



Grant Agreement No.: 871498
Call: H2020-ICT-2018-2020

GUIDELINES FOR APPLICANTS

DAPSI 3rd open call for proposals

Closing Date for Proposals:
Tuesday, 23rd November 2021 at 5:00 pm CET

Table of Contents

1	OVERVIEW AND SUMMARY OF THE OPEN CALL.....	4
1.1	What types of projects will be eligible?	5
1.2	What happens after the proposals are submitted?	12
2	ELIGIBILITY CRITERIA	13
2.1	Types of beneficiaries.....	13
2.2	Project scope	14
2.3	Eligible countries.....	15
2.4	Language	15
2.5	Multiple submissions	15
2.6	Submission system	16
2.7	Deadline	17
2.8	Absence of conflict of interest.....	17
2.9	Other	17
3	EVALUATION PROCESS	18
3.1	Evaluation proposals and access to DAPSI programme.....	18
3.2	Negotiation process	20
4	FINANCIAL SUPPORT PROVIDED	24
4.1	Origin of the funds	26
5	PREPARATION AND SUBMISSION OF PROPOSALS	27
6	APPLICANTS COMMUNICATION FLOW	29
6.1	General communication procedure	29
6.2	Appeal procedure	29
7	TECHNICAL SERVICES AND INFRASTRUCTURES	31
8	INTELLECTUAL PROPERTY RIGHTS (IPR)	32

8.1	IPR ownership of the sub-granted projects.....	32
8.2	Communication obligations	32
8.3	Data exchange with other NGI projects	32
9	SUPPORT FOR THE APPLICANTS.....	33
10	SCHEDULE.....	34

Index of Figures

FIGURE 1: DAPSI EVALUATION PROCESS SCHEME.....	18
FIGURE 2: DAPSI MAIN MILESTONES AND PAYMENTS.....	26

1 OVERVIEW AND SUMMARY OF THE OPEN CALL

As users of the internet, we sometimes feel as if our data is no longer under our own control. When some online service conveniently stores our data for us without even asking, it often turns out impossible to get it out in one piece later on. That is a rather hefty problem, if you consider how we do online these days. And it becomes increasingly urgent if you want to actually stop using a service – for instance because you realise that the company is seriously violating your privacy, doing business in an unethical way, overcharging you or just because you run into serious limitations of the service. At that point in time, you need service portability and data portability: a convenient way to switch services and take your data with you without unnecessary friction. An important way to reach these goals, is through free and open-source software that you can run anywhere – either on a machine you own yourself, or anywhere in the cloud. But of course, you still need the software to do what you need to do. And that may require significant effort.

DAPSI, the Data Portability and Services Incubator, is a European project funded by the European Commission under the European Union's Horizon 2020 Research and Innovation Programme, and part of the European Commission's Next Generation Internet (NGI) initiative.

It was launched in November 2019, to help develop address the challenge of personal data portability on the internet as foreseen under the GDPR, as well as any other interesting topics related to data and service portability including free-flow of personal data.

DAPSI will support some 50 projects through a total of three open calls in three years, distributing a total amount of €5.6M.

This 3rd open call will fund some relevant open-source projects that help us create a better internet, distributing an approximate grant of 2.5M€. Individuals and organisations can apply. The call is open for submission **from 23rd September 2021 until 23rd November 2021, at 5 p.m. (CET).**

In addition to a grant to deliver your project, DAPSI will give you various kinds of support – both technical and non-technical through a 9-month programme. You can apply for a grant up to 150.000€ and progresses until the end of the programme as follows:

- DAPSI's **Phase 1** (about 5 months duration), will help the selected teams to clearly detail the R&I activities to be carried out and will provide them with funding (up to € 100,000), technical and non-technical support services and potentially access to FIWARE Lab Infrastructure. By the end of this phase, the selected teams will deliver at least a first prototype of their solutions to demonstrate how their solution shall look like and will operate.
- After an assessment made by a panel of qualified experts and based on milestones and results achieved, the performing teams will get into phase 2. In **Phase 2** (about 4 months duration) the teams will implement an operational and viable solution (e.g. MVP (Minimum Viable Product) or service or similar). They will receive an additional funding (up to € 50,000) and support with a pack of technical and business-related services as well as access to top infrastructure, if needed.

Notice that the number of projects selected to access phase 2 is kept open, subject to the availability of funds and quality of the projects evaluated at the end of phase 1.

1.1 WHAT TYPES OF PROJECTS WILL BE ELIGIBLE?

Projects must be based on innovation and research on components that are relevant for Data and Service Portability. Ideally, end-users need to be able to separate their content and data from internet-based software and services. This ability would re-establish the boundaries between content owner and service provider, allowing alternative and complementary services to be mixed and matched. DAPSI is looking for concrete solutions that benefit real users, not for paper exercises.

Not every problem can be fully addressed within the time frame of participation in DAPSI. Thus, parts/components of a bigger project are also eligible for funding, enhancing open systems, developing and improving federated systems, interworking, for consumer and business services, such as calendaring, office applications. Open-source results are expected as it allows for reusability future extensions.

It is **highly recommended to use Free and Open-Source Licenses** (i.e. Free and Open Source Software and Open Source Hardware) **and Open Standards**. If not, it should be duly justified.

The project should have a strong research part and main work dedicated to technical development and tangible outcomes that benefit real users. Projects delivering paperwork as main (or only) output at the end of the project will not be selected as it is not the scope of the call. We expect running code, and that even holds for projects that focus on standardization.

