

**NEXT  
GENERATION  
INTERNET**

# **Guide for Applicants**

**NGI\_TRUST** 1st Open Call  
(ref: NGI\_TRUST 2019001)

Closing date for proposals:  
Tuesday 30th April 2019 at 18:00 (CET)

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## 1 Aim of the open call

As set out in the open call text, NGI TRUST will support third-party projects working in the following areas:

- Technical innovation in privacy enhancing technologies, such as cryptography, federated identity, security and privacy for Internet of Things (IoT), distributed ledgers and privacy-enhancing data transports and data at rest.
- The application of artificial intelligence/machine learning/neural networks to serve the user's interests (such as addressing concerns arising from the impact of profiling and mass surveillance).
- Bootstrapping trust at the protocol level, to maintain a decentralised Internet Infrastructure, for the establishment of trust, privacy (and security) between end-users and services.
- Developing means for individuals to make more informed decisions on the relevance of information that they are asked to disclose when accessing and using services.

More information on the call topics is found in the call text.

## 2 Eligibility criteria

### 2.1 Eligible applicants

The call is open to individuals or organisations, or groupings thereof. The following may apply, either on an individual basis or as a consortium:

- Researchers and developers (holding a Master's degree or higher) employed in third-level education institutes, research infrastructures, non-profit organisations and charitable (scientific) foundations and public research centres;
- Internet technologists and innovators, privacy and trust specialists and action groups;
- Organisations/companies with relevant privacy and trust cases or concerns in specific sectors or 'verticals' (fields such as health, etc.);
- Micro, small and medium-sized enterprises working on Internet or and other related technologies.

Applicants may be legal entities or natural persons. In addition, the following condition apply (see annex 6.4 in the proposal template):

- The organisations or individuals applying should have 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.

In case of selection for funding, official documents issued by the relevant national authorities to prove compliance with these conditions should be provided as part of the contracting process with NGI\_TRUST.

## 2.2 Eligible countries

Applicants should be registered (for organisations) or resident (for individuals) in an EU Member State or a Horizon 2020 Associated country (list of countries available [here](#)).

## 2.3 Types of Sub-Project Funded

Three types of third-party projects will be awarded funding:

- Type 1 (viability): up to €100,000 from NGI\_Trust, no matching funds required. The objective is to explore and assess the technical feasibility and/or commercial potential of a breakthrough innovation that aims at enhancing privacy and trust for the NGI. Activities can include conceptual development, risk assessment, market study or intellectual property management of a new technology or service, or a new application of existing technologies.
- Type 2 (execution): up to €180,000 from NGI\_Trust and matching funds of up to €90k (2/3 - 1/3 model). The objective is to fund R&D or technology development projects underpinned by a strategic plan and feasibility assessment (which can be – but need not be – developed through a Type 1 project funded by NGI\_Trust).
- Type 3 (transition to commercialisation): up to €200,000 from NGI\_Trust and the equivalent in matching funds (50/50). These projects should pursue the commercialisation of a privacy and trust enhancing innovation for the NGI (which can be – but need not be – developed through a Type 2 project funded by NGI\_Trust).

The maximum award by NGI-TRUST to any single third-party during the lifetime of the NGI\_TRUST project will be €200,000.

Selected projects will receive additional support in the form of technical coaching, business mentoring and intellectual property (IP) advice from the project partners and other NGI projects.

## 2.4 English language

English is the official language for NGI\_TRUST open calls. The proposal must be in English in all its mandatory parts in order to be eligible.

English is also the only official language during the whole length of the third-party grant process. This means that all communication will be in English and all deliverables will only be accepted if in English.

## 2.5 Absence of conflict of interest

Applicants shall not have any potential conflict of interest with the NGI\_TRUST selection process (notably they should have no legal relationship with any organisation that is a member of the NGI consortium or any person sitting on the advisory board).

## 3 Preparation and submission of the proposal

### 3.1 Structure and content of the proposals

Proposals must use the NGI\_TRUST template.

1. Project proposal: divided in four main sections:

- a. Overview of the proposal including an executive summary and the objective and type of project (**Section 1** of the proposal template)
- b. Novelty/innovation (**Section 2** of the proposal template)

- Describe the degree of innovation with respect to existing solutions (either commercially available or currently being researched).
- Describe your project outcomes (which should be clear, measurable, and realistic) and how they will generate added-value with respect to state of the art in privacy and trust enhancing technologies.

