Innovation Programme under Grant Agreement N° 857159.

SUBGRANT AGREEMENT

Number: <Proposal ID and acronym>

This Subgrant Agreement, hereinafter the “**Subgrant Agreement**”,
Is made on

BETWEEN:

National University of Ireland, Maynooth, Maynooth University, established in **Maynooth, Co Kildare, Ireland**, VAT number: IE9587715A duly represented for the purposes of signing the Subgrant agreement by **Prof Ray O'Neill, Vice President for Research and Innovation, Maynooth University**, as Coordinator of the SHAPES Consortium acting on behalf of the SHAPES consortium whose objective is to implement “the SHAPES Action”, hereinafter referred as the “**Contractor**”

and

<Applicant full name> a [private/public] law company organized under the laws of [COUNTRY], established in [LEGAL_ADDRESS], with VAT nr [VAT_NUMBER], duly represented by [LEGAL_REPRESENTATIVE], [LEGAL_REPRESENTATIVE_POSITION], Hereinafter referred as the “**Subgrantee**”

hereinafter, all contracting parties of this Agreement jointly or individually, referred to as “Parties” or “Party”.

WHEREAS:

The SHAPES Consortium has been awarded a Grant Agreement by the European Commission (hereinafter the “Funding Authority”) entitled »**SHAPES**« (Smart and Healthy Aging through People Engaging in Supportive Systems) **Grant Agreement no. 857159**, (hereinafter referred to as the “Grant Agreement”) with the aim to implement the SHAPES Project which foresees that a part of the budget flows to third parties.

Subgrantee was selected by the SHAPES Project evaluation team following the **SHAPES Open Call 1 (SHAPES-OC1-Enablers)** for proposals published on 1 December 2020 as a candidate to receive Financial Support as a Third Party under Art. 15 of the Grant Agreement.

The Subgrant Agreement aims at defining the framework of rights and obligations of the Contracting Parties under the Sub- project Number: <Proposal ID and acronym>

In performing this Subgrant Agreement, Subgrantee accepts the Grant Agreement (in particular, the Terms and Conditions) insofar as they relate to the work contracted to the Subgrantee and agrees to enable the Contractor to fulfil its obligations towards the Funding Authority and, if applicable,

towards the other SHAPES Consortium Partners. The necessary Terms and Conditions of the Grant Agreement are attached to this Agreement as **Appendix 2** which shall be a part of this Agreement.

The funds received by the Subgrantee are owned by the European Commission.
The Contractor is a mere holder and manager of the funds

NOW, THEREFORE, IT IS HEREBY AGREED AS FOLLOWS:

1 Definitions and precedence

- 1.1. "Effective Date" means <agreed effective date>
- 1.3. "Grant" means the sum awarded to the Subgrantee in conformity with the Grant Agreement and this Sub-grant Agreement.
- 1.4. "Party" shall mean each party to this Subgrant Agreement, while "Parties" means the Contractor and Subgrantee collectively.
- 1.5. "Sub-grant Agreement" shall mean the present contract and its Appendices.
- 1.6. "Work" means the work that has to be performed by the Subgrantee under this Sub-grant Agreement, as described in the application form attached as **Appendix 1**.
- 1.7. "Eligible" means the tasks and costs that are allowed to be performed by the Start-up under this Sub-grant Agreement, as described in the application form attached as **Appendix 1**.

Words beginning with a capital letter shall have the meaning defined either herein or in the Rules of Participation for Horizon 2020 or in the Grant Agreement, including their respective Appendices.

In the event of a conflict of applicable terms and conditions, the terms and conditions that govern shall be determined by the following priority: (a) the Grant Agreement (b) this Sub-grant Agreement.

2 Subject

- 2.1 The Subgrantee has, in conformity with the rules of the SHAPES Open Call 1 Programme, been awarded a grant under the terms and conditions of the Sub-grant Agreement and of the Grant Agreement for the support of the Subgrantee.
- 2.2 The Subgrantee will perform the work as defined in the application submitted for the SHAPES Open call 1, provided in **Appendix 1** (hereinafter referred to as the "Action"), forming a part of this Agreement.
- 2.3 The Subgrantee accepts the Grant by signing this agreement under the conditions applicable to it and agrees to use the Grant only in conformity with this Sub-grant Agreement.
- 2.4 All obligations of the Grant Agreement which are relevant for the use of the Grant shall be applicable to the Subgrantee, as if the Subgrantee was a party to the Grant Agreement. The Subgrantee undertakes to cooperate, perform and fulfil, promptly and on time, all of its obligations under the Grant Agreement and this Sub-grant Agreement as may be reasonably

required from it and in good faith. The Subgrantee hereby expressly accepts being bound by the relevant provisions of the Grant Agreement which become an integral part of this Sub-grant Agreement.

2.5 In the event that such work by the Subgrantee is part of research activities, the Subgrantee shall be responsible for ensuring that the research work is carried out with scientific care, complies with accepted technical, scientific and professional standards, is undertaken by appropriate personnel and carried out in accordance with the schedule laid down in Article 3 and the financial provisions laid down in Article 4.

2.6 In no case may the rights and duties of this Subgrant Agreement be assigned or transferred to any other party in any manner whatsoever. Even if any other entities are involved in the implementation of the Action as collaborators, partners or supporters of the Subgrantee, the Subgrantee will be solely responsible of the execution of this Subgrant Agreement towards the Contractor and indirectly, the Funding Authority.

