



UFO

Innovation boosted by
Small Flying Objects

UFO: Guide for applicants

VOUCHER SCHEME CALL 2 - TERMS AND CONDITIONS

VERSION 5.1

15-06-2021



The UFO project has received funding by European Union's Horizon 2020 research and innovation programme under grant agreement 873411

Table of Contents

BACKGROUND	4
1. UFO PROJECT	5
1.1 CONTENT	5
1.2 UFO PARTNERS	7
1.3 UFO FACTS & FINANCIAL INFORMATION	8
2. VOUCHER SCHEME: AUDIENCE & CHALLENGES	9
2.1 TARGET AUDIENCE	9
2.1 CHALLENGES	9
3. UFO INNOVATION VOUCHER SCHEME DESCRIPTION	12
3.1 WHICH IS THE VOUCHER SCHEME OFFERED?.....	12
3.2 WHAT FINANCIAL SUPPORT IS OFFERED?	13
3.3 ELIGIBLE COSTS AND MAXIMUM FUNDING OFFERED PER VOUCHER TYPE	14
4. UFO INNOVATION VOUCHER SCHEME: APPLICATION	16
4.1 ELIGIBILITY CONDITIONS	16
4.2 WHERE TO APPLY AND HOW?	17
4.3 WHEN TO APPLY?	17
4.4 RESUBMISSION PROCEDURE	17
4.4.1 If you did not receive funding in the first Open Call.....	17
4.4.2 If you already receive funding in the first Open Call.....	18
5. EVALUATION AND SELECTION PROCESS	18
5.1 CRITERIA	19
5.2 SCORING MECHANISM	20
5.3 EVALUATION PROCEDURE.....	20
6. PAYMENT CONDITIONS	21
6.1 GENERAL PAYMENT TERMS AND BENEFICIARIES’ OBLIGATIONS.....	21
6.2 WHICH ARE THE PAYMENT TERMS PER VOUCHER SCHEME TYPE?	22
7 MONITORING AND REPORTING PROCESS	23
8 CONFIDENTIALITY AND DATA PROTECTION	23
9 INTELLECTUAL PROPERTY RIGHTS AND DISSEMINATION	24
10 GENDER EQUALITY, DIVERSITY AND SOCIAL INCLUSION	24
11 DISCLAIMER	25
12 ENQUIRIES AND REDRESS PROCEDURE	25
ANNEX 1 - SME CONTACT POINTS	27

ANNEX 2 - UFO CLUSTERS AND REGIONS	28
ANNEX 3 - THE “FEASIBILITY” VOUCHER SCHEME TYPE	29
ANNEX 4 - THE “DEMONSTRATION” VOUCHER SCHEME TYPE	30
ADDENDUM - UFO CHALLENGES AND USE CASES IN THE FORM OF BRIEFING PAPERS	31



BACKGROUND

The **UFO** project - Emerging industries new value chains boosted by small **F**lying **O**bjects, has received funding from the EU's Horizon 2020 Programme under Grant Agreement 873411.

The UFO project is based on two main assumptions.

1/ **Business opportunities lie in the combination of space data with digital technologies and other sources of data.** Embedded Key Enabling Technologies (KETs) into small flying objects (SFOs - drones, small satellites, high altitude platforms) represent a great opportunity to collect additional aerospace data, especially to drive the Artificial Intelligence revolution for various global applications.

2/ The value-added applications in Europe are mostly **driven by SMEs.**

Thus, the UFO project aims at fostering the development of cross-sectoral industrial value chains between 6 emerging industries (Mobility technologies, Climate, Environment, Blue Growth, Digital Creative & Gaming and Finance & Insurance industries), SFOs, embedded KETs and data analysis and exploitation solutions stimulating the development of new products and services by SMEs. To achieve this, the consortium provides a systemic and strategic vision. Clusters, which gather SMEs, large groups, R&D actors, and other innovation entities, are crucial to create links between different value chains, basically the data providers and the information product providers that turn raw data into valuable information. The UFO consortium and associate partner consisting of 8 emerging industry clusters including 5 SFOs, embedded KETs, ICT clusters, representing more than 1000 SMEs throughout 5 different EU countries and sectors. The partners have the capacity to carry such actions as they will foster partnerships between the different links (their members) of value chains and provide them incentives through the launch of call for proposals providing **Financial Support to Third Parties** (called **Voucher scheme**) and innovation services provided by clusters. They represent some of Europe's most dynamic clusters including Gold and Bronze labelled ones with a history of cooperation, a track record of supporting innovation actions for SMEs.

As a bottom line, UFO project has collected **challenges and needs from end users** and potential customers, it is enhancing collaboration of SMEs from the different sectors (SFO, Embedded systems, ICT) in ideation sessions and is now opening application calls to fund up to 60 K€/SME for projects offering solutions to the challenges.

The Voucher Scheme aims at establishing a process allowing SMEs to develop **new cross-sectoral solutions** through a combination of direct and indirect innovation actions, as well as support and capacity building measures.

This voucher scheme is made to support and finance SMEs to bring their idea closer to realisation and market. SMEs are encouraged to submit their cross-border and cross-sectoral disruptive ideas to the present UFO Call for proposals detailing their business proposition, the technical and commercialisation challenges they face and the assistance they require.

This call for proposal is launched and supported by the UFO Consortium. **It's addressed to small consortium (2 or more) of SMEs, members of one of the UFO Partners or established in one of the UFO regions but in all cases with a business seat in one of the UFO countries. It will result in the selection of projects and the funding (voucher scheme) of €60.000 (maximum) per SME.** It's the second (and last) call for proposals that will be implemented during the frame of the project.

1. UFO PROJECT

1.1 Content

UFO (Emerging indUstries new value chains boosted by small Flying Objects), is a INNOSUP-1 project funded under the Horizon 2020 framework of the European Union, launched in May 2020.