The following points provide guidance on elements of novelty and innovation that can be presented in the proposal (where relevant, it is not obligatory to deal with all the points one-by-one):

- Incorporation into the digital environments of users and extensibility and applicability;
  - Market potential/global dimension (development, commercialisation, and co-creation/collaborative adaptation);
  - Potential technological impact related to the objectives of the call, in terms of privacy, robustness, etc.;
  - Contribution to the human-centric Internet;
  - Added value and alignment with overall strategy of applicants;
  - Relevance to societal, gender, environmental and intellectual property rights (IPR) related issues;
  - Creativity of research approach and stakeholders' engagement.
- c. Expertise and resources (**Section 3** of the proposal template)

Track record and previous experience of the project team, relevance, technical improvements and value added regarding the specific topics of the call; links with other NGI technology-based firms, stakeholders and users (businesses, government, etc.).

#### Overview of the team

For each sub-project partner provide:

- The role of each participant (partner) in the sub-project, and their specific responsibilities for the sub-project activities.
- A short biography for each of the persons responsible for carrying out the proposed activities. These should include at least:
  - Previous publications, patents, projects, relevant to the subject of the proposal (list these in the **References** where relevant (**annex 6.6**);
  - Research quality indices (e.g. H-index, n° citations, n° JCR publications, awards, etc..) where applicable (researchers);
  - A description of any previous collaborations with other partners of the sub-project;
  - 3-pages CV to be provided in **Annex 6.5**

#### Access to required resources or knowledge

Please describe any intellectual property (specifying whether your rights as owner or conditions to use it), datasets or and/or any equipment, datasets, etc. that required to carry out the project.

d. Project planning and budget (**Section 4** of the proposal template)

**Project activities and milestones**

Consistency between the objectives, approach and proposed activities;

Realistic timeframe and description of implementation (milestones).

- Please describe the main activities and steps to achieve the expected results and identify which partner will be responsible for specific activities.
- Provide a work-plan (Gantt chart or similar) including clear milestones and expected results against which progress will be assessed by the coaches and mentors.

**Value for money**

Provide a description of expected costs, using the tables provided keeping in mind the overall maximum contribution you are applying for. The following activities or types of expenditure qualify for financial support:

- Personnel costs;
- Equipment costs (in as much as they are required for the execution of the project);
- Software licenses (in as much as they are required for the execution of the project);
- Travel expenses;
- IPR search, advice or protection services.

The NGI\_Trust Consortium may ask for further details and explanations about the funding requested.

2. Annexes: Legal entity form, statement of overall turnover, declaration on the honour concerning exclusion criteria and absence of conflict of interest: signed by the applicant or lead applicant in the case of a joint proposal, CVs and references.

Evaluators will be instructed not to consider additional material submitted by an applicant.

### 3.2 Procedure for submitting proposals

Applicants should submit proposals by email to [NGI-Trust-calls@lists.geant.org](mailto:NGI-Trust-calls@lists.geant.org) before the deadline (see point 3.3). Applications submitted by any other means will not be considered.

### 3.3 Deadline for submission of proposals

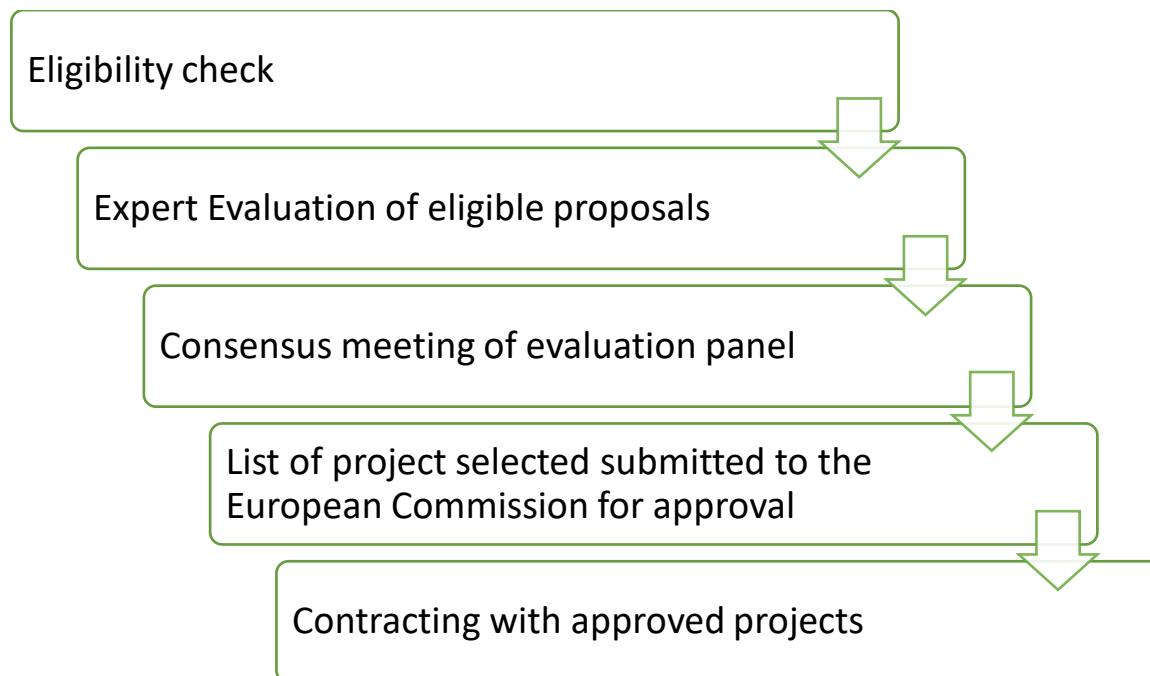
The deadline is Tuesday 30th April 2019 at 18:00 CET

