



Symbiosis of smart objects across IoT environments

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1st Open Call text and Submission Template

The symbloTe Consortium

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1 Executive Summary

The D6.1 “1st Open Call Text and Submission Template” reports the procedure set up for carrying out the first symbloTe Open Call. The information provided here will guide the creation of further material necessary for the call in order to be created and disseminated appropriately.

This deliverable gives the general information on the first Open Call’s background and objectives, as well as on the application process and support services provided by the symbloTe consortium. The document sketches also the dissemination channels which will be exploited for attracting submissions and enlarging the call’s impact. All the call documents and related materials are subject to changes and updates during the implementation phase which will bring to the launch of the call, planned for M11 (30th of November 2016). Nonetheless, the modification and changes that may occur will be just minor with respect to the information provided here and will concern procedural details and updates in the legal documents. However, all information, new material and updates will be published on the dedicated page of symbloTe web site early before the launch.

The general structure, adopted by symbloTe consortium for carrying out the two rounds of the Open Calls, has been sketched following the recommendation advised by IoT-EPI (European Platforms Initiative) during a Meeting in Valencia from 22nd to 25th of June 2016, and it reflects lessons learned from previous experiences in managing Cascade Funding through Open Calls. Other best practices we also considered are those related to ICT-FIRE initiatives.

Regarding the submission procedure, the project will create a web-based submission platform to automate the proposal submission and the acknowledgement of receipt in order to record the exact submission date.

To attract high quality applications and maximize the outreach of the call, a set of dissemination activities will be organized and a selection of various dissemination channels will be used. The details about documents, dates and advertising plans are included in Section 4 of the present document. Information for applicants on what to expect during the implementation phase if their proposal is successful and selected for funding (Agreement with the Coordinator, Payment on reported work, and support services from the Consortium) is also provided.

Before the publication of the Call, a series of documents that will facilitate applicants with their proposals will be made publicly available. These documents include:

1. the Call Announcement and Guidelines for Applicants
2. the additional technical information for Applicants on Level 1 Compliance
3. the Electronic Submission Guidelines
4. the Frequently Asked Question
5. the Evaluation guidelines
6. the Briefing Package for External Experts involved in the Evaluation

2 Introduction

2.1 *Purpose of the document*

The deliverable D6.1 “1st Open Call Text and Submission Template” is the first deliverable planned for “Work Package 6 – Open Calls”. This document outlines the procedures and objectives planned for managing the first symbloTe Open Call, which will be publicly announced on the 30th of November 2016 with deadline for submission on the 28th of February 2017.

This document defines the main procedures for managing the first Open Call and represents the core content for the creation of a set of supporting documentation for the launch of the public announcement. The first Open Call focuses on the Level 1 symbloTe compliance, which is explained in detail in the respective technical section.

The main structure of the Open Call depicted in this Deliverable may be slightly refined during the implementation phase within “WP6 – Open Calls” and all the information, new support material and updates will be published in time on the dedicated page of symbloTe web site, for sure prior to the official launch of the first Open Call.

A set of documents annexed to this Deliverable have been prepared in order to give a complete overview about the procedure planned and legal terms and conditions ruling the Cascade Funding (art. 15 – symbloTe Grant Agreement), including:

- the template for the proposals applying to the first symbloTe Open Call
- the symbloTe Standard Extension Contract
- the Grant Agreement Specific Obligations for Third Parties
- the Technical Report template
- the Specific Extension Contract
- The Evaluation form
- The Confidentiality and Conflict of Interest Declaration for External Experts

2.2 *Structure of the document*

This document first gives an overview of the symbloTe project in order to best situate the focus of the first Open Call. It then outlines the Open Call procedures and support services offered to the proposers by the symbloTe Consortium. Further, it lays out in more detail what a potential partner could expect if the proposal is selected for funding, in terms of access to project Intellectual Property Right (IPR), reporting, support during the implementation and payment schedule on performed work.

The main information related to the first symbloTe Open Call management is included in the next sections as follows:

Section 3 describes the Technical Background and the Application procedure set up for the first Open Call. Such information will comprise the main content of the public announcement and the basis for developing further supporting documentations for the applicants. It specifically describes the Electronic Submission procedure and supporting services to applicants, the eligibility criteria, the funding conditions, the application

procedure and any legal issues related to relationship between selected Third Parties and the symbloTe consortium.

Section 4 describes the overall communication activities and objectives in order to achieve high level dissemination of Open Call, attract Third Parties and the necessary material to be produced that will assist the advertising efforts. It describes also the supporting services that will be deployed for assisting applicants in the preparation of their proposals.

Section 5 describes the Submission Template and the main information requested by each Applicant. The Template is also attached in the Annex A

Section 6 gives an overview of the Evaluation procedures set up for symbloTe Open Calls and the Evaluation Criteria. The procedure selected is based on the model of the usual EC Evaluation Scheme.

Section 7 describes the legally bindings conditions of any Third Party and the symbloTe Coordinator, which is in line with the Grant Agreement provisions.

Finally, the Annexes contain the complete documents required for the Open Call:

- the template of the first Open Call;
- the symbloTe Standard Extension Contract (and its annexes; subject to slight modification prior to the launch of the call);
- the Evaluation and Declaration forms.

3 Context of the 1st Open Call

3.1 symbloTe Open Calls: Overall Objectives

The symbloTe project foresees the launch of two Open Calls aiming at involving Third Parties in the design, implementation and use of the symbloTe framework and at validating experimentally the innovative solutions, while identifying further extensions leveraging on the tools and knowledge acquired/developed in the project.

The Open Calls focus on attracting new Parties for:

- developing additional middleware enablers for IoT platforms not considered by the current consortium;
- developing innovative applications to run on top of the symbloTe system (in any of the compliance levels) and
- validating and showcasing the functionality offered by the symbloTe solution through use cases and trials, outside the existing scope of the project.

Main targeted Third Parties for the symbloTe Open Calls are therefore companies and research centers, SMEs, start-ups and universities, which undertake one of the following roles: IoT application developers, IoT platform providers, gateway manufacturers, Cloud operators.

Table 1 – Scope of symbloTe Calls

Call Type	Topic/Thematic area
1 st Open Call	Development of Level 1 symbloTe compliant IoT platforms
2 nd Open Call	Development of Level 2 symbloTe compliant IoT platforms
	Development of Level 3-4 symbloTe compliant IoT platforms
	Development of applications that benefit from the symbloTe compliant platforms
	Deployment of symbloTe middleware in real environment and conduction of small-scale trials

The first Open Call was initially planned to ask for proposals focusing on Level 1 and Level 2 symbloTe compliance (for more details on the compliance levels please see Section 3.2.2). Due to advancements on the design of the symbloTe architecture and the progress on the implementation of the prototype, **the symbloTe Consortium decided that the first Open Call will focus on the development of Level 1 symbloTe compliant IoT platforms**. This also happened due to the observation during the architectural design that becoming Level 2 compliant would require a platform to be already Level 1 compliant. Postponing this for the second Open Call, gives the symbloTe project the change to invite to the first Open Call as many IoT platforms as possible to become Level 1 compliant, in

order to expand the symbloTe ecosystem with more compatible platforms, apart from the ones already committed by the symbloTe partners. These platforms will also have the chance to enable the interoperability on the lower levels, by participating in the second Open Call. Moreover, the symbloTe consortium will be able to validate the envisioned Level 1 solution through a number of IoT platforms and hence lay more stable foundations for the next compliance levels (which will be based on and extend Level 1 on an incremental fashion).

Considering the different focuses on which the Applications will be addressed, for procedural issues several Call Identifiers have been created in order to distinguish the subsequent calls and sub-calls. The call identifiers are:

- symbloTe-OC1
- symbloTe-OC2-Enablers
- symbloTe-OC2-Federation
- symbloTe-OC2-Gateways
- symbloTe-OC2-Applications
- symbloTe-OC2-Trials

In the following paragraphs, the overall structure will be presented of the first Open Call addressed to the Development of Level 1 symbloTe compliant IoT platforms. The Call will be launched at the end of M11, i.e. on the 30th of November 2016 and will close on the 28th of February 2017.

3.2 Background information on the symbloTe project

symbloTe is an H2020 Research and Innovation project that addresses a challenging objective to create an interoperable IoT ecosystem that will allow for the collaboration of vertical IoT platforms towards the creation of cross-domain applications. symbloTe designs an *interoperability framework* to enable the discovery and sharing of connected devices across existing and future IoT platforms for rapid development of cross-platform IoT applications. This section presents the technical foundations of the symbloTe concept and provides an overview of the technical scope of the first Open Call.

3.2.1 Technical overview

The symbloTe approach is built around a layered IoT stack connecting various devices (sensors, actuators and IoT gateways) within smart spaces with the Cloud. Smart spaces share the available local resources (connectivity, computing and storage), while platform services running in the cloud will enable cloud federations and open up a platform northbound interface to third parties. The architecture comprises four layered domains, 1) Application Domain, 2) Cloud Domain, 3) Smart Space Domain and 4) Device Domain, as depicted in Figure 1. Hereafter we list the main functional objectives for each of these domains:

1. **Application Domain:** enables platforms to register IoT devices which they want to advertise and make accessible via symbloTe to third parties, while symbloTe

provides the means for discovery of IoT devices across platforms. It also hosts domain-specific back-end services (enablers) which are designed to ease the process of cross-platform and domain-specific application development (specifically for mobile and web applications).

2. **Cloud Domain:** provides a uniform and authenticated access to virtualized IoT devices exposed by platforms to third parties through an open API ("platform northbound interface"). In addition, it builds services for IoT platform federations enabling close platform collaboration, in accordance with platform-specific business rules.
3. **Smart Space Domain:** provides services for discovery and registration of new IoT devices in dynamic local smart spaces, dynamic configuration of devices in accordance with predefined policies in those environments, and well- documented interfaces for devices available in smart spaces.
4. **Device Domain:** relates to smart devices and their roaming capabilities. We assume that devices have the capabilities to blend with a surrounding smart space while they are on the move. In other words, smart devices can interact with devices in a visited smart space, which are managed by a visited platform, in accordance with predefined access policies.

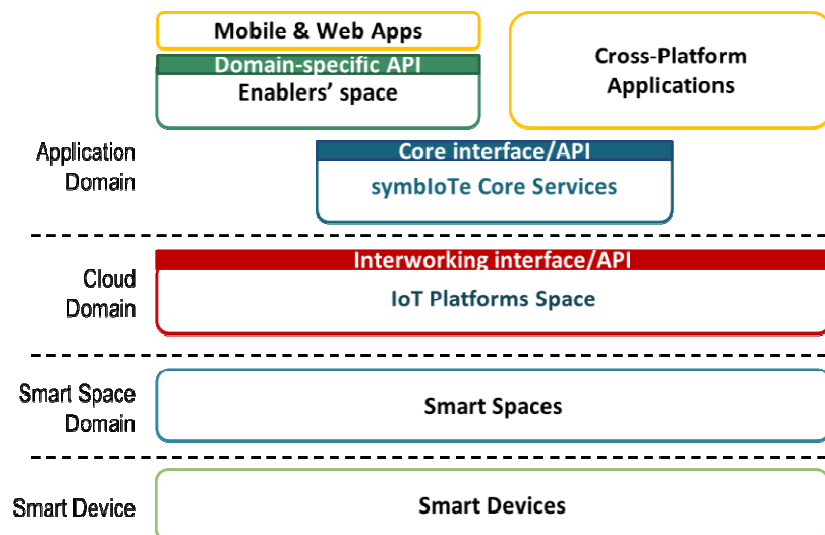


Figure 1 The symbloTe high-level architecture.

The *Application Domain* (APP) is designed to offer a unified view on different platforms to a new generation of cross-platform IoT applications. This is achieved by the symbloTe Core Services which enable the discovery of IoT devices across platforms. It relies on a common semantic representation of IoT resources (services or devices) which specifies an expressive yet minimalistic information model so that resources are searchable across platforms in a uniform way. Note that the Core Services store and manage only IoT resource descriptions (i.e. resource metadata), while the access to those resources (e.g., sensor data and actuation primitives) is provided by the underlying platforms. Thus, the symbloTe Core Services are in close interaction and collaboration with the services provided within the Cloud Domain which offer the actual access to virtualized IoT resources. In addition to the search functionality, the core services implement symbloTe

specific authentication and authorization methods providing the means for secure access to underlying platform-specific resources.