UFO aims to support European SMEs in the development of innovative products and services by integrating new technological solutions and know-how provided by Small Flying Objects (SFOs):

1. Drones
2. High Altitude Platforms Systems (HAPS)
3. Small satellites

The project focuses on the related embedded digital technologies, Key Enabled Technologies (KETs), data analysis and exploitation solutions (ICT) for **6 emerging industries:**

1. Blue Growth
2. Digital Creative and Gaming
3. Mobility
4. Climate
5. Finance and Insurance
6. Environment

To reach this objective, UFO has collected **challenges and needs from end users** and potential customers, it is now willing to:

- enhance collaboration of SMEs from the different sectors (SFO, Embedded systems, ICT) in **ideation** sessions
- **fund projects** (collaboration of two SMEs) offering solutions to the challenges up to 60 K€ per SME.
- Following the successful completion of the projects, the UFO partners will offer to support the SMEs in their region / country to develop exploitation plans. This will include requirements for incubation, internationalisation, and business model development. Links with the SpaceWave and Space2ID GO projects will be established in order to provide additional support to SMEs' internationalisation. The UFO project will also hold a final Showcase event to promote the SMEs and their project results. The aim of the Showcase Event will be to provide the opportunity for all partners to network with each other, but also with potential customers, investors and business partners, so the attendance of this event will be strongly encouraged.

The objective of the present document is to give all the guide-lines for SMEs to answer to the application forms for the voucher scheme.



To better understand the UFO support measures, the background note to the Call topic "[H2020-INNOSUP-2018-2020](#)" and the [Annotated Model Grant Agreement](#) under Horizon 2020 are available to be consulted by applicants.

1.2 UFO partners

	<p>AEROSPACE VALLEY (AV) https://www.aerospace-valley.com FRANCE</p>		<p>MINALOGIC PARTENAIRES ASSOCIATION (Minalogic) https://www.minalogic.com FRANCE</p>
	<p>FOUNDATION CLUSTER INFORMATION AND COMMUNICATION TECHNOLOGIES (ICT CLUSTER) http://www.ictalent.org BULGARIA</p>		<p>ASOCIATIA CLUJ IT (CLUJ IT) https://www.clujit.ro ROMANIA</p>
	<p>ATHINA-EREVNITIKO KENTRO KAINOTOMIAS STIS TECHNOLOGIES TIS PLIROFORIAS, TON EPIKOINONION KAI TIS GNOSIS (CORALLIA) http://www.corallia.org GREECE</p>		<p>PARIS EUROPLACE (FinInnov) https://finance-innovation.org/ FRANCE</p>
	<p>MARINE SOUTH EAST LIMITED (MSE) https://www.marinesoutheast.co.uk U.K.</p>		<p>KNOWLEDGE TRANSFER NETWORK LIMITED (KTN) https://ktn-uk.org U.K.</p>

Associated Partner

Climate-KIC

<https://www.climate-kic.org>



FRANCE

1.3 UFO facts & financial information

Project Acronym	UFO
Project Title	Emerging indUstries new value chains boosted by small Flying Objects
Project Reference	H2020-INNOSUP-2019-01, Grant Agreement No: 873411
Project Topic	Cluster facilitated projects for new industrial value chains
Project Duration	33 months (01/05/2020- 31/01/23)
Website	www.ufoproject.eu
Overall Budget	€ 4 350 282.50 (EU contribution: € 4 350 282.50) € 3 600 000.00, 85% of the UFO budget will be allocated to direct financial support and innovation services provided by UFO partners
Budget of this call	€ 1 470 000.00

The budget of this call is planned to be splitted following the indicative table below.

Financial Support indicative breakdown of this call	Feasibility projects	Demonstration projects	Total
Estimated financial support	€ 220 000.00	€ 1 250 000.00	€1 470 000
Indicative number of projects to be supported	4	9	13

2. VOUCHER SCHEME: AUDIENCE & CHALLENGES

2.1 Target audience

The target audience of UFO Call for Proposal are **SMEs** active in one of the 6 emerging industries (Blue Growth, Digital Creative & Gaming, Mobility technologies, Climate, Finance & Insurance and Environment), SFOs, embedded KETs and data analysis and exploitation solutions, that are either member of one of the clusters in the UFO consortium or established or with a branch office in the UFO territorial scope, but in all cases with a business seat in one of the UFO countries (Annex 2).

The SME status is assessed according to the European Commission SME definition ([EU recommendation 2003/361](#)).

To apply to vouchers, the application should be done by **a consortium of at least 2 SMEs** from different sectors among the SFO technology, embedded KET and emerging industries' market.

Proposal applications from **cross-border consortia** (SMEs from different countries) are highly recommended.

Resubmission and reapplication are allowed either you received financial support in the first Open Call or not. Refer to the point 4.4 (Resubmission and reapplication procedure, p.17) to validate the eligibility of your reapplication.

2.1 Challenges

The UFO project aims at fostering the development of cross-sectoral industrial value chains between 6 emerging industries (**Blue Growth, Digital Creative & Gaming, Mobility technologies, Climate, Finance & Insurance and Environment**), SFOs, embedded KETs and **data analysis** and exploitation solutions stimulating the development of new products and services by SMEs.

UFO project has identified a range of challenges per emerging industry.

Challenges are meant to be indicative and in no case exhaustive. SMEs may present other ideas, in the context of the emerging industries, SFOs etc. A more detailed description of challenges as well as some indicative use cases per emerging industry can be found in the Addendum "UFO Challenges and Use Cases in the form of Briefing Papers".

1. BLUE GROWTH

The richness of resources within our seas and oceans is driving growth within sectors across the 'blue economy' including offshore energy, aquaculture and blue biotechnology. The management of these resources and of the activities to exploit them is demanding new capabilities in maritime surveillance. This is additional to the existing requirements for situational awareness capabilities in shipping and coastal security.

Maintenance of a surveillance capability on and beneath vast areas of ocean is very challenging. It requires capabilities that can both scan over millions of km² of ocean in a cost-effective way, but also deliver high value information services over target locations.

Some of the key challenges the UFO project would like SMEs to address are:

- Combatting illegal, unlicensed and unreported (IUU) fishing

- Managing coastal water quality
- Metocean monitoring and forecasting

2. DIGITAL CREATIVE AND GAMING

The digital era creates unprecedented opportunities for innovative, widely accepted and easy access applications in almost every aspect of human activity.