3 – Duration –Duties of the Subgrantee –

3.1 The Work to be carried out by the Subgrantee under this Agreement shall commence on 03 January 2022 (hereinafter referred to as the “Start Date”) for a period of 12 months. The termination of the Subgrant Agreement will be subject to the terms and conditions set out in **Appendix 3- Guidelines for Applicants**

3.2 The implementation of the Work will be made in one phase with deliverables to be submitted on time by the Subgrantee:

3.3 If the required deliverables are submitted on time, the work and deliverables of the Subgrantee will be evaluated by an internal panel of evaluators.

Payment of the Grant shall be based on receipt of the required deliverables

on time and in accordance with the timeframes as set out in the table in **Appendix 1**,

and subject to evaluation by <contact person for the topic leader> (Topic Leader), Artur

Krukowski

(SHAPES Open-Call Manager), and the SHAPES Project Manager and SHAPES Coordinator Prof Mac MacMachlan.

3.4 The Subgrantee:

3.4.1 Shall use the Grant only for the Work to be executed in accordance with the timetable laid down in Appendix 1. In doing so, the Subgrantee shall exercise all reasonable skill, care and diligence and shall carry out all of its responsibilities under this Sub-grant Agreement in accordance with recognised professional standards. The Subgrantee shall provide personnel, facilities, equipment and materials necessary for the proper performance of this Sub-grant Agreement.

3.4.2 Shall deliver on time to the Contractor all applicable reports, deliverables, data and other documents required under the Grant Agreement and the Sub-grant Agreement.

3.4.3 Shall inform the Contractor immediately of any change in its situation that could have an impact on the conditions applicable to the decision to award the Grant.

3.4.4 Shall inform the Contractor immediately of any proposed changes in the list of task listed in the application documents. The Subgrantee is not allowed to proceed with the implementation without a written permission of the Contractor.

3.4.5 Shall promptly notify the Contractor of any event which could result in any delay or discontinuity in the execution of the Work.

- 3.4.6 Shall refrain from using the Grant for non-eligible costs (Annex 3) as defined in the eligible cost list.
- 3.5 The Subgrantee agrees to submit progress reports to the Contractor if needed to enable Contractor to include all contents directly into the project reporting, and to identify work performed and resources deployed by the Subgrantee.
- 3.6 The Coordinator shall be entitled to use and publish the Results of the research work under this Subgrant Agreement as far as required to fulfil their obligations under the SHAPES project and Grant Agreement. Such publication rights shall be free of charge.

4 – Financial contribution and Financial Provisions

- 4.1 In no case the amount requested by Subgrantee can exceed € 50,000.
- 4.2 The Parties act under the understanding that these amounts are grant money and as such not subject to VAT
- 4.3 The bank account of the Subgrantee to which all payments of the financial contribution shall be made is:

Name of account holder: [BANK_ACCOUNT_HOLDER] Name of bank:

[BANK_NAME_AND_BRANCH]

Account reference: [ACCOUNT_NUMBER_IBAN_FORMAT]

The bank account will be verified through a correctly filled in, signed and stamped Banking Information Form (Appendix 4).

- 4.4 The Contractor is entitled to withhold any payments due to Subgrantee, or recover any payments already made, in part or in full, as applicable:
- if the payment is not approved by the Funding Authority;
 - if recovery is otherwise suggested by or agreed with the Funding Authority;
 - if Subgrantee is identified by the Contractor to be in breach of its obligations under this Agreement.

5 – Breach of contractual obligations

- 5.1. In the event the Contractor identifies that the Subgrantee has:

- i) Breached its obligations under this Agreement;
- ii) Stops to carry out the Work of this Subgrant Agreement and therefore is not able or willing to continue the Work;
- iii) Is engaged in a bankrupt or receivership process,

the Contractor will give written notice requiring that such breach to be remedied within 30 days.

- 5.2. In the event that the Subgrantee has not brought remedies from the notice, the Contractor may decide to terminate the Agreement unilaterally.

- 5.3. Moreover, in the event the breach of the contractual obligations has been manifestly intentioned or with gross negligence, the Contractor may request the Subgrantee the refund of the payments made to date.

6. Confidentiality and Intellectual Property

The Parties agree that the clauses on confidentiality and intellectual property rights of the Grant Agreement (i.e. Article 36 and Article 26, 27 and 28, 30 and 31) will also apply, *mutatis mutandis*, to this Sub-grant Agreement.

The Subgrantee agrees the following:

- a) Nothing in this Agreement will affect the ownership of Background. Where Background is intellectual property created before the date of this Agreement or not using the Grant during the Work.
- b) Results created solely by the Subgrantee while undertaking the Work will be owned by the Subgrantee.
- c) Results created jointly by the Subgrantee and one or more of the SHAPES Consortium Partners will be owned jointly by the Subgrantee and the SHAPES Consortium Partners concerned. The Parties will enter into a joint ownership and management agreement relating to such Results.
- d) Any intellectual property created by the SHAPES Consortium Partners during the Work and not involving the Subgrantee will be governed by the provisions SHAPES Consortium Agreement.
- e) In order to facilitate wide adoption of the Results, all Results (whether solely or jointly created) will be made available to the public under a recognized Open Source Licence¹. The Parties will agree prior to commencement of the Work as to the most appropriate Open Source Licence for the Work. Nothing in this Agreement prevents the Subgrantee adopting a commercial dual licensing strategy provided that the Results remain available under an Open Source Licence.
- f) The use of any of the Results must not be limited by a requirement to use or incorporate Background owned by the Subgrantee. However, if Background belonging to the Subgrantee is required to use a Result then the Subgrantee must grant the SHAPES Consortium Partners a non-exclusive, royalty free and fully paid up licence to use that Background for any purpose, including commercialisation of the Result. Note, failure to declare Background required to use a Result and/or failure not to grant the licence in this clause 6(f) may impact on payments to the Subgrantee in accordance with Clause 4.4 of this Agreement.
- g) The SHAPES Consortium Partners are free to use the Results and any equipment supplied under the Grant for any purpose, including reporting, publicity and promotion of the SHAPES Consortium. The Subgrantee will cooperate in assisting with the SHAPES Consortium Partners in these activities.

