



# From proposal submission to the award of grants

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Shift2Rail Information Day for non-JU  
members (Open calls for proposals)

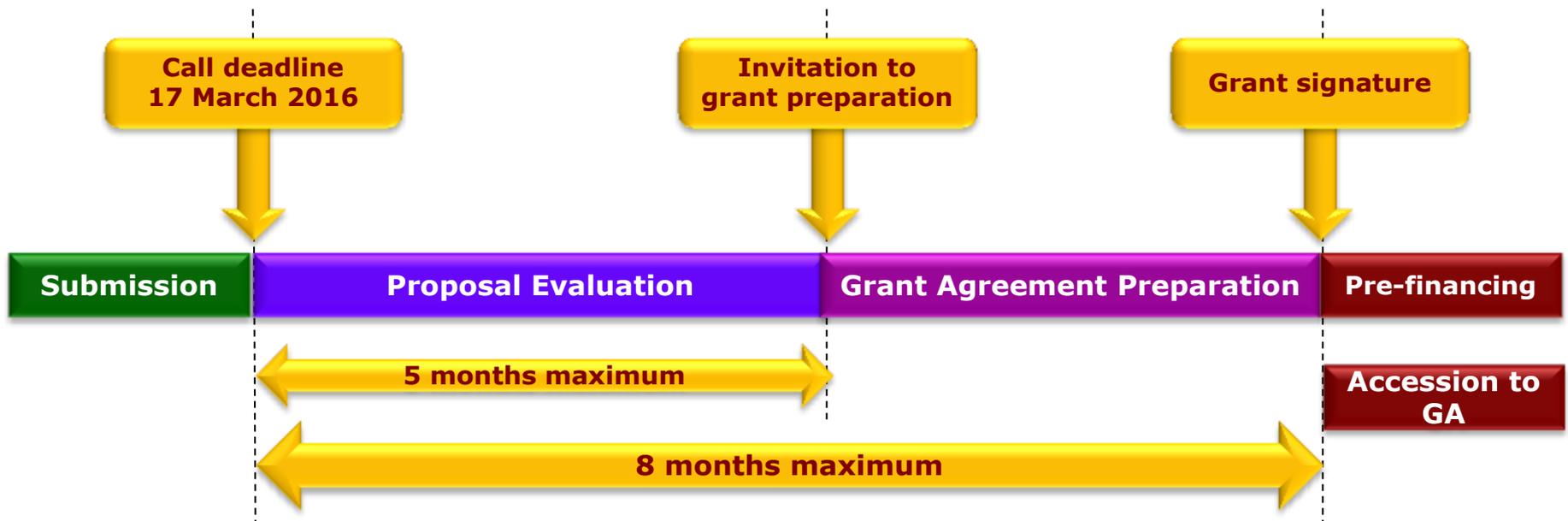
**20 January 2016**



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# *Getting started: Overview of the process and applicable rules*

## Overview of the process



- Maximum **five months** from call closure date - until the date of informing applicants about the outcome of proposal evaluation
- Maximum **eight months** from call closure - until the signature of the grant agreement



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**20 January 2016**

Sebastien PECHBERTY, S2R Legal Officer

## Getting started: the applicable rules

*A single set of rules with Horizon 2020*

- Regulation (EU) No 1290/2013 **Rules for participation and dissemination in Horizon 2020**
- Regulation (EU) No 1291/2013 **establishing Horizon 2020**
- Council Decision 2013/743/EU **establishing the specific programme implementing Horizon 2020**
- Regulation (EU, Euratom) No 966/2012 on the **financial rules** applicable to the general budget of the Union



**EU Financial  
Regulation  
Rules for  
participation**

- Covering **all H2020 research and innovation actions**
- Keeping **flexibility** where needed to comply with other basic acts (Council Regulation (EU) No 642/2014 of 16 June 2014 **establishing the S2R JU**)

## Getting started: the applicable rules

- **Shift2Rail model Grant Agreement:**
  - Very largely based on the Horizon 2020 General Model Grant Agreement
  - A single document with all provisions
- For detailed explanations and practical examples, please refer to the **Annotated Model Grant Agreement**, a user guide that aims to explain to applicants and beneficiaries the General Model Grant Agreement (not covering any S2R specificities):  
[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/amga/h2020-amga\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf)