Digital Creative and Gaming sectors represent a set of industries which, due to social, cultural and technological advancement, experience a constant demand for further evolution: new cultural products, new touristic experiences and new forms of entertainment to mention a few, together with media, advertising, social interconnectivity, inspiration & creativity. Culture and Heritage is an always evolving with high growth potential sector, along with architecture / urban design, tourism/touristic experience, and Gaming.

Some of the key challenges the UFO project would like SMEs to address are:

- Applications in Culture and Heritage, Architecture and Urban planning
- Tourism / augmented and new touristic experiences
- Gaming; realistic games, advanced virtual and augmented reality

3. MOBILITY

The mobility sector is undergoing significant changes brought by social and technological disruptors. Connected and Automated Mobility (CAM) has made substantial progress over the last decade, affecting all transport sectors. From airplanes that can land themselves, automated trains, ships, cars, and even autonomous submarines, mobility is being reimaged. In the context of increased connectivity and automation in transport, SFOs can play an important role in facilitating a Zero Emissions – Accident Free future by solving some of the challenges that the sector is facing.

Some of the key challenges the UFO project would like SMEs to address are:

- Congestion, roadworks & asset monitoring
- V2X (Vehicle to everything)
- Last mile deliveries

4. CLIMATE

Climate change is a wide topic that often can be hard to define. It seems to regroup a vast range of activities, but it needs to clearly be addressed in order to face today's development. This is why we draw the line between Climate Change and the Environment sectors between the protection of the territory and the focus on the energy transition. The protection and valorisation of the territory will be explained in the right sector, but we included in Climate Change the uses-cases related to the transition and crisis management. We decided to take this direction as the energy transition is one of the important step to take to address climate change impact.

Some of the key challenges the UFO project would like SMEs to address are:

- Crisis management
- Energy optimisation
- Renewable Resources management

5. FINANCE & INSURANCE

Regarding the financial sector, there is a demanding need of information for decision making in the investment sector. Insurers and asset managers need big amounts of information to take economical and financial decisions. Small Flying Objects are an additional source of information for them. The potential projects that could be created thanks to data and capabilities offered by Small Flying Objects, could be directly used by these financial institutions or could be recommended to their own clients.

Some of the key challenges the UFO project would like SMEs to address are:

- Insurance sector (flooding monitor)
- Real State sector / new building construction areas
- Economic development / analyse city development

6. ENVIRONMENT (as a cross-cutting theme)

Environmental quality is critical to attainment of many of the Sustainable Development Goals defined by the UN. As environment is tackled as a cross-cutting theme, the following areas of environmental quality have been identified as examples to be incorporated in the sectors above:

- Air quality – adverse air quality can have dramatic adverse impacts on human health, and can be caused by multiple emissions to atmosphere by transport and industry sectors
- Land quality – unsustainable practices in land use (e.g. over grazing) as well as impacts from climate change can cause long term damage for food productivity
- Fresh water quality – discharges to streams and rivers, including diffuse discharges that are difficult to police can seriously affect human health and food resources

However, it should be noted that proposed applications encountering environment can also have a relevance and impact in one of the other five challenges of the UFO project.

The positive Environmental impact of your solution will have to be elaborate in your application. Your solution can cover other aspects than the Air / Land / Fresh Water quality if it is relevant.

Please note that SMEs also have the possibility to propose their own SFO application idea for one of the given emerging industries even if it's not listed as a challenge in the present call.

3. UFO INNOVATION VOUCHER SCHEME DESCRIPTION

This part is describing the different type of voucher offered in the frame of UFO, for SMEs intending to bring solutions that will address the needs expressed in the above paragraph 'challenges'.

3.1 Which is the VOUCHER scheme offered?

Two types of VOUCHER are offered in the present call for application and are presented in the following table.

Voucher type	Scope and indicative supported activities	Duration	TRL indication
Feasibility	<ul style="list-style-type: none"> • Technology feasibility analysis in a given market sector • Identification of the needed development for a technology to be adapted • Adaptation and development of the technology for a given market sector • Analysis of a new project concept for emerging industries • Test and technological integration in laboratory; technological maturation; <p>(Actions should lead to a prototype or a tests' report that validate the relevant TRL achievement)</p>	From 3 to 8 months	TRL upgrade should start at TRL≥4 minimum up-scaling to reach TRL 5 or higher
Demonstration	<ul style="list-style-type: none"> • Development and implementation of a demonstration of a product, solution, process, service or technology addressing one of the challenges and / or relevant to 	From 6 to 11 months	TRL upgrade should start at TRL≥5 minimum up-scaling to reach TRL 7 or higher

	<p>emerging industries' needs.</p> <p>(Actions should lead to a prototype or a tests' report that validate the relevant TRL achievement)</p>		
--	--	--	--

Please also consult Annexes 3, 4 and 5 for more detailed information on the type of activities that can be funded per type of VOUCHER.

Where the text refers to a TRL (Technology Readiness Level), unless otherwise specified, specific definitions apply ¹

3.2 What financial support is offered?

	Feasibility	Demonstration
Min. - Max financial contribution per beneficiary (SME)	€10.000 - €30.000	€60.000
Max financial contribution per project	€60.000	€150.000

- The maximum amount to be granted per SME shall not exceed €60.000 in total even in the case of multiple granted VOUCHER scheme type. **This limitation is including the funds received in the first and second Open Call.**
- SMEs applying as a consortium will benefit from VOUCHER scheme types up to €60.000 each (meaning a consortium of 2 SMEs can have up to €120.000 for a project).
- The €60.000 limit includes the costs of any specialized subcontractor that the SMEs may bring in their application. Subcontractors can typically be innovation actors such as Universities, Research Institutes, living labs and similar, but could be also Public Authorities, large companies, other specialized SMEs and similar.

¹

TRL 3	Experimental proof of concept
TRL 4	Technology validated in lab
TRL 5	technology validated in relevant environment (industrially relevant environment in the case of Key Enabling Technologies - KETs)
TRL 6	technology demonstrated in relevant environment (industrially relevant environment in the case of KETs)
TRL 7	system prototype demonstration in operational environment
TRL 8	system complete and qualified
TRL 9	actual system proven in operational environment (competitive manufacturing in the case of KETs)

- Each interested SME can apply to one or more voucher scheme types in accordance with its needs but can only ask for the maximum financial contribution cumulatively.