7 – Liability of the Subgrantee

Article 46 (Appendix 2) applies, though, *mutatis mutandis*, to Subgrantee.

Nothing in these Subgrant Agreement excludes or limits any Party's liability to the extent that it may not be so excluded or limited under applicable law, including any such liability for death or personal injury caused by that person's negligence, or liability for fraud or fraudulent

¹ <https://opensource.org/licenses>

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misrepresentation. Each party is liable for its own negligence, including acts or omissions of its employees, contractors, affiliates and any other person acting on that party's behalf.

9 – Promoting the action, visibility of EU Funding

Article 38 (Appendix 2) applies, though, *mutatis mutandis*, to Subgrantee.

10 - Force Majeure

10.1 If any of the Parties is affected by force majeure, it must immediately notify the other party, stating the nature of the circumstances, their likely duration and foreseeable effects.

10.2 The Parties are not liable for any delay or failure to perform their obligations under this Subgrant Agreement if that delay or failure is a result of force majeure.

10.3 The Parties must take all necessary measures to limit any damage due to force majeure.

Article 11 - Contact Addresses

Any communication relating to this Sub-Grant Agreement shall be in writing, stating the title of the Action and sent to the following addresses:

For the Contractor

For the Subgrantee

Prof Ray O'Neill

[Full Name]

[Title]

[Address]

Vice President Research and Innovation
National University of Ireland Maynooth
Maynooth
Co.Kildare
Ireland

[Location]

(01) 708 6000

[Phone]

Vicepresident.research@mu.ie

[E-mail]

[Contact Person]

12 - Miscellaneous

12.1 Appendixes, inconsistencies and severability

In case the terms of this Agreement are in conflict with the terms of the Grant Agreement, the terms of the latter shall prevail. In case of conflicts between the Appendixes and the core text of this Agreement, the latter shall prevail.

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

12.2 No representation, partnership or agency

No Party shall be entitled to act or to make legally binding declarations on behalf of any other Party. Nothing in this Agreement shall be deemed to constitute a joint venture, agency, partnership, interest grouping or any other kind of formal business grouping or entity between the Parties.

12.3 Mandatory national law

Nothing in this Agreement shall be deemed to require a Party to breach any mandatory statutory law under which the Party is operating.

12. 4 Language

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

12.5 Applicable law and settlement of disputes

This Agreement shall be construed in accordance with and governed by the laws of Ireland, excluding its conflict of law provisions

The Parties shall endeavour to settle their disputes amicably.

Any dispute, controversy or claim arising under, out of or relating to this contract and any subsequent amendments of this contract, including, without limitation, its formation, validity, binding effect, interpretation, performance, breach or termination, as well as non-contractual claims, shall be submitted to the courts in Dublin.

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



Signatures As

Witness

The Parties have caused this Agreement to be duly signed by the undersigned authorised representatives in separate signature pages the day and year first above written.

Contractor

Signature:

Date:

Name:

Title:

DateL

Subgrantee

Signature:

Date:

Name:

Title:

Date:

Appendix 1: Description of activities to be performed by the Subgrantee

<Applicant> shall be partnered with ICOM, Intracom S.A. Telecom Solutions as the technical leaders for this project. The contact person at <SHAPES Digital Solution that the Open Call project is expected to integrate with and/or ICOM in case of direct integration with symbloTe interoperability component> shall be <name of the contact person>. The pilot site <SHAPES pilot site associated with the call topic> will pilot the device.

This project consists of one work package which shall perform the full work of the project as described (per the project Proposal document):

<Full description of activities organised by Work Package(s) and Task(s) as detailed in the proposal>

Funding

Payment of the Grant shall be based on receipt of the required deliverables on time in accordance with the timeframes as set out in the below table, and subject to evaluation by Dr. Eleni Zarogianni (Topic Leader), Artur Krukowski (SHAPES Open-Call Manager), and the SHAPES Project Manager.

20%	Upon signature of the Subgrant Agreement	
40%	Upon receipt of Deliverables: <list of deliverables due>	<Details of deliverables and activities>
40%	On completion of the project	<Details of deliverables and activities>

Appendix 2 – Excerpts from the Grant Agreement Terms and Conditions:

ARTICLE 15 — FINANCIAL SUPPORT TO THIRD PARTIES

15.1 Rules for providing financial support to third parties

15.1.1 The beneficiaries must provide financial support in accordance with the conditions set out in Annex 1.

At a minimum, these conditions must include:

- (a) the maximum amount of financial support for each third party.
The maximum amount may not exceed EUR 60 000 for each third party, unless it is necessary to achieve the objectives of the action as described in Annex 1;
- (b) the criteria for calculating the exact amount of the financial support;
- (c) the different types of activity that qualify for financial support, on the basis of a closed list;
- (d) the persons or categories of persons that may receive financial support, and
- (e) the criteria for giving financial support.