NGI DAPSI will support projects on data and service portability in general including the following sub-domains. Notice that there is not a pre-defined number of projects to be funded under each subdomain.

- **Data Transparency** for a more transparent personal data storage and a more fine-grained data transfer when exercising personal data access rights;
- **Data Compatibility & Interoperability** to facilitate switches between service providers;
- **Security & Privacy** of consumers when their personal data are transferred from one provider to another.
- **Service Portability** to empower users to share their data with any service provider and host that they trust;
- **Data Sovereignty** to empower users to transfer a complete data set or parts of it to any new provider without giving reasons;
- Other relevant Data and Service portability projects

The subdomains are not separate but merge into one another. This transition can be fluid.

The results of the funded projects should become available with Open Licences and/or standards (i.e., Open Software and/or Creative Commons, Open Hardware) and advance the state of the art. Re-use of Open data for the specific use-case should be prioritized. In case the applicants plan to use their own data that are worthwhile for the community at large, it should be published according to the FAIR principles.

What can you do to make the internet more open, and help people take back their data?

An indicative list of possible areas of concern/opportunities (specific topics) is provided below. Notice that proposers may use these suggestions as inspiration for developing their projects or may address additional fitting topics for which they have clearly identified a user need or market demand.

DATA TRANSPARENCY

Whenever private citizens exercise a data access right, companies must answer within a legally defined period of time. However, they do not have to follow any specific data structure. This sub-domain concerns personal data storage that is clearly structured in order to be able to answer personal data requests in a more fine-grained fashion (e.g. obtain specific personal information rather than a text block). Solutions might follow best practices and adopt standard structures (e.g. vocabularies, metadata descriptions, and formats), while at the same ensuring that all the legal clauses are respected. More data transparency also improves data traceability when ported across different providers. Often a combination of user experience (UX), legal and technical challenges need to be taken into consideration.

Possible areas and aspects of work are therefore the following (a combination of which is also welcome):

- Best practices, technologies, or data frameworks that enable the user to more easily get an overview of which data has been collected, stored, manipulated, and analyzed. Solutions should ensure proper treatment of the data (e.g., via tamper-proof timestamps, data watermarking, sticky labels, blockchain), assuring the control of the traceability, and keeping an eye on the overall personal data life cycle (capture, processing, analysis, storage etc. of data).
- Design, implementation, and deployment of data visualization tools that improve user understanding of the structure and interrelationship of data. Solutions should address issues such as defining the minimum needs of the personal data and consider visualizing different types of data, including, for instance, 'hidden' metadata.
- Frameworks, best practices, or technologies that formalize the conditions (purpose-based access control, security, and privacy measures) as well as legal compliance aspects.
- Best practices and user interfaces that present the - privacy conditions to the user in such a way that the user understands the content (clear and understandable language in a user-centered design), can personalize the privacy settings (negotiation) and enables consent management. Solutions should enable the users to actively choose their privacy settings, knowing all potential consequences a certain setting could have for their privacy (data sovereignty).

DATA COMPATIBILITY & INTEROPERABILITY

Data portability enables the transfer of personal data from one environment to another, for instance, during switches between providers. These environments are often not directly compatible. One goal of data portability is to break data silos and enable individuals to control their personal data and use it to their benefits. This sub-domain is therefore dedicated to the development of specific methods and tools that transfer users' data from one environment to another with as little effort as possible.

The FAIR¹ principles, as well as syntactic and semantic interoperability, must be taken into account here. Solutions should also make use of open technologies, common shared formats, structures, and standards, where applicable. If it becomes necessary to develop a new standard, this must be well argued. It must be ensured that the standard-setting process involves relevant stakeholders and standardization committees and is efficient at the same time. A clear high-level definition is necessary.

Possible areas and aspects of work are the following (a combination is also welcome):

- Implementations featuring researched and evaluated models for interoperability, allowed open formats and open specifications of domain-specific data structures (e.g. a catalogue of basic standards and tools to transform between them).
- Design and develop standardized vocabularies and ontologies describing relevant domains and their exploitation to structure personal data in order to facilitate data transfer without giving away company secrets or violating legal duties and obligations (taking already available GRPR-compliant efforts in developing data privacy vocabularies into account).
- Tools or methods for semi-automatically converting data from one format to another (e.g., generic (semantic) mapping technologies, generic open API technologies, lifting/lowering concepts). The solutions should tackle issues such as loss-less transmission, dealing with incompatible data formats, and data correctness. Using these tools should be as transparent as possible for the user.
- Design, implementation, and deployment of support structures for start-ups and SMEs within the implementation of standards or data conversion tools in the Data Portability field and with relation to GDPR.
- Other open questions, which often touch these areas are:
 - How to retain specific functional requirements in data storage while standardizing data?
 - How to design a cross-domain data model architecture with an embedded trust model?

¹ FAIR: findability, accessibility, interoperability, and reusability

- Dealing with the user's (gesture of) consent that the old provider should transfer data to the new provider. Is it the new provider pulling from the old, the old one pushing to the new, or is there an interim broker that first pulls from the old, and then pushes to the new?

SECURITY & PRIVACY

When transferring sensitive data between entities, privacy and security measures are always important. This concern does not just require secure data encryption and transmission during a transfer, but should also consider the data content per se, i.e., ensure that only the intended data is transferred, whether rights granted to the first party can be transferred together with the data and whether the individual user is fully aware of the implications. Solutions must ensure that the state of the art is appropriately included, and good data protection practices for data subjects are used.

