

# **Block.IS**

## **D3.2: Open call documents KIT and third-party financing rules 2**

April/2020



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<b>Abstract:</b>	This deliverable comprises all the information needed by SMEs to submit applications to the second Block.IS acceleration process which includes innovation challenges and second open call and for the European Commission to validate the Open Call and publish the announcement in the Funding & Tenders Portal. It contains 9 annexes described below.

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Funding Scheme: Innovation Action (IA) • Theme: H2020-INNOSUP-2018-01-two-stage  
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## Document scope and structure

The purpose of this document is to compile all the documents that formalize the third-party financing rules for the first Block.IS open call.

- **Annex 1: Open Call text**, which provides a full set of information regarding the Open Call for Proposals for the Block.IS project.
- **Annex 2: Guidelines for Applicants**, which provides the scope and objectives of the open call,
- **Annex 3: Proposal Template**, an online application form, available at F6S platform (<https://www.f6s.com/block.is>)
- **Annex 3.1: Proposal Supplement**, a word document providing information on proposal schedule, timing, Ethical & Security details
- **Annex 4: Honour Declaration**, which declares that all conditions of the Open Call are accepted by an SME legal representative.
- **Annex 5: SME Declaration**, which evaluates the status of the SMEs participating at an open call
- **Annex 6: Bank account information**, which collects information on the applicant(s)' bank account where the Block.IS payments will be sent to..
- **Annex 7: Sub-grant Agreement Template**, which provides a template of the sub-grant agreement that the successful applicants will be requested to sign.
- **Annex 8: Challenge Application form**, an online application form, available at F6S platform (<https://www.f6s.com/block.is>)
- **Annex 9: TEMPLATE for H2020 Financial Support to Third Parties**, which contains the formal announcement to be published in the EU portal.

# **Block.IS**

## **Annex 1: Open Call Text**

**V2.00**

March/2020



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List of Abbreviations and Acronyms	
<b>AWU</b>	Annual Work Unit
<b>Block.IS</b>	Blockchain Innovation Spaces
<b>CET</b>	Central European Time
<b>EC</b>	European Commission
<b>EU</b>	European Union
<b>F2f</b>	face to face
<b>GDP</b>	Gross Domestic Product
<b>RTD</b>	Research and Technological Development
<b>SME</b>	Small and Medium-sized enterprises (including start-ups)
<b>MVP</b>	Minimum Viable Product
<b>TRL</b>	Technology Readiness Level
<b>VAT</b>	Value Added Tax
<b>WEF</b>	World Economic Forum

# 1 Introduction

This document provides information regarding the Block.IS acceleration process #2 and associated Open Call for Proposals (also referred as Open Call #2). All associated Annexes must be additionally considered for the submission of a Proposal.

Block.IS will organize two acceleration processes to attract, select and fund the best of the best SMEs to generate blockchain-based products, processes and business models with strong market potential in the sectors of agrifood, logistics and finance. Block.IS has already organized an Open Call associated with the Acceleration Process #1 (i.e. Open Call #1) and this is the Open Call associated with the Acceleration Process #2 (i.e Open Call #2).

## 1.1 Background information on Block.IS project

For the EU economy to grow sustainably it needs to re-industrialise, leveraging innovation and digital intelligence. Among the most important sectors of EU economy one can find the **agrifood, logistics and financial sectors**.



EU's **agrifood** sector has a strong global competitive position as the largest food and drink exporter with a market share of 18% [1]. It is the leading employer in the EU, accounting for 16% of total employment. Interest in the link between food and health has changed mainstream consumption patterns towards valorisation of quality aspects related to good health. With long global value chains, consumers as well as processors face challenges to verify accuracy of data from farm to table (**provenance**), with consumers paying premiums for products that provide this information credibly (**transparency**), e.g. organic food. Current solutions centre around certifications and regulations; both are costly, hard to enforce, and can be confusing to consumers. **The challenge** is to streamline transfer of and access to data within the sector for all actors as well as consumers.



The **logistics sector** amounts to 14% of EU's GDP, and the sector is expected to grow 40% by 2040 [2]. It is composed of the distribution of goods, from raw materials up to the finished products that go to the consumer. Contemporary supply chains span over hundreds of stages and dozens of geographical locations. This makes it hard to trace events or investigate incidents (**traceability**) through precise and cost-effective actions limited in scope. This complexity also creates opportunities for fraud, as effectiveness of enforcement is limited. Moreover, a large degree of documentation from various sources is needed to meet regulations (e.g. import/export), which often represent a bottleneck and create costs (**efficiency**). **The challenge** is to make provision and verification of information efficient along supply chains, ensuring **transparency, security and accountability**.



The **financial** sector makes up to 20-30% of total service market revenue and about 20% of the total gross domestic product in EU economies [3]. **Financial technology** (FinTech) already plays a key role in the industry, and the EU is well positioned in this subsector: the FinTech market is expected to experience double digit growth in the EU by 2021, with UK and Germany occupying the 3rd and 5th position worldwide, respectively, in the volume of FinTech transactions in 2016 [4]. Many financial services are data-heavy and fault-prone, thus requiring middlemen for mediation (**trust**) thus entailing transaction costs. Moreover, information sharing is

limited even where obvious synergies can be realized as in the insurance industry (**data sharing**). **The challenge** is to lower operational costs for a globally integrated industry through operational simplification, regulatory efficiency improvement, settlement time reduction, liquidity and capital improvement, etc [5].

On the other hand, **Blockchain technology** has been recognised by influential people and institutions, including EC and WEF [6], as one of the most promising and disruptive technologies of this century. The technology exhibits a unique combination of features that make it ideal for solving the challenges mentioned above - *provenance, transparency, traceability, efficiency, trust, data sharing* — in the three sectors. Blockchain technology enables a **decentralised, trusted and programmable way to transfer value and information**.

To apply blockchain technology in the agrifood, logistics and finance sectors and generate new value by addressing key issues, **SMEs** (and especially those involved with ICT-based solutions) **play a key role**: they are flexible and agile and more likely to innovate and adopt new innovative technologies in order to deliver novel products/services, business processes and business models. These services can further boost the competitiveness of their users/adopters, i.e. other SMEs and large enterprises of the three sectors, as they will be able to offer to their customers products and services with enhanced value. However, the **introduction of any new technology faces barriers**, the most prominent being that understanding any new technology and the potential benefits of its introduction requires significant resources (which is very difficult for SMEs to devote) and this is particularly true for the sophisticated blockchain technology.

**The vision of the Blockchain Innovation Spaces (Block.IS) project** is to build an **open and collaborative cross-border, cross-sectoral innovation ecosystem** that fosters the use of blockchain technology in the above mentioned vital sectors for the European economy: **agrifood, logistics and finance**.

Block.IS will organize two acceleration processes to attract, select and fund the best of the best SMEs to generate blockchain-based products, processes and business models with strong market potential in the. Sectors of agrifood, logistics and finance.

## 1.2 Block.IS approach

Block.IS aims to provide to competitive and market oriented European SMEs access to **knowledge, technology, capital and markets** with the aim to place new products/ services in the market targeting blockchain technology. The project has three main dimensions (Figure 1):

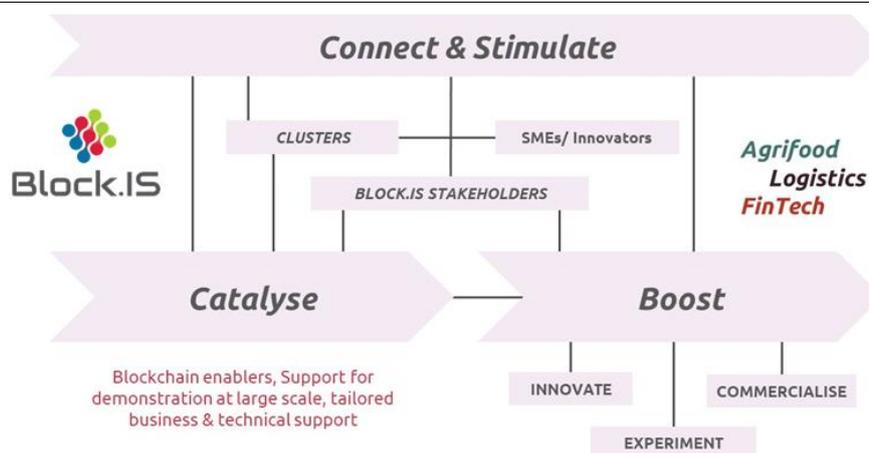


Figure 1: Block.IS Overall Concept

- I. **Connect & Stimulate:** Aiming for cluster-built synergies and share of best practices on innovation triggering & boost while challenging SMEs/innovators with market needs brought by clusters in cross-sectoral/-border meetings.
- II. **Catalyse:** establish a strong **business and technical supporting framework** and the development of blockchain enablers that will catalyse and exemplify the potential/outreach of Blockchain technology application in the different sectors. In this stage, beyond technical support and training, Block.IS will offer to selected beneficiaries, blockchain based software enablers implementing functionality commonly used in various applications to accelerate the development of new applications and launch of new products/services to the market. More information on available software components is available at <https://blockis.eu/>
- III. **Boost:** an ambitious **3-phase acceleration programme** that aims to support the market uptake and impact of the proposed innovation/ solutions.

Within the **Boost stage**, Block.IS will organise **two acceleration processes** through which the most innovative, competitive and market oriented blockchain-based application proposals in the areas of **agrifood, logistics and finance** will be selected to start an “Innovate - Experiment - Commercialise” stages programme as shown in the next table. This is the 2<sup>nd</sup> acceleration process.

Table 1 Block.IS stages

Stage	Overview
<p><b>INNOVATE</b></p> 	<ul style="list-style-type: none"> <li>● <i>Duration:</i> 1-month, SMEs-innovators work remotely</li> <li>● <i>Number of SMEs:</i> Top 45 ideas/projects.</li> <li>● <i>Activities:</i> SMEs will be invited to fine-tune their concept, elaborate an early prototype or mock-up and the technical architecture of the proposed solution and prepare a tech-business pitch to present at the Innovation Event/Clusters-Innovators Assembly</li> <li>● <i>Funding:</i> €3.000 (lump sum) per SME, attached to the participation in the Block.IS Innovation Event and a pitch of the proposed solution.</li> <li>● <i>Evaluation to Stage EXPERIMENT:</i> Evaluate the technology and the business potential via a face to face (f2f) technical interview and pitching during the Innovation Event/Clusters-Innovators Assembly. The top 23 SMEs will be selected to enter the EXPERIMENT stage.</li> </ul>

<p><b>EXPERIMENT</b></p> 	<ul style="list-style-type: none"> <li>● <i>Duration:</i> 8 months, SMEs work remotely and occasionally participate in F2f meetings/workshops and trainings (bootcamp) organized by the consortium</li> <li>● <i>Number of SMEs:</i> Top 23 ideas/projects.</li> <li>● <i>Activities:</i> SMEs will be developing the proposed Block.IS projects in collaboration/ connection with Clusters networks, sector specialists and technology experts, participating in Block.IS programme community events and continuously communicate with their coach. Each SME will develop a MVP (Minimum Viable Product) targeting the agrifood, logistics and/or finance market.</li> <li>● <i>Funding:</i> €50.000 per SME, being attached with accomplishing 2 milestones (Design and MVP prototype) assessed by external reviewers.</li> <li>● <i>Evaluation to Stage COMMERCIALISE:</i> Analysis of the MVP/ demonstrator technology and stage of development (TRL); business potential of the solution; initial traction or early adopters. These criteria will be judged by the Block.IS evaluators. The top 10 solutions will be selected to enter the Commercialise phase.</li> </ul>
<p><b>COMMERCIALISE</b></p> 	<ul style="list-style-type: none"> <li>● <i>Duration:</i> 2 months, SMEs work remotely and participate in several meetings and events where they can promote their projects goals and outcomes</li> <li>● <i>Number of SMEs:</i> Top 10 ideas/projects.</li> <li>● <i>Activities:</i> SMEs will develop activities associated with the promotion and exploitation of their project, aiming to engage new customers and/or partners and/or investors.</li> <li>● <i>Funding:</i> €7.000 per SME, attached to the participation in the final demo day and planned promotion/ commercial activities of this stage.</li> </ul>

**Important notice:** In case any physical meeting/assembly is not possible (e.g. due to Covid-19), the Block.IS consortium may modify the procedure accordingly and convert the event to a teleconference, web-based event or a recorded pitching video. Alternative options may be considered.

As shown in Figure 2, the Block.IS Overall Acceleration Process (Open Call #2 and Challenges winners) will follow a **funnel approach**, which will help the Block.IS consortium to focus on the top projects along the incubation programme.