The table below is resuming the financial support indicative breakdown of this call (amount and expected number of supporting projects).

	Feasibility projects	Demonstration projects	Total budget of this call
Estimated financial support	€ 220 000.00	€ 1 250 000.00	€1 470 000
Indicative number of projects to be supported	4	9	13

3.3 Eligible costs and maximum funding offered per VOUCHER type

Successful proposals will receive the requested financial contribution in the form of a lump sum.

A lump sum is a fixed amount of money which can be used by beneficiaries for several purposes related to the achievement of the project objectives.

It is necessary to provide an explanation in the application on how the lump sum will be used including a clear budget proposal (personnel, subcontracting, travels, equipment, and consumables). Since the granting of a lump-sum does not foresee the delivery of a detailed financial reporting and timesheets, the use of the project budget will be controlled considering the technical advancements by the technical reviewers. The final technical evaluation will assess the coherence of the spent money with the achieved results. However, since beneficiaries will have to keep the original documents of their expenses (timesheets, invoices, contracts) in case of an audit (see section 4.1), the following rules and limitations per type of VOUCHER scheme must be respected.

Only costs generated during **the lifetime of the project** can be eligible². Costs described in the submitted budget must be determined in accordance with the usual accounting and management principles and practices of the beneficiary. Eligible costs are:

- **SMEs internal costs**
 - **direct staff costs:** costs hours of the staff of the beneficiary dedicated to actual work under the project.
 - **other direct costs:** further direct incurred costs can be claimed for travel, equipment (only depreciation costs) and consumables.

² Period of costs' eligibility is from the Sub-grant Agreement signature date until the end of the project.

- **Subcontracting costs** (*expert services; indicatively RTOs, University labs, bigger companies, specialized SMEs*): work carried out by a provider which has entered into an agreement on business conditions with the beneficiary.

In specific, the eligible costs and limitations per type of VOUCHER scheme are depicted in the following table.

VOUCHER scheme type	Eligible expenses
Feasibility	<p>SMEs internal costs: Staff costs (up to 80% of partner's and subsequently total project's budget), Travel costs, Equipment costs (depreciation only for the duration of the project)</p> <p>Subcontracting (expert services): up to 50% of partner's and subsequently total project's budget</p>
Demonstration	<p>SMEs internal costs: Staff costs (up to 80% of partner's and subsequently total project's budget), Travel costs, Equipment costs (depreciation costs - only for the duration of the project)</p> <p>Subcontracting (expert services): up to 50% of partner's and subsequently total project's budget</p>

Even if SMEs are applying as a consortium with a leader (coordinator), funding will go directly to each SME member of the proposal (as described in the proposal breakdown).

4. UFO INNOVATION VOUCHER SCHEME: APPLICATION

4.1 Eligibility conditions

Proposals will be eligible only if all the following conditions are met:

1. To be funded, applicants must be an SME and declare their SME status (e.g. staff headcount below 250, turnover below or equal to 50M€ or balance sheet total below or equal to 43M€) in accordance with the SME definition of the European Union. Please check the Commission recommendation for SME definition in the following link: [EU recommendation 2003/361](#).
If unsure, please check and carry out a quick SME self-assessment via as part of the application via [this link](#).
2. Be a member of one of the UFO clusters or having an office in one the UFO regions; in all cases with a business seat in one of the UFO countries (as defined in Annex 2).
3. Present a proposal with a consortium composed of at least 2 SMEs from different sectors among the SFO technology, embedded KET and emerging industries' market.
4. Present a proposal aiming at developing a solution for one of the six targeted emerging industries taking advantage of SFO and embedded technologies.
5. Applications must be written in English using a common template that respects the page limits for each section and must follow the online directions of the application submission tool found at www.ufoproject.eu.
6. Applications must be submitted through the online submission tool accessible at www.ufoproject.eu by 17:00 CET on the deadlines indicated in section 4.3 of the present call.
7. Financial stability:
 - The applicant is not "in difficulty" as defined at 2.1 of the Community Guidelines and State Aid for Rescuing and Restructuring Firms in Difficulty (2004/C22/02)
 - The applicant is not in liquidation and has not been declared bankrupt or has initiated bankruptcy procedures
 - The applicant has no convictions for fraudulent behaviour, other financial irregularities, unethical or illegal business practices.

Selected SMEs should be able to provide some basic information of their financial standing.

The following documents could be asked after the selection procedure:

- Copy of the profit and loss account
- Balance sheet for the last two years for which accounts have been closed. Failing that, appropriate statements from banks shall be submitted.
- Compliance with obligation relating to the payment of social security contributions and the payment of taxes, in accordance with the legal provisions of the country in which the applicant is established.

In case of SMEs (or startups) without a financial history or track-record, an audit of their current fiscal period (certified by an external auditor) or a self-declaration, including a Business Plan for the on-going financial year could be required.

Additional important considerations for the application:

- Project duration 3 months minimum to 8 months maximum for Feasibility Study; 6 months minimum to 11 months maximum for Demonstration projects.

- A resubmission of your application or a new application are allowed (see article 4.4 for details)
- **Proposal applications from cross-border consortia (SMEs from different countries) are highly recommended; the evaluation procedure will give some preference to these applications.**

4.2 Where to apply and how?

Applicants must use the online submission tool available on the UFO project site www.ufoproject.eu, and follow the directions provided.

After submission, the applicant will receive an automatic acknowledgement / receipt of proposal submission with date and time.

SMEs applying to the call as a consortium should fill in one (1) proposal. One of the involved SMEs acting as “coordinator” is responsible for the completion of all required information and submission of the proposal via the online tool. However funding will go directly to each SME member of the proposal (as per proposal breakdown) and not via the coordinator.