## Getting started: who can participate?

- **Standard H2020 eligibility conditions:**
  - 'Research and Innovation Actions' (**RIA**) and 'Innovation Actions' (**IA**): **Minimum three** legal entities established in **minimum three different Member States or an Associated Countries**
  - 'Coordination and Support Actions' (**CSA**): **one** or more legal entity(ies) established in a Member State or in an Associated Country
  - ➔ Other entities from countries outside a Member State or Associated Country may participate to the open calls, but are, in principle, not eligible for funding unless there is a reciprocal agreement in place with that country or the applicant can demonstrate that the entity has unique resources that render its participation essential for the project to go ahead successfully
- **Additional conditions of S2R (Art 9(5) of H2020 RfP & Art. 17 S2R Regulation):**
  - Calls for members: Open only to members of the S2R JU and their affiliated entities
  - Open calls: Open only to entities that are not members or affiliated entities of members of the S2R JU

## Getting started: who can participate?

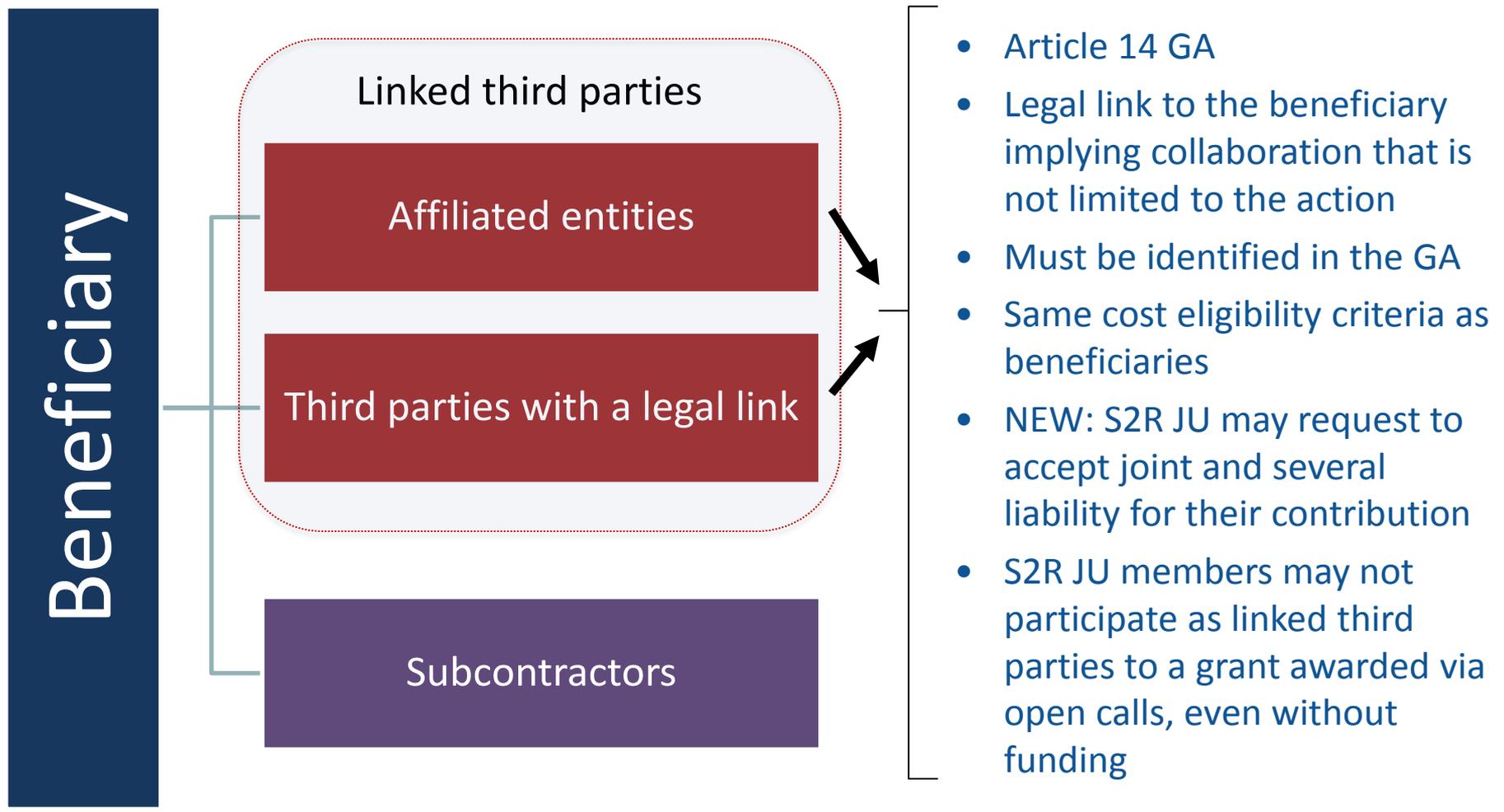
- **Who are the members of the S2R JU other than the Union?**