## Block.IS Second Acceleration Process

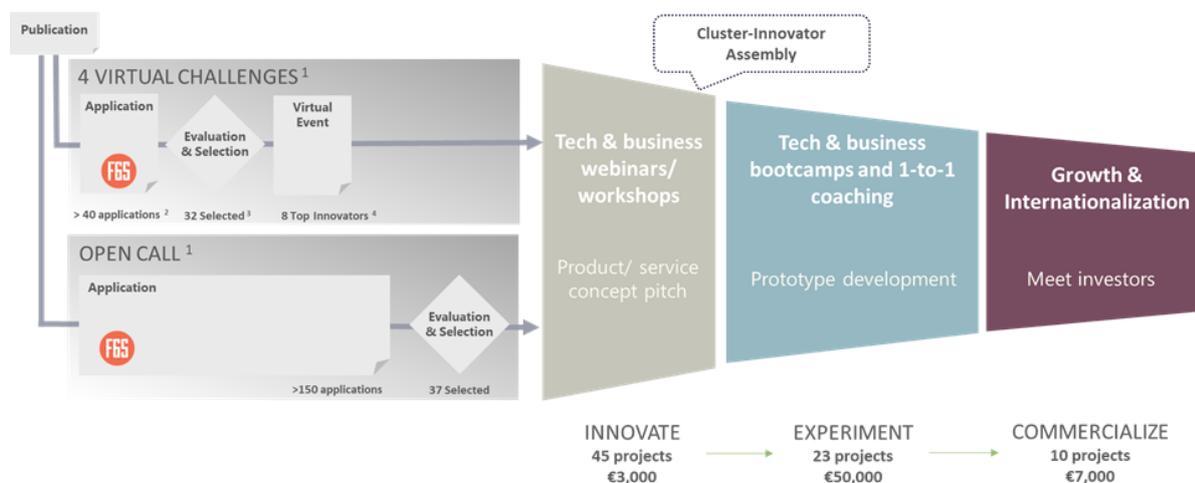


Figure 2: Block.IS Overall process

The selected 45 SMEs (37 from the Open Call and 8 as winners of Challenges) are first challenged to create sound business plans that are presented to an **Innovation Event/Clusters-Innovators Assembly** during the **INNOVATE phase**. These are filtered and Top-23 per acceleration process (46 in total in both acceleration processes) move on to the **EXPERIMENT phase** where they receive all technical and business support, and additional funding. They will end up with a validated MVP prototype (TRL 4-6) and a business plan, which are used to evaluate/select the Top-10 applications per call (20 in total) towards **COMMERCIALISE phase**. This structured holistic approach allows the best and most promising concepts to accelerate, achieve growth and market uptake, while all SMEs receive support and advice to improve their entrepreneurial skills and potential.

It should be underlined that the final number of proposals entering each phase might be different e.g. in case of any Force Majeure such as any unforeseeable exceptional situation.

## 2 Additional Information

### 2.1 Open Call Additional Material

Open Call supported material:

- **Annex 1: Open Call text**, this document
- **Annex 2: Guidelines for Applicants**, which provides the scope and objectives of the acceleration process and Open call #2,
- **Annex 3: Proposal Template**, an online application form, available at F6S platform (<https://www.f6s.com/block.is>)
- **Annex 3.1: Proposal Supplement**, a word document providing information on proposal schedule, timing, Ethical & Security details
- **Annex 4: Honour Declaration**, which declares that all conditions of the acceleration process are accepted by an SME legal representative.

- **Annex 5: SME Declaration**, which evaluates the status of the SMEs participating at an acceleration process
- **Annex 6: Bank account information**, which collects information on the applicant(s)' bank account where the Block.IS payments will be sent to.
- **Annex 7: Sub-grant Agreement Template**, which provides a template of the sub-grant agreement that the successful applicants will be requested to sign.
- **Frequently Asked Questions & answers** published at the community feed (<https://www.f6s.com/block.is>).

## 2.2 Challenge additional Material

- **Annex 8: Challenge Application form**, an online application form, available at F6S platform (<https://www.f6s.com/block.is>)

## 2.3 Contacts

The Block.IS consortium will provide information to the applicants via the F6S blog, so that the information (question and answer), will be visible to all participants.

More info at: <https://blockis.eu/>

Apply via: <https://www.f6s.com/block.is>

Online Q&A: <https://www.f6s.com/block.is>

F6S support team: [support@f6s.com](mailto:support@f6s.com)

For extraordinary communication need, please contact the Help Desk: [opencalls@blockis.eu](mailto:opencalls@blockis.eu).

## 3 References

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# **Block.IS**

## **Annex 2: Guidelines for Applicants**

**V2.00**

March/2020



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List of Abbreviations and Acronyms	
AWU	Annual Work Unit
Block.IS	Blockchain Innovation Spaces
CET	Central European Time
EC	European Commission
EU	European Union
F2f	face to face
GDP	Gross Domestic Product
RTD	Research and Technological Development
SME	Small and Medium-sized enterprises (including start-ups)
MVP	Minimum Viable Product
TRL	Technology Readiness Level
VAT	Value Added Tax
WEF	World Economic Forum

# 1 Introduction

This document provides a full set of information regarding the Block.IS acceleration process #2 and associated Open Call for Proposals (also referred as Open Call #2). All associated Annexes must be additionally considered for the submission of a Proposal.

Block.IS organized two acceleration processes to attract, select and fund the best of the best SMEs to generate blockchain-based products, processes and business models with strong market potential in the sectors of agrifood, logistics and finance. Block.IS has already organized an Open Call associated with the Acceleration Process #1 (i.e. Open Call #1) and this is the Open Call associated with the Acceleration Process #2 (i.e. Open Call #2).

## 1.1 Background information on Block.IS project

For the EU economy to grow sustainably it needs to re-industrialise, leveraging innovation and digital intelligence. Among the most important sectors of EU economy one can find the **agrifood, logistics and financial sectors**.



EU's **agrifood** sector has a strong global competitive position as the largest food and drink exporter with a market share of 18% [1]. It is the leading employer in the EU, accounting for 16% of total employment. Interest in the link between food and health has changed mainstream consumption patterns towards valorisation of quality aspects related to good health. With long global value chains, consumers as well as processors face challenges to verify accuracy of data from farm to table (**provenance**), with consumers paying premiums for products that provide this information credibly (**transparency**), e.g. organic food. Current solutions centre around certifications and regulations; both are costly, hard to enforce, and can be confusing to consumers. **The challenge** is to streamline transfer of and access to data within the sector for all actors as well as consumers.



The **logistics sector** amounts to 14% of EU's GDP, and the sector is expected to grow 40% by 2040 [2]. It is composed of the distribution of goods, from raw materials up to the finished products that go to the consumer. Contemporary supply chains span over hundreds of stages and dozens of geographical locations. This makes it hard to trace events or investigate incidents (**traceability**) through precise and cost-effective actions limited in scope. This complexity also creates opportunities for fraud, as effectiveness of enforcement is limited. Moreover, a large degree of documentation from various sources is needed to meet regulations (e.g. import/export), which often represent a bottleneck and create costs (**efficiency**). **The challenge** is to make provision and verification of information efficient along supply chains, ensuring **transparency, security and accountability**.



The **financial** sector makes up to 20-30% of total service market revenue and about 20% of the total gross domestic product in EU economies [3]. **Financial technology** (FinTech) already plays a key role in the industry, and the EU is well positioned in this subsector: the FinTech market is expected to experience double digit growth in the EU by 2021, with UK and Germany occupying the 3rd and 5th position worldwide, respectively, in the volume of FinTech transactions in 2016 [4]. Many financial services are data-heavy and fault-prone, thus requiring middlemen for mediation (**trust**) thus entailing transaction costs. Moreover, information sharing is

limited even where obvious synergies can be realized as in the insurance industry (**data sharing**). **The challenge** is to lower operational costs for a globally integrated industry through operational simplification, regulatory efficiency improvement, settlement time reduction, liquidity and capital improvement, etc [5].

On the other hand, **Blockchain technology** has been recognised by influential people and institutions, including EC and WEF [6], as one of the most promising and disruptive technologies of this century. The technology exhibits a unique combination of features that make it ideal for solving the challenges mentioned above - *provenance, transparency, traceability, efficiency, trust, data sharing* — in the three sectors. Blockchain technology enables a **decentralised, trusted and programmable way to transfer value and information**.

To apply blockchain technology in the agrifood, logistics and finance sectors and generate new value by addressing key issues, **SMEs** (and especially those involved with ICT-based solutions) **play a key role**: they are flexible and agile and more likely to innovate and adopt new innovative technologies in order to deliver novel products/services, business processes and business models. These services can further boost the competitiveness of their users/adopters, i.e. other SMEs and large enterprises of the three sectors, as they will be able to offer to their customers products and services with enhanced value. However, the **introduction of any new technology faces barriers**, the most prominent being that understanding any new technology and the potential benefits of its introduction requires significant resources (which is very difficult for SMEs to devote) and this is particularly true for the sophisticated blockchain technology.

**The vision of the Blockchain Innovation Spaces (Block.IS) project** is to build an **open and collaborative cross-border, cross-sectoral innovation ecosystem** that fosters the use of blockchain technology in the above-mentioned vital sectors for the European economy: **agrifood, logistics and finance**.

Block.IS will organize two acceleration processes to attract, select and fund the best of the best SMEs to generate blockchain-based products, processes and business models with strong market potential in the. Sectors of agrifood, logistics and finance.

## 1.2 Block.IS approach

Block.IS aims to provide to competitive and market oriented European SMEs access to **knowledge, technology, capital and markets** with the aim to place new products/ services in the market targeting blockchain technology. The project has three main dimensions (Figure 1):

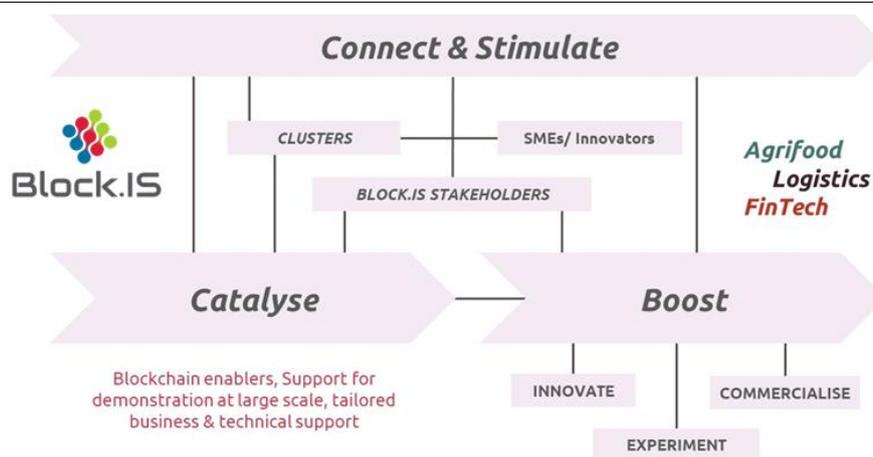


Figure 1: Block.IS Overall Concept

- I. **Connect & Stimulate:** Aiming for cluster-built synergies and share of best practices on innovation triggering & boost while challenging SMEs/innovators with market needs brought by clusters in cross-sectoral/-border meetings.
- II. **Catalyse:** establish a strong **business and technical supporting framework** and the development of blockchain enablers that will catalyse and exemplify the potential/outreach of Blockchain technology application in the different sectors. In this stage, beyond technical support and training, Block.IS will offer to selected beneficiaries, blockchain based software enablers implementing functionality commonly used in various applications to accelerate the development of new applications and launch of new products/services to the market. More information on available software components is available at <https://blockis.eu/>
- III. **Boost:** an ambitious **3-phase acceleration programme** that aims to support the market uptake and impact of the proposed innovation/ solutions.

Within the **Boost stage**, Block.IS will organise **two acceleration processes** through which the most innovative, competitive and market oriented blockchain-based application proposals in the areas of **agrifood, logistics and finance** will be selected to start an “Innovate - Experiment - Commercialise” stages programme as shown in the next table. This is the 2<sup>nd</sup> acceleration process.