Below you can take a look at the main sections of the application form:

1. Basic Information
2. Consortium Information
3. Project Information
4. Section 1: Scientific and/or technological excellence
5. Section 2: Quality and efficiency of the implementation
6. Section 3: Potential impact
7. Section 4: Cross-border consortium
8. Section 5: Resources (workplan and budget)
9. Section 6: Gender Equality, Diversity and Social Inclusion
10. Section 7: Declarations

4.3 When to apply?

The UFO VOUCHER Scheme 2nd Call is launched on June 15th 2021.

Applications must be submitted **prior to the submission deadline at 17:00 CET on 7th October 2021.**

4.4 Resubmission and reapplication procedure

There is no objection for a resubmission of your proposal or reapply in the second Open Call, you may find the relevant procedure with your situation.

Note that the evaluation of your application will be subject to the same criteria and degree of expectation as the other applicants. No preference or penalty will be applied.

4.4.1 If you did not receive funding in the first Open Call.

You are free to resubmit either your previous project proposal or another project proposition. The eligibility criteria will be applied as it is your first application and the evaluation procedure will be the same as the

other applicants. However, you are encouraged to improve your application with the comments from evaluators you received from the Evaluation Summary Report of your first submission.

4.4.2 If you already receive funding in the first Open Call

If you already received financial support from UFO under the first Open Call, you can reapply for a feasibility study or a demonstration in the Second Open Call if you comply with the specificities mentioned below:

- You cannot apply for the same project or resubmit a proposition including tasks related to another project **already funded** under the first Open Call. The consortium UFO will not evaluate an application asking to fund the same tasks twice.
- The continuation of a project can only be conducted from a feasibility study to a demonstration.
- The funds available in your reapplication are subject to the funds you already received under the first Open Call.

The limit of available funding of 60 000 € per partner is including the two Open Calls. You are allowed to request only for the difference between the maximum funding of 60 000€ and the funds you already received (i.e. If in the first Open Call, you received 24 000€ under demonstration voucher for a Project A, you can reapply for the second Open Call requesting a maximum of 36 000€).

Those limitations are applied either you are requesting for a feasibility or demonstration voucher. An application including a partner not respecting any of those criteria will not be evaluated.

5. EVALUATION AND SELECTION PROCESS

An assessment procedure will be followed safeguarding the principles of transparency and equal treatment as described below.

- **Eligibility check** of the Application
- **Individual evaluation** of the Application by the Application Review Panel (3 evaluators from 3 different UFO partner Clusters)
- **Combined evaluation report** for each Application.
- **Final ranking**

Important note to applicants: Terms and Conditions described in this Guide for Applicants / Call for Proposals, should be considered as mandatory terms and any incompliance may lead to proposal disqualification.

Examples for proposal disqualification (indicative and not exhaustive):

- Applicant just a single SME and not a Consortium of 2 or more SMEs.
- Applicant and / or Consortium request budget higher than the maximum allowable, including the funds already received in the UFO first Open Call, if applicable.

- Applicant is not within territorial scope of the UFO project.
- Applicant does not address one of the UFO challenges / emerging industries.
- Applicant does not respect the guidelines for the resubmission / reapplication.

5.1 Criteria

The evaluation and ranking of applications will be based on a set of criteria in addition to the above-mentioned main eligibility requirements.

Proposals will be selected according to different quantitative and qualitative criteria, set and agreed, based on proposal Excellence, Implementation and Impact parameters as well as cross-border/sectoral partnership and similar.

The following table explains the different aspects which will be considered for each evaluation criterion.

Evaluation criteria (For Feasibility and Demonstration Projects)			
Criteria	Sub-criteria	Score	Weighted Score
1. Scientific and/or technological excellence	1.1 Scientific and technical quality, business need and market opportunity	5	15
	1.2 Innovative potential, novelty, originality	5	10
	1.3 Feasibility of the proposal as described by work plan	5	10
Total criteria 1			35
2. Quality and efficiency of the implementation	2.1 Quality, complementarity and relevant experience of the individual participants	5	10
	2.2 Appropriateness of the management structures and procedures, including risk and innovation management	5	5
	2.3 Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources	5	10
Total criteria 2			25
3. Potential impact	3.1 Economic impact	5	15
	3.2 Social and Environmental impact	5	10

	3.3. Market and value chain impact	5	15
Total criteria 3			40
4. Cross-border partnership	Involvement of cross-border partnerships		+ 10%

5.2 Scoring mechanism

Each sub-criterion is rated between 1 and 5 points; no half-points are allowed (decimal points may arise during normalization, but not as an individual evaluation grade). Each sub-criterion has a dedicated weight for the final score. Score per criterion is the sum of the individual sub-criteria weighted scores.

For criterion “Scientific and/or technological excellence” the maximum score is 35 points, for criterion “Quality and Efficiency of Implementation” the maximum score is 25 points and for criterion “Potential Impact” the maximum score is 40 points.

The total score in all vouchers is comprised by adding the scores of the three criteria and will be maximum 100 points.

Criterion Cross-border partnership (if it exists such a partnership in the consortium) will give a “push” of 10% based on the obtained mark for the final score.

The threshold for the individual criteria is 60% of the maximum score of each criterion. The threshold for the overall score is 70% of the maximum score. Proposals where in one of the three individual criteria score below 60% or the overall score is below 70% will not be recommended for funding.

In case of proposals with equal overall scores, the prevailing one is the proposal with a cross-border partnership (if there is one), and if not then the proposal that has the higher score in the criterion of “Impact”, then “Excellence” and then “Implementation” in this order.

The meaning of the scores with respect to the sub-criteria are as follows:

- **1 - Poor.** The sub-criterion is addressed in an inadequate manner, or there are serious inherent weaknesses.
- **2 - Fair.** While the proposal broadly addresses the sub-criterion, there are significant weaknesses.
- **3 - Good.** The proposal addresses the sub-criterion well, but with at least one moderate weakness.
- **4 - Very good.** The proposal addresses the sub-criterion very well, although with minor weaknesses.
- **5 - Excellent.** The proposal successfully addresses all relevant aspects of the sub-criterion in question. Any shortcomings are minor.”