The *Cloud Domain* (CLD) hosts the cloud-adjusted building blocks of specific platforms (e.g., a data store, data analytics and stream processing tools, tools for platform management, etc.). To enable a unified and secure access to platform resources, the *symbloTe interworking interface and corresponding API* ("IoT platform northbound interface") is defined and implemented to expose open platform resources which have previously been registered with the symbloTe Core Services. We mark such IoT resources as *open symbloTe-enabled resources*. The cloud domain services also implement specific functionality for the exchange of information between two collaborating IoT platforms, e.g., for bartering and trading between platforms, and a specific protocol for the exchange of information between platforms.

The *Smart Space Domain* (SS) comprises smart devices, IoT gateways as well as local computing and storage resources available within, e.g., a home environment or campus building. We assume that IoT platform-specific gateways are setup in the smart space domain. To enable dynamic sensor discovery and configuration in smart spaces as well as dynamic sharing of the wireless medium, symbloTe adds a new software component, *symbloTe middleware*, to the smart space domain (e.g., residing at IoT gateways). The symbloTe middleware exposes a standardized API for resource discovery and configuration of devices within a smart space, and implements a sensor-discovery protocol for a simplified integration of sensors with platforms hosted in particular smart space domains. After the initial interaction with the symbloTe middleware, a smart device is connected to and configured with the platform gateway serving the domain. Note that the device may be located either in a home or visited space. This protocol will also enable that a smart device entering a visited space becomes part of a new smart space, enabling thus device roaming. An SLA needs to be in place between the platforms serving home and visited spaces which also specifies services exposed to the visiting device in the new space.

The *Smart Device Domain* (SD) spans over heterogeneous devices which may use proprietary link layer protocols, or ZigBee and 6LoWPAN, while it can be expected that future smart devices will also support application-layer protocols such as HTTP, CoAP and MQTT. Devices should be capable to dynamically blend with the surrounding space and get discovered by the symbloTe middleware which performs the initial "introduction" of devices within a smart space. Smart devices can self-organize and can be configured on the fly to be integrated with different IoT platforms hosted within the smart space, preventing thus the lock-in of customers to a specific IoT platform and IoT provider. We envision that device-specific symbloTe clients will be running on, e.g., smartphones, to realize these properties.

3.2.2 symbloTe compliance levels.

symbloTe allows for flexible interoperability mechanisms which can be achieved by introducing an incremental deployment of symbloTe functionality across the listed architectural domains (APP, CLD, SS and SD). This approach will enable platform providers to choose an appropriate level of integration of symbloTe-specific services within their platforms, which will in effect influence the level of platform collaboration and cooperation with other platforms within a symbloTe-enabled ecosystem. For example, a platform may only choose to expose its northbound interface and selected virtualized

resources to third parties in order to advertise them by using the symbloTe Core Services, or it may opt for a closer collaboration with another platform through platform federations, which requires additional symbloTe components to be include and integrated within the platform space in cloud domain.

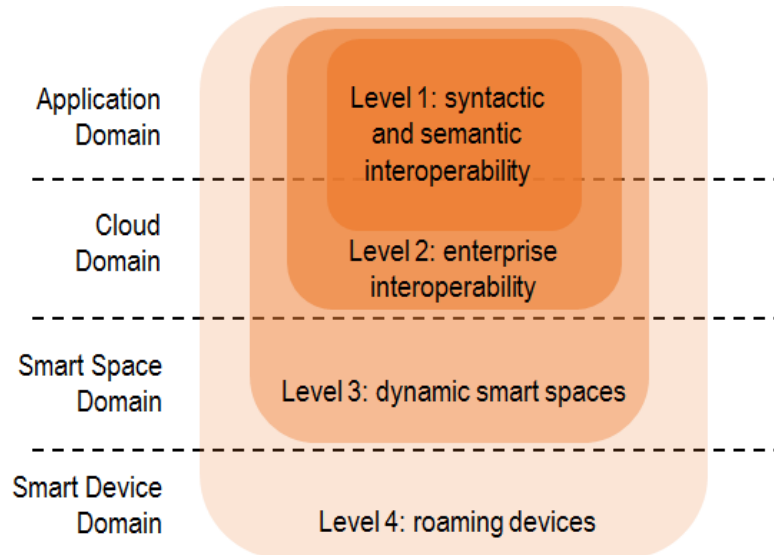


Figure 2: symbloTe compliance levels.

We define four different compliance levels for IoT platforms, as depicted in Figure 2. They reflect different interoperability modes, which an IoT platform can support. Different interoperability modes affect the functionality which needs to be supported by platforms, and require specific symbloTe components to be integrated within different domains.

- **Level 1 symbloTe compliant platform:** This is a "lightweight" symbloTe compliance level since a platform opens up only its northbound interface to third parties in order to advertise and offer its virtualized resources through the symbloTe Core Services. It enables on syntactic and semantic interoperability of IoT platforms in a symbloTe ecosystem, and affects only APP and CLD.
- **Level 2 symbloTe compliant platform:** This level assumes that platforms federate, which requires additional functionality to be included in CLD, for example for sharing/bartering of devices. The functionality provided at this level enables the so called enterprise interoperability.
- **Level 3 symbloTe compliant platform:** This compliance level assumes that platforms integrate symbloTe components within their smart spaces to simplify the integration and dynamic reconfiguration of IoT devices within local spaces.
- **Level 4 symbloTe compliant platform:** This level offers support for device roaming and can enable the interaction of smart objects with visited smart spaces. A prerequisite for this level is that a platform is already Level 1, 2 & 3 compliant, so that smart spaces can discover new visiting devices and integrate them (e.g., grant access to certain local devices) in accordance with SLAs between platforms. Those platforms should thus be in a federation (Level 2), while smart spaces need the functionality for dynamic reconfiguration (Level 3).

3.3 Scope of the first Open Call

The first Open Call is related to Level 1 symbloTe compliance and thus focuses on two domains, APP and CLD, as depicted in Figure 3. We call for **cloud-based IoT platforms** which want to become part of the symbloTe ecosystem by opening up their northbound interface. This implies that a platform must integrate the symbloTe interworking interface with its existing components running in the cloud domain. This will enable *semantic interoperability* and *open access to virtualized IoT devices* which a platform chooses to register and make discoverable via the symbloTe Core Services. The access to those devices will stay under the control of the platform provider while being enabled through the interworking interface. Note that in addition to open access, symbloTe also supports authenticated and authorized access to IoT devices.

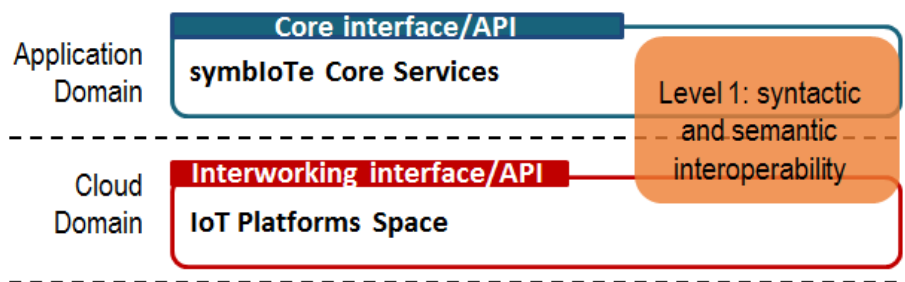


Figure 3: Level 1 compliance.

The applying Platforms may target any business domain. Currently, the symbloTe consortium covers the domains of smart homes (also considering Ambient Assisted Living), smart mobility, smart cities (smart campuses, smart stadiums, smart yachts) and smart environment (air quality monitoring). Applicants can offer IoT platforms in similar or complementary business domains and should be able to demonstrate the added value brought to the symbloTe ecosystem by their platform's envisioned offerings.

Figure 4 shows the benefits of symbloTe and its interoperability concept by an example depicting two Level 1 symbloTe compliant platforms (platform A and platform B) using the symbloTe Core Services. The figure depicts the process when an application searches for IoT devices, and after it identifies the adequate ones, the application accesses the identified devices at both platforms through the interworking interface. In other words, cross-platform applications i) use the symbloTe Core Services to find adequate devices across platforms and ii) access, integrate and use those devices through a uniform and open interface.

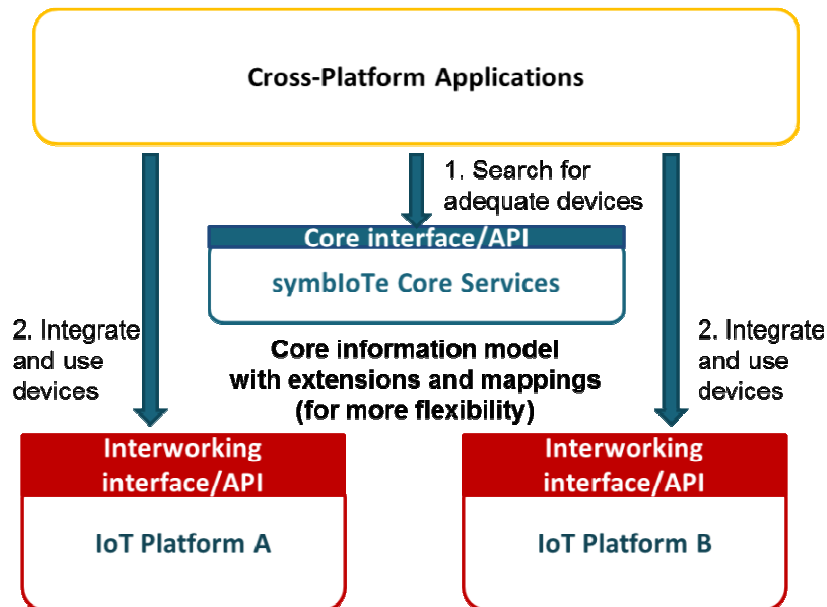


Figure 4 Platform cooperation: Level-1 compliance

Since syntactic and semantic interoperability as well as open but controlled access to IoT resources is a necessary prerequisite for any kind of platform interoperability, the first symbloTe Open Call focuses on attracting cloud-based platforms which want to conform to this basic type of interoperability (*Level 1 symbloTe compliance*, or “L1” in short). There are two major requirements which L1 platforms need to fulfil:

1. the existing platform-specific information model need to be mapped to the symbloTe information model (semantic interoperability), and
2. the platform must integrate the symbloTe interworking interface to open up its northbound interface and provide access to IoT devices (syntactic interoperability).

To make their platforms Level 1 compliant, platform providers need:

1. Analyse the symbloTe information model and design of the symbloTe Core Services within APP
2. Expose the data models describing IoT devices which that want to make accessible through symbloTe possibly in the form of an ontology, and map this data model to the symbloTe information model.
3. Integrate the interworking interface and corresponding symbloTe components required for L1 within CLD with their platforms
4. Provide feedback and comments which can improve and simplify the process of creating L1 platforms

3.3.1 What will symbloTe offer to platform providers?

In order to give guidance and support to Platform Providers in order to extend their own platforms and therefore become Level 1 symbloTe compliant, the symbloTe Consortium will make available the following documentation package:

1. A documented design and prototype Open Source implementation available in GitHub of the required symbloTe Core Services;
2. A documented interworking API and corresponding components for the Cloud domain which are required to create L1 platforms;
3. An example procedure for mapping of an existing information model to the symbloTe information model;
4. A documented example explaining the process for creating a L1 platform based on the example of the open-source OpenIoT platform.

Further information for proposers providing technical details necessary to carry out the procedures to create Level 1 symbloTe compliant platforms will be extensively and precisely documented in the Open Call documentation annexed to the Call Public Announcement. This will allow prospective candidates to evaluate whether the provided resources and time frame are adequate for extending their platforms to become part of the evolving symbloTe ecosystem. Further technical details will be given in the forthcoming deliverables: Deliverable 1.2 "Initial Report on System Requirements and Architecture" due in M9 and Deliverable 2.1 "Semantics for IoT and Cloud Resources" due in M10.

3.3.2 Benefits to participate in the first Open Call

By applying to the first Open Call and joining symbloTe, SMEs, start-ups and IoT platform providers will cooperate with the rest of the consortium for shaping of an interoperability framework that will allow commercial and open source platforms to collaborate by exchanging resources and widening the scope of their offered services. More specifically, through this first Open Call, the participants will be able to shape their IoT platforms in order to advertise and offer their services in a flexible way, achieving semantic interoperability with third party platforms.