Table 1 Block.IS stages

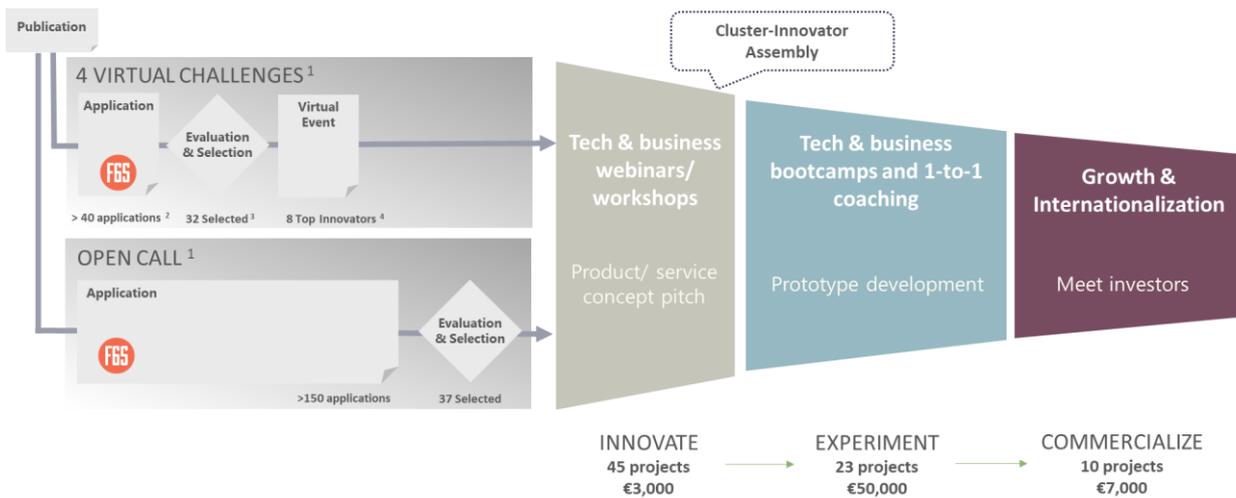
Stage	Overview
<p><b>INNOVATE</b></p> 	<ul style="list-style-type: none"> <li>● <i>Duration:</i> 1-month, SMEs-innovators work remotely</li> <li>● <i>Number of SMEs:</i> Top 45 ideas/projects.</li> <li>● <i>Activities:</i> SMEs will be invited to fine-tune their concept, elaborate an early prototype or mock-up and the technical architecture of the proposed solution and prepare a tech-business pitch to present at the Innovation Event/Clusters-Innovators Assembly</li> <li>● <i>Funding:</i> €3.000 (lump sum) per SME, attached to the participation in the Block.IS Innovation Event and a pitch of the proposed solution.</li> <li>● <i>Evaluation to Stage EXPERIMENT:</i> Evaluate the technology and the business potential via a face to face (f2f) technical interview and pitching during the Innovation Event/Clusters-Innovators Assembly. The top 23 SMEs will be selected to enter the EXPERIMENT stage.</li> </ul>

<p><b>EXPERIMENT</b></p> 	<ul style="list-style-type: none"> <li>● <i>Duration:</i> 8 months, SMEs work remotely and occasionally participate in face-to-face meetings/workshops and trainings (bootcamp) organized by the consortium</li> <li>● <i>Number of SMEs:</i> Top 23 ideas/projects.</li> <li>● <i>Activities:</i> SMEs will be developing the proposed Block.IS projects in collaboration/ connection with Clusters networks, sector specialists and technology experts, participating in Block.IS programme community events and continuously communicate with their coach. Each SME will develop an MVP (Minimum Viable Product) targeting the agrifood, logistics and/or finance market.</li> <li>● <i>Funding:</i> €50.000 per SME, being attached with accomplishing 2 milestones (Design and MVP prototype) assessed by external reviewers.</li> <li>● <i>Evaluation to Stage COMMERCIALISE:</i> Analysis of the MVP/ demonstrator technology and stage of development (TRL); business potential of the solution; initial traction or early adopters. These criteria will be judged by the Block.IS evaluators. The top 10 solutions will be selected to enter the Commercialise phase.</li> </ul>
<p><b>COMMERCIALISE</b></p> 	<ul style="list-style-type: none"> <li>● <i>Duration:</i> 2 months, SMEs work remotely and participate in several meetings and events where they can promote their projects goals and outcomes</li> <li>● <i>Number of SMEs:</i> Top 10 ideas/projects.</li> <li>● <i>Activities:</i> SMEs will develop activities associated with the promotion and exploitation of their project, aiming to engage new customers and/or partners and/or investors.</li> <li>● <i>Funding:</i> €7.000 per SME, attached to the participation in the final demo day and planned promotion/ commercial activities of this stage.</li> </ul>

**Important notice:** In case any physical meeting/assembly is not possible (e.g. due to Covid-19), the Block.IS consortium may modify the procedure accordingly and convert the event to a teleconference, web-based event or a recorded pitching video. Alternative options may be considered.

As shown in Figure 2, the Block.IS Overall Acceleration Process (Open Call #2 and Challenges winners) will follow a **funnel approach**, which will help the Block.IS consortium to focus on the top projects along the incubation programme.

## Block.IS Second Acceleration Process



(1) SMEs can apply to one challenge and open call but cannot be selected in both; (2) >10 applications per challenge; (3) 8 SMEs per challenge; (4) Top 2 per challenge are selected to the INNOVATE phase.

Figure 2: Block.IS Overall process

The selected 45 SMEs (37 from the Open Call #2 and 8 as winners of Challenges) are first challenged to create sound business plans that are presented to an **Innovation Event/Clusters-Innovators Assembly** during the **INNOVATE phase**. These are filtered and Top-23 per acceleration process (46 in total in both acceleration processes) move on to the **EXPERIMENT phase** where they receive all technical and business support, and additional funding. They will end up with a validated MVP prototype (TRL 4-6) and a business plan, which are used to evaluate/select the Top-10 applications per call (20 in total) towards **COMMERCIALISE phase**. This structured holistic approach allows the best and most promising concepts to accelerate, achieve growth and market uptake, while all SMEs receive support and advice to improve their entrepreneurial skills and potential.

It should be underlined that the final number of proposals entering each phase might be different e.g. in case of any Force Majeure such as any unforeseeable exceptional situation.

### 1.3 Funding Scheme

Block.IS funding is **results-driven**, provided as vouchers in a lump sum way. As such, there is no need for a traditional administrative-justification system (e.g. counting hourly dedication or calculating workload), but getting the funding is associated with the full achievement of the relevant milestone.

The selected SMEs will be funded as follows<sup>1</sup>:

Table 2 SME funding schema

Number of SMEs	Funding (in EUROS)	When (in Months)	Condition / Event
45	3.000	1	After participating at the Block.IS INNOVATE event and presenting their idea (INNOVATE STAGE)
23	15.000	3	After successful evaluation of the idea / prototype design milestone (EXPERIMENT STAGE)
23	35.000	9	After successful evaluation of the MVP prototype (TRL 4-6) and business plan (EXPERIMENT STAGE)
10	7.000	11	After demonstration of the final product (at TRL 8-9) (COMMERCIALIZE STAGE)

## 1.4 Timeline – Acceleration Process #2

Submission to the Open Call of the Acceleration Process #2 (i.e. Open Call #2) will be enabled on the 22<sup>nd</sup> of April 2020 and will end on the 22<sup>nd</sup> of July 2020 at 17:00CET time (Brussels time).

Below are presented the dates for the different phases. The opening and closing dates of each phase can be subject to change in case of any modifications in the project's schedule.

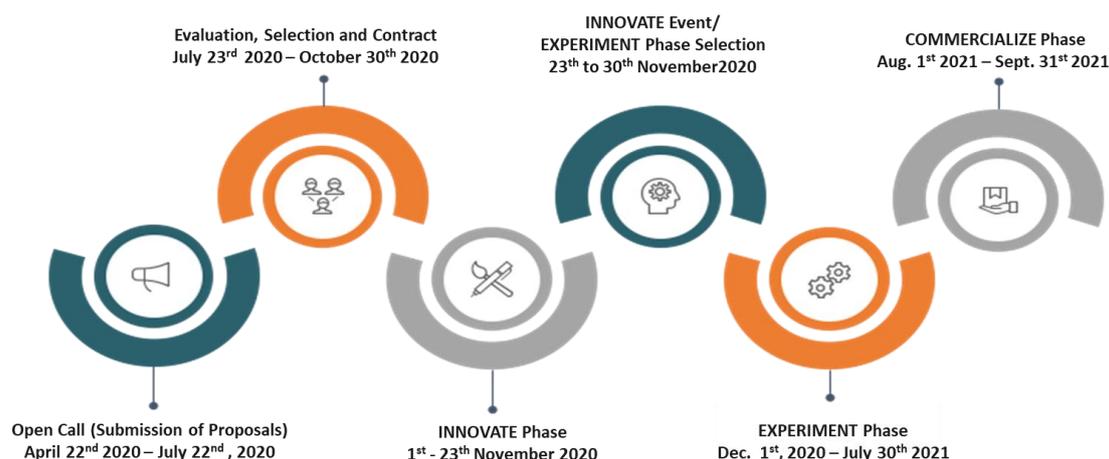


Figure 3: Block.IS Acceleration Process #2 timeline

## 2 General information

### 2.1 Means of submission

The F6S platform (<https://www.f6s.com/block.is>) will be the entry point for all proposals' submission to Block.IS Open Calls. Submissions received by any other channel will be automatically discarded.

Documents required in subsequent phases will be submitted via dedicated channel, which will be indicated by Block.IS consortium during the sub-granted projects execution.

<sup>1</sup> It should be noticed that the maximum amount of direct funding that an SME may receive via Block.IS is 60.000 EUROS via any mean (e.g. open call, challenges, cluster missions, etc).

## 2.2 Language

**English** is the only official language for Block.IS. Submissions done in any other language will not be eligible and will not be evaluated. English is also the only official language during the whole execution of the Block.IS programme.

## 2.3 Documentation formats

Any document requested in any of the phases must be submitted electronically in PDF format without restrictions for printing.

## 2.4 Data protection

In order to process and evaluate applications, Block.IS will need to collect Personal and Industrial Data. F6S Network Limited, as the Project Coordinator will act as Data Controller for data submitted through the F6S platform for these purposes. The F6S platform's system design and operational procedures ensure that data is managed in compliance with The General Data Protection Regulation (EU) 2016/679 (GDPR). Each applicant will accept the F6S terms to ensure coverage.

Please note that Block.IS requests the minimum information needed to deliver the evaluation procedures or the acceleration programme. Annexes 6: Bank account information, and 7 Sub-grant Agreement Template, are provided for reference and will only be requested if the SME is accepted in the acceleration programme.

Please refer to <https://www.f6s.com/terms> to check F6S platform data privacy policy and security measures.

## 2.5 Origin of the funds

Any selected proposer will sign a dedicated Sub-Grantee Funding Agreement with the Block.IS consortium. **The funds attached to the Sub-Grantee Funding Agreement come directly from the funds of the European Project Block.IS funded itself by the Executive Agency for Small and Medium-sized Enterprises (EASME), and remain therefore, property of the EU until the payment of the balance, whose management rights have been transferred to the project partners in Block.IS via European Commission Grant Agreement Number 824509.**

As it can be seen in the Sub-Grantee Funding Agreement template (Annex 7), this relation between the sub-grantees and the European Commission through Block.IS 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 Block.IS consortium partners to inform about them.

## 3 Proposal Eligibility Criteria

Block.IS invites market-oriented SMEs to provide innovative blockchain based solutions in the agrifood, logistics and finance sectors.

### 3.1 Definition of SME

An SME will be considered as such if complying with the European Commission Recommendation 2003/361/EC<sup>2</sup> and the SME user guide<sup>3</sup>. As a summary, the criteria which define an SME are:

- a. Independent (not linked or owned by another enterprise), in accordance to Recommendation 2003/361/EC.
- b. Headcount in Annual Work Unit (AWU) less than 250.
- c. Annual turnover less or equal to €50 million OR annual balance sheet total less or equal to €43 million.

### 3.2 SME Eligibility Criteria

An SME is considered eligible for Block.IS Acceleration Process if it complies with ALL the following rules:

- i. It is a legal entity established and based in one of the EU Member States or an H2020 Associated country as defined in H2020 rules for participation<sup>4</sup>:
- ii. It is a technology provider or technology adopter/user providing innovation in the agrifood, logistics and/or finance sector.
- iii. Start-ups that do not have yet annual turnover or balance sheets are also considered eligible given that they fulfil the criteria (a) and (b) of section §3.1 at submission time.
- iv. In case an SME is awarded a sub-project, it will remain eligible even if, at a certain point during the sub-project execution, it does not fulfil criteria (b) or (c) of section §3.1.

**For British applicants:** Please be aware that eligibility criteria must be complied with for the entire duration of the grant. If the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that British applicants continue to be eligible, you will cease to receive EU funding (while continuing, where possible, to participate) or be required to leave the project. In that case, the rules of H2020 grants will apply.

Please note that a signed version of **Annex 4: Honour Declaration** and **Annex 5: SME Declaration** are mandatory for a proposal submission.

### 3.3 Proposal Eligibility Criteria

The following proposals eligibility criteria also apply:

- i. Proposals must have a **clear European dimension, facilitate blockchain based innovation** and contribute towards European Union digitization, **targeting clear economic and societal impact**.
- ii. **Each SME may submit only one (1) proposal at Block.IS Open Call #2. Multiple submissions is a disqualify factor.** In case an SME submit more than one proposals, all proposals that they have submitted will be automatically excluded from the evaluation process.