Possible areas and aspects of work are the following (a combination is also welcome):

- Innovative demonstrations that build on and evaluate existing (or emerging) best practices regarding:
 - the concept of (inverse) privacy and personal data ownership;
 - legal powers concerning further processing of the personal data and methods for depersonalizing;
 - the synchronization of user expectations and experiences with the existing legal and technical constraints;
 - services for user awareness in the field of privacy and security implications.
- Pilot implementation of concepts ensuring that data protection within a company is observed. Solutions tackling issues such as:
 - compliance with the data protection guidelines and the conditions specified by the user for the use of the data;
 - dealing with conflicts in case of data breaches (e.g., notifying users in case of sharing with unauthorized third parties);
 - secure storage;
 - full anonymization/pseudonymization of data.

- Rules and approaches for the deletion of data and for ensuring the right to be forgotten.
- Solutions that ensure the (syntactic and semantic) correctness and integrity of data when it is transferred to another controller.
- Tools and services based on methods, concepts or best practices that seek to minimize security risks during data porting (including topics such as decrypted/encrypted communication, generic data obfuscation technologies, generic data anonymization technologies, proof of identity, access management, data provenance, security audit). The minimization or elimination of third parties required to make data encryption and transmission more secure should be duly considered here.

SERVICE PORTABILITY

DAPSI encourages proposals that aim to create (or enhance) viable open alternatives for widely used proprietary services that limit our freedom to move: whether it is online conferencing tools like Google Hangouts, Skype or WhatsApp, online office applications, social networks, software repositories, online calendars, platforms like Salesforce, etc. A project can be a new project, but it can also build on top of upcoming open alternatives for these consumer and business services – such as Peertube, Pixelfed, Jitsi, Etebase, the XMPP ecosystem, OpenStreetMap etc. that can be extended. Since make switching easy is crucial, adding "Import from ..." functionality from widely used proprietary services in these projects can also help to make data and portability be a more satisfying experience.

Due to the limited time of participation in DAPSI, projects under this category can create a first version as catalyst for future work of the community or improve existing works in the field.

DATA SOVEREIGNTY

Data sovereignty is the ability to formulate self-defined data-usage rules, influence and trace the data/information flows while being free in the decision of (not) sharing data and migrating data whenever and wherever it is desirable. It is the key enabler to move from services to services, e.g., it is important that individuals have the freedom to choose which parts of data to share and transfer (instead of being forced to an all-or-nothing approach). Self-sovereignty of individuals data and capacity for selective disclosure is a practical use case that is also the key focus of EU regulatory efforts associated with proposed amendments to the eIDAS regulation and introduction of EU digital identity passports. Beyond the basic technology infrastructure of digital credentials, etc, to promote uptake by mainstream industries, it is important that more business use cases are developed that reinforce and demonstrate the value of managing data disclosure in this way.

Please, note that DAPSI is not looking for only blockchain-based ideas. Data sovereignty is a much broader concept than blockchain. The proposals that only address the blockchain aspect of Data sovereignty are not the target of DAPSI.

1.2 WHAT HAPPENS AFTER THE PROPOSALS ARE SUBMITTED?

Immediately after the submission deadline (23rd November 2021 at 5 pm CET), the evaluation process begins (as described in detail in Section 3 of this Guide).

Experts will evaluate the proposals submitted through the online system and will score them adequately to the quality of the content presented. The best proposals satisfying minimum quality thresholds (as defined in the evaluation criteria) will be selected for funding respecting the ranking and until the overall budget limit is reached².

² The exact number of selected projects will be subject to available budget.

2 ELIGIBILITY CRITERIA

All applicants will have to abide to all general requirements described in this section to be considered eligible for DAPSI. Therefore, read this section carefully.

2.1 TYPES OF BENEFICIARIES

The target audience of this call are:

- Internet technologists, researchers and innovators
- Researchers and developers employed in third-level education institutes, research infrastructures, non-profit organisations and charitable (scientific) foundations and research centres or enterprises among others.

These expert profiles can apply as individuals or linked to a legal entity. Hence, the participation is possible in two ways:

- **Natural person(s):**
 - One or more individuals (team);
 - established in any eligible country (see section 2.2). This does not consider the country of origin but the residence permit.
- **Legal entity:**
 - one or more entities (consortium);
 - established in an eligible country (see section 2.2);
 - universities, research centres, NGOs, foundations, micro, small and medium-sized enterprises (see definition of SME according to the Commission Recommendation 2003/361/EC)³ working on internet or/and other related technologies are eligible. Large enterprises cannot participate.
- any **combination** of the above

Notice that if a team suffers any relevant modification after the submission of the proposal, it should be notified to DAPSI consortium via email.

³ SME definition: https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en

In addition, the following conditions apply:

- The organisations or individuals applying should not have convictions for fraudulent behaviour, other financial irregularities, unethical or illegal business practices.
- The participating organisations should not have been declared bankrupt or have initiated bankruptcy procedures.
- DAPSI project beneficiaries must have the appropriate resources to implement the full set of tasks needed within the project. This means it is not allowed to subcontract key parts of the project.
 - Examples (not restricted to) of subcontracting not desired are, paying an external developer not in the company, paying a research centre or foundation to execute technical tasks, etc. Employees of a company are never considered subcontractors but part of the company itself.
 - Example (not restricted to) of subcontracting activities that could be appropriate if needed are legal services or design services.