The beneficiaries must ensure that the Commission, the European Court of Auditors (ECA) and the European Anti-Fraud Office (OLAF) can exercise their rights under Articles 22 and 23 also towards the third parties receiving financial support.

15.1.2 The beneficiaries must ensure that their obligations under Articles 35, 36, 38 and 46 also apply to the third parties receiving financial support.

15.2 (n.a.)

15.3 Consequences of non-compliance

If a beneficiary breaches any of its obligations under Articles 15.1.1 or 15.2.1, the costs related to the financial support or prize will be ineligible (see Article 6) and will be rejected (see Article 42).

If a beneficiary breaches any of its obligations under Articles 15.1.2 or 15.2.2, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 22 — CHECKS, REVIEWS, AUDITS AND INVESTIGATIONS — EXTENSION OF FINDINGS

22.1 Checks, reviews and audits by the *Agency and the Commission*

22.1.1 Right to carry out checks

The Commission will — during the implementation of the action or afterwards — check the proper implementation of the action and compliance with the obligations under the Agreement, including assessing deliverables and reports.

For this purpose the Commission may be assisted by external persons or bodies. The Commission may also request additional information in accordance with Article 17. The Commission may request beneficiaries to provide such information to it directly. Information provided must be accurate, precise and complete and in the format requested, including electronic format.

22.1.2 Right to carry out reviews

The Commission may — during the implementation of the action or afterwards — carry out reviews on the proper implementation of the action (including assessment of deliverables and reports), compliance with the obligations under the Agreement and continued scientific or technological relevance of the action.

Reviews may be started **up to two years after the payment of the balance**. They will be formally notified to the coordinator or beneficiary concerned and will be considered to have started on the date of the formal notification.

If the review is carried out on a third party (see Articles 10 to 16), the beneficiary concerned must inform the third party.

The Commission may carry out reviews directly (using its own staff) or indirectly (using external persons or bodies appointed to do so). It will inform the coordinator or beneficiary concerned of the identity of the external persons or bodies. They have the right to object to the appointment on grounds of commercial confidentiality.

The coordinator or beneficiary concerned must provide — within the deadline requested — any information and data in addition to deliverables and reports already submitted (including information on the use of resources). The Commission may request beneficiaries to provide such information to it directly.

The coordinator or beneficiary concerned may be requested to participate in meetings, including with external experts.

For **on-the-spot** reviews, the beneficiaries must allow access to their sites and premises, including to external persons or bodies, and must ensure that information requested is readily available. Information provided must be accurate, precise and complete and in the format requested, including electronic format.

On the basis of the review findings, a '**review report**' will be drawn up.

The Commission will formally notify the review report to the coordinator or beneficiary concerned, which has 30 days to formally notify observations ('**contradictory review procedure**'). Reviews (including review reports) are in the language of the Agreement.

22.1.3 Right to carry out audits

The Commission may — during the implementation of the action or afterwards — carry out audits on the proper implementation of the action and compliance with the obligations under the Agreement.

Audits may be started **up to two years after the payment of the balance**. They will be formally notified to the coordinator or beneficiary concerned and will be considered to have started on the date of the formal notification.

If the audit is carried out on a third party (see Articles 10 to 16), the beneficiary concerned must inform the third party. The Commission may carry out audits directly (using its own staff) or indirectly (using external persons or bodies appointed to do so). It will inform the coordinator or beneficiary concerned of the identity of the external person or bodies. They have the right to object

to the appointment on grounds of commercial confidentiality.

The coordinator or beneficiary concerned must provide — within the deadline requested — any information (including complete accounts, individual salary statements or other personal data) to verify compliance with the Agreement. The Commission may request beneficiaries to provide such information to it directly.

For **on-the-spot** audits, the beneficiaries must allow access to their sites and premises, including to external persons or bodies, and must ensure that information requested is readily available.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

On the basis of the audit findings, a '**draft audit report**' will be drawn up.

The Commission will formally notify the draft audit report to the coordinator or beneficiary concerned, which has 30 days to formally notify observations ('**contradictory audit procedure**'). This period may be extended by the Commission in justified cases.

The '**final audit report**' will take into account observations by the coordinator or beneficiary concerned. The report will be formally notified to it.

Audits (including audit reports) are in the language of the Agreement.

The Commission may also access the beneficiaries' statutory records for the periodical assessment of unit costs or flat-rate amounts.

22.2 Investigations by the European Anti-Fraud Office (OLAF)

Under Regulations No 883/2013 39 and No 2185/9640 (and in accordance with their provisions and procedures), the European Anti-Fraud Office (OLAF) may — at any moment during implementation of the action or afterwards — carry out investigations, including on-the-spot checks and inspections, to establish whether there has been fraud, corruption or any other illegal activity affecting the financial interests of the EU.

22.3 Checks and audits by the European Court of Auditors (ECA)

Under Article 287 of the Treaty on the Functioning of the European Union (TFEU) and Article 161 of the Financial Regulation No 966/2012, the European Court of Auditors (ECA) may — at any moment during implementation of the action or afterwards — carry out audits. The ECA has the right of access for the purpose of checks and audits.