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<sup>2</sup> European Commission Recommendation 2003/361/EC. <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2003:124:0036:0041:en:PDF>

<sup>3</sup> SME definition: Please check "User guide to the SME definition" available at <https://op.europa.eu/s/n3t1>

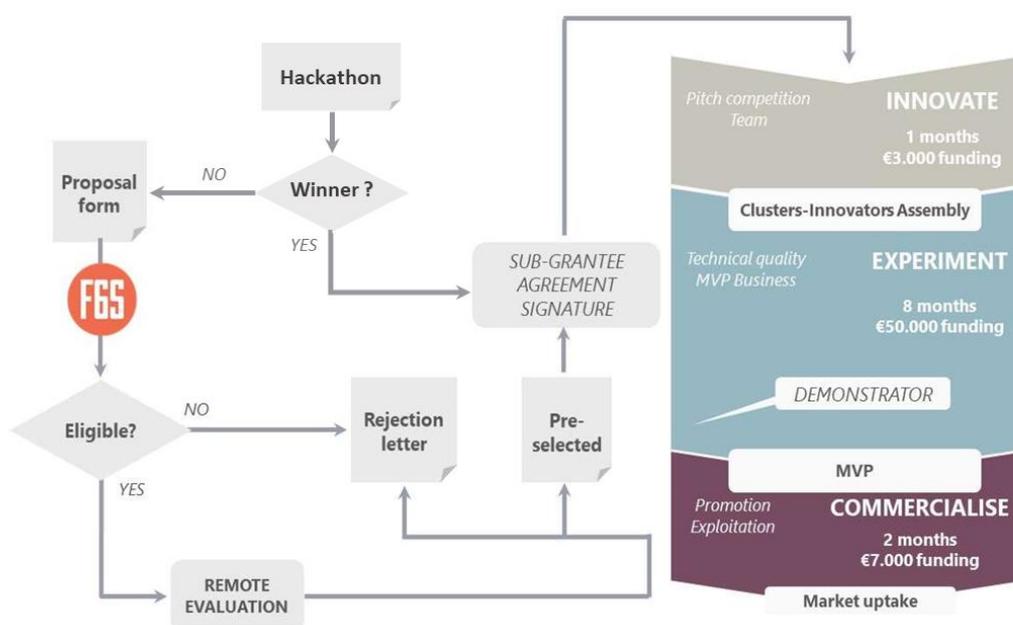
<sup>4</sup> Association to Horizon 2020 is governed by Article 7 of the Horizon 2020 Regulation. The list of associated countries is available at:

[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/3cp/h2020-hi-list-ac\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/3cp/h2020-hi-list-ac_en.pdf)

- iii. **SMEs may participate in maximum one (1) accepted sub-project.** SMEs that have entered or have been invited to enter the INNOVATE phase of Open Call #1 (i.e. the Open Call that Block.IS issued in 2019), even if they have not signed the contract for any reason or if they were not selected in a later phases, they are automatically excluded from participating in Open Call #2 even if they submit a different proposal.
- iv. **SMEs may re-submit at Open Call #2 a proposal that has not entered Open Call #1 INNOVATE phase.** However, it is mandatory to flag that this is a resubmission and clearly explain the improvements that they have made.
- v. **Proposals from Linked SMEs<sup>5</sup> must demonstrate that there is no risk of double funding.** The fundamental principle underpinning the rules for public expenditure in the EU states that no costs for the same activity can be funded twice from the EU budget, as defined in the Article 111 of Council Regulation (EC, Euratom) No 1605/2002 of 25 June 2002 on the Financial Regulation. In the case of proposals submitted by linked SMEs, all must clearly state the differences between them including but not limited to, technical aspects, market strategy and team composition, so that it remains no doubt that there is no risk of double funding. In order to properly assess these concerns Block.IS may assign all proposals to the same set of evaluators and, should any doubt remain, exclude all proposals.
- vi. **The maximum amount of direct funding that an SME may receive via Block.IS is 60.000 EUROS via any mean (e.g. open call, challenges, cluster missions, etc).**

## 4 Selection to the Acceleration process #2

Block.IS has already selected 45 proposals from the 1<sup>st</sup> acceleration process. Out of them 23 have already entered the EXPERIMENT Phase. The 2<sup>nd</sup> Acceleration Phase will select 45 additional sub-projects. Thirty-seven (37) will be selected via the Open Call #2 and eight (8) additional sub-projects, the winners of Block.IS challenges, will enter the INNOVATE phase. All 45 winners SME should fulfil the eligibility criteria as expressed in Section 3, sign and submit the same documents, namely: Annex 4 (Honour Declaration), Annex 5 (SME Declaration), Annex 6 (Bank account information) and Annex 7 (Sub-grant Agreement) as explained in the next sections.



<sup>5</sup> Please check the definition of Linked SME at “User guide to the SME definition” available at <https://op.europa.eu/s/n3t1> and include the relevant information in annex 5

Figure 4: Block.IS Evaluation process summary

## 4.1 Preselection via challenges

Block.IS will organize 4 challenges. The winners of each challenge (in total 8 SMEs) will enter the Block.IS INNOVATE phase. The procedures and selection process of the challenges are described in the next section. It should be underlined that SMEs that participate at the challenges but are not selected, may submit proposals via the Open Call submission procedure.

For each challenge there will be one external organization, the challenger, that will define a theme and the problem to be addressed. The theme will be announced with the challenge, the problem will only be announced during challenge kick-off.

### 4.1.1 Challenge glossary

**Challenge** – Virtual competition where participants provide solutions to a problem which are graded to select a winner.

**Challenger** - is the external to Block.IS consortium 3rd party which defines the theme and problem to be solved.

**Theme** – Generic definition of the *problem* to be solved with enough detail to assess if the challenge is aligned with SMEs strategy and products.

**Problem**- Business need identified by the challenger to be disclosed in the challenge kick-off.

**Applicant** – SME that applied to the challenge.

**Participant** – *Applicant* selected to participate in the challenge

**Winner** – Participants ranked in the first and second place of the challenge.

**Mentors** – Staff from Block.IS partners or from challengers which will support participants during the challenge.

**Reserve list** – Participants that did not win ranked by score, to be invited to sign contract for INNOVATION phase if for some reason none of the better scored SMEs does not sign the contract.

**Selection committee** – Committee that will scores and rank applicants to select the participants.

**Jury** – Committee that scores and ranks participants to select the winner.

### 4.1.2 Schedule

Challenges will be announced in the Block.IS website and social media, mentioning the theme of each challenge and revised dates for all phases of the challenge, from application to contracts deadline.

Tentative dates are as follows:

Event	Reference date
Challenges announcement and registrations opening	May 15 <sup>th</sup>
Challenges registration closing	June 11 <sup>th</sup>
Announcement of participants	Until June 15 <sup>th</sup>
Challenge competition	Until June 26 <sup>th</sup>
End of contract procedures for winners	(fixed) July 15 <sup>th</sup>

End of contract procedures for reserve list

(fixed) July 22<sup>nd</sup>

Unless marked as fixed, reference dates are tentative and represent the best-case scenario based on current information on pandemic evolution. The final dates for each challenge will be published in the challenge announcement.

### 4.1.3 Application

The F6S platform (<https://www.f6s.com/block.is>) will be the entry point for all proposals' submission to Block.IS Challenges. Submissions received by any other channel will be automatically discarded.

### 4.1.4 Selection of participants and notification

The *selection committee* is made by 3 representatives of the consortium from different partners, with support of one representative from the challenger.

The selection committee will perform an eligibility check on all applications. Applications not complete or not electable will be rejected and applicants notified.

The *selection committee* will assess the remaining applications following the 4 criteria presented below. Each (sub)criterion is given a mark from 1 to 5. The final mark of each evaluator is the sum of the weighted single attributes. The final mark for an application is the arithmetic mean of the 3 assessments given by each evaluator.

Table 3 Challenge selection criteria and weight

Part of Evaluation	Weight
SME fit to challenge	0.30
Impact of Block.IS support services	0.30
Team	0.25
Geographical coverage	0.15
<b>Total</b>	<b>1.00</b>

#### SME fit to challenge

Evaluates if the SME domain is aligned with the theme of the challenge. Higher points are awarded to SMEs already commercializing solutions in the domain.

Table 4 Challenge Criteria: SME fit to challenge

Value	Description
1 point	The SME domain is not related with the theme of the challenge
2 points	The SME has evidence that it is close to have a prototype (TRL 3) of a solution in the target domain of challenge
3 points	The SME is prototyping (TRL 4-5) solutions in the target domain of challenge
4 points	The SME is validating (TRL 6-7) solutions in the target domain of challenge
5 points	The SME commercializes (TRL 8-9) solutions in the target domain of the challenge

### Impact of Block.IS support services

Evaluates if the products developed by the SME will benefit from the enablers and business support services of Block.IS. Higher points are granted to the developments that will make more use of the Block.IS technical and business services.

*Table 5 Challenge criteria: Impact of Block.IS support services*

Value	Description
1 point	The SME is not involved in blockchain activities
2 points	The SME has evidence that is starting blockchain activities
3 points	The SME commercializes one or more blockchain solutions addressing the target domain the challenge
4 points	The SME commercializes one or more blockchain solutions not addressing the target domain the challenge
5 points	The SME commercializes one or more solutions in the target domains of challenge that can be improved using blockchain technologies

### Team

Evaluates the structure of the team in terms of composition and experience. Higher points are granted to the teams that can benefit the most with Block.IS mentoring.

*Table 6 Challenge criteria: Team*

Value	Description
1 point	There is not enough evidence to assess the team
2 points	The team is described but the Block.IS mentoring programme will not be enough to overcome the weaknesses in team.
3 points	There is evidence of a strong mix of technical, management and business skills in the team
4 points	Not all team members are experienced, but they have the mix of technical, management and business skills in the team needed to develop the project
5 points	The Block.IS mentoring programme is enough to overcome eventual business or technical weaknesses in team.

### Geographical Coverage

Evaluates how the team reaches different geographies. Higher points are awarded to the teams that reach markets outside EU/H2020 countries.

*Table 7 Challenge criteria: Geographical Coverage*

Value	Description
1 point	Local level
2 points	National level
3 points	Cross-border level
4 points	European level (EU + H2020 associated countries)

5 points	Global level
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After graded and ranked from the highest to the lowest score, the top 8 teams are notified that they are selected as participants, and the other teams are notified that they were not selected to participate in the challenge.

If two or more applications are tied in the 8<sup>th</sup> place, priority will be given to the one that:

**Rule 1** – has higher score in “Team”

**Rule 2** - In case following Rule 1 there are applications in the same position, priority will be given to applications that have higher score in “Impact of Block.IS support services”

**Rule 3** - In case following Rule 2 there are applications in the same position, priority will be given to applications that have applied first.

#### 4.1.5 Challenge event

At 1pm CET of the day of the challenge, teams will join a virtual room for challenge kick-off.

The challenger presents the problem, followed by a period of questions and answers. Kick-off takes at most 90 min.

After the kick-off until the selection event, teams can organize themselves as they please. The organization will make available structured contact points defined below. Teams and mentors are free to meet outside the structures contact points, although mentors will try to be fair in terms of availability to all teams.

Structured contact points, which again are no mandatory for teams, are as follows:

At 4pm CET day 1, challenger and mentors will be available for mentoring up to 15 minutes per team.

At 9pm CET day 1, challenger or mentors will be available for mentoring up to 15 minutes per team.

At 9am CET day 2, challenger and mentors will be available for mentoring up to 15 minutes per team.

At 2pm CET day 2, starts the selection event where each team presents their solution for 10 minutes and answers to questions for another 5 minutes. The presentation is then graded by the jury using the same criteria of the open call as defined in point 4.3.2 . In the end of the presentations the jury will have an internal meeting to share evaluations and rank participants. After the internal meeting the final event will reconvene with the announcement of the results, the ranked participant list.

Each participant will receive by email the aggregated score. The jury will provide cumulative feedback to all participants, mentioning overall strongest points, weaknesses and generic improvement opportunities.

#### 4.1.6 Contracts

Finally, winners of the Challenges will enter Step 1.5: Contract Signature as described in section 4.3.5.

As already mentioned, the 8 winners SME of the challenges should fulfil the eligibility criteria as expressed in Section 3, sign and submit the same documents, namely: Annex 4 (Honour Declaration), Annex 5 (SME Declaration), Annex 6 (Bank account information) and Annex 7 (Sub-grant Agreement) as explained in the next sections.

Should the winners fail to send all the requested documentation until July 15<sup>th</sup>, the following team in the reserve list will be invited to complete contractual procedures.

#### 4.1.7 Other dispositions

If a team is incorrectly considered not electable and has a score higher than a selected team, they will be invited to the challenge in which case the number of participants is increased.

If in the sequence of the challenge, a team is invited to sign a contract decides not to proceed with the signature they allowed to apply in the open call if they so desire.

## 4.2 Open Call #2 Submission

The Open Call submission will follow the steps that are listed in this section:

### 4.2.1 Open Call #2 publication

The Open call will be published on the dates shown in section §4.2.4. It will be supported by:

- **Annex 1: Open Call text**, which provides a full set of information regarding the Open Call for Proposals for the Block.IS project.
- **Annex 2: Guidelines for Applicants**, this document.
- **Annex 3: Proposal Template**, an online application form, available at F6S platform (<https://www.f6s.com/block.is>).
- **Annex 3.1: Proposal Supplement**, a word document providing information on proposal schedule, timing, Ethical & Security details.
- **Annex 4: Honour Declaration**, which declares that all conditions of the acceleration process are accepted by an SME legal representative.
- **Annex 5: SME Declaration**, which evaluates the status of the SMEs participating at an acceleration process.
- **Annex 6: Bank account information**, which collects information on the applicant(s)' bank account where the Block.IS payments will be sent to.
- **Annex 7: Sub-grant Agreement Template**, which provides a template of the sub-grant agreement that the successful applicants will be requested to sign.
- **Frequently Asked Questions & answers** published at the community feed (<https://www.f6s.com/block.is>).

### 4.2.2 Applicants Registration

Interested applicants should register at the Block.IS F6S page (<https://www.f6s.com/block.is>). This will be the central interface for managing the proposal applications for the remainder of the open calls.

### 4.2.3 Proposal Preparation

Please follow the steps:

1. For the proposal preparation, the applicants are requested to apply online and answer to all mandatory questions (with no exception) at: <https://www.f6s.com/block.is>

2. Applicants that do not accept the terms and conditions and do not sign and upload to the f6s platform the completed **Annex 4: Honour Declaration** and **Annex 5: SME Declaration** will not be eligible.
3. Be concrete and concise. Questions have characters limitation. Please examine all the acceleration process/ open call documents and attend the various online and physical events promoted by the Block.IS projects (<https://blockis.eu/>).
4. It is highly recommended to submit your proposal well before the deadline. If the applicant discovers an error in the proposal, and provided the call deadline has not passed, the applicant may request the F6S Block.IS team to re-submit the proposal (for this purpose please contact us at support@f6s.com). **However, Block.IS is not committed that resubmission in time will be feasible in case the request for resubmission is not received by the F6S Block.IS team at least 48 hours before the call deadline.**

*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 network communications delays or working from multiple browsers or multiple browser windows, is not acceptable as an extenuating circumstance. The time of receipt of the application as recorded by the submission system will be definitive.*

#### 4.2.4 Proposals reception

Submissions will be done ONLY via the F6S platform on <https://www.f6s.com/block.is>. A full list of proposers will be drafted containing their basic information for statistical purposes and clarity (which will be also shared with EC for transparency).