5.3 Evaluation procedure

Submitted Innovation VOUCHER scheme type applications will be assessed by the Application Review Panel consisting of three individual evaluators, typically one from a different Cluster partner of the UFO consortium UFO partners (3 reviewers / evaluators per application).

The selection of the members of the consortium participating to the evaluation of each proposal will ensure that typically there is one representative of one SFO, embedded KETs and/or ICT technology cluster, one representative of the concerned emerging industry cluster and one representative of the cluster the applicant is member of and/or is established in the region.

The assessment period shall take max. two (2) months starting from the closing date of the call. The selection of the successful applicants will be done by a jury (Selection Jury) composed from at least one representative from each UFO partner. The Selection Jury will base its decision mainly on the ranking list of the scores of the submitted proposals. The applicants will receive an e-mail about the outcome of the assessment directly after the assessment is finalised along with instructions for the next steps in the case the applicant is awarded. The successful applicants will be requested to sign a formal sub-grant agreement with the UFO coordinator within 30 days.

The successful proposals for funding will be selected based on the final ranking list and on the recommendations of the Selection Jury.

The UFO consortium is committed to foster skilled and diverse projects that reflect the European partnership of the project. In case of identical scoring, we will promote an equity and encourage a fair financial contribution among the emerging industries and the SMEs from the participating countries. The successful proposals for funding will be selected based on the final ranking list and consideration mentioned.

The UFO consortium is committed to ensure that the top ranked proposals from the industries and participating countries are being funded within the budget available for the second Open Call.

Projects of the 2nd call for proposals should start the latest on 31st January 2022. In any case no project can end later than 15th November 2022.

6. PAYMENT CONDITIONS

6.1 General payment terms and beneficiaries' obligations

- All payments will be made in Euros (€).
- Expenditures incurred before the Sub-grant Agreement signature date, or after the project duration period are ineligible for remuneration.
- Costs incurred for the implementation of the project must be used for the sole and close purpose of achieving the objectives of the project and its expected results, in a transparent manner consistent with the principles of economy, efficiency and effectiveness.
- Beneficiaries must set up internal consortium agreements regulating their cooperation. UFO will not be responsible for paying any costs applied for and incurred by the beneficiaries in case of non-compliance with the terms and conditions of the UFO funding scheme.
- Submission of an application does not constitute an entitlement for funding.
- The recipients of the (financial) support from UFO ("Beneficiaries") must ensure that the [European Commission](#), the [European Anti-fraud Office \(OLAF\)](#) and the [Court of Auditors \(ECA\)](#) can exercise their powers of control, on documents, information, even stored on electronic media, or on the

final recipient's premises as detailed in Article 22 and 23 of the [Annotated Model Grant Agreement of the H2020 Programme](#).

Beneficiaries' obligations are the following:

- The SME/consortium must — for a period of five-years after the payment of the balance — keep records and other supporting documentation in order to prove the proper implementation of the action.
- They must make them available upon request or in the context of checks, reviews, audits or investigations.
- If there are on-going checks, reviews, audits, investigations, litigation or other pursuits of claims under the grant agreement (including the extension of funding), the SME/consortium must keep the records and other supporting documentation until the end of these procedures.
- The SME/consortium must keep the original documents. Digital and digitalised documents are considered originals if they are authorised by the applicable national law. Non-original documents may be accepted if they offer a comparable level of assurance.

6.2 Which are the payment terms per VOUCHER scheme type?

In all VOUCHER scheme types there will be a pre-financing within 30 days from the signature of the sub-grant agreement.

Payment will be effected in three (3) installments for projects with total project budget above 90 000.00 Euros and two (2) installments for projects with total project budget below 90 000.00 Euros, as presented in the following table:

VOUCHER scheme type	Payment Scheme
<p>Demonstration projects with total budget \geq € 90 000.00</p>	<p>3 payment instalments:</p> <p>Pre-financing - 30 days after Grant Agreement contract signature between the awarded SME and the UFO coordinator Aerospace Valley: Transfer of 40% of the maximum grant awarded.</p> <p>Interim payment - 30 days after the validation / acceptance of the deliverables, respective milestones and progress reports of the awarded project: Transfer of 30% at maximum of the maximum grant awarded.</p> <p>Final payment - 30 days after the validation / acceptance of deliverables and final report of the awarded project: Transfer of 30% at maximum of the maximum grant awarded.</p>
<p>Feasibility and Demonstration projects with total budget \leq € 90 000.00</p>	<p>2 payment instalments:</p>

	<p>Pre-financing - 30 days after Grant Agreement contract signature between the awarded SME and the UFO coordinator Aerospace Valley:</p> <p>Transfer of 60% of the maximum grant awarded.</p> <p>Final payment - 30 days after the validation / acceptance of the deliverables, and final report of the awarded project:</p> <p>Transfer of 40% at maximum of the maximum grant awarded.</p>
--	---

7 MONITORING AND REPORTING PROCESS

Maximum 1 (one) month after the end of each reporting period, as it will be defined in the sub-grant agreement, the UFO Beneficiaries shall provide an overall performance progress report for the Project along with the respective deliverables validating the work as well as a brief financial statement with the expenses for the period according to the respective VOUCHER scheme type categories.

The purpose of the above is to evaluate:

- the degree of fulfilment of the project work plan for the relevant period and of the related deliverable(s);
- the continued relevance of the objectives and breakthrough potential with respect to the scientific and industrial state of the art;
- the expected potential impact in economic, competition and social terms, and the UFO Beneficiary's cooperation to elaborate a dissemination of foreground plan.

8 CONFIDENTIALITY AND DATA PROTECTION

GDPR compliance: The General Data Protection Regulation (2016/679/EU) guarantee that the processing of data is carried out in compliance with the fundamental rights and freedoms, as well as the dignity of the data subject with particular reference to confidentiality, personal identity and the right to data protection.

UFO consortium is implementing an efficient and fair data protection process in accordance to the General Data Protection Regulation implemented in the European Union (GDPR) on the 25th of May 2018.