The Third Parties that will join the symbloTe consortium at the first Open Call, will have the opportunity to collaborate with researchers and developers across Europe, so as to evolve and enhance their platforms and join the symbloTe ecosystem. In addition, through this ecosystem, collaboration with other IoT enablers it will be possible to mutually receive and offer benefits.

The selected applicants will be able to join the IoT-EPI community that consists of across Europe experts working on IoT interoperability issues. This interaction will enhance the efforts to prepare their platforms for the next evolution wave in IoT where semantic and operational interoperability will be key success factors. Last but not least, the selected applicants will receive funding to explore interoperability aspects for their platforms, exchange ideas with other platform providers and explore new business models and collaboration possibilities even after the end of the Open Call.

3.4 Application process

3.4.1 Electronic Submission Procedure

All interested parties must submit their application through the symbloTe web site's dedicated page (under <https://www.symbiote-h2020.eu/index.php/open-calls/>) where the applicants should provide the following information:

- First Name
- Last Name
- E-mail address
- Organization Name (company, university, research center, SME, etc)
- Proposal Acronym
- Call Identifier (drop-down list as mentioned in Section 3.1)
- Attach Proposal (upload file)
- YES - I allow material <refer to certain parts of the proposal template> to be accessed by the symbloTe consortium, also if the proposal is not selected for funding, as input to respective tasks. In any case, the symbloTe consortium will treat all this information confidentially. The same information can also be used in an anonymous way to create statistics and reports about this first Open Call.
- YES - I have read the contract template and I agree with the terms and conditions.

Upon submission, both the applicants and the respective symbloTe committee will receive a confirmation/acknowledgement e-mail with the timestamp of the submission.

Interested parties can resubmit their proposal (until the submission deadline) by re-entering all the above info. The last submission before the deadline will be considered as the final one.

After the evaluation results are finalized the Coordinator will announce the results to the candidates individually.

3.4.2 Deadline

Deadline for submission of proposal is the 28th of February 2017, at 17.00 CET (Brussels local time).

3.4.3 Eligible Applicants

This first Open Call is addressed to IoT Platform Owners wanting to integrate existing platforms into the symbloTe ecosystem by opening up their northbound interface.

Proposals can only be submitted by:

- Legal Entities (Companies, Research Centres, Universities SMEs according to EC definition, etc.) eligible for participation in the EC European Horizon 2020 Programme
- Single parties (no consortia are allowed)

- Applicant can only fund one proposal on each call (applicants can submit more than one proposals in the same or in various categories but even if they ranked high enough they will be only selected for one – not applicable for the First Open Call)

3.4.4 Prepare and submit a proposal

- Language: Proposals must be submitted in English.
- Applicants must submit their proposals following the template provided in the Annex 1 of the announcement.
- Proposals must be submitted through the online submission service on symbloTe web site, and will become available at this link <https://www.symbiote-h2020.eu/index.php/open-calls/>. The submission service will record the exact submission date and will acknowledge the applicants automatically.

3.4.5 Support services from symbloTe consortium

A set of on line supporting services will be available for interested applicants:

- **Alert Service:** Interested parties can subscribe to this service so that they can receive notifications and updates on the support material before and after the opening of each Open Call
- **Frequently asked questions (FAQ):** On-line documentation divided into technical and process questions and regularly updated during the submission period of the Open Call
- **Helpdesk Service:** Interested parties can ask questions to symbloTe consortium or even submit a summary of the intended proposal for pre-proposal feasibility check. The Help desk will be accessible through the e-mail opencall@symbiote-h2020.eu. The questions submitted should fall under one of the following categories:
 - Technical issues
 - Funding scheme and legal issues
 - Information and dissemination issues
 - Pre-proposal feasibility check.
- **Pre-proposal feasibility check Service:** The feasibility check is a support service offered by symbloTe consortium in order to check in advance and eventually support applicants on making a better focus of their proposals according to the scope of symbloTe. The feasibility check is available up to 20 days before the Open Call submission deadline. Applicants who wish to make use of this support service must submit a short version of their proposal by 10th of January 2017 and can expect feedback to be provided no later than 20th of January 2017.

3.5 Funding conditions

3.5.1 Budget available

symbloTe will make use of the mechanisms called "Cascade Funding" outlined for financial support of Third Parties (art. 15 GA). Third Parties will be finally supported for the implementation of selected Extension compliant with symbloTe scope and objectives.

The total amount of the first Open Call allocated for support to Third Parties is €100.000,00, which will be allocated to Selected Third Parties upon evaluation of proposals.

The participation of a Third Party and consequential award on the First Open Call does not impede the participation in the second Open Call (Autumn 2017).

The number of selected proposal will depend on the quality of the Extensions proposed and on the results of the Evaluation Process. The funding allocated for each selected Extension will amount up to maximum €50.000,00 with a percentage of funding rate of 100% of eligible costs.

3.5.2 Eligible costs

Eligible costs are those incurred during the implementation of the Extension and duly justified in the reporting documents (Intermediate and Final reporting) by the selected Third Party.

As indication, eligible costs are:

- a) Direct Costs: Personnel costs for the planned work
- b) Other Direct Costs: any direct costs different than personnel, mainly covering travel expenses
- c) Indirect Costs: overhead costs of the Third Party calculated in the maximum percentage of 25% of the Total Direct Costs (a+b)

3.6 Duration of the commitment

Selected extensions for funding will have a total expected duration of up to 6 months. Selected extensions can start at the earliest on the 1st of May 2017, but no later than the 1st of June 2017. The deadline for the final report and documentation is expected no later than 6 months after the start of the extension and, in any case no later than the end of December 2017.

3.7 Agreement between Third Party and symbloTe Coordinator

The selected Third Parties will be linked to the symbloTe Consortium as "Third Party using Cascade Funding". Selected Third Parties will sign the symbloTe Standard Extension Contract with the symbloTe Coordinator. The symbloTe Standard Extension Contract is the main agreement establishing rights and obligations of the Coordinator and the Third Party. More details are provided in Section 7.

4 Open Call Communication Activities

In order to promote the Open Call, to get the widest audience and to reach targeted applicants, a special dissemination campaign has been planned.

The dissemination campaign will raise awareness and attract the interest within the IoT community (companies and research centers). Dissemination of the call is the key tool to get stimulate participants and attract the most suitable and high quality applications.

The targeted applicants for symbloTe extension are:

- SMEs
- Start-ups
- Big Companies
- Research groups
- Universities, etc.

As already mentioned, this first Open Call seeks, among the aforementioned categories, applicants with the role of IoT platform providers/owners/developers.

From the publication of the official announcement to the deadlines, applicants will have a period of three (3) months for submitting their proposals. This time constraint requires at least a pre-announcement period in which potential applicants can acquire information and get more familiar with symbloTe focus and objectives.

The information campaigns (pre-announcement) will pave the way to attract targeted proposals according to specific needs and requirements of symbloTe project. The pre-announcements actually will consist in the dissemination of high-level messages on expected proposal scopes, according to the different compliance levels required by symbloTe project for integration of extensions.

According to the Open Call implementation plan, the information campaign will start at least one month before the launch of the official announcement (i.e., October 2016) and will be organized as follows:

1. Use of the existing communication project channels (Twitter, web site)
2. Use of a dedicated page in the project web site.
3. Have press releases
4. Involve all symbloTe partners in disseminating pre-announcement information using their own professional/scientific network;
5. Exploit established synergies through the IoT-EPI Communication Work Group and Innovation Task Force for disseminating announcements on EU institutional web sites and networks.

The information campaigns and their key messages will be organized in close collaboration with WP7 “Dissemination, Exploitation and Standardization”. The specific Open Call web page on symbloTe web site will be the primary communication channel that the consortium will exploit: <https://www.symbiote-h2020.eu/index.php/open-calls/>.

The website will contain all the necessary information and support services as described in Section 3.4.5.

A set of information material will be created in order to disseminate Open Calls information both on line and “on site”, for example in international conferences, IoT meet ups and industrial brokerage events. The material planned to be produced to support further the dissemination of the calls are:

- A leaflet, which can be distributed on line and in paper copy.
- A short factsheet on the Open Call Objectives and funding scheme.

5 First Open Call Submission Template

The use of a specific proposal format, as described in this section, is mandatory for applicants. The template is limited in size and focusing on “what the proposer wants to do” and “what the expected results is”. In this section, a high-level description of the envisioned sections and content is provided.

Section A: Project Summary

(Maximum 300 words – summary of the proposed work)

Remark: The information in this section may be used in public documents and reports by the symbloTe consortium.

Section B: Detailed description and expected results

(minimum 4 to maximum 8 pages)

This section describes the details on the planned extension: what does the proposer hope to obtain, how, why is it relevant? This section should also include all information with respect to the state-of-the-art or a comparison to competing commercial solutions in case of SME applicants, to show the innovative character of the extension and the expected scientific or business impact.

B.1 Concept and objectives

Describe the specific objectives of the proposed extension, which should be clear, measurable, realistic and achievable within the duration of the extension (not through subsequent development). Show how they relate to the topic(s) addressed by the competitive call and how and why symbloTe is needed for realizing them. Describe and explain the overall concept that forms the basis for your extension.

B.2 Impact (different for scientific and industrial applicant)

Describe the potential that the extension will be used by future developers from the broader scientific community as well as developers from industry, in particular individuals and SMEs, in subsequent (funded) symbloTe open calls. Show that the proposed extension has sufficient sustainable benefits for the symbloTe project, meaning that there should be an added value for the symbloTe project, after the proposer has finished his extension.

B.3 Description of state-of-the-art and beyond that

Describe in detail how the extension will advance existing software, hardware and/or experimental platforms, and to which extent the functionality added by the proposed extension is different from the functionality that is already available in existing work.

B.4 Methodology and associated work plan

Provide a work plan. Provide clear goals and verifiable results, and also the implementation timeline. The work plan involves at least the following phases:

- 1. Design of extension*

2. *Implementing the extension*
3. *Analysis & feedback*
 - *Analysis of the results of extension*
 - *Feedback on user experience*
 - *Recommendations for improvements and/or future extensions of symbloTe platform*
4. *Showcase: Set up of a showcase (demonstration) to be used for the evaluation of the extension at the review meeting with the EC, and for further promotion of symbloTe*
5. *Dissemination: Regular dissemination actions (journal publications, conferences, workshops, exhibitions, advertising of results at symbloTe website, etc.)*
6. *Final report, code and documentation*

B.5 Data Management and Privacy Issue

Describe in details how the owned platform complies with privacy issue and EU legislation and how sensitive data are managed and stored according to this legislation.

Section C: Background and qualifications

(maximum 2 pages)

This section describes the proposer and includes an overview of the activities, the proposer's qualifications, technical expertise, relevant experience and other information that will allow the reviewers to judge the proposer's ability to carry out the experiment.

Section D: Expected feedback to the symbloTe Consortium

(maximum 2 pages)

This section contains valuable information for the symbloTe consortium and should indicate the expected feedback the symbloTe consortium can expect from the use of its platform. This information is essential in view of the further improving the symbloTe platform and pave the way to further developments/Open Calls. Note that providing this feedback is one of the key motivations for the existence of the symbloTe Open Calls.

Section E: Requested funding

(maximum 1 page)

This section provides an overview of the budgeted costs and the requested funding. A split is made in personnel costs, other direct costs (travel, consumables, etc.). Besides the table reported in the template, extra information can be provided to support the requested funding and which may help to judge the cost to the symbloTe project.

Section F: Use of proposal information

In this section the proposing party is asked to include some statements related to sharing information of his proposal within the symbloTe consortium. Proposals are treated in a confidential way, meaning that only successful proposals must be disclosed to the symbloTe consortium. The symbloTe project would like to have the opportunity to collect more detailed information and use this information further for internal reporting and statistical purposes, also if the proposal is not selected for funding. In any case, the symbloTe consortium will treat all information of a proposal confidentially.

The full template for the first Open Call is reported as ANNEX A – First Open Call Template to this Deliverable.

6 Evaluation procedures

Evaluation and ranking will be carried out by an external panel selected by the symbloTe consortium and approved by the EC Project Officer. A specific check will be carried out by the symbloTe consortium partners in order to identify and avoid any conflict of interest and ensure the appropriate independence and transparency level of the whole procedure. All experts will sign a Non-Disclosure Agreement (NDA; see ANNEX D – Confidentiality and Conflict of Interest Declaration)

The experts will be fully briefed on the ambition of the symbloTe project prior to the evaluation phase. A briefing package will be submitted to experts including: Information package (Description of Action excerpt and relevant deliverables, Call fiche and templates for evaluation); Technical information (slides); Evaluation Schedule, Non-Disclosure Agreements.