Applicants are recommended not to wait until the last minute to submit the proposal.

Failure to submit on time for any reason, including extraordinary circumstances, will result in the rejection of the proposal.

## 4 Selection Process

The evaluation procedure is as follows:



### 4.1 Phase 1: Eligibility check

To be eligible for evaluation, applications will be checked for compliance with the following:

- Comply with all the [eligibility criteria listed in Section 2](#)
- Be submitted by email to [NGI-Trust-calls@lists.geant.org](mailto:NGI-Trust-calls@lists.geant.org)
- Be submitted before the deadline (i.e. 30<sup>th</sup> April 2019 at 18:00 CET). The time recorded by the NGI\_TRUST email system for the receipt of the email will be the official one.

All applicants eliminated from the process after the eligibility check will be notified in writing by email. Similarly, an email will be sent to all participants passing the eligibility check.

### 4.2 Phase 2: Expert evaluation

All eligible applications will be assessed and scored by three independent experts. The experts will be drawn from a panel of experts approved by the NGI\_TRUST consortium – all experts will sign a non-disclosure and non-conflict of interest statement prior to receiving proposals for evaluation).

Proposals will be judged against the following criteria:

- **Novelty/innovation (40% weighting)** – section 2 of the proposal template.
- **Expertise and excellence of the proposed team (30% weighting)** – section 3 of the proposal template
- **Project planning and value for money (30% weighting)** – section 4 of the proposal template

### 4.3 Phase 3: Consensus meeting of the evaluation panel

Following the individual evaluations, a consensus meeting of the evaluation panel will be organised. During this meeting, 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.

The NGI\_Trust Management Board will then formally approve a list of projects within the limits of the available funding.

### 4.4 Phase 4: Approval by European Commission prior to contracting

The list of selected projects (indicating clearly for each project, the third-party grantees identity, the amount of funding requested and the topic) will be submitted to the European Commission for final approval.

### 4.5 Information on non-selected proposals

All proposals not selected for funding will receive a short summary of the evaluation report and guidance on how to improve their proposal or suggestions to submit to a future call of NGI\_TRUST or other open calls funded under the NGI initiative.

## 5 Third-party grants contracting and payment procedure

### 5.1 Duration

The duration of the projects selected in the call will be up to 12 months. Applicants who consider they require more time should justify the longer-time frame clearly, and such requests will be considered on a case-by-case basis during the evaluation procedure.

### 5.2 Funding

The amount of financial support offered will be determined by the NGI\_Trust Management board based on the submitted budget and planned deliverables from a value for money perspective. The proposed budget may be adjusted for costs that are deemed ineligible as well as for the cost of any additional activities recommended by NGI\_TRUST. The final amount is established in the third-party sub-grant agreement between EFIS Centre (on behalf of the NGI\_Trust consortium) and the sub-grantee. If the sub-grantee does not agree with the amount of the grant offered, they are at liberty to withdraw their proposal.

The grant for each project will be paid as a lump-sum grant on the basis of a work-plan and a related budget outline. Each third-party contract will include a work-plan including clear milestones and expected results against which progress will be assessed and interim payments made. The third party cannot request any funding for activities that are already funded by other grants (the principle of no double funding).

Third-party grants may not have the purpose or effect of producing a profit for the third-party grantee.



Financial support will be paid in instalments against the achievement of milestones as follows (interim payments may be divided into smaller amounts with respect to the agreed milestones):

- 40% after signature of the sub-grantee contract by both parties;
- 45% after the completion of the project (submission of the final report) and positive evaluation by NGI\_Trust of the project outcomes;
- 15% final instalment paid back-to-back with the European Commission's final payment to the NGI Trust Project Coordinator.