22.4 Checks, reviews, audits and investigations for international organisations

Not applicable

22.5 Consequences of findings in checks, reviews, audits and investigations — Extension of findings

22.5.1 Findings in this grant

Findings in checks, reviews, audits or investigations carried out in the context of this grant may lead to the rejection of ineligible costs (see Article 42), reduction of the grant (see Article 43), recovery of undue amounts (see Article 44) or to any of the other measures described in Chapter 6.

Rejection of costs or reduction of the grant after the payment of the balance will lead to a revised final grant amount (see Article 5.4).

Findings in checks, reviews, audits or investigations may lead to a request for amendment for the modification of Annex 1 (see Article 55).

Checks, reviews, audits or investigations that find systemic or recurrent errors, irregularities, fraud or breach of obligations may also lead to consequences in other EU or Euratom grants awarded under similar conditions (**'extension of findings from this grant to other grants'**).

Moreover, findings arising from an OLAF investigation may lead to criminal prosecution under national law.

22.5.2 Findings in other grants

The Commission may extend findings from other grants to this grant (**'extension of findings from other grants to this grant'**), if:

- (a) the beneficiary concerned is found, in other EU or Euratom grants awarded under similar conditions, to have committed systemic or recurrent errors, irregularities, fraud or breach of obligations that have a material impact on this grant and
- (b) those findings are formally notified to the beneficiary concerned — together with the list of grants affected by the findings — no later than two years after the payment of the balance of this grant.

The extension of findings may lead to the rejection of costs (see Article 42), reduction of the grant (see Article 43), recovery of undue amounts (see Article 44), suspension of payments (see Article 48), suspension of the action implementation (see Article 49) or termination (see Article 50).

22.5.3 Procedure

The Commission will formally notify the beneficiary concerned the systemic or recurrent errors and its intention to extend these audit findings, together with the list of grants affected.

22.5.3.1 If the findings concern **eligibility of costs**: the formal notification will include:

- (a) an invitation to submit observations on the list of grants affected by the findings;
- (b) the request to submit **revised financial statements** for all grants affected;
- (c) the **correction rate for extrapolation** established by the Commission on the basis of the systemic or recurrent errors, to calculate the amounts to be rejected if the beneficiary concerned:
 - (i). considers that the submission of revised financial statements is not possible or practicable or
 - (ii). does not submit revised financial statements.

The beneficiary concerned has 90 days from receiving notification to submit observations, revised financial statements or to propose a duly substantiated **alternative correction method**. This period may be extended by the Commission in justified cases.

The Commission may then start a rejection procedure in accordance with Article 42, on the basis of:

- the revised financial statements, if approved;
 - the proposed alternative correction method, if accepted
- or

- the initially notified correction rate for extrapolation, if it does not receive any observations

22.5.3.2 If the findings concern **substantial errors, irregularities or fraud or serious breach of obligations**: the formal notification will include:

- (a) an invitation to submit observations on the list of grants affected by the findings and
 - (b) the flat-rate the Commission intends to apply according to the principle of proportionality.
- The beneficiary concerned has 90 days from receiving notification to submit observations or to propose a duly substantiated alternative flat-rate.

The Commission may then start a reduction procedure in accordance with Article 43, on the basis of:

- the proposed alternative flat-rate, if accepted
- or
- the initially notified flat-rate, if it does not receive any observations or does not accept the observations or the proposed alternative flat-rate.

22.6 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, any insufficiently substantiated costs will be ineligible (see Article 6) and will be rejected (see Article 42). Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 23 — EVALUATION OF THE IMPACT OF THE ACTION

23.1 Right to evaluate the impact of the action

The Commission may carry out interim and final evaluations of the impact of the action measured against the objective of the *EU* programme.

Evaluations may be started during implementation of the action and up to *five* years after the payment of the balance. The evaluation is considered to start on the date of the formal notification to the coordinator or beneficiaries

The Commission may make these evaluations directly (using its own staff) or indirectly (using external bodies or persons it has authorised to do so).

The coordinator or beneficiaries must provide any information relevant to evaluate the impact of the action, including information in electronic format.

23.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the *Commission* may apply the measures described in Chapter 6.

ARTICLE 35 — CONFLICT OF INTERESTS

35.1 Obligation to avoid a conflict of interests

The beneficiaries must take all measures to prevent any situation where the impartial and objective implementation of the action 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 the *Commission* 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

Commission may verify that the measures taken are appropriate and may require additional measures to be taken by a specified deadline.

35.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43) and the Agreement or participation of the beneficiary may be terminated (see Article 50). Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 36 — CONFIDENTIALITY

36.1 General obligation to maintain confidentiality

During implementation of the action and for four years after the period set out in Article 3, the parties must keep confidential any data, documents or other material (in any form) that is identified as confidential at the time it is disclosed (**'confidential information'**).

If a beneficiary requests, the Commission may agree to keep such information confidential for an additional period beyond the initial four years.

If information has been identified as confidential only orally, it will be considered to be confidential only if this is 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 beneficiaries may disclose confidential information to their personnel or third parties involved in the action only if they:

- (a) need to know to implement the Agreement and
- (b) are bound by an obligation of confidentiality.

This does not change the security obligations in Article 37, which still apply.

The Commission may disclose confidential information to its staff, other EU institutions and bodies or third parties, if:

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

Under the conditions set out in Article 4 of the Rules for Participation Regulation No 1290/2013, the Commission must moreover make available information on the results to other EU institutions, bodies, offices or agencies as well as Member States or associated countries.