Each eligible application will be assigned to a panel composed of minimum three experts.

6.1 Organization of remote evaluation meetings

The evaluation sessions will be organised remotely with external and independent experts.

1. **Individual Reading and Assessment Phase:** Each proposal will be evaluated by two (2) experts who will issue an Individual Assessment Report (IAR). The IAR will be sent to the symbloTe coordinator (or delegated person) prior to the consensus meeting.
2. The **consensus meeting** will be realised remotely with the participation of all the panellists. Two symbloTe representatives will moderate the consensus meeting: the Project Coordinator and the Technical Manager. The symbloTe moderators will not be granted of voting power but will be appointed as technical reference persons for panellists' questions on compliance with symbloTe scope. A final score per proposal must be decided at the consensus meeting. The moderators will take notes of the discussion and will assign one rapporteur per proposal for the emission of the consolidated Evaluation Summary Report (ESR). An anonymous version of the ESR will be provided to each proposer upon completion of the evaluation process. After the consensus meeting each proposal will be assigned with a **rank** and in the case of rejection with a proper **justification** for the applicants.
3. **Ranking Phase:** members of the symbloTe consortium will carry out the final ranking of the proposals. This would usually be expected to follow the ranking resulting from the consensus of the external experts. However, and following EC guidelines, there may be objective reasons for objecting to a Third Party (for example for commercial competition reason) and so the next highest proposal may be selected. It may also be the case that the top ranked proposals overlap in scope. If some special cases will occur, the decision taken by the consortium will be fully documented to the EC Project Officer.

6.2 Timeline and duration of the evaluation process

The duration of the evaluation of the proposals and approval of evaluation results by the EU must be concluded within 1 month (30 calendar days) from the date of submission

deadline. In the case of this particular call, the deadline for the notification of results to applicants is set to the 7th of April 2017.

All the applicants will receive a feedback on their proposal in the form of the ESR (Evaluation Summary Report). The funded application will be invited to negotiate and sign the funding agreement by the symbloTe Project Coordinator.

6.3 Evaluation Criteria

The symbloTe Open Call team has decided to follow the standard EC evaluation criteria:

- Implementation
- Impact and Quality
- Efficiency of the Implementation.

6.4 Criterion Scores

Each evaluation criteria will be assigned with 5 points. This choice has been taken in order to avoid further effort in interpreting different evaluation criteria and to perform an Evaluation process in line with EC standard procedures: both the potential proposers and evaluators are familiar with this format and so the process is streamlined. The overall score of the proposal is the sum of the score of each criterion.

Below the meaning of each score is provided:

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 well, but a small number of shortcomings are present

5 - EXCELLENT - The proposal successfully addresses all relevant aspects of the criterion

6.5 Threshold

The threshold for individual criteria is 3. The overall threshold, applying to the sum of the individual scores, is 10/15.

6.6 Individual Assessment Reports and Consensus Report and Declaration

Specific forms have been set up in order to record the Individual Assessment of Experts on the eligible proposal. The template for individual and consensus report are available in ANNEX C - Evaluation form of this Deliverable.

A form for collecting Declaration on Confidentiality and Conflict of Interest from experts is available in APPENDIX D of this document.

7 Selected proposals: what to expect during the implementation.

This section explains the steps following the Open Call evaluation. Once the successful proposals have been selected through the previously detailed evaluation process, the Third Parties have to complete the negotiation process with the symbloTe Coordinator and sign an agreement prior to starting work and receiving funding from the project.

In case of failure of the negotiation process symbloTe Consortium will invite for negotiation the second best ranked in the final Evaluation ranking list. If no other proposal are suitable for negotiation (because not reaching the threshold), funding available for the first Open Call can be allocated on the second Open Call total budget. Negotiation failure can be caused by non-compliance with the Rules of participation to H2020 (Regulation (EU) No 1290/2013) Exclusion Criteria set by the Regulation on the financial rules applicable to the general budget of the Union (Regulation (EU, Euratom) No 966/1012) or in case of renounce for any reason by the selected Third Parties.

7.1 *Third Parties Agreement with the Coordinator*

In order to give full compliance to provision of art.15 GA - Rules for providing financial support to third parties, the symbloTe Consortium set up a specific agreement to be signed by the selected Third Parties and the Coordinator. This agreement, named “symbloTe Standard Extension Contract” rules all the rights and obligations between Parties for the proper management of the Cascade Funding and its legal consequences. Due to the key importance that such documents represent for the management of fair and sound relationship between Third Parties and the Cascade Funding Partner (i.e. the symbloTe Coordinator), a further check will be performed during the implementation phase by the Legal Department of the Coordinator in order to ensure the maximum level of EU rules accomplishment. The material presented can therefore be subjected to modifications.

This agreement rules the following main specific items:

- Terms and conditions for the financial support
- Liability
- Intellectual Property Rights Policy
- Confidentiality
- Termination

In addition to the “symbloTe Standard Extension Contract”, a set of additional annexes have been prepared:

- ANNEX 1 - Grant Agreement specific obligations: this document contains GA obligations which accomplishment is mandatory for the Third Party using Cascade Funding, even if there are not accessing to the GA.
- ANNEX 2 - Technical Report Template: this document shall be used by the Third Party for reporting activities performed and costs incurred in order to access to scheduled payments.

- ANNEX 3 - Specific Extension Contract: this document describes the proposed extension under a technical and management point of view.

Those Annexes represent essential parts of the main agreement.

The Agreement between Selected Third Parties and the Coordinator and its Annexes is reported as ANNEX B – symbloTe Standard Extension Contract to this deliverable.

7.2 Support during the implementation

Selected Third Parties will be supported during the implementation of the extension by symbloTe Partners. A Supporting Team (composed by a technical champion and a business champion) will be selected within the symbioTe Consortium according to the domain of the granted extension. It will follow for the whole duration of the extension the Third Party selected, providing support for technical/business aspects as well as the involvement of Third Parties in the activities of the Consortium and the symbloTe project (meetings, workshop, demonstration stages, involvement in the implementation phase).

Selected Third Parties will receive from the Supporting Team an initial briefing in order to discuss and focus the work to be performed during the Extension. Selected Third Parties can contact the Supporting Team on per-need basis on technical and business matters. The Supporting Team will monitor on timely basis the progress of the Extension in order to ensure the proper execution of the planned work. In case of under-performing behaviour from Third Parties' side or any disagreement between Third Parties and Supporting Team, the issue shall be raised to the Coordinator, who will intervene for settle any possible dispute.

It is expected that Third Parties will be invited to attend certain conference calls so as to align their work with the rest of the consortium, receive feedback and advice. Moreover, it is expected that the Third Parties will meet in person with the symbloTe Consortium at least one time during the overall duration of the extension, at a pre-scheduled plenary meeting or a dedicated technical workshop of the project.

7.3 Payment Scheme: scheduled payment recommended

As a financial support provided by the Project to Selected Third Party, the following scheduled payments apply:

1. 30% of the overall financial support as advance payment after the signature of the Agreement with the Coordinator.
2. 30% of the overall financial support as interim payment based on the evaluation by the symbloTe consortium of the Intermediate Report, edited and provided by the selected Third Party approximately at the midpoint of the work planned.
3. 40% of the overall financial support as final payment based on the evaluation by the symbloTe consortium of the Final Report, edited and provided by Selected Third Party at the end of the work planned and (eventually) following a formal approval of the report and the work at a Technical Project Review by the EC.

7.4 Reporting from Third Parties

Applicants selected within the first Open Call will become Third Parties via the Cascade Funding mechanism, according to H2020 rules. In order to ensure the correct management of “Cascade Funding” for Third Parties (according to art. 15 MGA), the Coordinator requires the fulfilment of Reporting obligation as mandatory accomplishments for Scheduled Payments.

Two Reports need to be submitted on a timely basis to the coordinator:

1. Intermediate Report edited and provided by the Third Party at the midpoint of the work planned;
2. Final Report edited and provided by the Third Party at the conclusion of the work planned and eventually following a formal approval of the report and the work at a technical project review by the EC.

A specific template needs to be used and will include:

Part A. Summary

Part B. Detailed description - This section describes the details on the extension It includes:

- B.1 Concept, Objectives, Set-up and Background
- B.2 Technical Results
- B.3 Lessons learned
- B.4 Impact

Part C. Resources

- C.1 Resources Deployed
- C.2 Further development and exploitation

Part of these reports may be used by the symbloTe consortium for inclusion in their reporting documents to the EC and in public presentations. Inclusion of confidential information should therefore be indicated and discussed with the symbloTe consortium.

These reports and extension's documentation will also be used for the formal review by the EC The template for the Intermediary and Final Reports is available as Annex of the symbloTe Standard Extension Contract (Annex 2).

7.5 Access to foreground information from the project – IPR

Intellectual Property Rights (IPR) management information will be provided in the Open Call Public announcement in order to give Third Parties an overview on how symbloTe Consortium intend to regulate Access to Background and to Foreground of symbloTe results. More detailed provisions on IPR, Access right and Confidentiality are provided in the symbloTe Standard Extension Contract.

7.5.1 IPR

Applicants selected to collaborate with symbloTe project following on the first Open Call according to the Cascade Funding provisions will not access to the Grant Agreement and Consortium Agreement. This condition raises therefore the need to regulate separately Intellectual Property Right and Background. The Third Parties must declare what of their background will be made available to the project activities, and what is excluded or protected, to ensure the smooth running of the project activities and achievements. In accordance with section 9.7 of the Consortium Agreement of symbloTe, each partner has the right to revise the terms agreed for access to their background **in case** a new part can lead to conflicts of academic or commercial interests.

7.5.2 IP foreground (results) and general principle ownership

To ensure the expected impact of the Open call, applicants should agree to make available to the symbloTe Consortium products results and allow the continuity of exploitation and dissemination activities. The ownership of results is regulated by the section 8 of Consortium Agreement, that is based on the general concept "Results are owned by the party that generates them", foreseeing the joint ownership.

In case of joint results generated by Third Parties and symbloTe Partners, specific agreements can be established in order to rule further development and exploitation plans among joint results owners.

7.5.3 Access rights

Access Rights to background and results of project may be requested by the selected Third Party only if he needs the background for implementation of its tasks in the Open Call activities. In this case, the selected Third Party will have access rights to that background for the duration of the Extension's activities on royalty-free basis, solely to the extent needed to implement its tasks;

In accomplishment to the Consortium Agreement signed by Partners, the access rights to background and results may be requested by the selected Third Party only if it needs such background for exploitation of results. In this case, the Third Party shall be granted access rights to such background on fair and reasonable conditions and upon separate written bilateral agreement between the selected Third Party and the owning partner. A request for access rights for exploitation may be made up to twelve months after the end of the Consortium Agreement.

7.5.4 Confidentiality

According with the article 36 of the Grant Agreement, all information which is disclosed in connection with the open call during its implementation and which has been marked as confidential, or disclosed orally has been identified as confidential at the time of disclosure, is confidential Information.

The applicants selected for the implementation of Extension activities, hereby undertake for the duration of the activities and a period of 4 years after the end of the Extension Standard Contract:

- not use confidential information otherwise than for the purpose for which it was disclosed;
- not disclose confidential information to any Third Party without the prior written consent by the disclosing party;
- the internal distribution of confidential information by a recipient to its employees shall take place on a strict need to know basis.

The recipients shall be responsible for the fulfilment of the above obligations on the part of their employees involved in the Open call, during and after the end of the project activities.

The restriction of confidential information is no longer applied if:

- the disclosing party agrees to release the other party;
- 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;
- the recipient proves that the information was developed without the use of confidential information;
- the information becomes generally and publicly available, without breaching any confidentiality obligation;
- the disclosure of the information is required by EU or national law.

8 Conclusions and Next Steps

The deliverable D6.1 “1st Open Call Text and Submission Template” the overall structure for managing the first symbloTe Open Call. During the issuing of this document, WP6 partners shared expertise and best practices in order to define the best solution in terms of procedures and overall objectives, according to specific needs and development progresses of the symbloTe project. Very important input came also from the participation of several symbloTe partners to the activities of IoT-EPI meetings and common activities, as well as from past experiences of partners in applying to Open Calls.