8 founding members other than the Union	Alstom, Ansaldo STS, Bombardier, Construcciones y Auxiliar de Ferrocarriles (CAF), Siemens, Thales and infrastructure managers Trafikverket and Network Rail
12 associated members that are single legal entities	Amadeus IT Group, AZD Praha, Deutsche Bahn, DIGINEXT, Faiveley Transport, HaCon Ingenieuresellschaft, INDRA Sistemas, Kapsch CarrierCom, Knorr-Bremse, MER MEC, SNCF Mobilités, Patentes Talgo
7 associated members that are consortia	<ul style="list-style-type: none"> <li>• <b>AERFITEC</b> (AERNNOVA Aerospace, FIDAMC, Fundacion TECNALIA)</li> <li>• <b>Competitive Freight Wagon</b> (Contraffric, DLR, Waggonbau Niesky, Centro de Estudios e Investigaciones Técnicas (CEIT), Verband der Bahnindustrie in Deutschland)</li> <li>• <b>EUropean Rail Operating community</b> (Infraestruturas de Portugal, Association of Train Operating Companies, BLS, CP, Finnish Transport Agency, ÖBB-Infrastruktur, Polskie Koleje Państwowe, PRORAIL , Rede Ferroviária Nacional, Schweizerische Bundesbahnen, Slovenske železnice, Türkiye Cumhuriyeti Devlet Demiryollari)</li> <li>• <b>Smart DeMain</b> (Strukton Rail, ACCIONA Infraestructuras, DLR, Fraunhofer, CEMOSA)</li> <li>• <b>SmartRaCon</b> (DLR, CEIT, Fondation Railenium, Nottingham Scientific Ltd)</li> <li>• <b>Swi'Tracken</b> (Fondation Railenium, Universidade Do Porto, Universidad Del Pais Vasco, Universidade Do Minho, TATASTEEL, VOSSLOH-COGIFER, Institut für Zukunftsstudien und Technologiebewertung, EGIS RAIL, Groupe EUROTUNNEL, TRONICO ALCEN)</li> <li>• <b>Virtual Vehicle Austria consortium+</b> (Kompetenzzentrum, FCP Firtsch, Getzner Werkstoffe, Kirchdorfer Fertigteilverwaltung, Plasser&amp;Theurer, Vvoestalpine Schienen, Voestalpine VAE, Wiener Linien, AVL List, PJM Messtechnik, TATRAVAGONKA, AC2T research, Materials Center Leoben Forschung)</li> </ul>