The confidentiality obligations no longer apply if:

- (a) the disclosing party agrees to release the other party;
- (b) the information was already known by the recipient or is given to him without obligation of

- confidentiality by a third party that was not bound by any obligation of confidentiality;
- (c) the recipient proves that the information was developed without the use of confidential information;
- (d) the information becomes generally and publicly available, without breaching any confidentiality obligation, or
- (e) the disclosure of the information is required by EU or national law.

36.2 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 38 — PROMOTING THE ACTION — VISIBILITY OF EU FUNDING

38.1 Communication activities by beneficiaries

38.1.1 Obligation to promote the action and its results

The beneficiaries must promote the action and its results, by providing targeted information to multiple audiences (including the media and the public) in a strategic and effective manner.

This does not change the dissemination obligations in Article 29, the confidentiality obligations in Article 36 or the security obligations in Article 37, all of which still apply.

Before engaging in a communication activity expected to have a major media impact, the beneficiaries must inform the Commission (see Article 52).

38.1.2 Information on EU funding — Obligation and right to use the EU emblem

Unless the Commission requests or agrees otherwise or unless it is impossible, any communication activity related to the action (including in electronic form, via social media, etc.) and any infrastructure, equipment and major results funded by the grant must:

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

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

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

When displayed together with another logo, the EU emblem must have appropriate prominence.

For the purposes of their obligations under this Article, the beneficiaries may use the EU emblem without first obtaining approval from the Commission.

This does not, however, give them the right to exclusive use.

Moreover, they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

38.1.3 Disclaimer excluding the Commission responsibility

Any communication activity related to the action must indicate that it reflects only the author's view and that the Commission is not responsible for any use that may be made of the information it contains.

38.2 Communication activities by the Commission

38.2.1 Right to use beneficiaries' materials, documents or information

The Commission may use, for its communication and publicising activities, information relating to the action, documents notably summaries for publication and public deliverables as well as any other material, such as pictures or audio-visual material that it receives from any beneficiary (including in electronic form).

This does not change the confidentiality obligations in Article 36 and the security obligations in Article 37, all of which still apply.

If the Commission's use of these materials, documents or information would risk compromising legitimate interests, the beneficiary concerned may request the Commission not to use it (see Article 52).

The right to use a beneficiary's materials, documents and information includes:

- (a) **use for its own purposes** (in particular, making them available to persons working for the Commission or any other EU institution, body, office or agency or body or institutions in EU Member States; and copying or reproducing them in whole or in part, in unlimited numbers);
- (b) **distribution to the public** (in particular, publication as hard copies and in electronic or digital format, publication on the internet, as a downloadable or non- downloadable file, broadcasting by any channel, public display or presentation, communicating through press information services, or inclusion in widely accessible databases or indexes);
- (c) **editing or redrafting** for communication and publicising activities (including shortening, summarising, inserting other elements (such as meta-data, legends, other graphic, visual, audio or text elements), extracting parts (e.g. audio or video files), dividing into parts, use in a compilation);
- (d) **translation**;
- (e) giving **access in response to individual requests** under Regulation No 1049/2001, without the right to reproduce or exploit;
- (f) **storage** in paper, electronic or other form;
- (g) **archiving**, in line with applicable document-management rules, and
 - (h) the right to authorise **third parties** to act on its behalf or sub- license the

modes of use set out in Points (b), (c), (d) and (f) to third parties if needed for the communication and publicising activities of the Commission.

If the right of use is subject to rights of a third party (including personnel of the beneficiary), the beneficiary must ensure that it complies with its obligations under this Agreement (in particular, by obtaining the necessary approval from the third parties concerned).

Where applicable (and if provided by the beneficiaries), the Commission will insert the following information:

“© – [year] – [name of the copyright owner]. All rights reserved. Licensed to the European Union (EU) under conditions.”

38.3 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43).

Such breaches may also lead to any of the other measures described in Chapter 6.

ARTICLE 46 — LIABILITY FOR DAMAGES

46.1 Liability of the Commission

The Commission cannot be held liable for any damage caused to the beneficiaries or to third parties as a consequence of implementing the Agreement, including for gross negligence.

The Commission cannot be held liable for any damage caused by any of the beneficiaries or third parties involved in the action, as a consequence of implementing the Agreement.

46.2 Liability of the beneficiaries

Except in case of force majeure (see Article 51), the beneficiaries must compensate the Commission for any damage it sustains as a result of the implementation of the action or because the action was not implemented in full compliance with the Agreement.

Appendix 3 SHAPES -OC1- Enablers Guide for Applicants

<attached copy of the “SHAPES -OC1- Enablers Guide for Applicants” document distributed as part of the 1st Open Call info package >

Appendix 4 - Banking Information Form

Proposal / Contract Number		Proposal/Contract Acronym (Name)	
Financial Information for payments			
<input type="checkbox"/> Please ensure that the following information is correct, otherwise the payment may be rejected. <input type="checkbox"/> Complete the form on your PC and not by hand, since unreadable information might cause delays.			

Account holder	
Name of Account holder (as registered with the bank)	
Full address of account holder (as registered with the bank)	
Street name and	
Postal Code	Town/City
Country	VAT number
Contact person of the account holder regarding the payments	
Name	First name(s)
Phone	Fax
e-mail	

Bank-Information	
Bank name	
Branch address (full address – PO box not accepted)	
Street name and	
Postal Code	Town/City
Country	
Account no	
Bank sorting code	
International Bank Account Number (IBAN) The IBAN is mandatory for all European Partners. Where no IBAN is provided increased bank-fees are	
BIC/SWIFT	
Requested »reason for payment« (if other than EU project name or n°) / Remarks	

We certify that above information declared is complete and true.