By applying, the applicant can agree or disagree on the storage and use of its personal data for the execution of the UFO objectives and work plan, by ticking the relevant box. The UFO consortium commits to handling personal data confidentially except for the call results, which will contain the following information:

- Information about successful UFO VOUCHER scheme types applications that will be made publicly available before the end of the project containing: project title, names of project partners and short project description (as provided by the applicant in the application template).

- Information about successful UFO VOUCHER scheme types that will be made publicly available after the end of the project: project title, names of project partners, awarded funding and updated short project description (as provided by the project partners in the Final Report).

The processing of data that UFO intends to carry out will be based on lawfulness and correctness in the full protection of its rights and its confidentiality pursuant to the general principles of the GDPR and its art.24. Therefore, the competitors are informed of the procedure that the data provided by the applicants will be treated exclusively with reference to the procedure for which they submitted the documentation.

The applicants can exercise their rights towards the data controller, pursuant to article 12 et seq of the GDPR. UFO project has assigned a Data Protection Officer (DPO); contact details of the DPO officer are found in section 1.3 UFO contacts. For any inquiries regarding the processing your personal data, please contact the DPO officer.

9 INTELLECTUAL PROPERTY RIGHTS AND DISSEMINATION

The applicants are advised to arrange for internal contracts regarding Intellectual Property Rights, the use and dissemination of the results generated by the project teams through the funding obtained via UFO VOUCHER scheme types.

For details on rights and obligations related to results, the project teams can refer to Chapter 4/Section 3 of the https://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

For dissemination and use of results generated through the financial support from UFO, **the recipients must credit the UFO project through proper citation and appearance of the UFO logo and EU Logo**, including the proper citation "This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 873411-UFO".



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 873411-UFO



10 GENDER EQUALITY, DIVERSITY AND SOCIAL INCLUSION

UFO seeks gender balance and social inclusion. Therefore, applicants are invited to take all measures to promote equal opportunities between men and women in the implementation of the action. They must aim for a gender balance at all levels of personnel assigned to the action, including supervisory and managerial levels to the extent possible. Applicants are also invited to take all measures to address diversity and social inclusion issues including lower income consumers, disabled people, and older people.

11 DISCLAIMER

Purpose: This text is explaining the UFO VOUCHER scheme type for information purposes only. No rights can be claimed on the basis of this document. This document does not reflect the views of the European Commission and EASME.

Mistakes or inconsistencies: The UFO consortium is not responsible for any mistakes or misinterpretations that this text may cause. In the case of inconsistencies, the UFO Executive Board will determine the steps to be taken, in cooperation with the applicant concerned.

Consequential damages: In no event shall either party be liable to the other or any of its affiliates for any consequential, incidental, indirect, special, punitive or exemplary damages (including, without limitation, lost profits, business or goodwill) suffered or incurred by such other party or its affiliates in connection with this VOUCHER scheme type scheme, even if advised of the possibility of such damages.

Gender equality: UFO seeks gender balance. Therefore applicants are invited to take all measures to promote equal opportunities between men and women in the implementation of the action. They must aim for a gender balance at all levels of personnel assigned to the action, including supervisory and managerial levels to the extent possible.

12 ENQUIRIES AND REDRESS PROCEDURE

For any enquiries regarding the UFO VOUCHER scheme type and application, please contact ufo@corallia.org or your local contact point (Annex 1). Questions will be accepted until one week before the submission deadline. Answers will be added to a FAQ document on the UFO website to be accessible by all applicants.

For technical issues concerning the submission procedure, please contact tech-support@fundingbox.com

For general question about the project UFO, we invite you to see our FAQ section of UFO Website: <https://www.ufoproject.eu/> . For any additional enquiries regarding the UFO project, please contact the project Coordinator: Mr. Thaddé Bouchard | bouchard@aerospace-valley.com

For any questions regarding Data Protection please contact the Data Protection Officer (DPO):
Mr. Antoine GRIMBERT | GDPR@aerospace-valley.com

For the Redress Procedure:

Any complaints against the project selection process have to be submitted by the applicant on behalf of the project to contact@ufoproject.eu within 10 calendar days after the notification of the evaluation results.

The applicant shall clearly specify what failures or mistakes have happened during the assessment of the proposal and include clear references to the relevant programme documents (Terms and Conditions, application form, etc.). Prior to filing a complaint, the applicant is strongly advised to request additional information from the SME regional contact points (Annex 2) within the timeframe (10 calendar days) available for submitting a complaint. Only one request for redress per asset application will be considered by the Committee. All requests for redress will be treated in confidence.

The Review Committee, which consists of members of the UFO consortium (Corallia, KTN, Aerospace Valley), will examine the complaint on the basis of the information brought forward by the applicant, will assess the case and decide whether the complaint is justified or not and will inform the applicant and the consortium on the decision taken.

If the complaint is considered justified, the Review Committee will notify the evaluators to re-evaluate the project application and the related assessment part, subject to the complaint. The evaluators will then provide the Review Committee with an updated assessment. The final decision on the complaint will be communicated by the Review Committee to the applicant in writing within 20 working days from the date of submitting the complaint. This decision will be final, binding to all parties and not subject to any further complaint proceedings within the programme if the complaint is based on the same grounds.

ANNEX 1 - SME CONTACT POINTS

FRANCE				
AV MINALOGIC FinInnov	Thaddé Bouchard Laure Quintin Gisela Sanchez	bouchard@aerospace- valley.com Laure.quintin@minalogic.com gisela.sanchez@finance- innovation.org	David Gal-Regniez Lucile Aniksztejn	david.gal- regniez@minalogic.com lucile.aniksztejn@finance- innovation.org
BULGARIA				
ICT CLUSTER	Krasimira Shindarova	Krasimira_shindarova@ictclust er.bg	Anna Naydenova	Anna_naydenova@ictcluster.bg
ROMANIA				
CLUJ IT	Robert Cincu	robert.cincu@clujit.ro	Andrei Kelemen	Andrei.kelemen@clujit.ro
GREECE				
CORALLIA	Nektaria Berikou	UFO@corallia.org	Panagiotis Tsatsoulis	UFO@corallia.org
U.K.				
MSE KTN	David Rea Viola Hay	dr@mseuk.org ufo@ktn-uk.org	Sarah Johnson George Filip	sj@mseuk.org ufo@ktn-uk.org

ANNEX 2 - UFO CLUSTERS AND REGIONS

To be eligible for UFO VOUCHER scheme types the applicant must fulfill at least one of the following requirements:

1. Be member of one of the clusters in the UFO consortium.
2. Be established or have a branch office in the UFO territorial scope, as shown below.