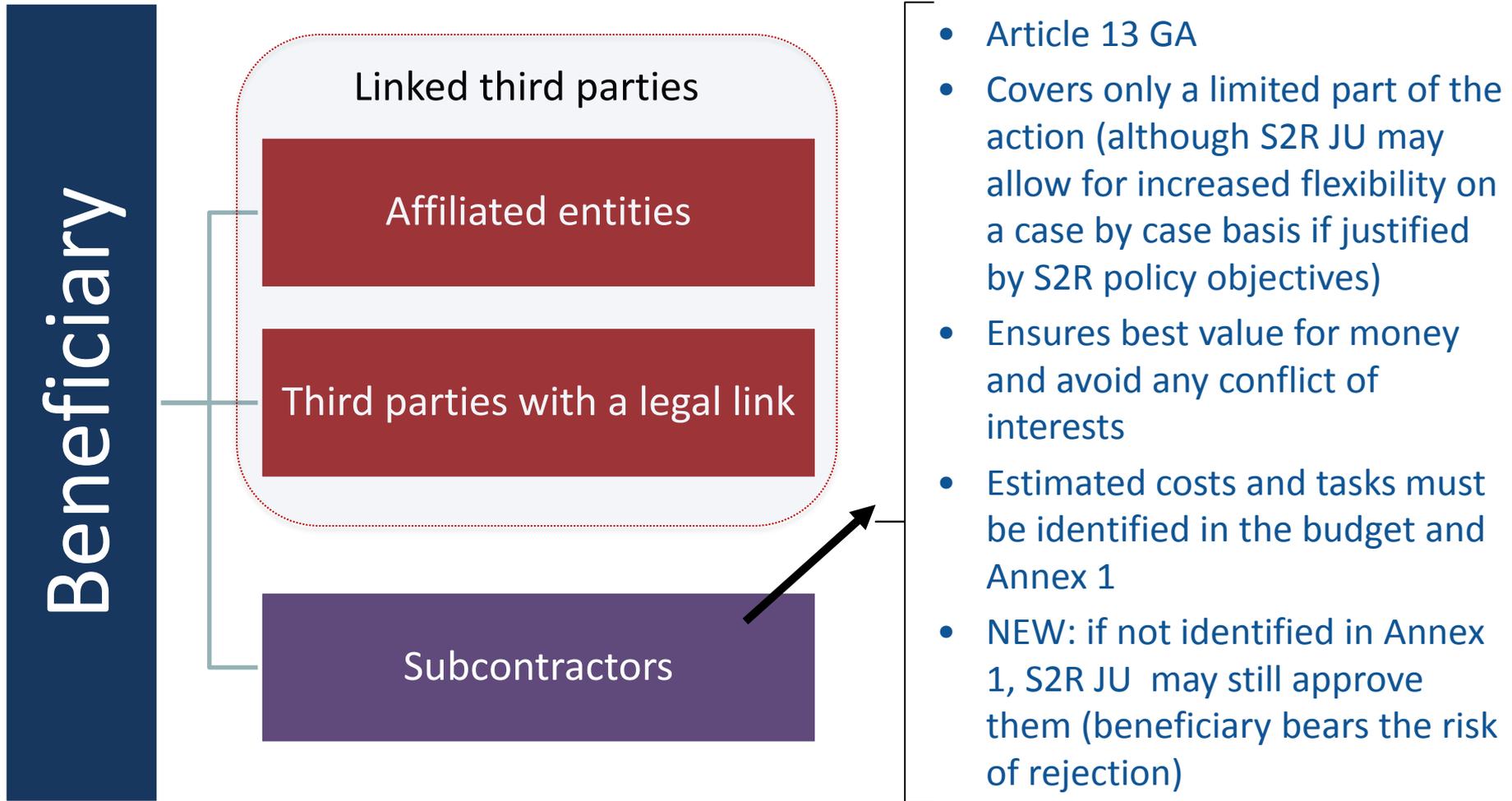
## Getting started: who can participate?

- **Who are the affiliated entities of the S2R JU members?**
  - Any legal entity that is **under the direct or indirect control** of a member (or, in the case of consortia, a constituent entity of the consortium), or **under the same direct or indirect control** as the member (or constituent entity of the consortium), or that is **directly or indirectly controlling a member** (or constituent entity of the consortium)
  - The control may take in particular either of the following forms:
    - direct or indirect holding of more than 50% of the nominal value of the issued **share capital** in the legal entity concerned, or of a majority of the **voting rights** of the shareholders or associates of that entity or
    - the direct or indirect holding, in fact or in law, of **decision-making powers** in the legal entity concerned.
  - The following relationships between legal entities do not constitute control relationships:
    - the same **public** investment corporation, institutional investor or venture-capital company has a direct or indirect holding of more than 50% of the nominal value of the issued share capital or a majority of voting rights of the shareholders or associates;
    - the legal entities concerned are owned or supervised by the same **public body**.