BANK STAMP + SIGNATURE BANK REPRESENTATIVE*
(Obligatory)



SHAPES

DATE, STAMP + SIGNATURE of ACCOUNT HOLDER
(Obligatory)

Appendix 5 Open call announcement

<https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/opportunities/competitive-calls>

Smart & Healthy Ageing through People Engaging in Supportive Systems – Open Call 1

Deadline: 28 February 2021

Project full name: Smart & Healthy Ageing through People Engaging in Supportive Systems

Project acronym: SHAPES

Grant agreement number: 857159

Publication date: 1 December 2020

Deadline: 28 February 2021 at 17:00 (Brussels time)

Expected duration of participation: 6 to 12 months, as indicated in each challenge; other durations are possible if sufficiently justified

Total EU funding:

Total budget for three (3) Open Calls: €1 000 000

Funding in each call will be capped to €500 000 and/or up to the amount remaining of the total budget after funding projects in earlier calls. Subject to the eligibility criteria being met, at least once proposal will be funded per challenge, up to 50 000 per project. Other amounts may be accepted if sufficiently justified. Subject to any challenge not funded in one call, such a challenge and its associated funding budget will be retained for the next call.

Submission & evaluation process: Submissions can be made [via the F6s website](#).

SHAPES adopts the same scoring scale (0-5 excellent) as in all H2020 calls with half marks.

Applications will be assessed under the following criteria;

- Excellence
- Implementation
- Impact and Sustainability

Further information: For queries please contact opencalls@shapes2020.eu and visit [SHAPES website](#).

Task description:

The SHAPES open calls aim to promote innovation by identifying challenges within the SHAPES pilot sites and inviting SME's and all EU organisations that are eligible to EC funding under the rules of H2020 to meet these challenges with innovative solutions that can be integrated in the SHAPES Platform in support of active and healthy ageing and independent living. The SHAPES open calls provide opportunities for organisations to integrate their solutions in a large ecosystem at European level. There are 7 challenges associated with the calls.

1. Urinalysis in a home setting
2. Monitoring of nutrition intake
3. Monitoring hydration and quantity of fluid intake
4. Smart Connectables for health and wellbeing
5. Speech-enabled chatbots
6. Social Support in local community
7. Open Topic calling for:
 - Medical Devices not yet available in SHAPES
 - IoT sensors with added value for Digital Solutions, Pilot Themes and medical domains
 - 3rd-party IoT platform integration into SHAPES
 - Digital Solutions aimed at applications not yet available in SHAPES

Subject to contract/contract denied
DRAFT 09.08.21



Appendix 6 Declaration on Honour

DECLARATION OF HONOUR

I, the undersigned:

- ☐ for legal persons: representing the following entity:
[insert full official name]
[insert full official address]
[insert VAT registration number]

hereby certify

that

- 1 — The **information** provided for **project** [insert project number] — [acronym] is **correct** and **complete**.
- 2 — .
- 4 — I/my organisation:
- are committed to participate in the Project
 - have the necessary stable and sufficient sources to implement this Agreement according to EC Guidelines.
 - guarantee that it is not in any situation, which would exclude us from receiving financial support (including pending financial procedures concerning frauds or inappropriate management or undue previous appropriation of funds from other funding programmes) and
 - is not under liquidation or is not an enterprise under difficulty according to the Commission Regulation No 651/20148, art. 2.18

SIGNATURE

For the applicant:

[function/forename/surname]

[electronic signature]

Done in [English] on [electronic time stamp]

Appendix 7 Legal Entity Form and supporting documents



PLEASE COMPLETE AND SIGN THIS FORM AND ATTACH COPIES OF OFFICIAL SUPPORTING DOCUMENTS (REGISTER(S) OF COMPANIES, OFFICIAL GAZETTE, VAT REGISTRATION, ETC.)

LEGAL ENTITY

PRIVACY STATEMENT

https://ec.europa.eu/info/sites/info/files/about_the_european_commission/eu_budget/privacy_statement_en.pdf

By submitting this form, you acknowledge that you have been informed about the processing of your personal data by the European Commission for accounting and contractual purposes.

Please use CAPITAL LETTERS and LATIN CHARACTERS when filling in the form.

PRIVATE LAW BODY

OFFICIAL NAME ①	<input type="text"/> <input type="text"/> <input type="text"/>		
BUSINESS NAME (if different)	<input type="text"/> <input type="text"/>		
ABBREVIATION	<input type="text"/>		
LEGAL FORM	<input type="text"/>		
ORGANISATION TYPE	FOR PROFIT <input type="checkbox"/> NON FOR PROFIT <input type="checkbox"/> NGO ② YES <input type="checkbox"/> NO <input type="checkbox"/>		
MAIN REGISTRATION NUMBER ③	<input type="text"/>		
SECONDARY REGISTRATION NUMBER (if applicable)	<input type="text"/>		
PLACE OF MAIN REGISTRATION	CITY	<input type="text"/>	
	COUNTRY	<input type="text"/>	
DATE OF MAIN REGISTRATION	<input type="text"/> DD	<input type="text"/> MM	<input type="text"/> YYYY
VAT NUMBER	<input type="text"/>		
ADDRESS OF HEAD OFFICE	<input type="text"/> <input type="text"/>		
POSTCODE	<input type="text"/>	P.O. BOX	<input type="text"/>
	CITY	<input type="text"/>	
COUNTRY	<input type="text"/>	PHONE	<input type="text"/>
E-MAIL	<input type="text"/>		
DATE	<input type="text"/>		
SIGNATURE OF AUTHORISED REPRESENTATIVE	<input type="text"/>		
STAMP	<input type="text"/>		

① National denomination and its translation in EN or FR if existing.