The application reception will close as indicated in section 1.4 “Timeline – Acceleration Process #2”. There will not be any deadline extensions unless there is a Force Majeure situation (e.g. a major problem caused by the F6S platform and not by the proposers, makes the system unavailable for a long period).

### 4.3 Procedures to enter the INNOVATE Phase

#### 4.3.1 Step 1.1: Eligibility

An automatic filtering to discard non-eligible proposals will follow the short list. Eligibility criteria check will verify:

- a. The proposing entity is a legal entity eligible for EC funding under the rules of H2020 [Y/N]
- b. The proposing entity is an SME as defined in section 3.1 “Definition of SME” [Y/N]
- c. The proposing entity is either a technology provider or technology adopter/user or provides innovation in the agrifood, logistics or finance sectors [Y/N]
- d. Are the participation rules as expressed in section 3.2 “SME Eligibility” followed [Y/N]
- e. Is the participation rule as expressed in section 3.3 “Proposal Eligibility” followed [Y/N]
- f. Is the proposal written in the English Language [Y/N]?
- g. Are all required documentation: **Annex 4: Honour Declaration and Annex 5: SME Declaration** submitted correctly [Y/N]

Proposals being marked as non-eligible will get a rejection letter including the reasons (a to g) for being catalogued as non-eligible. No further feedback on the process will be given.

### 4.3.2 Step 1.2: External remote evaluation

Remotely and within F6S platform, **2 external evaluators** with experience in Blockchain technologies, the relevant sector (agriculture, logistics and finance) and business development will evaluate each proposal, scoring it based on the following evaluation criteria:

- **Criterion 1: Concept & Technology.** Novelty and feasibility of the product or service concept proposed. Technology fit to Block.IS scope, technical capacity to achieve TRL 6-9 (to cross the valley of death), technical milestones.
- **Criterion 2: Impact.** Expected output should target clear business, economic and societal impact, market potential, European dimension, cross-sector/-border business scalability, and define a clear exploitation strategy/ business plan and commercial milestones.
- **Criterion 3: SME/Team:** capacity to perform the task; knowledge, technological and business expertise; commitment.

Each criterion will have a mark between 1 and 10. Half point scores are not given. For each criterion under examination, score values will indicate the following assessments:

- **1-2: Fail.** The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information.
- **3-4: Very poor.** The criterion is addressed in an unsatisfactory manner.
- **5: Poor.** There are serious inherent weaknesses.
- **6-7: Good.** While the proposal broadly addresses the criterion, there are significant weaknesses that would need correcting.
- **8-9: Very Good.** The proposal addresses the criterion well, although certain improvements are possible.
- **10: Excellent.** The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.

The threshold for each criterion will be **six (6)**, while the overall score threshold will be **twenty (20)**. That means if a proposal receives less than 6 in one criterion or less than 20 overall score it is automatically rejected.

Each evaluator will record his/her individual opinion of each proposal on an Individual Evaluation Report. They will then communicate to prepare a single consensus Evaluation Summary Report (ESR) for each proposal, representing opinions and scores on which the evaluators agree and which they will sign.

### 4.3.3 Step 1.3: Final Ranking and Selection

At the end of the evaluation process all proposals will be ranked in a single list, independent of the topic(s) that it targets. The criteria for the ranking of the proposals will be semi-automatic following the rules below:

- **Rule 1:** The proposals will be ranked based on their overall score (sum of the criterion 1 to 3).
- **Rule 2:** In case following Rule 1 there are proposals in the same position, priority will be given to proposals that have higher impact and market potential (Criterion 2).

- **Rule 3:** In case following Rule 2 there are proposals in the same position, priority will be given to proposals that are their technology and business fit to Block.IS scope (Criterion 1).
- **Rule 4:** In case following Rule 3 there are proposals in the same position, priority will be given to the number of female researchers participating in the team.

In case following Rule 4 there are still proposals in the same position, which are in the top 37 proposals, the Block.IS consortium will invite 1 additional evaluator to read the specific proposals and break the conflict by re-evaluating them.

**At the end, 37 proposals will be selected, and 10 others will remain in a reserve list, in case a selected proposal or a winner of the Challenges competition fails to enter the INNOVATE Phase.**

All proposals will receive an acceptance or rejection letter together with an anonymized version of their proposal Consensus Evaluation Report.

#### 4.3.4 Step 1.4: Contract Preparation

After the Open Call evaluation conclusion and projects selection, the Block.IS coordinator will start the contract preparation in collaboration with the proposals' coordinator that have been evaluated in the short list. Contract preparation will go via an administrative and financial checking (and potentially into technical or ethical/security negotiations) based on evaluators' comments. On a case by case approach, a phone call or teleconference may be needed for clarification.

The objective of the contract preparation is fulfilling the legal requirements between Block.IS consortium and every beneficiary of the call. The items covered will be:

- Inclusion of the comments (if any) in the Evaluation Summary Report of the proposals and mapping to the Sub-grant agreement (contract).
- To validate the status information of the SME, the following documents will be required:
  - **SMEs declaration:** signed and stamped. In the event the applicant declares being non-autonomous, the balance sheet and profit and loss account (with annexes) for the last period for upstream and downstream organizations should also be provided.
  - **Status Information Form.** In case this is not a start-up, 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. In case it is a start-up, legal document of the official founding date.
  - **Legal existence.** Company Register, Official Gazette or other official document per country showing the name of the organisation, the legal address and registration number and a copy of a document proving VAT registration (in case the VAT number does not show on the registration extract or its equivalent).
  - In cases where the **number of employees and/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. In case it is a start-up, legal document of the official founding date and declaration of ownership.
- **SME Bank account information:** The account where the funds will be transferred will be indicated via a form signed by the SME legal representative and the bank representative. The account should be a business bank account of the SME.

It should be emphasised that each **SME should provide at contract preparation time a valid VAT<sup>6</sup>. Failure to provide the VAT number will automatically result in proposal rejection.**

The request, by Block.IS consortium, of the above documentation will be done including deadlines. In general, the sub-project negotiation should be concluded within 2 weeks. An additional week may be provided by the Block.IS coordinator in case of a significant reasoning. In case negotiations have not been concluded within the above period, the proposal is automatically rejected and the next proposal in the reserve list is invited.

#### 4.3.5 Step 1.5: Contract Signature

At the end the negotiation phase, the **sub-grantee funding agreement** will be signed between the Block.IS Consortium represented by its coordinator (F6S) and the Budget Holder (VOICT) and the beneficiary SME.

Please note:

- I. The sub-grantee funding agreement/contract will cover the complete 3 phases: INNOVATE, EXPERIMENT and COMMERCIALIZE. No additional sub-grantee will be signed if an SME enters the next phase.
- II. The sub-grantee funding agreement will automatically expire at the end of each phase - INNOVATE, EXPERIMENT and COMMERCIALISE - without any further notice from the Block.IS consortium, in case the project does not enter or qualify for the next phase or if the SME is not considered eligible any more or if the declaration of honour has been violated.
- III. **For British applicants:** Please be aware that eligibility criteria must be complied with for the entire duration of the grant. If the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that British applicants continue to be eligible, you will cease to receive EU funding (while continuing, where possible, to participate) or be required to leave the project. In that case, the rules of H2020 grants will apply.

#### 4.3.6 Redress process

Within 3 working days of the delivery of a rejection letter considering the proposal as non-eligible or an ESR that ranks the proposal below the selection borderline, the proposer may submit a request for redress if s/he believes the results of the eligibility checks have not been correctly applied, or if s/he feels that there has been a shortcoming in the way his/her proposal has been evaluated that may affect the final decision on whether to enter the INNOVATE phase or not.

In that case, an internal review committee of the Block.IS consortium will examine the request for redress. The committee's role is to ensure a coherent interpretation of such requests, and equal treatment of applicants.

Requests must be:

- Related to the evaluation process or eligibility checks.
- Clearly describe the complaint.
- Received within the time limit (3 working days) from the reception of a rejection letter considering the proposal as non-eligible or the ESR information letter delivered.
- Sent by the SME legal representative that has also submitted the proposal.

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<sup>6</sup> To be checked at European Commission services such as [http://ec.europa.eu/taxation\\_customs/vies/](http://ec.europa.eu/taxation_customs/vies/)

The committee will review the complaint and will recommend an appropriate course of action. 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 only with the evaluation and/or eligibility checking process. The committee 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.

Only one request for redress per proposal will be considered by the committee. All requests for redress will be treated in confidence and must be sent to Project Coordinator via the F6S platform.

In case a proposal under the redress procedure is re-evaluated and the new evaluation score is higher, it will be compared with the proposal that has entered the INNOVATE phase with the lowest ranking. The comparison will use the ranking rules as expressed in Step 1.3 (Final Ranking and Selection). In case the proposal under the redress procedure ranks higher then both proposals will be invited to enter the INNOVATE phase.

## 4.4 INNOVATE Phase & Procedures to enter the EXPERIMENT Phase

### 4.4.1 Step 2.1: Preparation

After the proposal has been accepted and the sub-grant agreement has been signed, the SME will enter the INNOVATE phase.

During this phase the SME should clarify the details of the sub-project, including both the technical and the business parameters, the potential economic/business impact on the agrifood, the logistics and/or the fintech domain and the European dimension/scale.

The duration of this preparation phase will be approximately one (1) month. At the end of the sub-project's month M1, the SME representatives will physically participate at the Block.IS INNOVATE Event to go through the technical evaluation (step 1.2) and the INNOVATE evaluation (step 1.3) described in the next sections.

The Block.IS INNOVATE event is scheduled to take place in **the end of November 2020** in **Dublin, Ireland** (two full days event)<sup>7</sup>. **It is mandatory that at least one SME representative/member appear at the event, sign the participants list and actively participate at the two days evaluation process.**

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<sup>7</sup> Please note that the date and the place may be modified. The exact date and place will be fixed at contract signature time.

#### 4.4.2 Step 2.2: Technical Evaluation

The 45 SMEs that have entered the INNOVATE Phase will be split in groups of 10-15 SMEs. During the 1<sup>st</sup> day of the INNOVATE event, each SME will have a f2f meeting with an evaluation committee that will consist of:

- One Block.IS consortium expert with technology background;
- One Block.IS consortium expert with business/domain background;
- One External Expert.

During the f2f meeting, the applicant will provide a set of 10-15 slides in Power Point or a similar tool format and make a presentation of the sub-project idea/concept focusing on the technological dimension and the implementation/experiment workplan and answer to questions of the evaluation team.

Each SME should be well prepared for the f2f meeting as it should last 20-25 minutes. The evaluation team may extend the technical evaluation if they consider that it is necessary.

At the end of the technical evaluation, the committee will score each SME/proposal with a mark between 1 and 10. The score given by each committee member will be independent from each other and the final technical evaluation score will be the average of the three individual scores.

#### 4.4.3 Step 2.3: INNOVATE Evaluation

During the 2<sup>nd</sup> day of the INNOVATE event, each SME will have 3 minutes to pitch for their idea /proposal. The pitching audience will be limited to:

- A committee of three (3) external experts;
- The Block.IS consortium, potentially including European Commission officers;
- The other SME beneficiaries that have invited to INNOVATE event;
- Professionals/Executives invited by the Block.IS consortium.

At the end, the three external experts will score each SME/sub-project with a mark between 1 and 10. The value of the score of each committee member will be equal and the final INNOVATE evaluation score will be the average of the three individual scores.

#### 4.4.4 Step 2.4: Final Ranking & Selection to the EXPERIMENT Phase

At the end of the 2<sup>nd</sup> day of the Block.IS INNOVATE Event the sub-projects will be ranked based on their technical and INNOVATE evaluation scores. The final score will be the summary of the final technical score and final INNOVATE evaluation score.

In case two or more sub-projects have equal final scores, the external experts' committee will decide on the final ranking based on each sub-project impact potential and probability to achieve the results.

At the end of the event the project coordinator will announce the top 23 sub-projects that have entered the EXPERIMENT phase. **The remaining sub-projects will be automatically terminated.**

#### 4.4.5 Step 2.5: Compensation of the INNOVATE Phase

Just after the INNOVATE event, and within **5 working days**, all 45 sub-project coordinators should send to the Block.IS coordinator:

- The set of slides that s/he presented at the INNOVATE event.

- A financial statement of type F1 (template will be provided) requesting the 3.000€ voucher of the INNOVATE Phase.
- Payments will be released no later than thirty (30) natural days after the notification by the Contractor;

The Block.IS coordinator and treasurer after receiving the above documents and cross-checking the list of participants, will proceed with the payment of the INNOVATE phase voucher (provided in a lump sum mode).