## Third parties: who can carry out work in the action?



## Third parties: who can carry out work in the action?



## Intellectual Property Rights: basic concepts

- **Results:** any tangible or intangible output of the project, including any attached rights
- **Background:** any data, know-how or information, whatever its form, including any rights:
  - held by beneficiaries prior to their accession to the grant agreement,
  - needed to implement the project or to exploit its results,
  - identified by beneficiaries
- **Exploitation:** use of results (i) in further research (outside the project), (ii) in developing, creating or marketing products, services or processes, or (iii) in standardisation activities.
- **Dissemination:** public disclosure of results by any appropriate means (other than resulting from protection or exploiting the results), including by scientific publications in any medium.
- **Access rights:** rights to use results or background.

## Intellectual Property Rights: basic concepts

- **Ownership:**
  - **General rule:** each participant owns the results it generates.
  - **Joint ownership:** only if results are jointly generated results and it is impossible to determine the respective share of the work or to separate them for protection:
    - Joint owners must reach an agreement,
    - Each joint owner may grant non-exclusive licences to third parties, without the right to sub-license, if other joints owners are given prior notice & fair and reasonable compensation.
- **Protection:** Each participant must appropriately protect its results.
- **Exploitation:** Each participant receiving EU funding must exploit its results, either directly or indirectly. Transfers of ownership and licenses are possible.
- **Dissemination:** Each participant must disseminate its results as soon as possible, with prior notice of other participants. Any dissemination (also patent applications) must indicate EU/S2R JU funding (for visibility and traceability reasons). Obligation to provide open access to scientific publications.

## Intellectual Property Rights: basic concepts

- Access rights:

<b>Within a project</b>	<i>a participant must grant access to its background</i>	<i>a participant must grant access to its results</i>
<i>if needed by another participant to implement project</i>	<i>Royalty-free unless otherwise agreed before accession to the grant agreement</i>	<i>Royalty-free</i>
<i>if needed by another participant to exploit own results [*]</i>	<i>Fair and reasonable conditions (to be agreed and may be royalty-free)</i>	

- **Access rights of affiliated entities:**
  - For background (Article 25.4) and for results (Article 31.4)
  - Under ‘fair and reasonable conditions’
- **Access rights of the EU institutions:**
  - For results (Article 31.5)
  - For developing or implementing EU policies/programmes

## Intellectual Property Rights: Complementary Grants

- **Definition:** Other grants funded under the specified topics or calls supporting actions which are identified as complementary actions in the work plan.
- **General rule:** Beneficiaries will be required to give access to their **background and results** to beneficiaries of grants identified as complementary (Articles 25.5 and 31.6);
- Complementarity between certain grants is foreseen in S2R JU Annual Work Plans:
  - Complementarity between an open call grant and a grant for members, e.g. S2R-OC-IP2-03-2015 – Technical specifications for a new Adaptable and S2R-CFM-IP2-01-2015: Start-up activities for advanced signalling and automation system
  - Currently no complementarity is foreseen between different open call grants
  - The S2R JU work plans for 2015 and 2016 foresee that it will be possible to establish complementarity between grants signed following the current calls with grants awarded under future S2R JU Work Plans (for years 2017 and beyond), insofar as they relate to similar topics and/or rely on some of the results of those grants.

## Intellectual Property Rights: Complementary Grants

- The concerned grant agreements will explicitly provide for this complementarity (Article 2);
- Beneficiaries and complementary beneficiaries will need to conclude a written collaboration agreement to coordinate the work under the GA (Article 41.4) covering among others:
  - efficient decision making processes
  - settlement of disputes

e.g. creating common boards and advisory structures to decide on collaboration and synchronisation of activities, including on management of outcomes, common approaches towards standardisation, SME involvement, links with regulatory and policy activities, and commonly shared dissemination and awareness raising activities