### 5.3 Legal requirements

The third parties included in the provisional list of awardees will provide documentation to prove their compliance with the Eligibility Criteria. More specifically, the following documentation will have to be provided:

1. Legal status information:
  - a. [Legal entity form](#) (Natural person, private company or public law body): signed and stamped + supporting documents. See **Annex 6.2** proposal template;
  - b. For organisations: Statement of overall turnover for the last two financial years (+ supporting documents on request – see point 2 - balance, profit & loss accounts of the two latest closed financial year and the relation, upstream and downstream, of any parent, partner or subsidiary company/organisations). See **Annex 6.3** proposal template;
  - c. Declaration of Honour signed by third-party when submitting the application. (+ supporting documents on request, see **Annex 6.4** Proposal template).
2. All the above-mentioned documents should be provided in English (and if not in English, an English translation should be provided). The supporting documentation related to the statement of overall turnover and Declaration of Honour should be provided within a deadline communicated when notified of the award of a third-party grant. In case the requested information is not provided in time without significant, clear and reasonable justification, this may lead to the termination of the 'Sub-grant procedure'.

### 5.4 Contractual arrangements

Once all the formalities are concluded each selected third party will be invited to sign an 'NGI\_TRUST Third-Party Grant Agreement' with the Consortium (represented by EFIS Centre for the purposes of signature).

The funds awarded under NGI\_TRUST Grant Agreement are provided directly from the funds of the Horizon 2020 funded project, and are therefore, funds owned by the European Commission. Management of the NGI\_TRUST funds has been transferred to the project partners in NGI\_TRUST via the Grant Agreement Number 825618 signed with the European Commission.

The recipients of the third-party financial support must allow the Commission, the European Anti-fraud Office (OLAF) and the Court of Auditors to exercise their powers of control on documents, information, even stored on electronic media, or on the final recipient's premises.

## 6 Intellectual property rights

### 6.1 Originality of the sub-granted projects

It is assumed that the applicants base their proposals on original works and going forward any foreseen developments are free from third party rights. If not, third party rights should be clearly stated in the application for funding. The NGI\_TRUST Consortium is not obliged to verify the authenticity of the ownership of the future products and services and any issues arising from third party claims regarding ownership are the solely responsibility of the sub-granted parties.

### 6.2 Ownership of the sub-granted project results

The ownership of IPR created by the Third-Parties using the NGI\_TRUST funding will remain with the third parties, who will be the sole owners of the technologies or applications or other forms of IP created within the framework of their funded projects. There are no IPR obligations toward the European Commission (EC).

### 6.3 Acknowledgement of EU funding

Any communication or publication of the third parties about the sub-project and the result arising therefrom shall clearly indicate that the project has received funding from the European Union under the NGI\_TRUST project and must therefore display the EU flag and 'Next Generation Internet' logos on all printed and digital material, including websites and press releases. Moreover, the third parties agree that certain information regarding the projects selected for funding may be used by NGI\_TRUST for communication purposes.

## 7 Support to applicants

For more information, please check NGI\_TRUST Open Call website: [https://wiki.geant.org/display/NGITrust/Open+Call+NGI\\_TRUST+2019001](https://wiki.geant.org/display/NGITrust/Open+Call+NGI_TRUST+2019001).

For further information on the call or if you have any doubts relating to the eligibility rules or the information that is to be provided in the Application form, please contact the Support Team: [NGI-Trust-support@lists.geant.org](mailto:NGI-Trust-support@lists.geant.org)

## 8 Overall time-schedule for the open call

The time schedule for the 1<sup>st</sup> round open call for NGI\_TRUST is as follows:

- 1 February 2019: Open call launched;
- 30 April 2019: Deadline for the submission of applications;
- May 2019: Eligibility check and individual evaluations of proposals;
- June 2019: Meeting of evaluation panel and of NGI\_Trust Management Board to approve list of selected projects. Submission of the list of selected projects to European Commission for final approval;
- June 2019: Contracting and signature of approved third-party grants.
- July 2019 – onward: Projects implemented. Projects will receive coaching from independent experts and the Consortium and will be expected to attend at least one

coordination meeting with other funded third-party projects organised by the NGI\_Trust consortium.

## 9 Applicable law

The sub-grant agreement will be governed by Belgian law and relevant regulations of the European Union.

## 10 Data protection

All data will be held securely by NGI\_TRUST Management Team. Data will be treated confidentially and will not be disclosed to external organisations, other than those acting as evaluators on related projects or for other legitimate reasons.