In designing the Open Call procedure, the Consortium recognised the need to modify the objective of the first Open Call from what initially planned in the Description of the Action: the first Open Call was planned to ask for proposals focusing on Level 1 and Level 2 symbloTe compliance. Due to advancements on the design of the symbloTe architecture and the progress on the implementation of the prototype, the symbloTe Consortium decided to focus the first Open Call on the development of Level 1 symbloTe compliant IoT platforms. This also happened due to the observation during the architectural design that becoming Level 2 compliant would require a platform to be already Level 1 compliant. The Consortium decided to postpone the Application focusing on Level 2 Compliance for the second Open Call, giving the symbloTe project the change to invite to the first Open Call as many IoT platforms as possible to become Level 1 compliant, in order to expand the symbloTe ecosystem with more compatible platforms.

The procedures and contents of this deliverable represent the main structure for managing Open Calls and the closure of the design phase. The implementation phase that will bring to the public announcement of the First Open Call (M11 – November 30, 2016) will see further improvements of the whole procedure and the issue of several documents, which will support applicants in submitting their proposal.

Next steps related to this implementation phase will concern several issues, which will be coordinated within the Work Package 6, such as:

- The finalization of the whole procedure and documentation for managing the Open Call process with the production of the following documents:
 1. Call Announcement and Guidelines for Applicants
 2. Additional technical information for Applicants on Level 1 Compliance
 3. Electronic Submission Guidelines
 4. Frequently Asked Question
 5. Final Legal check on Agreements with Third Parties
- The initial definition of the Evaluation Procedure has been set up. The implementation phase will finalise the necessary steps to select external experts and will prepare the following documentation:
 1. Evaluation guidelines
 2. Briefing Package for External Experts involved in the Evaluation
- The deployment of activities aiming at keeping Open Calls communication activities aligned with the overall strategy developed in WP7 in order to widen the possible impact within the IoT Communities. The Evaluation Criteria have been selected and

described in this Deliverable. Next steps will concern the setting up of Impact assessment tools and reports related to Open Calls audience and Submission results.

9 Abbreviations

API	Application Programming Interface
APP	Application Domain
CLD	Cloud Domain
CoAP	Constrained Application Protocol
EC	European Commission
ESR	Evaluation Summary Report
EU	European Union
FAQ	Frequently Asked Questions
FIRE	Future Internet Research & Experimentation
GA	Grant Agreement
HTTP	Hypertext Transfer Protocol
IAR	Individual Assessment Report
ICT	Information and Communication Technologies
IoT	Internet of Things
IoT-EPI	IoT European Platforms Initiative
IPR	Intellectual Property Right
L1	Level 1 symbloTe compliance
MQTT	MQ Telemetry Transport
NDA	Non-disclosure Agreement
SMEs	Small and Medium Enterprises
SD	Smart Device Domain
SS	Smart Space Domain

10 ANNEXES

ANNEX A – First Open Call Template

ANNEX B - symbloTe Standard Extension Contract

ANNEX C - Evaluation form

ANNEX D – Confidentiality and Conflict of Interest Declaration

ANNEX A – First Open Call Template

Symbiosis of smart objects across IoT environments

688156 - symbloTe - H2020-ICT-2015

1st Open Call Template Call for Extension

Full Title of your proposal	
Acronym of your proposal (optional)	
Call / category / Identifier	Extensions / category / identifier
Date of preparation of your proposal:	xx/yy/2016
Version number (optional):	
Your organisation name:	Your organisation name
Name of the coordinating person:	Name of the coordinating person
Coordinator telephone number:	Coordinator telephone number
Coordinator email: [This is the email address to which the Acknowledgment of receipt will be sent]	Coordinator email

Section A Project Summary

(Maximum 300 words – summary of the proposed work)

The information in this section may be used in public documents and reports by the symbloTe consortium. This should be a stand-alone text, complete and coherent.

Section B Detailed description and expected results

(minimum 4 to maximum 8 words)

This section describes the details on the planned extension: what does the proposer hope to obtain, how, why is it relevant? This section should also include all information with respect to the State-of-the-Art or a comparison to competing commercial solutions in case of application by a SME to show the innovative character of the extension, and the expected scientific or business impact.

B.1 Concept and objectives

Describe the specific objectives of the proposed extension, which should be clear, measurable, realistic and achievable within the duration of the extension (not through subsequent development). Show how they relate to the topic(s) addressed by the competitive call and how and why symbloTe is needed for realizing them.

Describe and explain the overall concept that forms the basis for your extension.

B.2 Impact

Describe the potential that the extension will be used by future developers from the broader scientific community as well as developers from industry, in particular individuals and SMEs, in subsequent (funded) symbloTe open calls

Show that the proposed extension has sufficient sustainable benefits for the symbloTe project, meaning that there should be an added value for the symbloTe project, after the proposer has finished his extension.

B.3 Description of State-of-the-Art

Describe in detail how the extension will advance existing software, hardware and/or experimental platforms, and to which extent the functionality added by the proposed extension is different from the functionality that is already available in existing work.

B.4 Methodology and associated work plan

Provide a work plan. Provide clear goals and verifiable results, and also a clear timing.

The work plan involves at least the following phases:

- 7. Design of extension*
- 8. Implementing the extension*
- 9. Analysis & feedback*
 - Analysis of the results of extension*
 - Feedback on user experience*

- *Recommendations for improvements and/or future extensions of symbloTe platform*
10. *Showcase: Set up of a showcase (demonstration) to be used for the evaluation of the extension at the review meeting with the EC, and for further promotion of symbloTe*
 11. *Dissemination: Regular dissemination actions (journal publications, conferences, workshops, exhibitions, advertising of results at symbloTe website, etc.)*
 12. *Final report, code and documentation*

B.5 Data Management and Privacy Issue

Describe in details how the owned platform comply with privacy issue and EU legislation and how sensitive data are managed and stored according to this legislation.

Section C Background and qualifications

(maximum 2 pages)

This section describes the proposer and includes an overview of the activities, the proposer's qualifications, technical expertise and other information to allow the reviewers to judge the proposer's ability to carry out the experiment.

Section D Expected feedback to the symbloTe Consortium

(maximum 2 pages)

This section contains valuable information for the symbloTe consortium and should indicate the expected feedback the symbloTe consortium can expect from the use of its platform. This information is essential in view of the further improving the symbloTe platform and pave the way to further developments/Open Calls. Note that providing this feedback is one of the key motivations for the existence of the symbloTe open calls.

Section E Requested funding

(maximum 1 page)

This section provides an overview of the budgeted costs and the requested funding. A split is made in personnel costs, other direct costs (travel, consumables, etc.).

Besides the table below, extra information can be provided to support the requested funding and which may help to judge the cost to the symbloTe project.

Please show your figures in euros (not thousands of euros).

	Total PM	Cost (€)
a. Personnel costs		
b. Other direct costs		
c. Indirect costs		
e. Total costs		
f. Requested Funding		

Please allocate sufficient budget for participation at the final review meeting by the EC, and visit(s) to symbloTe partners, in case this is required.

In row 3, calculate the sum of your personnel and other costs.

Pease include the budgeted costs according to the list below:

- a) Direct Costs: Personnel costs for the planned work*
- b) Other Direct Costs: any direct costs different than Personnel, such as: Travels and so on.*
- c) Indirect Costs: overhead costs of the Third Party calculated in the maximum percentage of 25% of the Total Direct Costs (a+b)*

The overall Funding request by Applicants shall not exceed the amount of 50.000 euro.

Section G Use of proposal information

In this section the proposing party is asked to include some statements related to sharing information of his proposal within the symbloTe consortium.

Proposals are treated in a confidential way, meaning that only successful proposals must be disclosed to the symbloTe consortium. The symbloTe project would like to have the opportunity to collect more detailed information and further use this information, also if the proposal is not selected for funding. In any case, the symbloTe consortium will treat all information of a proposal confidentially.

Two types of information usage are envisaged:

- o Information which is part of the Sections A, C, D and F will be used within the symbloTe project as input for tasks related to platform optimizations, sustainability studies, etc. The same information can also be used in an anonymous way to create statistics and reports about this first open call. All proposals submitted to this competitive open call are obliged to allow this form of information access and usage.*
- o Other information belonging to this proposal might also be accessed by the symbloTe consortium, if allowed by the corresponding proposer. Any use of such information will be discussed and agreed upon with the proposers. Proposers have the freedom to select if they wish to support this kind of information usage.*

I allow that the material provided in Sections A, C, D and F of this proposal may be accessed by the <i>symbloTe</i> consortium, also if the proposal is not selected for funding. In any case, the <i>symbloTe</i> consortium will treat all this information confidentially. It will be used within the <i>symbloTe</i> project as input for tasks related to platform optimizations, sustainability studies, etc. The same information can also be used in an anonymous way to create statistics and reports about this first open call.	Yes <input type="checkbox"/>	
Furthermore, I allow that the other parts of this proposal may be accessed by the <i>symbloTe</i> consortium, also if the proposal is not selected for funding. In any case, the <i>symbloTe</i>	Yes <input type="checkbox"/>	No <input type="checkbox"/>

consortium will treat all information of this proposal confidentially. Any use of this information will be discussed and agreed upon with the proposers.		
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ANNEX B - symbloTe Standard Extension Contract

symbloTe Standard Extension Contract

for the Research and Innovation Action
symbloTe: Symbiosis of smart objects across IoT environments
Project Number: 688156

under the “Horizon 2020 – the Framework Programme for Research and Innovation (2014-2020)” of the European Commission

The symbloTe Consortium

Intracom SA Telecom Solutions, ICOM, Greece
Sveučiliste u Zagrebu Fakultet elektrotehnike i računarstva, UNIZG-FER, Croatia
AIT Austrian Institute of Technology GmbH, AIT, Austria
Nextworks Srl, NXW, Italy
Consorzio Nazionale Interuniversitario per le Telecomunicazioni, CNIT, Italy
ATOS Spain SA, ATOS, Spain
University of Vienna, Faculty of Computer Science, UNIVIE, Austria
Unidata S.p.A., UNIDATA, Italy
Sensing & Control System S.L., S&C, Spain
Fraunhofer IOSB, IOSB, Germany
Ubiwhere, Lda, UW, Portugal
VIPnet, d.o.o, VIP, Croatia
Instytut Chemii Bioorganicznej Polskiej Akademii Nauk, PSNC, Poland
NA.VI.GO. SCARL, NAVIGO, Italy

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symbloTe Standard Extension Contract

This symbloTe Standard Extension Contract for providing financial support to the Selected Third Party, hereinafter referred to as the “Agreement”, is entered into by and between:

INTRACOM SA TELECOM SOLUTIONS (“Cascade Funding Partner”), an organization under the laws of Greece , having its registered office at 19.7km Markopoulou Ave., 19002, Peania, herein represented by ...

And

... (“**Selected Third Party**”), an organization under the laws of ... having its registered office at ... , herein represented by ...

Hereinafter sometimes individually or collectively referred to as “Party” or “Parties”.