In addition, the subcontracting amount should not represent a relevant amount of the total budget that will be dedicated to the project.

2.2 PROJECT SCOPE

Projects should be aligned with NGI programme expectations. They must include:

- **Research component:** apps and services that innovate without a research component are not covered by the NGI model, as stated in the NGI Work Programme. Proposed project must include a relevant research component.
- **Technology Development:** NGI is looking for technology development and not for just paperwork and reports. The project should include a software/hardware development component.

Projects that do not have a research and technology development focus are out of the NGI scope and will not be selected for funding.

2.3 ELIGIBLE COUNTRIES

Only applicants legally established/resident in any of the following countries (hereafter collectively identified as the “Eligible Countries”) are eligible:

- The Member States (MS) of the European Union (EU), including their outermost regions;
- The Overseas Countries and Territories (OCT) linked to the Member States⁴;
- H2020 associated countries (those which signed an agreement with the Union as identified in Article 7 of the Horizon 2020 Regulation): according to the updated list published by the EC⁵;
- The UK applicants are eligible under the conditions set by the EC for H2020 participation at the time of the deadline of the call.

2.4 LANGUAGE

English is the official language for DAPSI open calls. Submissions done in any other language will not be evaluated. English is also the only official language during the whole execution of the DAPSI programme. This means any requested submission of deliverables will be done in English in order to be eligible.

2.5 MULTIPLE SUBMISSIONS

Only one proposal will be accepted for funding per applicant per call.

Given the fact this call is a competitive one, and the third parties will focus on a specific challenge, **only one proposal per applicant will be evaluated**. In the case of a multiple submission, only the last one received (timestamp of the system) will enter into our evaluation process, the rest being declared as non-eligible.

⁴ Entities from Overseas Countries and Territories (OCT) are eligible for funding under the same conditions as entities from the Member States to which the OCT in question is linked.

⁵ http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/3cpart/h2020-hi-list-ac_en.pdf

If the last submitted proposal is declared then non-eligible or fails to reach the thresholds of the evaluation, the other proposals submitted earlier will not be considered for evaluation in any case.

In the case of applicants participating as natural person (or group of individuals):

- The same individuals will be selected for funding only once, as in the case of a legal entity.
- If an individual is taking part in several teams:
 - The members of the other teams will be informed about the participation of an individual in multiple teams.
 - The individuals participating in multiple teams will be requested to select only one proposal and will be removed from the others.

2.6 SUBMISSION SYSTEM

Only proposals submitted through the Open Call submission tool (F6S platform) at <https://www.f6s.com/dapsi-open-call-3/apply> and within the Call duration will be accepted. Proposals submitted by any other means, will not be evaluated.

Only the documentation included in the application will be considered by evaluators. It will be composed by a form with administrative questions to be completed directly in the platform and the proposal description attached in PDF format.

The information provided should be actual, true and complete and should allow the assessment of the proposal.

The regular functioning of the F6S platform limits to one application submission per F6S user in each call. If an F6S user wishes to submit more than one application, for example on behalf of different legal entities, the F6S user should request support from the F6S support team (support@f6s.com) at least 10 days prior the open call deadline.

2.7 DEADLINE

Only proposals submitted before the deadline will be accepted. After the call closure no additions or changes to received proposals will be taken into account. The deadline for this call is **23rd November 2021 at 5.00 pm (CET)**.

2.8 ABSENCE OF CONFLICT OF INTEREST

Applicants shall not have any actual or/and potential conflict of interest with the DAPSI selection process and during the whole programme. All cases of conflict of interest will be assessed case by case. In particular, **applicants cannot be DAPSI Consortium partners or affiliated entities nor their employees or co-operators under a contractual agreement.**

2.9 OTHER

Each applicant must confirm:

- It is not under liquidation or is not an enterprise under difficulty accordingly to the Commission Regulation No 651/2014, art. 2.18,
- Its project is based on the original works and going forward any foreseen developments are free from third party rights, or they are clearly stated,
- It is not excluded from the possibility of obtaining EU funding under the provisions of both national and EU law, or by a decision of both national or EU authority,
- It has enough operational capacity to carry out the proposed work
- It has not received funding for exactly the same project from other NGI RIA or European commission funding schemes.

The non-compliance of any of the mentioned statements will make the application to be discarded from the evaluation process.

3 EVALUATION PROCESS

The evaluation process is shown in the following figures:

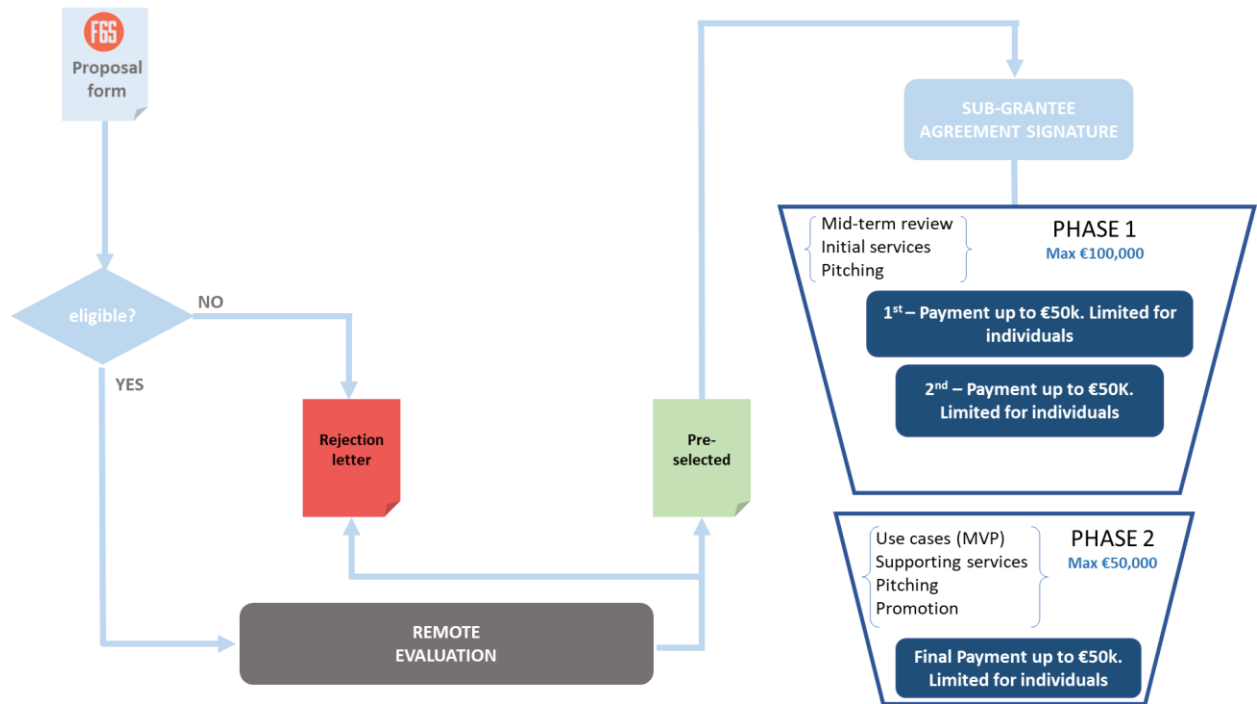


FIGURE 1: DAPSI EVALUATION PROCESS SCHEME

Each of the stages will have a set of criteria to access the next stage but also to raise the obligation from DAPSI consortium on the financial support. The following paragraphs provide a detail set procedures and criteria at the time of evaluating and awarding the financial support to the third parties.

3.1 EVALUATION PROPOSALS AND ACCESS TO DAPSI PROGRAMME

1. **Proposals reception:** via [F6S](#).

2. **Eligibility filter:** An automatic filtering to discard non-eligible proposals will follow the short list. Eligibility check will verify that applicants should be registered in an EU Member State or a Horizon 2020 associated country. In addition, the uniqueness of the proposal, the existence of the same proposal already funded by DAPSI, any other NGI call, etc.
3. **Remote evaluation:** After the eligibility filter, the final shortlists for evaluation will be created. Then, the proposals will be given to the external evaluators bound by confidentiality agreement. Every proposal will be evaluated **by two different experts**. The criteria for evaluation will be:
 - Excellence & innovation (60% weighting).
 - Expertise and excellence of the proposed team (20% weighting)
 - Project planning (20% weighting)

The experts will score each award criterion on a scale from 0 to 5 (half point scores may be given):

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

For each section, the minimum threshold is 3 out of 5 points. The default **overall threshold**, applying to the sum of the three individual scores with the corresponding weight each, **is 12.**

During the evaluation process, the external experts can request further information to applicants if it is needed. Applicants will have to provide that extra information within a specified period of no more than five natural days

from reception of the request. The result of this phase is a shortlist of proposals that will be presented for validation/final selection during the Consensus Meeting.

4. **Consensus Phase:**

- a. **1 to 1 meetings of the evaluators:** Following the individual evaluations, a consensus meeting (or several) of the evaluation panel will be organised when there is a major divergence between evaluators, and this affects to the proposal selection. During this meeting(s), a final ranking will be agreed and where necessary an additional review of projects for which there was a lack of consensus in terms of scoring by individual evaluators or for which additional clarifications are required will be undertaken.
- b. **Final Consensus meeting of the evaluation panel:** all evaluators meet in the final panel and agree on a ranked list of proposals

Note: In case of equal score, proposals including woman will be prioritised

5. The DAPSI **consortium will then formally approve a list of projects** within the limits of the available funding.
6. **Approval by European Commission** prior to contracting: The list of selected projects will be submitted to the European Commission for checking potential double funding.
7. **Communication of Results:** Every applicant will receive via e-mail:
 - An Evaluation Summary Report (ESR)
 - A letter informing of rejection decision, invitation to negotiation and following steps.

3.2 NEGOTIATION PROCESS

The objective of the negotiations is fulfilling the legal requirements between DAPSI consortium and every selected project of the call. The items covered will be:

- **Status information of the beneficiaries:**
 - For legal entities:

- **Legal existence.** Company Register, Official Journal and so forth, showing the name of the organization, the legal address and registration number and, if applicable, a copy of a document proving VAT registration (in case the VAT number does not show on the registration extract or its equivalent).
- If the applicant has been validated on the Beneficiary Register of the H2020 Participant Portal, to provide the PIC number is enough.
 - **In the specific case of enterprises:** Additional documents to prove the SME condition:

SMEs check list: signed and stamped. It includes the headcount (AWU), balance, profit & loss accounts of the latest closed financial year and the relation, upstream and downstream, of any linked or partner company.