France:	the whole country
Bulgaria:	the whole country
Romania:	the whole country
Greece:	the whole country
U.K.:	the whole country

For cluster membership information, please contact your preferred **UFO cluster**:

 <p>AEROSPACE VALLEY (AV) https://www.aerospace-valley.com FRANCE</p>	 <p>MINALOGIC PARTENAIRES ASSOCIATION (Minalogic) https://www.minalogic.com FRANCE</p>
 <p>FOUNDATION CLUSTER INFORMATION AND COMMUNICATION TECHNOLOGIES (ICT CLUSTER) http://www.ictalent.org BULGARIA</p>	 <p>ASOCIATIA CLUJ IT (CLUJ IT) https://www.clujit.ro ROMANIA</p>
 <p>ATHINA-EREVNITIKO KENTRO KAINOTOMIAS STIS TECHNOLOGIES TIS PLIROFORIAS, TON EPIKOINONION KAI TIS GNOSIS (CORALLIA) http://www.corallia.org GREECE</p>	 <p>PARIS EUROPLACE (FinInnov) https://finance-innovation.org FRANCE</p>
 <p>MARINE SOUTH EAST LIMITED (MSE) https://www.marinesoutheast.co.uk U.K.</p>	 <p>KTN LIMITED (KTN) https://ktn-uk.org U.K.</p>

Associated Partner : Climate-KIC <https://www.climate-kic.org>



FRANCE

ANNEX 3 - THE “FEASIBILITY” VOUCHER SCHEME TYPE

Calendar dates	<p>Launch: 15/06/2021</p> <p>Submission Deadline: 07/10/2021, @17.00 CET</p>
Financial contribution (Grant)	€10.000-€30.000/ SME & up to €60.000/project
Project duration	minimum 3 to maximum 8 months
Specific eligibility requirements	<p>At least 2 SMEs: one SFO technology/ embedded KETs, ICT SME and one market SME from one of the six targeted emerging industries.</p> <p>Preference will be given to cross-border consortia (please see Annex 2 for Clusters and Regions).</p>
Eligible expenses	<p>SMEs internal costs: (Staff costs (up to 80% of partner's and subsequently total project's budget), Travel costs, Equipment costs (depreciation only for the duration of the project)).</p> <p>Subcontracting (Expert services up to 50% of partner's and subsequently total project's budget (indicatively RTOs, University labs, bigger companies, specialized SMEs).</p>
Indicative supported activities	<ul style="list-style-type: none"> • Technology feasibility analysis • Adaptation and development of the technology for a given market sector • Analysis of a new project concept for emerging industries • Test and technological integration in laboratory; technological maturation; TRL upscaling
Indicative TRL	<p>Actions regarding TRL upgrade should start at \geqTRL 4 minimum up-scaling to reach TRL 5 or higher.</p> <p>Actions must lead to a prototype or a tests' report that validate the relevant TRL achievement.</p>
Payment scheme	<p>2 payment instalments</p> <p>Pre-financing - 30 days after Grant Agreement contract signature between the awarded SME and the UFO coordinator Aerospace Valley: Transfer of 60% of the maximum grant awarded.</p> <p>Final payment - 30 days after the validation / acceptance of the deliverables, and final report of the awarded project: Transfer of 40% at maximum of the maximum grant awarded.</p>

ANNEX 4 - THE “DEMONSTRATION” VOUCHER SCHEME TYPE

Calendar dates	<p>Launch: 15/06/2021</p> <p>Submission Deadline: 07/10/2021, @17.00 CET</p>
Financial contribution (Grant)	up to €60.000/SME & up to €150.000/project
Project duration	Minimum 6 to maximum 11 months
Specific eligibility requirements	<p>At least 2 SMEs: one SFO technology/ embedded KETs, ICT SME and one market SME from one of the six targeted emerging industries.</p> <p>Preference will be given to cross-border consortia (please see Annex 2 for Clusters and Regions).</p>
Eligible expenses	<p>SMEs internal costs: (Staff costs (up to 80% of partner's and subsequently project's budget), Travel costs, Equipment costs (depreciation costs - only for the duration of the project))</p> <p>Subcontracting (Expert services): up to 50% of partner's and subsequently total project's budget (indicatively RTOs, University labs, bigger companies, specialized SMEs).</p>
Indicative supported activities	Development and implementation of a demonstration of a product, solution, process, service or technology addressing one of the challenges and / or relevant to emerging industries' needs.
Indicative TRL	Actions regarding TRL upgrade should start at \geq TRL 5 minimum up-scaling to reach TRL 7 or higher. Actions must lead to a prototype or a tests' report that validate the relevant TRL achievement.
Payment scheme	<p>2 payment instalments if total budget \leq € 90 000.00</p> <p>Pre-financing - 30 days after Grant Agreement contract signature between the awarded SME and the UFO coordinator Aerospace Valley: Transfer of 60% of the maximum grant awarded.</p> <p>Final payment - 30 days after the validation / acceptance of the deliverables, and final report of the awarded project: Transfer of 40% at maximum of the maximum grant awarded.</p> <p>3 payment instalments if total budget \geq € 90 000.00</p> <p>Pre-financing - 30 days after Grant Agreement contract signature between the awarded SME and the coordinator Aerospace Valley: Transfer of 40% of the maximum grant awarded.</p> <p>Interim payment - 30 days after the validation / acceptance of the deliverables, respective milestones and progress reports of the awarded project: Transfer of 30% at maximum of the maximum grant awarded.</p> <p>Final payment - 30 days after the validation / acceptance of deliverables and final report of the awarded project: Transfer of 30% at maximum of the maximum grant awarded.</p>

ADDENDUM - UFO CHALLENGES AND USE CASES IN THE FORM OF BRIEFING PAPERS