## Other Legal Aspects: Ethics

### Background

*“A proposal which contravenes ethical principles or any applicable legislation [...] may be excluded from the evaluation, selection and award procedures at any time.”* Art. 13 – H2020 RfP

### Ethics Self-Assessment

- All proposals must describe ethical issues raised & how they will be addressed
- Ethics part: part A in SEP + part B section 6
- Each applicant is responsible for:
  - identifying any potential ethical issues
  - handling ethical aspects of their proposal
  - detailing how they plan to address them in detail

### Guidelines

[How to complete your ethics self-assessment](#) guide



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**20 January 2016**

Nina REKOLAINEN, S2R Financial Coordinator

## What are the funding rates?

- **Applicable funding rates for the open calls:**
    - Funding rate depending on the type of action:
      - Up to 100% of eligible costs for 'Research and Innovation Actions' (RIA) and for 'Coordination and Support Actions' (CSA)
      - Up to 70% for 'Innovation Actions' (IA), except non-profit organisations (up to 100%)
    - One project = One funding rate for all beneficiaries / activities in the grant\*
- \*However, if non-profit organisations are in an IA together with for-profit organisations, their eligible costs will be reimbursed according to the different reimbursement rates specified above

The reimbursement rates apply to all forms of costs, including indirect costs (overheads):  
25% flat rate (calculated on the basis of eligible direct costs, excluding direct sub-contracting costs)

## What are the funding rates?

- **Eligible costs**
  - Only eligible costs may be entered into the estimated budget of the action
  - The burden on proof for eligibility is on the beneficiaries (and linked third parties). Sufficient supporting documents must be kept to show that the costs declared are eligible. To be eligible, the actual cost must be:
    - incurred by the beneficiary,
    - indicated in the budget,
    - incurred in connection with the action,
    - incurred during the project duration,
    - identifiable & verifiable in the beneficiary's accounts,
    - compliant with national law and
    - reasonable, justified, in accordance with sound financial management (economy & efficiency)
  - Compliance with eligibility rules may be subject to a check or audit by the Commission / JU. Any ineligible costs found will be rejected.



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**20 January 2016**

Rachel SMIT / Antoine KEDZIERSKI, EC Policy Officers

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# *Proposal submission: Practicalities*



# Find a call

- Calls and all necessary documentation are published on the Participant Portal: <http://ec.europa.eu/research/participants/portal/page/home>

The screenshot displays the 'RESEARCH & INNOVATION Participant Portal' interface. At the top, there are navigation links: HOME, FUNDING OPPORTUNITIES, HOW TO PARTICIPATE, EXPERTS, SUPPORT, and a search bar labeled 'Search PP'. A 'LOGIN' button and a 'REGISTER' button are also visible. The main content area is titled 'Calls for Proposals' and features a 'Horizon 2020' section with a list of call categories: Excellent Science (including ERC, FET, Marie-Sklodowska-Curie Actions, and Research Infrastructures) and Industrial Leadership (including LEIT and ICT). Below this, there are filters for 'Status' (Calls with forthcoming topics, open topics, closed topics) and 'Sort by' (Call title, Call identifier, Publication date). A search filter 'shift2rail' is applied to the results. The results list includes 'Societal Challenges' calls such as 'H2020-JTI-IMI2-2015-07-two-stage', 'H2020-JTI-IMI2-2015-08-single-stage', and 'SHIFT2RAIL JOINT UNDERTAKING CALL FOR PROPOSALS 2015 H2020-S2RJU-2015-01'.

Calls and submission service (available without login)

Register or login

# Find a call

## Beware!

- 2 Shift2Rail calls for proposals are currently open:
  - Call for 2015: Call identifier: H2020-S2RJU-2015-01
  - Call for 2016: Call identifier: H2020-S2RJU-2016-01
- Each call is split between calls for members (CFM) and calls for non-members (OC)

**TOPIC : Freight Automation on lines and in yards**

<b>Topic identifier:</b>	S2R-OC-IP5-01-2015		
<b>Publication date:</b>	17 December 2015		
<b>Types of action:</b>	Shift2Rail-RIA Research and Innovation action		
<b>DeadlineModel:</b>	single-stage	<b>Deadline:</b>	17 March 2016 17:00:00
<b>Opening date:</b>	17 December 2015		

Time Zone : (Brussels time)



Horizon 2020  
 > Societal Challenges  
 Call : [H2020-S2RJU-2015-01](#)

[H2020 website](#)

**Topic Description** + More

**Specific Challenge:**

For the full topic description, please refer to Annex II (2015 Call for proposals for non-JU members) of the 2015 Annual Work Plan.