Whereas INTRACOM SA TELECOM SOLUTIONS (ICOM) AE, 234549, established in NEW ROAD PEANIA MARKOPOULO 19 7KM, PEANIA 19002, Greece, EL094157119, SVEUCILISTE U ZAGREBU FAKULTET ELEKTROTEHNIKE I RACUNARSTVA (UNIZG-FER), 080159989, established in UNSKA 3, ZAGREB 10000, Croatia, HR57029260362, AIT Austrian Institute of Technology GmbH (AIT) GMBH, FN115980I, established in Donau-City-Strasse 1, WIEN 1220, Austria, ATU14703506,, NEXTWORKS (NXW) SRL, 01628570507, established in VIA LIVORNESE 1027, PISA 56122, Italy, IT01628570507, CONSORZIO NAZIONALE INTERUNIVERSITARIO PER LE TELECOMUNICAZIONI (CNIT) IT4, REA 220619 PARMA, established in VIALE G. P. USBERTI 181A, PARMA 43124, Italy, IT01938560347, ATOS SPAIN SA (ATOS) SA, M64516, established in Calle de Albarracin 25, Madrid 28037, Spain, ESA28240752, UNIVERSITAT WIEN (UNIVIE), established in UNIVERSITATSRING 1, WIEN 1010, Austria, ATU37586901, UNIDATA SPA (UNIDATA) SPA, 956645CF06187081002, established in VIA PORTUENSE 1555, ROMA 00148, Italy, IT06187081002, SENSING & CONTROL SYSTEMS SL (S&C) SL, B337567, established in AVENIDA PAISOS CATALANS 71 BAIXOS, IGUALADA 08700, Spain, ESB64305402, FRAUNHOFER GESELLSCHAFT ZUR FORDERUNG DER ANGEWANDTEN FORSCHUNG EV (IOSB) EV, VR4461, established in HANSASTRASSE 27C, MUNCHEN 80686, Germany, DE129515865, UBIWHERE Lda (UW) LDA, 508245567 , established in RUA PEDRO VAZ DE ECA 6, Aveiro 3800 322, Portugal, PT508245567, VIPNET DRUSTVO Z OGRANICENOM ODGOVORNOSCU ZA USLUGE JAVNIH TELEKOMUNIKACIJA (VIP) DOO, 080253268, established in VRTNI PUT 1, ZAGREB 10000, Croatia, HR29524210204, INSTYTUT CHEMII BIOORGANICZNEJ POLSKIEJ AKADEMII NAUK (PSNC), 000849327, established in NOSKOWSKIEGO 12-14, POZNAN 61 704, Poland, PL7770002062, NA.VI.GO. SOCIETA CONSORTILE A RESPONSABILITA LIMITATA (NAVIGO) SCARL, 194941, established in VIA MICHELE COPPINO 116, VIAREGGIO 55049, Italy, IT02077140461 (hereinafter sometimes individually or collectively referred as “symbloTe Beneficiary” or the “symbloTe Beneficiaries”) participate to the H2020 project entitled “**Symbiosis of smart objects across IoT environments**” (hereinafter the “symbloTe Project”).

Whereas the symbloTe Beneficiaries entered into a Grant Agreement N° 688156 with the European Commission (the “Grant Agreement” or “GA”) and signed together in 2016 a Consortium Agreement with respect to the symbloTe Project (the “Consortium Agreement” or “CA”).

Whereas the symbloTe Project involves financial support to Third Parties through a Cascade Funding scheme (hereinafter “Cascade Funding”) according to art. 15 - GA.

Whereas further to an open call for a specific Extension as described in Annex 3 “Specific Extension Contract”, the Selected Third Party has been selected by the Evaluation Committee of the symbloTe Project to implement such Extension.

Whereas the Cascade Funding Partner (the symbloTe Coordinator) is willing to provide financial support to the Selected Third Party for the implementation of such Extension and the Selected Third Party is willing to receive such funding under the terms and conditions of this Agreement.

Whereas in accordance with the Grant Agreement and the Consortium Agreement, the Cascade Funding Partner shall sign an agreement with the Selected Third Party compliant with the GA and CA.

Whereas the Cascade Funding Partner is responsible for the execution of this Agreement with the Selected Third Party and for the monitoring of the Extension.

Now therefore it has been agreed as follows:

Section 1: Definitions

Words beginning with a capital letter shall have the meaning defined in the preamble of the Agreement or in this Section:

1.1. Access Rights means rights to use Results or Background under the terms and conditions laid down in this Agreement.

1.2. An Affiliated Entity of a symbloTe Beneficiary means:

- a) any legal entity directly or indirectly Controlling, Controlled by, or under common Control with that symbloTe Beneficiary, for so long as such Control lasts; and
- b) any other legal entity that is listed on an exhaustive basis in Annex 3 “Specific Extension Contract” to this Agreement as being an Affiliated Entity of that symbloTe Beneficiary, where such legal entity is one in which that symbloTe Beneficiary (or a legal entity qualifying as an Affiliated Entity of that symbloTe Beneficiary under (a) directly above) has a 50% equity share or is the single largest equity shareholder.

For the above purposes, "Control" of any legal entity shall exist through the direct or indirect:

- ownership of more than 50% of the nominal value of the issued share capital of the legal entity or of more than 50% of the issued share capital

entitling the holders to vote for the election of directors or persons performing similar functions, or

- right by any other means to elect or appoint directors of the legal entity (or persons performing similar functions) who have a majority vote.

Common Control through government does not, in itself, create Affiliated Entity status.

- 1.3. Agreement** means this Extension Contract, together with its Annexes.
- 1.4. Background** means any data, know-how or information – whatever its form or nature (tangible or intangible), including any rights such as intellectual property rights – that:
- a) is held by a Partner before 1 January 2016, and
 - b) is Needed by another Partner to implement its own tasks under the Extension or to Exploit its own Results, but solely to the extent that such data, information, know-how and/or intellectual property rights are introduced into the Extension by its owner.
- 1.5. Exploitation or Exploit** means the direct or indirect use of Results in (a) further research activities other than those covered by the Industrial Experiment, or (b) in developing, creating or marketing a product or process, or (c) in creating and providing a service, or (d) in standardization activities.
- 1.6. Fair and Reasonable conditions** means appropriate conditions, including possible financial terms or royalty-free conditions, taking into account the specific circumstances of the request for Access Rights, for example the actual or potential value of the Results or Background to which Access Rights are requested and/or the scope, duration and other characteristics of the exploitation envisaged. To fall within Fair and Reasonable conditions, the conditions must also be non-discriminatory.
- With respect to symbloTe Beneficiaries which are Non-Profit Organizations considering their specific positioning, “appropriate conditions” means that, if requested by such Non-Profit Organizations, they will receive a financial compensation in case of direct or indirect industrial or commercial exploitation of their own Results.
- 1.7. Feedback** means, in the course of or in connection with the Extension, all comments, ideas for improvements or for modifications, information about use and performance, suggestions or other feedback from any Party or the Selected Third Party regarding a Platform Partner’s or its Affiliated Entities’ products or technology used in the Extension.
- 1.8. Financial Support** means the cash element of the financial support to be given by the Cascade Funding Partner to the Selected Third Party for the

implementation of the Extension as detailed in Annex 3 “Specific Extension Contract”.

- 1.9. Extension** means the work detailed in Annex 3 “Specific Extension Contract” to be carried out by the Selected Third Party, with the objective to develop a symbloTe compliant extension.
- 1.10. Industrial Party** means a symbloTe Beneficiary which is not a Non-Profit Organization.
- 1.11. Intellectual Property Rights Policy** means the Policy set out at Section 5 of this Agreement.
- 1.12. Needed** means in respect of executing or carrying out the Extension, and/or in respect of Exploitation of Results, technically essential and:
- a. where intellectual property rights are concerned, that those intellectual property rights would be infringed without Access Rights being granted under this Agreement;
 - b. where Confidential Information is concerned, only Confidential Information which has been disclosed during the Extension may be considered as technically essential, except as otherwise agreed in writing between the Partners.
- 1.13. Non-Profit Organization** means a legal entity that is by its legal form non-profit-making or has a legal or statutory obligation not to distribute profits to its shareholders or individual members.
- 1.14. Results** means any tangible or intangible outputs of the Extension, such as data, knowledge and information whatever their form or nature, whether or not they can be protected, which are generated in the Extension, as well as any rights attached to them, including intellectual property rights.

Section 2: Conditions from the Grant Agreement and the Consortium Agreement reflected in the agreement

The Cascade Funding Partner receives funding from the European Commission for organizing the selection of Third Parties through Open Calls. Under the symbloTe Grant Agreement and the Consortium Agreement, some of the obligations have to be imposed on the Selected Third Party. Those obligations are reflected in this Agreement. The specific obligations that the Selected Third Party must ensure described in the Grant Agreement are reproduced in Annex 1.

The Selected Third Party acknowledges and agrees that these obligations comprised in this Agreement are fully applicable to it and shall do everything that is necessary to comply with these obligations, it being understood that the Selected Third Party is only bound by this Agreement and not by the GA or CA.

Section 3: Terms and Conditions for the Financial Support

- 1.1.** The Selected Third Party shall take part in the Extension in accordance with the state of the art. The Selected Third Party shall carry out the tasks according to the schedule set forth in Annex 3 “Specific Extension Contract” at the latest and shall report to the Cascade Funding Partner on the activities’ progress in regular intervals as indicated in Annex 3 “Specific Extension Contract”. Such technical reports based on the reproduced in Annex 2 shall contain detailed information on the results generated by the Selected Third Party.
- 1.2.** The Cascade Funding Partner shall give Financial Support for the Extension carried out by the Selected Third Party, within the limits and in accordance with the schedule of payments specified in Annex 3 “Specific Extension Contract”.
- 1.3.** The Selected Third Party shall be entitled to claim eligible costs for the Extension as described in Annex 2 of this Agreement. The financial support shall take the form of a reimbursement of eligible costs up to the maximum amount of EUR 50,000. As a financial support provided by the Project to Selected Third Party, the following scheduled payments apply:
- 30% of the overall financial support as advance payment after the signature of this Agreement with the Coordinator.
 - 30% of the overall financial support as interim payment based on the evaluation by the symbloTe consortium of the Intermediate Report, edited and provided by Selected Third Party by midterm (after half of the Extension’s duration has passed from the Extension starting date).
 - 40% of the overall financial support as Final payment based on the evaluation by the symbloTe Consortium of Final Report, edited and provided by Selected Third Party at the end of the Extension’s duration and (eventually) following a formal approval of the report and the work at a Technical Project Review by the EC.
- 1.4.** The Selected Third Party shall provide two Reports on performed activities and related costs report to the Cascade Funding Partner. The Selected Third Party shall use the reporting template in Annex 2. The following elements shall at least be included in these costs reports :
- a) The identification of the Extension ;
 - b) Detailed information on technical results and further development
 - c) Detailed information and documentation on the costs incurred for the implementation of the Extension that permit justification of the eligibility of the costs.
- No payment will be done by the Cascade Funding Partner if no sufficient evidence document is presented by the Selected Third Party. As mentioned in above art. 3.3, two reports are planned:

- a) Intermediate Report: by midterm (after half of the Extension's duration has passed from the Extension starting date);
- b) Final Report: at the end of the Extension's duration and (eventually) following a formal approval of the report and the work at a Technical Project Review by the EC.

1.5. The Cascade Funding Partner will transfer the amount of the Financial Support to the Selected Third Party on the basis of (i) a written payment request by the Selected Third Party to be sent to the Cascade Funding Partner together with an invoice in accordance with the schedule set forth in Annex 3 "Specific Extension Contract" and (ii) a decision of the Cascade Funding Partner for awarding the amount to the Selected Third Party, provided the terms and conditions of this Agreement are complied with, in particular after the written validation by the Cascade Funding Partner of the corresponding deliverable(s) identified in Annex 3 "Specific Extension Contract". The payment shall be made as indicated in Annex 3 "Specific Extension Contract" after the written validation of the payment request by the Cascade Funding Partner however always provided that the conditions listed in this Section 3 are met by the Selected Third Party.

1.6. The total funding for the Extension amounts to EUR xx,xxx.

1.7. The collaboration between Selected Third Party and Cascade Funding Partner will last maximum six (6) months. The start date of the Extension is [start date] and the end date is [end date].

Section 4: Liability

1.1. The Selected Third Party shall comply with all applicable laws, rules and regulations, including, but not limited to safety, security, welfare, social security and fiscal laws, rules and regulations.

1.2. Selected Third Party shall not be entitled to act or to make legally binding declarations on behalf of the Cascade Funding Partner or any other symbloTe Beneficiary and shall indemnify all of the latter from any third party claim resulting from a breach of these obligations.

1.3. The contractual liability of the Cascade Funding Partner under this Agreement shall in any case be limited to the amount of the Financial Support provided to the Selected Third Party hereunder and the Cascade Funding Partner. The Cascade Funding Partner shall not in any case be liable for any indirect or consequential damages such as:

- loss of profits, interest, savings, shelf-space, production and business opportunities;
- lost contracts, goodwill, and anticipated savings;
- loss of or damage to reputation or to data;

- costs of recall of products; or
 - any other type of indirect, incidental, punitive, special or consequential loss or damage.
- 1.4.** This limitation of liability shall not apply in cases of willful act or gross negligence.
- 1.5.** The Selected Third Party shall fully and exclusively bear the risks in connection with the Extension for which Financial Support is granted by the Cascade Funding Partner. The Selected Third Party shall indemnify the symbloTe Beneficiaries and the Cascade Funding Partner for all damages, penalties, costs and expenses which the symbloTe Beneficiaries or the Cascade Funding Partner as a result thereof would incur or have to pay to the European Commission or any third parties with respect to such Extension financially supported and/or for any damage in general which the symbloTe Beneficiaries or the Cascade Funding Partner incur as a result thereof. In addition, should the European Commission have a right to recovery against the Cascade Funding Partner or another symbloTe Beneficiary regarding the Financial Support granted under this Agreement, the Selected Third Party shall pay the sums in question in the terms and the date specified by the Cascade Funding Partner. Moreover, the Selected Third Party shall indemnify and hold the symbloTe Beneficiaries and the Cascade Funding Partner, their respective officers, directors, employees and agents harmless from and against all repayments, loss, liability, costs, charges, claims or damages that result from or arising out of any such recovery action by the European Commission.
- 1.6.** In respect of any information or materials (including Results and Background) supplied by one Party to another Party or to a symbloTe Beneficiary, or by a symbloTe Beneficiary involved in the applicable Extension to a Party, no warranty or representation of any kind is made, given or implied as to the sufficiency, accuracy or fitness for purpose nor as to the absence of any infringement of any proprietary rights of third parties. Therefore,
- the recipient, shall in all cases be entirely and solely liable for the use to which it puts such information and materials (including Results and Background), and
 - there is no liability in case of infringement of proprietary rights of a third party resulting from any Access Rights.