**In case an SME, either does not participate in the INNOVATE event, or does not successfully complete both the technical and the INNOVATE evaluations or does not submit the above documentation within the foreseen timeframe, their sub-grantee contract will be automatically terminated and no INNOVATE phase compensation will be provided.**

After providing the INNOVATE phase funding to the SME beneficiaries, the INNOVATE Phase is complete. As a result:

- The top 23 sub-projects will automatically enter the EXPERIMENT phase, based on their contract;
- The sub-grantee contract of the remaining sub-projects will be automatically terminated.

## 4.5 EXPERIMENT Phase & Procedures to enter the COMMERCIALISE Phase

### 4.5.1 Step 3.1: Design sub-phase

After the Block.IS INNOVATE event, the top 23 sub-projects will enter the first step of the EXPERIMENT phase, which is the Design sub-phase.

The duration of this sub-phase will be *approximately 2 months*, covering project months M2 to M3.

During this sub-phase, the SME should participate in various teaching webinars events to extend their knowledge on the blockchain technology, their applications on the Block.IS domains (agrifood, logistics and fintech) and commercialization/business training.

In parallel they should proceed with the analysis of their project idea/concept and the detailed design of a product prototype.

### 4.5.2 Step 3.2: Design sub-phase Evaluation

At the end of sub-project's month M3, a remote review will take place to evaluate the progress of the sub-project. One week before the review, the sub-project coordinator should submit deliverable **D1: Design**, analysing in detail the sub-project and the implementation approach. Short analysis of the impact potential and draft business considerations may also be included.

The review will be remote via a teleconference platform (e.g. Skype or WebEx). The review committee will consist of:

- Two External Experts;
- One Block.IS consortium member acting as moderator.

The sub-project will make a short presentation of the sub-project, analyse the design considerations and answer questions from the experts.

After the review, the sub-project coordinator will receive a review report, including comments and potential recommendations. The report will also state if the Design Deliverable is accepted or not.

- On acceptance of the D1 Deliverable, the sub-project coordinator will be requested to submit a financial statement F2 (template will be provided) requesting the intermediate 15.000€ voucher of the Design sub-phase.
- Payments will be released no later than thirty (30) natural days after the notification by the Contractor;
- On rejection of the D1 Deliverable, or in case of not satisfactory review, the sub-project coordinator will be requested to continue the EXPERIMENT phase without receiving the intermediate 15.000€ voucher of the Design sub-phase. The rejected D1 Deliverable may be (re-) submitted at the Implementation & Validation sub-phase Evaluation, hence qualifying for its payment, together with the amount due in the Implementation & Validation sub-phase Evaluation, if and when said D1 Deliverable is approved (see Step 3.4.).

### 4.5.3 Step 3.3: Implementation & Validation sub-phase

After the design sub-phase review, the sub-projects will enter the last step of the EXPERIMENT phase, which is the Implementation & Validation sub-phase.

During this sub-phase, the SME must participate in various teaching webinars and/or bootcamp events to extend their knowledge on the blockchain technology, their applications on the Block.IS domains (agrifood, logistics and fintech) and commercialization/business training.

The duration of this sub-phase will be approximately 6 months, covering project months M4 to M9.

During this sub-phase, the SME should focus on the implementation of a Minimum Valuable Product prototype (with TRL 4-6), the validation of the prototype and the preparation of a business plan.

### 4.5.4 Step 3.4: Implementation & Validation sub-phase Evaluation

At the end of sub-project month M9, a 2 days Block.IS **Demonstration event** will take place (the place will be defined at least 2 months before). **It is mandatory that at least one SME representative/member appear at the event, sign the participants list and actively participate at the two days evaluation process.**

One week before the review, the sub-project coordinator should submit the following deliverables:

- **D2: Implementation**, describing the system prototype that they have implemented and the results of the validation;
- **D3: Business and Exploitation Plan** Deliverable.

Moreover, they should (re-)submit the sub-project's **D1: Design** deliverable, if for any reason it has not been previously accepted.

During the 1<sup>st</sup> day of the Demonstration event, each SME will have a f2f meeting with a review committee that will consist of:

- One Block.IS consortium expert with technology background;
- One Block.IS consortium expert with business/domain background;
- One External Expert.

**Successful evaluation of the deliverables, presentation and demonstration of the solution to the committee will result in successful completion of the EXPERIMENT Phase.**

#### 4.5.5 Step 3.5: Selection to the COMMERCIALISE Phase

During the 2<sup>nd</sup> day of the Demonstration event, each SME will pitch for 10 minutes in public, presenting their solution.

A committee of three external experts will score each SME/sub-project with a mark between 1 and 10. The value of the score of each committee member will be equal and the final evaluation score will be the average of the three individual scores.

At the end of the 2<sup>nd</sup> day of the Block.IS Demonstration Event the sub-projects will be ranked based on the final evaluation score. In case two or more sub-projects have equal final scores, the external experts' committee will decide on the final ranking based on each sub-project impact potential and probability to achieve the results.

At the end of the event the project coordinator will announce the top 10 sub-projects that have entered the COMMERCIALISE phase. **The remaining sub-projects will be automatically terminated.**

#### 4.5.6 Step 3.6: Compensation of the EXPERIMENT Phase

Just after the Demonstration event, and within **5 working days**, all sub-project coordinators that have successfully complete the EXPERIMENT Phase should send to the Block.IS coordinator the financial statement F3 (template will be provided) requesting the 35.000€ voucher of the Implementation & Validation sub-phase. In case the D1: Design deliverable has been accepted only in the Demonstration event, the sub-grantee should also submit the financial statement F2.

The Block.IS coordinator and treasurer after receiving the above mentioned financial statements and cross-checking the list of participants, will proceed with the payment (provided in a lump sum mode).

Payments will be released no later than thirty (30) natural days after the notification by the Contractor;

**In case an SME, either has not participated in the Demonstration event, or has not successfully completed both the EXPERIMENT sub-phases or has not submitted the financial statements with the foreseen timeframe, their sub-grantee contract will be automatically terminated, and no compensation will be provided.**

After providing the EXPERIMENT phase funding to the SME beneficiaries, the EXPERIMENT Phase is complete. As a result:

- The top 10 sub-projects will automatically enter the COMMERCIALISE phase, based on their contract;
- The sub-grantee contract of the remaining sub-projects will be automatically terminated.

## 4.6 COMMERCIALISE Phase

### 4.6.1 Step 4.1: COMMERCIALISE phase implementation

After the Block.IS demonstration event, the top 10 sub-projects will enter the COMMERCIALISE phase. The duration of this subphase will be approximately 2 months, covering project months M10 to M11.

During this phase, the SME should participate in various events, have f2f meetings with potential investors and finalize their business and market plans.

In parallel they should proceed with improving their solution targeting a product of TRL 8-9.

#### 4.6.2 Step 4.2: COMMERCIALISE Evaluation

At the end of sub-project month M11, a 1 day Block.IS **COMMERCIALISE event** will take place (the place will be defined at least 2 months before). **It is mandatory that at least one SME participant appear at the event, sign at the participants list and participate at the activities.** However, it is strongly suggested that two SME representatives will participate.

During the COMMERCIALISE event, each SME will have the opportunity to demonstrate their product to an evaluation committee, while in parallel pitching sessions will take place.

Successful presentation and demonstration of the product at TRL 8-9 will result in successful completion of the COMMERCIALISE Phase.

#### 4.6.3 Step 4.3: Compensation of the COMMERCIALISE Phase

Just after the COMMERCIALISE event, and within **5 working days**, all sub-project coordinators that have successfully complete the COMMERCIALISE Phase should send to the Block.IS coordinator:

- A set of 10-15 slides based on their presentation in the commercialization event.
- A financial statement F4 (template will be provided) requesting the 7.000€ voucher of the COMMERCIALISE Phase (given that this does not exceed the maximum value of 60.000€ that each and any SME may receive from Block.IS);
- Payments will be released no later than thirty (30) natural days after the notification by the Contractor.

The Block.IS coordinator and treasurer after receiving the above documents and cross-checking the list of participants, will proceed with the payment (provided in a lump sum mode).

**In case an SME, either has not participated in the COMMERCIALISE event, or has not successfully completed the COMMERCIALISE evaluation or has not submitted the financial statements with the foreseen timeframe, their sub-grantee contract will be automatically terminated, and no compensation will be provided.**

## 5 Sub-Projects Execution Summary

### 5.1 Coaches

Each sub-project will be assigned at least one coach. The coach will communicate with the sub-project on a regular basis and in order to overview the progress and provide technical or business advise.

### 5.2 Evaluations summary

Each project will go through 5 evaluations, each one highlighting the end of a phase.

Table 8 Project evaluations

<b>Evaluation 1</b>			
<b>When</b>	Open Call #2 deadline or Challenges event competition	Estimated project month	Before project start
<b>Mean</b>	Proposal submission or Challenges competition		
<b>If successful (top 45)</b>	The proposal signs the contract and enters the INNOVATE phase		
<b>Evaluation 2</b>			
<b>When</b>	Block.IS INNOVATE Event	Estimated project month	End of M1
<b>Mean</b>	Set of slides & pitching proposal idea.		
<b>If successful</b>	The SME receives 3.000€ as lump sum for covering travel expenses		
<b>If distinction (top 23)</b>	The proposal enters the EXPERIMENT phase		
<b>Evaluation 3</b>			
<b>When</b>	Remote Review	Estimated project month	End of M3
<b>Mean</b>	Deliverable D1: Design & presentation of the idea/ prototype design		
<b>If successful</b>	The SME receives 15.000€ as lump sum		
<b>Evaluation 4</b>			
<b>When</b>	Demonstration Event	Estimated project month	End of M9
<b>Mean</b>	Deliverables D2: Implementation & D3: Business & Exploitation Plan Demonstration of the MVP (TRL 4-6) & Pitching on the solution		
<b>If successful</b>	The SME receives 35.000€ as lump sum		
<b>If distinction (top 10)</b>	The proposal enters the COMMERCIALISE phase		
<b>Evaluation 5</b>			
<b>When</b>	COMMERCIALISE Event	Estimated project month	End of M11
<b>Mean</b>	Set of slides, demonstration of the product (TRL 8-9) & pitching		
<b>If successful</b>	The SME receives 7.000€ as lump sum		

The sub-project coordinator should deliver at least one (1) week in advance all relevant deliverables, so that the reviewers will be able to be prepared. During the review, the sub-project members should present their work, answer questions and demonstrate their experiment.

After each successful evaluation and within **5 working days**, the sub-project coordinator should send the relevant Financial Statement to the coordinator. Additional conditions and eligibility criteria have already been described in the previous sections.

## 6 Responsibilities of beneficiaries

The selected SMEs are indirectly beneficiaries of European Commission funding. As such, they are responsible for the proper use of the funding and ensure that the recipients comply with obligations

under H2020 specific requirements as described in Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020) [1] The obligations that are applicable to the recipients include<sup>8</sup>:

## 6.1 Conflict of Interest

The beneficiary SMEs must take all measures to prevent any situation where the impartial and objective implementation of the sub-project is compromised for reasons involving economic interest, political or national affinity, family or emotional ties or any other shared interest ('conflict of interests').

They must formally notify to the Block.IS coordinator without delay any situation constituting or likely to lead to a conflict of interests and immediately take all the necessary steps to rectify this situation. The Block.IS coordinator may verify that the measures taken are appropriate and may require additional measures to be taken by a specified deadline.

If the sub-contract consortium member breaches any of its obligations, the sub-contract may be automatically terminated. Moreover, costs may be rejected.

## 6.2 Data Protection & Confidentiality

During implementation of the sub-project and for four years after the end of the sub-project, the parties must keep confidential any data, documents or other material (in any form) that is identified as confidential at sub-contract signing time ('confidential information').

If a beneficiary SME requests, the Commission and the Block.IS consortium may agree to keep such information confidential for an additional period beyond the initial four years. This will be explicitly stated at the sub-contract.

If information has been identified as confidential during the sub-project execution or only orally, it will be considered to be confidential only if this is accepted by the Block.IS coordinator and confirmed in writing within 15 days of the oral disclosure. Unless otherwise agreed between the parties, they may use confidential information only to implement the Agreement.

The sub-project consortium may disclose confidential information to the Block.IS consortium and to the selected reviewers, who will be bounded by a specific Non-Disclosure Agreement.

## 6.3 Promoting the action and give visibility to the EU funding

The beneficiary SMEs must promote the sub-project, the Block.IS project and its results, by providing targeted information to multiple audiences (including the media and the public) in a strategic and effective manner and to highlight the financial support of the EC.

Unless the European Commission or the Block.IS coordinator requests or agrees otherwise or unless it is impossible, any communication activity related to the action (including in electronic form, via social media, etc.), any publicity, including at a conference or seminar or any type of information or promotional material (brochure, leaflet, poster, presentation etc.), and any infrastructure, equipment and major results funded by the grant must:

- (a) display the EU emblem;

---

<sup>8</sup> The obligations described here are not binding and may be modified, refined or additional obligations may be inserted during the sub-project negotiation if needed.

(b) display the Block.IS logo and

(c) include the following text:

For communication activities: *“This project has indirectly received funding from the European Union’s Horizon 2020 research and innovation programme under project Block.IS (grant agreement No 824509)”*.

For infrastructure, equipment and major results: *“This [infrastructure][equipment][insert type of result] is part of a sub-project that has indirectly received funding from the European Union’s Horizon 2020 research and innovation programme under project Block.IS (grant agreement No 824509)”*.