**Topic conditions and documents** - Less

[\[Shift2Rail JU 2015 call for proposals\]](#)

**Topic for non-JU members**  
 Please read carefully all provisions below before the preparation of your application.

**Full description of the topics:** [Shift2Rail JU 2015 Annual Work Plan](#) (Annex I call for S2R members, Annex II call for non-members)

## Register an organisation

- If you want to submit a proposal, this must be done through the **Electronic Submission System** accessed from the call page:
  - You will need an **ECAS password**
  - Your organisation must be registered in the Participant Portal **Beneficiary Register**. If not, you can start the registration process on the same page. You will need to provide information on the legal status and the finances of your organisation.
- Once the registration is completed, you will get a **PIC number** (Participation Identification Code) to be quoted in your proposal and in any correspondence with the Commission
- Parallel to the validation of your organisation in the beneficiary register, you must appoint a Legal Entity Appointed Representative (**LEAR**). The LEAR must be appointed by the legal representative of your organisation and will be authorised:
  - to manage the legal and financial information about his/her organisation on the Participant Portal
  - to manage access rights of persons in his/her organisation
  - to appoint representatives of his/her organisation to electronically sign grant agreements or financial statements via the Participant Portal.

## Submit your proposal

- Prepare proposal:
  - On-line for structured part - Part A
  - Upload non-structured part – Part B - pdf file(s)
- Complete submission, before the 17h00 deadline (Brussels time)
- Submission failure rate = + 1% → Only reason for failure; waiting till the last minute:
  - Technical problems
  - Panic-induced errors (uploading the wrong proposal)
  - Too late starting upload, run out of time
- After submission (if before deadline): you can still re-edit the proposal, or withdraw it!



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# *Evaluation process*

## Admissibility and eligibility checks

- **Admissibility check** by S2R JU:
  - Readable, accessible and printable
  - Completeness of proposal, presence of all requested forms
  - Inclusion of a plan for exploitation and dissemination of results
- **Eligibility check** by S2R JU:
  - Minimum number of partners as set out in the call conditions
  - No participation of S2R JU members or affiliated entities
  - “Out of scope” – it will be checked whether the content of a proposal corresponds, wholly or in part, to the description of the call or topic. A proposal will only be deemed ineligible in clear-cut cases when there is no obvious link between proposal and call topic.

## Evaluation process

- Evaluation in **three phases**:
  - **Individual** evaluation by external experts
  - **Consensus** meeting between experts
  - Consistency check and **equal treatment** of proposals
- **Award criteria**:
  - Excellence
  - Impact
  - Quality and efficiency of the implementation
- **Proposals evaluated as submitted**: 'as it is', not 'what could be'
- **Scores** (from 0 to 5) for each criterion: Lower score if shortcomings are identified
- **Ranked lists** of proposals: based on scores of experts

## Evaluation process: Role of Experts

- Proposals evaluated by **at least 3 external experts** (evaluators)
  - Selected from a database of experts - over 77 000 evaluators
  - Main requirements:
    - **High-level** of expertise in the relevant fields of R&I
    - **Independence** (evaluating in a personal capacity), Impartiality, objectivity
  - **Balanced composition** of groups:
    - Professional experience (e.g. academia, business), gender/geographic balance
    - Regular rotation and involvement of new experts
- One or more **observers** (external experts) monitor the evaluations: Objective: to verify compliance with the procedure
- **And if you aren't submitting proposals, we always need new external evaluators – enrol via the Participant Portal**

# Evaluation process: Award criteria

## Research and Innovation Actions/Innovation Actions

### Excellence

- The extent that the proposed work corresponds to the topic description in the work plan
- 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 organisational models)
- Appropriate consideration of interdisciplinary approaches and , where relevant, use of stakeholder knowledge.