Section 5: Intellectual Property Rights Policy

The Selected Third Party acknowledges the terms of the “Intellectual Property Rights Policy” defined hereinafter. The Selected Third Party agrees that it will comply with the Intellectual Property Rights Policy to ensure that the Cascade Funding Partner will always be able to comply with such terms towards the other symbloTe Beneficiaries.

5.1 General Principle regarding Ownership

Results are owned by the Party or by the symbloTe Beneficiary that generates them.

5.2 Joint Results

As requested in the Consortium Agreement signed between the symbloTe Beneficiaries, among which the Cascade Funding Partner, if, in the course of carrying out the Extension, a Result is generated by the Selected Third Party with one or several symbloTe Beneficiaries or their Affiliated Entities (the "Contributors"), and if the contributions to or features of such Result form an indivisible part thereof to the extent that none of the said Contributors could reasonably claim full ownership of this Result, such Result shall be jointly owned by them in equal shares, unless differently agreed by the Contributors.

Where such joint Result is covered by intellectual property rights, the Contributors shall execute a joint ownership agreement regarding the allocation and the conditions of exploitation of the joint Result as soon as possible. They shall do all their best efforts to execute such joint ownership agreement at the latest six (6) months after the beginning of the industrial or commercial exploitation of such joint Result.

The Contributors shall agree on all protection measures, on their joint ownership shares and on the division of related costs in a joint ownership agreement to be negotiated.

Unless otherwise agreed in the joint ownership agreement:

- each of the Contributors shall be entitled to use their jointly owned Results for internal research activities on a royalty-free basis including for internal educational activities, and without requiring the prior consent of the other Contributors subject to confidentiality obligations, and
- the Contributors shall be entitled to otherwise exploit the jointly owned Results and to grant non-exclusive licenses to third parties (without any right to sub-license), if the other Contributors are given:
 - a) at least 45 calendar days advance notice; and
 - b) Fair and Reasonable compensation.

With respect to the "Fair and Reasonable compensation" due to the symbloTe Beneficiary which are Non-Profit Organizations, considering their specific positioning, "Fair and Reasonable compensation" means, if requested by such Non-Profit Organizations, that they will receive a financial compensation in case of direct or indirect exploitation of joint Results.

The Parties expressly agree herein that in case of joint ownership between Industrial Parties, such Industrial Parties are entitled to directly exploit their joint Result without asking the other Industrial Parties' approval and without paying any compensation to the other Industrial Parties.

5.3 Access Rights

For the purpose of this article 5.3, Background shall mean the Background as listed in the Annex 3 “Specific Extension Contract” and validated by the Partners for the concerned Extension.

Access Rights to Background and Results may be requested by the Selected Third Party only from the Cascade Funding Partner, only if the following conditions are fulfilled:

- The Selected Third Party Needs such listed Background for implementation of its tasks in the Extension. Where this is the case, the Selected Third Party will have Access Rights to that Background for the duration of the Extension on royalty-free basis, solely to the extent Needed to implement its tasks in the Extension;

Due to provisions of the consortium agreement signed between the symbloTe Beneficiaries, Access Rights to Background and Results may be requested by the Selected Third Party only in the following case and if the following conditions are fulfilled:

- The Selected Third Party Needs such listed Background for Exploitation of its own Extension Results. Where this is the case and subject to the limitations stated in the Specific Extension Contract, the Selected Third Party shall be granted Access Rights to such Background on Fair and Reasonable conditions and upon separate written bilateral agreement between the Selected Third Party and the owning Partner. A request for Access Rights for Exploitation may be made up to twelve months after the end of the Extension.
- The symbloTe Beneficiaries involved in the Extension enjoy the same Access Rights on Background or Results owned by the Selected Third Party for implementation of the Extension or, direct or indirect exploitation of their Results, under the same conditions mentioned here above.

For the avoidance of doubt, any grant of Access Rights not covered by this Section shall be at the absolute discretion of the owner and subject to such terms and conditions as may be agreed between the owner and recipient.

Section 6: Confidentiality

All information of whatever nature and in whatever form or mode of communication, which is disclosed by a Party (the “Disclosing Party”) to another Party (the “Recipient”) in connection with the Extension during its implementation and which has been explicitly marked as “confidential” at the time of disclosure, or when disclosed orally has been identified as confidential at the time of disclosure and has been confirmed and designated in writing within fifteen (15) calendar days from oral disclosure at the latest as confidential information by the Disclosing Party, is “Confidential Information”.

The Recipients hereby undertake for the duration of the Extension and a period of 4 years after the end of the Extension:

- not to use Confidential Information otherwise than for the purpose for which it was disclosed;
- not to disclose Confidential Information to any third party without the prior written consent by the Disclosing Party;

- to ensure that internal distribution of Confidential Information by a Recipient to its employees shall take place on a strict need-to-know basis; and
- except as required for continuing Access Rights, to return to the Disclosing Party on demand all Confidential Information which has been supplied to or acquired by the Recipients including all copies thereof and to delete all information stored in a machine readable form. The Recipients may keep a copy to the extent it is required to keep, archive or store such Confidential Information because of compliance with applicable mandatory laws and regulations (i.e. public policy legislation).

The Recipients shall be responsible for the fulfillment of the above obligations on the part of their employees involved in the Extension and shall ensure that they remain so obliged, as far as legally possible, during and after the end of the Industrial Experiment and/or after the termination of the contractual relationship with the employee or third party.

The above shall not apply for disclosure or use of Confidential Information, if and in so far as the Recipient can show that:

- the Confidential Information becomes publicly available by means other than a breach of the Recipient's confidentiality obligations;
- the Disclosing Party subsequently informs the Recipient that the Confidential Information is no longer confidential;
- the Confidential Information is communicated to the Recipient without any obligation of confidence by a third party who is to the best knowledge of the Recipient in lawful possession thereof and under no obligation of confidence to the Disclosing Party;
- the disclosure or communication of the Confidential Information is foreseen by provisions of the Grant Agreement;
- the Confidential Information, at any time, was developed by the Recipient completely independently of any such disclosure by the Disclosing Party; or
- the Confidential Information was already known to the Recipient prior to disclosure or
- the Recipient is required to disclose the Confidential Information in order to comply with applicable laws or regulations or with a court or administrative order subject to the last paragraph of this Section.

The Recipient shall apply the same degree of care with regard to the Confidential Information disclosed within the scope of the Extension as with its own confidential and/or proprietary information, but in no case less than reasonable care.

Each Recipient or Disclosing Party shall promptly advise the other Recipient or Disclosing Party in writing of any unauthorized disclosure, misappropriation or misuse of Confidential Information after it becomes aware of such unauthorized disclosure, misappropriation or misuse.

If a Recipient becomes aware that it will be required to disclose Confidential Information in order to comply with applicable laws or regulations or with a court or administrative order, it shall, to the extent it is lawfully able to do so, prior to any such disclosure:

- notify the Disclosing Party of said request, and

- comply to the extent possible with the Disclosing Party's reasonable instructions to protect the confidentiality of the information at the Disclosing Party's expense, and
- make such disclosure only to the extent it is compelled.

As far as Cascade Funding Partner is concerned, disclosure of Confidential Information to the European Commission shall be governed by the terms of the GA.

As far as Selected Third Party is concerned, disclosure of Confidential Information to or from another Partner (other than the Cascade Funding Partner) shall be governed by the terms of a specific non-disclosure agreement to be signed between them.

Section 7: Dissemination

Each Party agrees that any dissemination activity (including publications, presentations or contributions to any standards organisation) by the Selected Third Party is subject to the prior written approval of the other Partners.

The Cascade Funding Partner is entitled to include the main issues and information regarding the Extension in his reporting towards the European Commission, subject to prior written notification to the Selected Third Party.

Section 8: Checks and Audits

The Selected Third Party undertakes to provide any detailed information, including information in electronic format, requested by the European Commission or by any other outside body authorized by the European Commission to check that the Extension and the provisions of this Agreement are being properly implemented.

The Selected Third Party shall keep at the European Commission disposal all original documents, especially accounting and tax records, or, in exceptional and duly justified cases, certified copies of original documents relating to the Agreement, stored on any appropriate medium that ensures their integrity in accordance with the applicable national legislation, for a period of five years from the date of payment of the balance specified in the grant agreements.

The Selected Third Party agrees that the European Commission may have an audit of the use made of the Financial Support carried out either directly by the European Commission staff or by any other outside body authorized to do so on its behalf. Such audits may be carried out throughout the period of implementation of the Agreement until the balance is paid and for a period of five years from the date of payment of the balance. Where appropriate, the audit findings may lead to recovery decisions by the European Commission.

The Selected Third Party undertakes to allow European Commission staff and outside personnel authorized by the European Commission the appropriate right of access to the sites and premises of the Selected Third Party and to all the information, including information in electronic format, needed in order to conduct such audits.

In accordance with Union legislation, the European Commission, the European Anti-Fraud Office (OLAF) and the European Court of Auditors (ECA) may carry out spot checks and inspections of the documents of the Selected Third Party, and of any recipient of Cascade Finding, including at the premises of the Selected Third Party, in

accordance with the procedures laid down by Union law for the protection of the financial interests of the Union against fraud and other irregularities. Where appropriate, the inspection findings may lead to recovery decisions by the European Commission. The Articles 22 and 23 of the Grant Agreement, reproduced in Annex 1, also apply to the Selected Third Party.

Section 9: Termination

The Cascade Funding Partner can terminate this Agreement with immediate effect through written notice to the Selected Third Party:

- 9.1.** if the Selected Third Party is in breach of any of its material obligations under this Agreement, which breach is not remediable, or, if remediable, has not been remedied within thirty (30) days after written notice to that effect from the party not in breach,
- 9.2.** if, to the extent permitted by law, the Selected Third Party is declared bankrupt, is being wound up, is having its affairs administered by the courts, has entered into an arrangement with its creditors, has suspended business activities, or is the subject of any other similar proceeding concerning those matters, or
- 9.3.** if the Selected Third Party is subject to an Event of Force Majeure, which prevents the Selected Third Party from correct performance of its obligations hereunder and such circumstances have lasted, or can reasonably be expected to last more than 3 months.
- 9.4.** Access Rights granted to the Selected Third Party shall cease immediately upon the effective date of termination.

Section 10: Concluding Conditions

- 10.1.** The Selected Third Party's consistent level in its respective field of expertise played a key role in the selection of the Selected Third Parties to implement the Extension. Any total or partial transfer of provisions and the rights and duties it entails in the prior formal approval of all signatories.
- 10.2.** If any provision of this Agreement is determined to be illegal or in conflict with the applicable law, the validity of the remaining provisions shall not be affected. The ineffective provision shall be replaced by an effective provision which is economically equivalent. The same shall apply in case of a gap.
- 10.3.** This Agreement shall be governed by and construed in accordance with the laws of Belgium.
- 10.4.** Any disagreement or dispute which may arise in connection with this Agreement and which the Parties are unable to settle by mutual agreement will be brought before the courts of Brussel, Belgium.

Section 12: Signatures

Done in two originals, one for each Party.

Cascade Funding Partner	Selected Third Party
Name: Title: Date:	Name: Title: Date:

ANNEX 1 - Grant Agreement Specific Obligations

As an indirect beneficiary, the Selected Third Party has to fulfill the obligations described in article 22, 23, 35, 36, 38 and 46 of the Grant Agreement. These sections are part of the Agreement. In case of contradiction between these sections and the Agreement, the terms of the Agreement will prevail.