Supporting documents. In cases where either the number of employees or the ownership is not clearly identified: any other supporting documents which demonstrate headcount and ownership such as payroll details, annual reports, national regional, association records, etc.
- For natural persons (individuals):
 - A copy of the ID-card or passport of participant(s) in the project team will be required.
 - A proof for every participant in the project that (s)he is legally established and working in an eligible country (see section 2.2).
- **Bank account information:** The account where the funds will be transferred will be indicated via form signed by the coordinating entity/individual and the bank owners. The holder of the account will be the coordinating legal entity or the individual(s) (allowed by the other team members in collaborative projects).
- **Sub-grantee funding agreement:** Signed between the DAPSI Consortium (represented by its coordinator Zabala Innovation Consulting.), and the beneficiary/ies.

The information request, by DAPSI consortium, will be done including deadlines. Failing to meet the deadlines requested will directly end up the negotiation process.

EVALUATION OF PHASE 1

The selected DAPSI teams will have an initial set-up of KPIs (by the coaches and based on the KPIs included in the proposal) to set clear and objective indicators to which the funding will be linked. The assessment of the KPIs execution will be done twice at midterm of the period and at the end.

Selected teams will be requested to attend a welcome event (Kick off), devoted to knowing the DAPSI consortium, the other winning projects and the details of the participation in the programme. This event will take place at the beginning of the Phase 1, in February 2022 and its attendance is mandatory to receive the first payment. If the current pandemic situation allows (according to Health authorities recommendations) it will be physical. A virtual format will be alternatively offered if needed.

Phase 1 assessment (linked to payments):

At the end of the phase 1 (M5), there will be an evaluation to follow up the progress of the teams according to the KPIs defined.

Internal coaches will assess the KPIs in three categories: 1) Technical progress, 2) Business progress and 3) Beneficiaries engagement and attendance to activities. It will determine the payment and pass to phase 2.

Also, as condition to progress to the next phase, the teams will participate in a Community Building event during June 2022 (virtual format if physical presence is not possible due to the COVID-19) to better know the teams and their initial version of the solutions.

EVALUATION OF PHASE 2

In addition to the fulfilment of the KPIs in Phase 2, the teams will be requested to attend a final event during October 2022 (tentative deadline subject to modifications according to the project needs). The teams will present a demo/MVP/service of the solution implemented, the research carried out and their business idea.

Final payment will be done subject to the KPIs achievement and attendance to the event.

MAIN REQUIREMENTS AS PART OF THE EVALUATION

To monitor the progress and proper evolution of the teams and accomplishment of KPIs, some requirements are defined (tentative list to be revised and refined before the programme starts):

- Online presence in the training webinars and associated deliverables that could be requested after some of the trainings.
- Online attendance to individual business mentoring: total of three-four sessions.
- Physical/virtual presence during 2-3 meetings (kick-off at the beginning of Phase 1, Phase 1 final review, Phase 2 final review).
- Delivery of reports/deliverables included in the proposal work plan to evaluate the fulfilment of technical KPIs.
- Any other report requested by coaches, needed for the assessment.

4 FINANCIAL SUPPORT PROVIDED

Selected teams will become part of DAPSI programme and will go through an exhaustive sequential process which will last 9 months and will be composed of 2 phases. Payments will be done in 4 instalments based on concrete results and the amounts will vary depending on the type of team (See Section 2.1 Type of Beneficiaries). Applicants participating as **natural persons will get a maximum of 37,5k€ for one individual and 75k€ for groups of two or more individuals. Legal entities could obtain up to 150k€.**

PHASE 1

- **Beginning of the implementation** and First payment: This will be done, subject to two conditions:
 - The signature of the sub-grant agreement by the beneficiary where the detailed proposal and work plan to be implemented will be included and committed.
 - The attendance to a welcome event where teams, partners and coaches will know each other (attendance mandatory).

A first payment of 1/3 of the total grant will be released once the two conditions are met.

During the welcome event, each team will know the KPIs to be achieved during the first weeks of the Phase 1 and assessed for the following payments. These KPIs could be different for each team and are related on the project to be implemented by each beneficiary. These KPIs will measure the technological advance, the progress in the business strategy if any, but also the commitment and involvement of the teams (i.e. attending periodic call meetings with the coaches, meeting the deadlines for reporting, etc).

- **Second payment:** 1/3 (33%) of the total possible amount will be released. By the end of M5 (June 2022), the coaches will assess the KPIs percentage of execution of the project. A 50%-100% completion of the KPIs will unlock the total of the

second payment and pass to phase 2. A lower completion of the tasks will launch the proportional payment. Under 25% completion of the KPIs will invalidate the payment. Within the same month, teams will have to participate in a semi-public event and pitch in front of their peers, consortium, Advisory Board Members and Experts.

The objective of this is to give visibility to the projects, share good practices, foster collaboration among projects and facilitate the community building.

PHASE 2:

- **Final review and final payment:** Teams will be paid according to their overall completion of KPIs and attendance and presentation in the final event. Only in the case of an underperformance below of a 25% the team will be disqualified, and no further payment released.