### Impact

- The expected impacts listed in the work plan under the relevant topic
- Any substantial impacts not mentioned in the WP, 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 proposed measures to exploit and disseminate project results (including IPR, manage data research where relevant);communicate the project activities to different target audiences (n/a SME Phase 1)

### 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 and innovation management
- Complementarity of the participants which the consortium as a whole brings together expertise
- Appropriateness of allocation of tasks, ensuring that al participants have a valid role and adequate resources in the project to fulfill that role

## Evaluation process : Award criteria

### Coordination & Support Actions

#### Excellence

- The extent that the proposed work corresponds to the topic description in the work plan
- Clarity and pertinence of the objectives
- Soundness of the concept, and credibility of the proposed methodology
- Quality of the proposed coordination and/or support measures

#### Impact

- The expected impacts listed in the work plan under the relevant topic
- Quality of proposed measures to:
  - Exploit and disseminate project results (including IPR, manage data research 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 and innovation management
- Complementarity of the participants which the consortium as a whole brings together expertise
- Appropriateness of allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfill that role

## Evaluation process: Scoring and outcomes

- A score of **between 0 and 5** is awarded to each criterion
  - If a proposal is to be considered for funding, scores must pass the **threshold of 3 out of 5** on each criterion and the total score of the proposal must be above the **overall threshold of 10 out of 15**
  - The criterion **Impact** is given a weight of 1.5 to determine the ranking of IAs
- Possible **outcomes** for applicants:
  - Main list proposal = best scoring > invitation to start grant agreement preparation
  - Reserve list proposal = score above thresholds > if additional funding available in future will get invitation to start grant agreement preparation
  - Rejection = below threshold or above threshold, but no available funding
- All proposals considered for funding subject to **ethics** screening and possible assessment
- Time to inform applicants: max 5 months

## Tips for a successful application

- Start **preparing** your proposal as early as possible
- Check **FAQs** on the Participant portal
- Don't wait until the deadline to submit your proposals (you can create a draft proposal to check how everything works)
- A successful proposal is expected to address all three **award criteria**
- A successful proposal is expected to contribute to the overall **objectives of the S2R JU** as described in the S2R Regulation and Master Plan, and to the realisation of the **MAAP**

## Tips for a successful application

- Ensure that outputs really answer the **needs**
  - Check with final users if the expected results really answer to their needs
  - Present clearly the expected impacts on each stakeholder
- Demonstrate why your project has **added value**
  - How is your idea different? Why you and why now?
  - Does your project have EU added value?
- Be **clear** and realistic with the objectives and results of the project
  - Executive summary important!
  - Ask for an external “clarity check”
  - What is the likelihood of the realisation of the objectives and impacts you claim?

## Tips for a successful application

- Involve all the relevant **stakeholders** for a systems approach
  - Ensure that your consortium is complete → networking event
  - Justify the participation and expertise of participants in the consortium
- Show capacity to deal with unexpected issues and manage **risks**
  - Identify potential risks and show possible mitigation means
  - Process for monitor and control risks during the project
- Do & **Communicate**
  - Include clear dissemination and publication plans
  - Include plans on how IPR will be exploited



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# *Grant award process*

## Grant preparation process

- **Speeding up time to grant (TTG):**
    - No more negotiations
    - No more paper: e-communication & e-signature of grants
    - Legal entities are validated in parallel
  - ➔ The S2R JU will do everything to make sure the process is as short as possible but YOU have to make this happen too!
  - Coordinator = principal point of contact with JU (may be subject to financial viability check)
  - Consortium agreement = Compulsory (Rights and obligations; Internal organisation; Distribution of EU funding; IPR provisions; Internal disputes; Liability, confidentiality, indemnification)
  - Timely submission of Declarations of Honour, of financial and legal information for validation of legal entities; of revised grant information and any other requests
- ➔ The JU will only be authorised to sign once all the conditions are met
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# Thank you for your support to S2R!

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Contact:

Shift2Rail call helpdesk: [info-call@shift2rail.europa.eu](mailto:info-call@shift2rail.europa.eu)