When displayed in association with a logo, the European emblem should be given appropriate prominence. This obligation to use the European emblem in respect of projects to which the EC contributes implies no right of exclusive use. It is subject to general third-party use restrictions which do not permit the appropriation of the emblem, or of any similar trademark or logo, whether by registration or by any other means. Under these conditions, the Beneficiary is exempted from the obligation to obtain prior permission from the EC to use the emblem. Further detailed information on the EU emblem can be found on the Europa web page.

Any publicity made by the beneficiary SME in respect of the project, in whatever form and on or by whatever medium, must specify that it reflects only the author’s views and that the EC or Block.IS project is not liable for any use that may be made of the information contained therein.

The EC and the Block.IS consortium shall be authorised to publish, in whatever form and on or by whatever medium, the following information:

- the name of the beneficiary SME;
- contact address of the beneficiary SME;
- the general purpose of the project;
- the amount of the financial contribution foreseen for the project; after the final payment, and the amount of the financial contribution actually received;
- the geographic location of the activities carried out;
- the list of dissemination activities and/or of patent (applications) relating to foreground;
- the details/references and the abstracts of scientific publications relating to foreground and, if funded within the sub-project, the published version or the final manuscript accepted for publication;
- the publishable reports submitted to Block.IS;
- any picture or any audio-visual or web material provided to the EC and Block.IS in the framework of the project.

The beneficiary SME shall ensure that all necessary authorisations for such publication have been obtained and that the publication of the information by the EC and Block.IS does not infringe any rights of third parties.

Upon a duly substantiated request by the sub-project coordinator on behalf of any sub-project member, the Block.IS, if such permission is provided by the EC, may agree to forego such publicity if disclosure of the information indicated above would risk compromising the beneficiary’s security, academic or commercial interests.

## 6.4 Financial audits and controls

The European Commission (EC) will monitor that Block.IS beneficiaries and the beneficiary SME comply with the conditions for financial support to third parties such as set out in Annex 1 of the Block.IS grant agreement and may take any action foreseen by the grant agreement in case of non-compliance vis à vis the beneficiary concerned.

Moreover, the EC may at any time during the implementation of the Block.IS project and up to 5 (five) years after the end of the Block.IS project, arrange for financial audits to be carried out, by external auditors, or by the EC services themselves including the European Anti-Fraud office (OLAF). The audit procedure shall be deemed to be initiated on the date of receipt of the relevant letter sent by the EC. Such audits may cover financial, systemic and other aspects (such as accounting and management principles) relating to the proper execution of the grant agreement. They shall be carried out on a confidential basis.

The beneficiary SME shall make available directly to the EC all detailed information and data that may be requested by the EC or any representative authorised by it, with a view to verifying that the grant agreement is properly managed and performed in accordance with its provisions and that costs have been charged in compliance with it. This information and data must be precise, complete and effective.

The beneficiary SME shall keep all sub-project deliverables and the originals or, in exceptional cases, duly authenticated copies – including electronic copies – of all documents relating to the sub-project contract for up to five years from the end of the project. These shall be made available to the EC where requested during any audit under the grant agreement.

In order to carry out these audits, the beneficiary SME shall ensure that the EC's services and any external body(ies) authorised by it have on-the-spot access at all reasonable times, notably to the sub-project applicant offices, to its computer data, to its accounting data and to all the information needed to carry out those audits, including information on individual salaries of persons involved in the project. They shall ensure that the information is readily available on the spot at the moment of the audit and, if so requested, that data be handed over in an appropriate form.

On the basis of the findings made during the financial audit, a provisional report shall be drawn up. It shall be sent by the EC or its authorised representative to the beneficiary concerned, which may make observations thereon within one month of receiving it. The Commission may decide not to take into account observations conveyed or documents sent after that deadline. The final report shall be sent to the beneficiary concerned within two months of expiry of the aforesaid deadline.

On the basis of the conclusions of the audit, the EC shall take all appropriate measures which it considers necessary, including the issuing of recovery orders regarding all or part of the payments made by it and the application of any applicable sanction.

The European Court of Auditors shall have the same rights as the EC, notably right of access, for the purpose of checks and audits, without prejudice to its own rules.

In addition, the EC may carry out on-the-spot checks and inspections in accordance with Council Regulation (Euratom, EC) No 2185/96 of 11 November 1996 concerning on-the-spot checks and inspections carried out by the Commission in order to protect the European Communities' financial interests against fraud and other irregularities.

## 6.5 Sub-project Communication

The sub-project coordinator should:

- Provide any notice be in writing to the Block.IS project coordinator;
- Notify immediately any change of persons or contact details to the Block.IS coordinator. The address list shall be accessible to all concerned.

## 7 Block.IS Events

Block.IS will organise physical events to the teams involved. Most of the events will be compulsory to attend those events in person. At least one representative per team will be required on each event, although it is strongly advised that at least two people attend.

Failing to attend any of the mandatory events defined at the beginning of each phase by Block.IS will automatically disqualify the team from Block.IS programme.

The foreseen events are:

*Table 9 List of program events*

Event	Scope	Where	When	Duration	Mandatory
<b>Innovate event</b>	Selection of the projects to enter the EXPERIMENT stage	Dublin	End of 11/2020	2 days	Yes
<b>Bootcamp - Training</b>	Technical & Business Training	Vilnius	Mid 01/2021	3 days	Yes
<b>Demonstration Event</b>	Completion of the EXPERIMENT Phase and Selection of the projects to enter the COMMERCIALISE stage	Novi Sad	End of 07/2021	2 days	Yes
<b>Commercialize Event</b>	Completion of the COMMERCIALISE stage	Brussels	End of 09/2021	1 day	Yes

Please note that the locations and dates at the above table are indicative and not binding. They may be modified during the execution of the program.

## 8 Checklist

- 1) **Does your planned work fit with the call for proposals?** Check that your proposed work does indeed address one of the topics open in this call.
- 2) **Does your proposal address blockchain technology?** Check that your proposed work does indeed address the blockchain technologies in one of the target sectors.
- 3) **Is your proposal eligible?** The eligibility criteria are given in chapter 3 “Proposal Eligibility Criteria”. In particular, make sure that you satisfy the minimum participation requirements (entity from eligible countries).

- 4) **Is your proposal complete?** Have you completed all mandatory questions?
- 5) **Does your proposal fulfil questions requests/ comments?** Proposals should be precise, concise and must answer to requested questions, which are designed to correspond to the applied evaluation. Omitting requested information will almost certainly lead to lower scores and possible rejection.
- 6) **Have you maximised your chances?** There will be strong competition. Therefore, edit your proposal tightly, strengthen or eliminate weak points.
- 7) **Have you submitted your proposal before the deadline?** 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 network communications delays, is not acceptable as an extenuating circumstance. The time of receipt of the message as recorded by the submission system will be definitive.
- 8) **Have you provided the necessary annexes?**
- 9) **Do you need further advice and support?** You are strongly advised to communicate with the Block.IS team via the Block.IS blog.

Do not forget that it is mandatory the applicant SME to have a valid VAT number during contract preparation time.

## 9 Contacts

The Block.IS consortium will provide information to the applicants only via the F6S blog, so that the information (question and answer), will be visible to all participants.

More info at: <https://blockis.eu/>

Apply via: <https://www.f6s.com/block.is/about>

F6S support team: [support@f6s.com](mailto:support@f6s.com)

Online Q&A: <https://www.f6s.com/block.is/discuss>

For extraordinary communication need, please contact the Help Desk: [opencalls@blockis.eu](mailto:opencalls@blockis.eu).

## 10 References

- [1] Digital Innovation Initiatives based on European Networks of Competence Centres in H2020, available online at <https://smartanythingeverywhere.eu/smart-anything-everywhere/>
- [2] REGULATION (EU) No 1290/2013 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" and repealing Regulation (EC) No 1906/2006
- [3] EUROPEAN COMMISSION, Directorate-General for Communications Networks, Content and Technology, "Guidance note on financial support to third parties under H2020", Annex K. "Actions involving financial support to third parties", [http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016\\_2017/annexes/h2020-wp1617-annex-k-fs3p\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016_2017/annexes/h2020-wp1617-annex-k-fs3p_en.pdf)

- [4] H2020 Call Objective ICT-04-2017 TOPIC: Smart Anything Everywhere Initiative,  
<https://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/topics/ict-04-2017.html>

# Block.IS

## **Annex 3**

## **Sample of open call application form available in F6S**



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 824509.



# BlockIS Second Open Call



## Sample form ▼

Update your Startup profile  
Put Startup in stealth mode

## Questions



### BlockIS Project and Open Call Information

BlockIS will organize two open calls to attract, select and fund the best of the best SMEs to generate blockchain-based products, processes and business models with strong market potential in the sectors of agrifood, logistics and finance.

For the EU economy to grow sustainably it needs to re-industrialize, leveraging innovation and digital intelligence. Among the most important sectors of EU economy one can find the agrifood, logistics and financial sectors. EU's agrifood sector has a strong global competitive position as the largest food and drink exporter with a market share of 18%. The logistics sector amounts to 14% of EU's GDP, and the sector is expected to grow 40% by 2040. The financial sector makes up to 20-30% of total service market revenue and about 20% of the total gross domestic product in EU economies

The Blockchain technology has been recognized by influential people and institutions, including EC and WEF, as one of the most promising and disruptive technologies of this century. The technology exhibits a unique combination of features that make it ideal for solving the challenges mentioned above - provenance, transparency, traceability, efficiency, trust, data sharing — in the three sectors. Blockchain technology enables a decentralized, trusted and programmable way to transfer value and information.

Please visit [blockis.eu](https://blockis.eu) for more information on the BlockIS

BlockIS has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 824509

## SME Summary

1 **SME Name \***

Official name of the SME

150

2 **Country \***

Country of registration

40

3 **Name of contact person**

Primary person to be contacted by BlockIS

4 **Email of contact person**

Email address of the contact person which will be added to BlockIS mailing lists

50

5 **Phone number of contact person**

In rare but urgent situations, we need reach quickly to your team. Phone call it still the fastest channel.

20

## PROPOSAL SUMMARY

Documents to be reviewed when preparing the application:

Annex 1: Open Call text, which provides a full set of information regarding the Open Call for Proposals for the BlockIS project.

[blockis.eu/library/oc1/BlockIS\\_OC1\\_A1.pdf](https://blockis.eu/library/oc1/BlockIS_OC1_A1.pdf)

Annex 2: Guidelines for Applicants, which provides the scope and objectives of the open call.

[blockis.eu/library/oc1/BlockIS\\_OC1\\_A2.pdf](https://blockis.eu/library/oc1/BlockIS_OC1_A2.pdf)

Annex 7: Sub-grant Agreement Template, which provides a template of the sub-grant agreement that the successful applicants will be requested to sign.

[blockis.eu/library/oc1/BlockIS\\_OC1\\_A7.docx](https://blockis.eu/library/oc1/BlockIS_OC1_A7.docx)

6 **Proposal Title \***

200

7 **Proposal Acronym \***

20

8 **Sector that you are addressing \***

Agrifood

Logistics

FinTech

Other

9 **Proposal Summary \***

500

10 **Infography (Max file size 30MB.) \***

Please upload a document with a scheme/ picture that illustrates the application. (PDF or PNG) file with maximum 1 page - only schemes/ pictures, not text document)

**CHOOSE A FILE**

## APPLICATION & TECHNOLOGY

11 **What problem are you solving? Why did you decide to tackle it? \***

1000

12 **How do you intend to solve the problem? Where is the novelty? \***

2000

13 **How is Blockchains technology used in your solution? Why is it needed? \***

2000

14 **Which BlockIS software components do you intent to use. Why? \***

Please find description of BlockIS Enablers here: [blockis.eu/library/public/Block.IS\\_D2.2\\_INTRA\\_V1.0\\_20190930.pdf](https://blockis.eu/library/public/Block.IS_D2.2_INTRA_V1.0_20190930.pdf)

1000

15 **Application goals \***

Please describe the general and specific objectives pursued by the project, applying SMART methodology (Specific, Measurable, Assignable, Realistic, Time-related).