Summary of funding per type of beneficiary (example of maximum amounts):

	Phase 1		Phase 2	Total
	First payment (M1)	Second payment (M5)	Third payment (M10)	
One natural person	12.500 €	12.500 €	12.500 €	37.500 €
Group of natural persons (team)	25.000 €	25.000 €	25.000 €	75.000 €
Legal Entity(ies) or combination of legal entity(ies)+individual(s)	50.000 €	50.000 €	50.000 €	150.000 €

Detailed payment schedule and payment conditions will be settled in the Sub-grant Agreement.

In the case of projects with **multiple beneficiaries, the payments will be done to the coordinator**. The coordinator must distribute the payments between the beneficiaries and will be done according to the conditions set in the Consortium Agreement, signed by all the beneficiaries, previous to the signature of this Subgrantee Agreement.

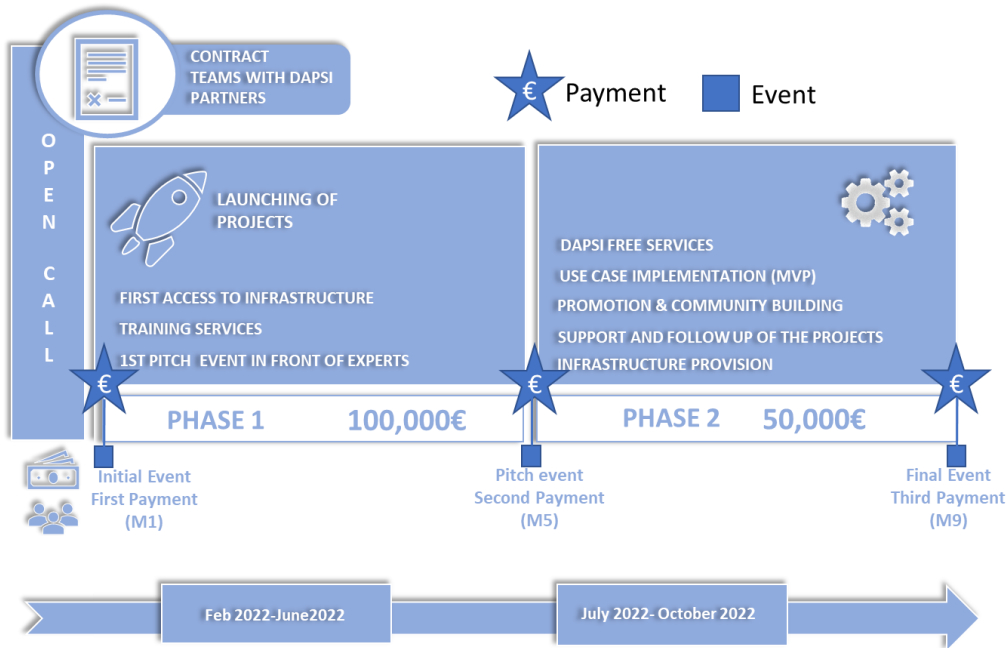


FIGURE 2: DAPSI MAIN MILESTONES AND PAYMENTS

4.1 ORIGIN OF THE FUNDS

Any selected proposer will sign a dedicated Sub-Grantee Funding Agreement with the DAPSI project coordinator (on behalf of DAPSI Consortium). The funds attached to the Sub-Grantee Funding Agreement come directly from the funds of the European Project DAPSI, and the DAPSI consortium is managing the funds according to the Grant Agreement Number 871498 signed with the European Commission.

As will be indicated in the Sub-Grantee Funding Agreement, this relation between the sub-grantees and the European Commission through DAPSI project carries a set of obligations to the sub-grantees with the European Commission. It is the task of the sub-grantees to accomplish them, and of the DAPSI consortium partners to inform about them.

5 PREPARATION AND SUBMISSION OF PROPOSALS

The submission will be done through the F6S platform (<https://www.f6s.com/dapsi-open-call-3/apply>) which is directly linked from DAPSI website. The applicants are required to register a profile at FS6 to be able to submit a proposal. The documents that will be submitted are:

- **Application form:** administrative questions **to be completed directly in the F6S** platform. Moreover, some general questions for statistic purpose and tick boxes to be clicked by the third parties confirming they have read the conditions and agree with the conditions defined in this document.

In addition, an ANNEX III (optional) will be uploaded in case that more than 3 applicants participate as individuals (natural persons) or/and more than 3 applicants participate as organisations (legal entities) filled with the information about the applicant(s) that do not fit in the application form.

- **Proposal description:** document in **PDF format** containing the description of the project, **to be uploaded in the F6S form**. It will include different sections: (1) Overview of the proposal, (2) Excellence/Innovation, (3) Expertise and Excellence of the proposed team, (4) Project Planning and Value for money.

The project proposals must strictly adhere to the [template](#) provided by DAPSI consortium via F6S platform, which defines sections and the overall length. Participants are requested to carefully read and follow the instructions in the form. Evaluators will be instructed not to consider extra material in the evaluation. Additional material, which has not been specifically requested in the online application form, will not be considered for the evaluation of the proposals.

It is strongly recommended not to wait until the last minute to submit the proposal. Failure of the proposal to arrive in time for any reason, including communications delays, automatically leads to rejection of the submission. The time of receipt of the message as recorded by the submission system will be definitive.

DAPSI offers a dedicated support channel available for proposers at dapsi@ngi.eu for requests or inquiries about the submission system or the call itself. Those received AFTER the closure time of the call will neither be considered nor answered.