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

22.1 Checks, reviews and audits by 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 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 (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 883/2013¹ and No 2185/96² (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 966/2012³, 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

¹ Regulation (EU, Euratom) No 883/2013 of the European Parliament and of the Council of 11 September 2013 concerning investigations conducted by the European Anti-Fraud Office (OLAF) and repealing Regulation (EC) No 1073/1999 of the European Parliament and of the Council and Council Regulation (Euratom) No 1074/1999 (OJ L 248, 18.09.2013, p. 1).

² Council Regulation (Euratom, EC) No 2185/1996 of 11 November 1996 concerning on-the-spot checks and inspections carried out by the Commission in order to protect the European Communities' financial interests against fraud and other irregularities (OJ L 292, 15.11.1996, p. 2).

³ Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002 (OJ L 298, 26.10.2012, p. 1).

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 amounts to be rejected will be determined on the basis of the revised financial statements, subject to their approval.

If the Commission does not receive any observations or revised financial statements, does not accept the observations or the proposed alternative correction method or does not approve the revised financial statements, it will formally notify the beneficiary concerned the application of the initially notified correction rate for extrapolation.

If the Commission accepts the alternative correction method proposed by the beneficiary concerned, it will formally notify the application of the accepted alternative correction method.

22.5.3.2 If the findings concern **improper implementation** or a **breach of another obligation**: 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.

If the Commission does not receive any observations or does not accept the observations or the proposed alternative flat-rate, it will formally notify the beneficiary concerned the application of the initially notified flat-rate.

If the Commission accepts the alternative flat-rate proposed by the beneficiary concerned, it will formally notify the application of the accepted 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 23a — MANAGEMENT OF INTELLECTUAL PROPERTY

23a.1 Obligation to take measures to implement the Commission Recommendation on the management of intellectual property in knowledge transfer activities

Beneficiaries that are universities or other public research organisations must take measures to implement the principles set out in Points 1 and 2 of the Code of Practice annexed to the Commission Recommendation on the management of intellectual property in knowledge transfer activities⁴.

This does not change the obligations set out in Subsections 2 and 3 of this Section.

⁴ Commission Recommendation C (2008) 1329 of 10.4.2008 on the management of intellectual property in knowledge transfer activities and the Code of Practice for universities and other public research institutions attached to this recommendation.

The beneficiaries must ensure that researchers and third parties involved in the action are aware of them.

23a.2 Consequences of non-compliance

If a beneficiary breaches its obligations under this Article, the Commission may apply any of 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 to 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 1290/2013²⁴, 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

²⁴ Regulation (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" (OJ L 347, 20.12.2013 p.81).

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 688156".

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 688156".

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.

However, 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 1049/2001²⁵, 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 publicizing 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

46.2.1 Conditions

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.

²⁵ Regulation (EC) No 1049/2001 of the European Parliament and of the Council of 30 May 2001 regarding public access to European Parliament, Council and Commission documents, OJ L 145, 31.5.2001, p. 43.

Each beneficiary is responsible for paying the damages claimed from it.

46.2.2 Amount of damages - Calculation

The amount the Commission can claim from a beneficiary will correspond to the damage caused by that beneficiary.

46.2.3 Procedure

Before claiming damages, the Commission will formally notify the beneficiary concerned:

- informing it of its intention to claim damages, the amount and the reasons why and
- inviting it to submit observations within 30 days.

If the Commission does not receive any observations or decides to claim damages despite the observations it has received, it will formally notify **confirmation** of the claim for damages and a **debit note**, specifying the amount to be recovered, the terms and the date for payment.

If payment is not made by the date specified in the debit note, the Commission may recover the amount:

- (a) by '**offsetting**' it — without the beneficiary's consent — against any amounts owed to the beneficiary concerned by the Commission or an executive agency (from the EU or Euratom budget). In exceptional circumstances, to safeguard the EU's financial interests, the Commission may offset before the payment date specified in the debit note;
- (b) by **taking legal action** (see Article 57) or by **adopting an enforceable decision** under Article 299 of the Treaty on the Functioning of the EU (TFEU) and Article 79(2) of the Financial Regulation No 966/2012.

If payment is not made by the date in the debit note, the amount to be recovered (see above) will be increased by **late-payment interest** at the rate set out in Article 21.11, from the day following the payment date in the debit note, up to and including the date the Commission receives full payment of the amount.

Partial payments will be first credited against expenses, charges and late-payment interest and then against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless Directive 2007/64/EC applies.

ANNEX 2 - Technical report template

Intermediate Report/Final Report on Extensions	
Acronym of Extension	
Full Title	
symbloTe call identification	
Starting date of the Extension:	
Duration of the Extension:	
Name of Third Party:	

Part A. Summary of the work performed so far

Max 300 words

The information in this section may be used in public documents and reports by the symbloTe consortium

Part B. Detailed description

Describe the achievements so far and the deviation incurred during the implementation for each of the item below.

- B.1 Concept, Objectives, Set-up and Background

Briefly describe the Extension objectives, key deliverables and outputs realized so far.

- B.2 Technical Results

In this section you should describe what and how has been done regarding the different technical/substantial components of the extension

- B.3 Lessons learned

Compare the results achieved against the objectives: clearly assess whether the objectives were met and describe the successes and lessons learned.

- B.4 Impact

Describe Impact that would enhance innovation capacity, create new market opportunities, strengthen competitiveness and growth of companies, or bring other important benefits for society, Potential for technical and commercial application, etc. Describe how the proposed extension has sufficient sustainable benefits for the symbloTe project.

Part C. Resources

- C.1 Resources Deployed

Complete the following table concerning the incurred project costs and comment on each of the cost categories focusing particularly on discrepancies compared to awarded budget. Besides the table below, extra information can be provided to support the requested funding and which may help to judge the cost to the symbloTe project.

Additional information shall be included regarding working hours and average cost of working hours deployed so far.

Extension Costs Incurred			
Cost category	Budget according to the symbloTe Standard Extension Contract	Costs incurred within the extension duration	%
1. Personnel			
2. Travel			
3. Other costs			
4. Overheads			
TOTAL			

- C.2 Further development and exploitation

Describe the plan for further development and exploitation related to the Extension and its successful conclusion and/or beyond the finalization of the collaboration with symbloTe project.

ANNEX 3 - Specific Extension Contract

SymbloTe Specific Extension Contract

This symbloTe Specific Extension Contract for implementation of the Extension by the Selected Third Party, hereinafter referred to as the “Specific Extension Contract”, is entered into by and between:

INTRACOM SA TELECOM SOLUTIONS (“Cascade Funding Partner”), an organization under the laws of Greece , having its registered office at 19.7km Markopoulou Ave., 19002, Peania, herein represented by ...

And

... (**“Selected Third Party”**), an organization under the laws of ..., having its registered office at , herein represented by ...

Hereinafter sometimes individually or collectively referred to as “Party” or “Parties”.

Whereas the Cascade Funding Partner and the Selected Third Party have agreed the main terms and conditions to implement the Extension in the course of the symbloTe Project by signing the Standard Extension Contract n° symbloTe ... which form part of this Specific Extension Contract.

Now therefore it has been agreed as follows:

1. TERMS AND CONDITIONS FOR THE INDUSTRIAL EXPERIMENT

The Selected Third Party shall implement the Industrial Experiment in accordance with the following:

Description of the Extension	
Acronym	
Full Title	
symbloTe call identification	
Starting date of the Extension	
Duration of the Extension	
Date of selection of the Selected Third Party by the Internal Evaluation Committee	

Extension outcomes	
Expected results in terms of Extension	
Expected results in terms of building blocks, IPs, software and hardware solution	

Implementation of the Extension	
Outline scope of work	
Milestones	

Deliverables	
TASK 1	
Task 1.1	
Description	
Starting date	
Duration	
Inputs	
Deliverable	
Task 1.2	
Description	
Starting date	
Duration	
Inputs	
Deliverable	
TASK 2	
TASK 3	

Information on Background	
symbloTe's Background (including imitations and restrictions)	<describe Background >
Selected Third Party's Background (including imitations and restrictions)	<describe Background >

Financial Support	
Payment conditions	Scheduled Payments: After the signature of this Agreement, or after the receipt of the appropriate reports (intermediate and final), the Financial Support will be transferred to the Selected Third Party without unjustified delay according to the schedule of payments.
Schedule of payments	<ul style="list-style-type: none"> - 30% of the overall financial support as advance payment after the signature of this Agreement with the Coordinator. - 30% of the overall financial support as interim payment based on the evaluation by the symbloTe consortium of the Intermediate Report, edited and provided by Selected Third Party by midterm (after half of the Extension's duration has passed from the Extension starting date). - 40% of the overall financial support as Final payment based on the evaluation by the symbloTe Consortium of Final Report, edited and provided by Selected Third Party at the end of the Extension's duration and (eventually) following a formal approval of the report and the work at a Technical Project Review by the EC.
Total Funding for the Extension	

Parties involved in the Extension

Selected Third Party Project Manager	
Name and Surname	
Organization and Department	
Telephone number	
E-mail Address	
Cascade Funding Project Manager	
Name and Surname	
Organization and Department	
Telephone number	
E-mail Address	

2. MISCELLANEOUS

- 2.1.** This Specific Extension Contract, composed of the Standard Extension Contract and its Annexes 1 to 3 included, constitutes the sole and complete understanding of the Parties with respect to its subject matter and supersedes all prior or contemporaneous communications between the Parties concerning such subject matter. This Specific Extension Contract will be governed and construed according to the choice of governing and constructive law set forth in the Standard Extension Contract
- 2.2.** Save to the extent expressly modified in this Specific Extension Contract, all of the terms of the Standard Industrial Experiment Contract and Annexes 1-4 included shall apply to this Specific Extension Contract. Save to the extent expressly specified in this Specific Extension Contract, all capitalized terms used in this Specific Extension Contract which are defined in the Standard Extension Contract shall have the meaning given in the Standard Extension Contract. In the event of a conflict between this Specific Extension Contract and the terms of the Standard Extension Contract, the terms of the Standard Extension Contract shall apply.
- 2.3.** The terms of Clause 11.1 of the Standard Extension Contract will apply to the signing and enforceability of this Annex 3.

3. SIGNATURES

Done in two originals, one for each Party.

Selected Third Party

Cascade Funding Partner

Name:
Title:
Date:

Name:
Title:
Date:

ANNEX C - Evaluation form

Individual evaluation/Consensus

Proposal No. :	Acronym :
<p>1. Excellence:</p> <p>The extension should be scientifically and/or technically sound. There should be a clear problem statement, a solid extension design, a good methodology, etc.</p> <p>Extension with low chances for success or requiring excessive support from the partners will get a lower score. In general, symbloTe prefers proposals, which want to integrate components already developed instead of build from scratch.</p>	<p>Score: (Threshold 3/5; Weight 1)</p>
<p>2. Impact:</p> <p>Potential for feedback to the sybmloTe consortium is valued positively</p>	<p>Score: (Threshold 3/5; Weight 1)</p>
<p>3. Quality and efficiency of the implementation</p> <p>The proposer should exhibit prior research/development experience and the necessary qualifications to perform the extension.</p> <p>The proper justified use of resources is given due consideration.</p>	<p>Score: (Threshold 3/5; Weight 1)</p>
<p>Remarks</p>	<p>Overall score: (Threshold 10/15)</p>

Does this proposal contain ethical issues that may need further attention?	NO	YES
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I declare that, to the best of my knowledge, I have no direct or indirect conflict of interest in the evaluation of this proposal

Evaluator No.1

Name	
Signature	
Date	

Evaluator No.2

Name	
Signature	
Date	

ANNEX D – Confidentiality and Conflict of Interest Declaration

I the undersigned declare that, in participating as an independent expert in the evaluation of proposals received in the open call of project symbloTe

I undertake to treat as confidential all information contained in the proposals which I am asked to evaluate, both during the evaluation and afterwards.

I will not reveal to any third party the identity or any details of the views of my fellow evaluator(s), neither during the evaluation nor afterwards

I do not, to the best of my knowledge, have any interest in any of the proposals submitted in this call, I have not been involved in their preparation and I do not benefit either directly or indirectly from the eventual selection. Should I discover a conflict of interest during the evaluation, I undertake to declare this and to withdraw from the evaluation.

Name	
Signature	
Date	