② NGO = Non Governmental Organisation, to be completed if NFPO is indicated.

③ Registration number in the national register of companies. See table with corresponding field denomination by country.

Appendix K: Minutes of the Open Call telco on 15-10-2021

Minutes of the special meeting to resolve responsibilities for management of Open Call projects within SHAPES consortium, sent by Prof Cooke on the 18th October 2021 by email.

Artur.Krukowski@rfsat.com

From: Michael Cooke <Michael.Cooke@mu.ie>
Sent: Tuesday 19 October 2021 10:57
To: SHAPES PMB and Pilot Leads
Subject: Re: Special PMB for Open Calls

Dear all.

Following from last Friday's meeting, which hopefully has resolved the issue of how OC projects are to be integrated into the project, these are the key points that we discussed and agreed upon along with a proposed protocol:

1. The working principle is that the SHAPES open platform should have the capability of allowing external DS providers to integrate their tool directly to the platform – without requiring a designated contact person/mentor. The role of the named contact point in the contracts will be clarified at the KO meetings (in effect, this role will revert to ICOM).
2. ICOM has confirmed that this is the case with the platform as-is.
3. Where some background information is required (mentorship), ICOM will provide this and work directly with the tool providers.
4. EDGE will work with the Liberty OC project as a special case due to synergies with E-CARE.
5. Each OC project will have its own kickoff meeting to be scheduled in the short-term by ICOM.
6. There may be a general KO meeting with all OC projects to welcome them to the project and provide some background briefing
7. Each OC KO meeting should involve the relevant pilot leads and replication leads that will use the OC solution, WP6 lead (FHg), WP4 lead (ICOM), Coordinator (NUIM – for contractual and financial), additional WP5 partners if relevant required (in cases where there is a synergy or dependency between an OC solution and a SHAPES solution), WP8 lead (LAUREA). The emphasis should be on how the solution addresses the needs of the end-users.
8. The protocol for the integration of current and future OC solutions should be as follows:
 - a. The calls are defined with the needs and requirements of the pilots in mind (specs), or the project as a whole if transversal solutions are sought. Ethical requirement must be included in the call with input from WP8 lead.
 - b. The OC lead (ICOM) and the coordinator will maintain an overview to ensure that there are no redundant calls and that every call has a clear targeted pilot or project purpose. The selection process and criteria will reflect clearly the need for OCs to be relevant to specific pilots and project needs. Interoperability with the platform will be an essential requirement.
 - c. Successful OC projects, following ethical and contractual reviews and processes, will then:
 - i. Liaise with the pilot leads to understand requirements and take the initiative to self-integrate with the SHAPES TP with the guidance of ICOM where required. This should reflect a normal business model where client (pilot) requires a solution from a 3rd party to integrate with an existing open platform.
 - ii. If the pilot lead requires that the OC solutions works in conjunction with an existing SHAPES solution, either to gain synergy, or if it is the case that the OC solutions connects indirectly with the platform through the SHAPES solution, then a relevant WP5 partner may be involved. This should be already known and pre-negotiated with the WP5 partner at the point of defining the OC spec, but with care taken to avoid conflict of interest.
 - d. Performance review of the OC projects will include different partners as follows:
 - i. Pilots leads – in terms of operational performance of the solution and user satisfaction
 - ii. SHAPES Standardisation and Interoperability Manager (GNO – to review interoperability
 - iii. Technical Manager (ICOM) – to review performance with respect to integration with platform
 - iv. WFDB – to review accessibility
 - v. LAUREA – to review ethical performance

- vi. Coordinator (NUIM) – to review contractual, financial, and IP matters.
 - e. The performance review of the OCs will be coordinated by T9.5 lead (ICOM)
 - f. All relevant public deliverables will be made available to OC project providers depending on their requirements. These can be identified at the KO meeting.
 - g. A special Teams channel will be established for the OCs as well as a series of distribution lists to facilitate efficient communication processes with external OC providers. OC providers, as non-consortium members, will not be granted access to the general SHAPES Teams, the WP channels, nor any other special channels other than the relevant dedicated OC channels. OC providers will not be included on the SHAPES distribution list, WP lists, nor any other special project lists. OC providers may be invited, if required on an occasional basis, to attend cross work packages meetings to discuss specific issues relevant to their pilot.
9. NUIM will establish a working group comprising of WP4, WP5, WP6, and WP8 task leads (and replication leads in the case of WP6) to ensure effective coordination and communication between key WPs linked to the pilots, including the integration of the OCs. This should be driven by WP6 to ensure pilot needs are met.

I hope I have captured the main issues. Please let me know asap if something is missing or incorrect.

Best regards,
Michael

Michael Cooke BA, PhD
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<https://www.maynoothuniversity.ie/edward-m-kennedy-institute>
<https://www.maynoothuniversity.ie/social-sciences-institute>
<https://www.maynoothuniversity.ie/all-institute>

<https://shapes2020.eu/>
<https://www.tresspass.eu/>
<https://www.echonetwork.eu/>
<https://project-crest.eu/>

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