6 APPLICANTS COMMUNICATION FLOW

6.1 GENERAL COMMUNICATION PROCEDURE

The applicants will receive the communications after each step of the evaluation process indicating if they passed or not. A communication will be also sent to applicants rejected, including the reasons for the exclusion.

6.2 APPEAL PROCEDURE

If, at any stage of the evaluation process, the applicant considers that there has been a shortcoming in the way the proposal has been evaluated that may affect the final decision on whether to fund it or not; or if the applicant believes the results of the eligibility checks are incorrect and have failed to comply with the rules of the Open Call; and that her/his interests have been prejudiced as a result, the following appeal procedure is available.

If there is clear evidence of a shortcoming that could affect the eventual funding decision, it is possible that all or part of the proposal will be re-evaluated.

Please note:

- This procedure is concerned with the evaluation and/or eligibility checking process. The consortium will not call into question the scientific or technical judgement of appropriately qualified experts.
- A re-evaluation will only be carried out if there is evidence of a shortcoming that affects the final decision on whether to fund it or not. This means, for example, that a problem relating to one evaluation criterion will not lead to a re-evaluation if a proposal has failed anyway on other criteria.
- The evaluation score following any re-evaluation will be regarded as definitive. It may be lower than the original score.

A complaint should be drawn up in English and submitted by email to: dapsi@ngi.eu. Any complaint made should include:

- contact details,
- the subject of the complaint,
- information and evidence regarding the alleged breach.

Anonymous complaints or those not providing the mentioned information will not be considered.

Complaints should also be made within five (calendar) days since the evaluation results are sent to the applicants.

As a general rule, the DAPSI Team will investigate the complaints with a view to arriving at a decision to issue a formal notice or to close the case within no more than twenty days from the date of reception of the complaint, provided that all required information has been submitted by the complainant. Where this time limit is exceeded, the DAPSI Team will inform the complainant by email.

If a definitive response cannot be given at that stage, this reply will indicate when a definitive response will be provided. The DAPSI consortium does not undertake to engage in any further discussion about the evaluation of your proposal beyond the definitive response.

Only one request for appeal per proposal will be considered by the consortium.

Finally, the consortium counts on your cooperation not to send in speculative requests for re-evaluation. Unless there is clear evidence of a shortcoming, there will be no follow-up or re-evaluation.

7 TECHNICAL SERVICES AND INFRASTRUCTURES

Selected participants will receive support with the following services:

- **Data related services:** To help the teams being up to date with the most recent technologies, several online and on-site tutorial sessions will be set up. Experts will provide with in-depth “sprint” courses, so that DAPSI teams will receive high-quality lessons about a very specific topic.
- **Business support services:** To support the teams to exploit their use cases and successfully reach the market, different trainings and sessions with mentors will be organised. Depending on the team profile, aspects such as Value Proposition, pitching or IPR (among others) will be explored.
- **Access to Infrastructure:** All the teams selected for the incubation programme will have access to the FIWARE Lab Infrastructure. The FIWARE Lab infrastructure provides an enhanced OpenStack-based cloud environment plus a rich set of open standard APIs that make it easier to process and analyse Big Data and real-time media or incorporate advanced features for user interaction. FIWARE includes a set of open-source software technologies, the Generic Enabler (GEs), whose specifications are open (publicly and royalty-free). Each GE is associated to one or more Generic Enabler Implementations (GEi) which are platform products which implement a given GE specification.

8 INTELLECTUAL PROPERTY RIGHTS (IPR)

8.1 IPR OWNERSHIP OF THE SUB-GRANTED PROJECTS

The ownership of all IPR created by the beneficiaries, via the DAPSI funding, will remain with them. Results are owned by the Party that generates them. The Sub-Grant Agreement will introduce provisions concerning joint ownership of the results of the sub-granted projects.

This will be assessed and negotiated case by case.

8.2 COMMUNICATION OBLIGATIONS

There are no IPR obligations toward the European Commission (EC). However, any communication or publication of the beneficiaries shall clearly indicate that the project has received funding from the European Union and the DAPSI programme, therefore displaying the EU and logo on all printed and digital material, including websites and press releases. Moreover, beneficiaries will agree that certain information regarding the projects selected for funding can be used by DAPSI consortium for communication purposes.

8.3 DATA EXCHANGE WITH OTHER NGI PROJECTS

To check and avoid double funding and confirm the operational capacity of a project, DAPSI consortium will share the needed information (such as entities names and project details (abstract or the full proposal)) with other NGI RIAs projects for the only purpose already mentioned.

9 SUPPORT FOR THE APPLICANTS

For more information about the DAPSI Open Call, please check the Frequently Asked Questions (FAQs) section included at <https://www.dapsi.ngi.eu/faq>.

For further information on the Open Call, in case of any doubts regarding the eligibility rules, the information that is to be provided in the Application Form, or if you encountered technical issues or problems with the Application Form, please contact DAPSI Technical Helpdesk email: dapsi@ngi.eu.

10 SCHEDULE

The table below presents the indicative dates during which each phase of the evaluation and DAPSI's programme phases will take place:

DESCRIPTION	INDICATIVE DATES
Call Launch	23 rd September 2021
Submission Deadline	23 rd November 2021 5:00 PM CET
Evaluation Period	Until mid-January 2022
Signature of Sub-grant Agreement	During January 2022
Phase 1	From February 2022 to June 2022
Phase 2	From July 2022 to October 2022

The schedule is based on estimations according to the expected number of proposals received and the actual timing of the consecutive phases may vary.