500

16 **Which is the current prototype TRL \***

- TRL 1 – basic principles observed
- TRL 2 – technology concept formulated
- TRL 3 – experimental proof of concept
- TRL 4 – technology validated in lab
- TRL 5 – technology validated in relevant environment
- TRL 6 – technology demonstrated in relevant environment
- TRL 7 – system prototype demonstration in operational environment
- TRL 8 – system complete and qualified
- TRL 9 – actual system proven in operational environment

17 **Which is the MVP target TRL (at the end of EXPERIMENT phase) \***

- TRL 1 – basic principles observed
- TRL 2 – technology concept formulated
- TRL 3 – experimental proof of concept
- TRL 4 – technology validated in lab
- TRL 5 – technology validated in relevant environment
- TRL 6 – technology demonstrated in relevant environment
- TRL 7 – system prototype demonstration in operational environment
- TRL 8 – system complete and qualified
- TRL 9 – actual system proven in operational environment

18 **Which is the solution target TRL (at the end of COMMERCIALISE phase) \***

- TRL 1 – basic principles observed
- TRL 2 – technology concept formulated
- TRL 3 – experimental proof of concept
- TRL 4 – technology validated in lab
- TRL 5 – technology validated in relevant environment
- TRL 6 – technology demonstrated in relevant environment

- TRL 7 – system prototype demonstration in operational environment
- TRL 8 – system complete and qualified
- TRL 9 – actual system proven in operational environment

19 **Technological Approach \***

How do you plan to achieve from current prototype TRL the target solution TRL)

2000

20 **Please upload the "Annex 3.1: BlockIS Proposal Supplement" (Max file size 30MB.) \***

You may download document from here: [blockis.eu/library/oc1/BlockIS\\_OC1\\_A31.docx](https://blockis.eu/library/oc1/BlockIS_OC1_A31.docx)

**CHOOSE A FILE**

## IMPACT AND BUSINESS VIABILITY

21 **Value proposition \***

Define what will be the product/service that will be generated thanks to the project and how it generates value to society, environment, economy and/or others

1000

22 **Who are your target customers \***

500

23 **What is your "go to market" strategy" \***

Describe your target revenue streams, pricing and a clear exploitation strategy/ business plan, including commercial milestones. Provide clarity on how you have validated this

1500

24 **What is the European dimension and impact of the proposed solution \***

Describe any cross-border/cross-sector solution and potential economic and societal impact

1000

25 **How do you differentiate your solution from your competitors' solutions \***

1000

## SME/TEAM DESCRIPTION

26 **Company description \***

500

27 **Any products that already use blockchains technology \***

500

28 **How many people are working full time in the company \***

100

29 **Key personnel short CVs involved in the project \***

1000

30 **Why your team best suited to work together towards addressing the problem \***

1000

## ADMINISTRATION & LOGISTICS

31 **How did you hear about BlockIS \***

- Project Web Site                       EC Open Calls site                       F6S web site  
 Clusters; missions/events                       Other

32 **Please upload the "Annex.4: Honour Declaration" properly fill-in and signed (Max file size 30MB.) \***

You may download document from here: [blockis.eu/library/oc1/BlockIS\\_OC1\\_A4.docx](http://blockis.eu/library/oc1/BlockIS_OC1_A4.docx)

CHOOSE A FILE

- 33 **Please upload the "Annex 5: SME Declaration " properly fill-in and signed. (Max file size 30MB.) \***

You may download document from here: [blockis.eu/library/oc1/BlockIS\\_OC1\\_A5.docx](https://blockis.eu/library/oc1/BlockIS_OC1_A5.docx)

CHOOSE A FILE

- 34 **Acceptance of the Data Privacy Policies \***

I accept the data policy  
privacy as detailed in Annex  
2

- 35 **Acceptance of the BlockIS open call conditions \***

Full call documents available at [blockis.eu](https://blockis.eu)

We have reviewed an and  
accept the terms and  
conditions

Are you done? Click below to finalize

**APPLY TO OPEN CALL**

# **Block.IS**

## **Annex 3.1: Proposal Supplement**

April/2020

<b>Proposal Title</b>	
<b>Proposal Acronym</b>	



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 824509.

## Table of contents

1	Project Activities Breakdown & Scheduling.....	3
2	Annex: Ethical/Security Checklist.....	4
2.1	Ethics.....	5
2.2	Security .....	5

# 1 Project Activities Breakdown & Scheduling

*Describe the activities that will take place in your project from the technical point of view. Break down your work to work packages and tasks and provide timing of the different activities and components (e.g. Gantt chart or similar);*

*This section should answer the question “how are we going to implement the project to reach the defined objectives?”*

*The allowed font type is “Arial” and the minimum font size is 11 points, the paragraph spacing 6pt and the line spacing single. The page size is A4, and all margins (top, bottom, left and right) should be at least 15 mm (not including any footers or headers).*

*This section (after removing this explanatory text) should not be more than 1 page.*

## 2 Annex: Ethical/Security Checklist

### ETHICAL ISSUES TABLE

	YES
<b>Informed Consent</b>	
• Does the proposal involve children?	
• Does the proposal involve patients or persons not able to give consent?	
• Does the proposal involve adult healthy volunteers?	
• Does the proposal involve Human Genetic Material?	
• Does the proposal involve Human biological samples?	
• Does the proposal involve Human data collection?	
<b>Research on Human embryo/foetus</b>	
• Does the proposal involve Human Embryos?	
• Does the proposal involve Human Foetal Tissue / Cells?	
• Does the proposal involve Human Embryonic Stem Cells?	
<b>Privacy</b>	
• Does the proposal involve processing of genetic information or personal data (e.g. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)	
• Does the proposal involve tracking the location or observation of people?	
<b>Research on Animals</b>	
• Does the proposal involve research on animals?	
• Are those animals transgenic small laboratory animals?	
• Are those animals transgenic farm animals?	
• Are those animals cloned farm animals?	
• Are those animals nonhuman primates?	
<b>Research Involving Developing Countries</b>	
• Use of local resources (genetic, animal, plant etc)	
• Benefit to local community (capacity building i.e. access to healthcare, education etc)	
<b>Dual Use</b>	
• Research having direct military application	
• Research having the potential for terrorist abuse	
<b>ICT Implants</b>	
• Does the proposal involve clinical trials of ICT implants?	
<b>I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL</b>	YES/NO

## 2.1 Ethics

If you have entered any ethics issues in the ethical issue table, you must:

- submit an ethics self-assessment, which:
  - describes how the proposal meets the national legal and ethical requirements of the country or countries where the tasks raising ethical issues are to be carried out;
  - explains in detail how you intend to address the issues in the ethical issues table, in particular as regards:
    - research objectives (e.g. study of vulnerable populations, dual use, etc.)
    - research methodology (e.g. clinical trials, involvement of children and related consent procedures, protection of any data collected, etc.)
    - the potential impact of the research (e.g. dual use issues, environmental damage, stigmatization of particular social groups, political or financial retaliation, benefit-sharing, malevolent use, etc.).
- provide the documents that you need under national law (if you already have them), e.g.:
  - an ethics committee opinion;
  - the document notifying activities raising ethical issues or authorizing such activities

⚠ *If these documents are not in English, you must also submit an English summary of them (containing, if available, the conclusions of the committee or authority concerned).*

⚠ *If you plan to request these documents specifically for the project you are proposing, your request must contain*

## 2.2 Security

Please indicate if your project will involve:

- Activities or results raising security issues:.....(YES/NO)
- 'EU-classified information' as background or results: .....(YES/NO)
- Any potential “dual use” of results: .....(YES/NO)

# **Block.IS**

## **Annex 4: Applicant Declaration of Honor**

April/2020

<b>Proposal Title</b>	
<b>Proposal Acronym</b>	



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 824509.

## Applicant Declaration of Honour

**Title of the proposal:** \_\_\_\_\_

On behalf of \_\_\_\_\_ (Company name) established in \_\_\_\_\_ (Official SME address), SME VAT number \_\_\_\_\_,<sup>1</sup> represented for the purposes of signing and submitting the proposal and the Declaration of Honor by \_\_\_\_\_ (Name of legal representative),

By signing this document, I declare that

- 1) I have the power of legally binding the above mentioned SME on submitting this proposal.
- 2) Neither the above-mentioned SME nor any linked SME nor any individual member of the proposal team has submitted any other proposal under Block.IS Open Call #2. In case the above-mentioned SME or linked SME or individual member of the proposal team has submitted more than one proposals in this Open Call, all associated proposals will be automatically excluded from the evaluation process.
- 3) I and the above SME that I legally represent are fully aware and duly accept all Block.IS rules and conditions as expressed in Block.IS Open Call documents and all Annexes, and will fully respect any evaluation decision and proposal selection under Block.IS Innovate, Experiment and Commercialise stages.
- 4) The information included in the Annex 5: SME Declaration document is true and legally binding.
- 5) All provided information in this declaration is true and legally binding.
- 6) I give the consent and permission to the Block.IS coordinator to use the attached information to contact me for any issue associated with the above application.

**SME Legal representative Contact Information:**

<b>Title (Mr, Mrs, Dr.)</b>	
<b>Name</b>	
<b>Surname</b>	
<b>Position in the company</b>	
<b>Full Address</b>	
<b>Country</b>	
<b>Email Address</b>	
<b>Telephone</b>	
<b>Mobile</b>	
<b>Signature, Date and stamp</b>	

<sup>1</sup> VAT is mandatory during the contract preparation. Failure providing of a valid VAT of the specific SME will result in automatic rejection of the proposal.

## Declaration of Proposal Resubmission

By signing this declaration of honour, I declare that all provided information below is true and legally binding both for me and for the SME that I legally represent:

1. Select of the following:

I declare that neither the mentioned SME nor any linked SME nor any member of the proposal team to my knowledge has submitted any proposal in Open Call #1 (i.e. the Open Call associated with Block.IS Acceleration Process #1)

I declare that the submitted proposal is a resubmission of the following proposal  
 Proposal Acronym: .....  
 Proposal Name: .....  
 .....

I declare that the submitted proposal is not a resubmission. However, the mentioned SME or a linked SME or a member of the proposal team has submitted in the Block.IS Open Call #1 (i.e. the Open Call associated with Block.IS Acceleration Process #1 that was issued in 2019) the following proposal(s)

Name of the SME	Proposal Acronym

2. I declare that neither the mentioned SME nor any linked SME nor any member of a proposal team nor any member of the advisory board nor any individual with a legal, administrative, technical or financial position or capacity in the mentioned SME or any linked SME or is associated with this proposal have entered or have been invited to enter the INNOVATE phase of Bock.IS Open Call #1.

<b>Title (Mr, Mrs, Dr.)</b>	
<b>Name</b>	
<b>Surname</b>	
<b>Position in the company</b>	
<b>Signature, Date and stamp</b>	

## Declaration of Honour on exclusion criteria and absence of conflict of interest

By signing this declaration of honour, I declare that all provided information below is true and legally binding both for me and for the SME that I legally represent:

1. I declare that the mentioned SME is not in one of the following situations:
  - a) it is bankrupt or being wound up, is having its affairs administered by the courts, has entered into an arrangement with creditors, has suspended business activities, is the subject of proceedings concerning those matters, or is in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
  - b) it or persons having powers of representation, decision making or control over it have been convicted of an offence concerning their professional conduct by a judgment which has the force of res judicata;
  - c) it has been guilty of grave professional misconduct proven by any means which the contracting authority can justify including by decisions of the European Investment Bank and international organizations;
  - d) it is not in compliance with its obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which it is established or with those of the country of the contracting authority or those of the country where the contract is to be performed, to be proved by the deliverance of official documents issued by the local authorities, according to the local applicable rules;
  - e) it or persons having powers of representation, decision making or control over it have been the subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organization or any other illegal activity, where such illegal activity is detrimental to the Union’s financial interests;
  - f) is subject to an administrative penalty for being guilty of misrepresenting the information required by the contracting authority as a condition of participation in a grant award procedure or another procurement procedure or failing to supply this information or having been declared to be in serious breach of its obligations under contracts or grants covered by the Union's budget.
2. I declare that the natural persons with power of representation, decision-making or control over the above-mentioned SME are not in the situations referred to in a) to f) above;
3. I declare that:
  - a) Neither myself or any person that I know is subject to a Block.IS conflict of interest;
  - b) Neither myself or any person that I know participates, controls, submits or is associated in any way with more than one proposals.
  - c) I have not made false declarations in supplying the information required by participation in the Open Calls of Block.IS Project or does not fail to supply this information;
  - d) I am not in one of the situations of exclusion, referred to in the abovementioned points a) to f).
  - e) I am aware and fully accept all Block.IS condition and rules as expressed in Block.IS Open Call documents Annex 1, Annex 2, Annex 3, Annex 3.1, Annex 4, Annex 5, Annex 6 and Annex 7.
4. I certify that the SME that I represent:
  - is committed to participate in the abovementioned project;
  - has stable and sufficient sources of funding to maintain its activity throughout its participation in the above-mentioned project and to provide any counterpart funding necessary;
  - has or will have the necessary resources as and when needed to carry out its involvement in the above-mentioned project.

Full name: <span style="background-color: black; color: black;">[REDACTED]</span> On behalf of SME: <span style="background-color: black; color: black;">[REDACTED]</span>	Signature and stamp (if applicable)
Done at (place) <span style="background-color: black; color: black;">[REDACTED]</span> the (day) <span style="background-color: black; color: black;">[REDACTED]</span> (month) <span style="background-color: black; color: black;">[REDACTED]</span> (year)	

# Block.IS

## Annex 5

## Declaration on information on the SME qualification



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 824509.

## Declaration on information on the SME qualification

### Precise identification of the applicant enterprise

Name or Business name .....

Address (of registered office) .....

Registration / VAT number .....

Names and titles of the principal director(s) .....

### Type of enterprise (see explanatory note)

Tick to indicate which case(s) applies to the applicant enterprise:

- Autonomous enterprise      In this case the data filled in the box below result from the accounts of the applicant enterprise only. Fill in the declaration only, without annex.
- Partner enterprise      Fill in and attach the annex (and any additional sheets), then complete the declaration by copying the results of the calculations into the box below.
- Linked enterprise

### Data used to determine the category of enterprise

Calculated according to Article 6 of the Annex to the Commission Recommendation 2003/361/EC on the SME definition.

Reference period (*)		
Headcount (AWU)	Annual turnover (**)	Balance sheet total (**)

(\*) All data must be relating to the last approved accounting period and calculated on an annual basis. In the case of newly-established enterprises whose accounts have not yet been approved, the data to apply shall be derived from a reliable estimate made in the course of the financial year

(\*\*) EUR 1 000.

### Important:

Compared to the previous accounting period there is a change regarding the data, which could result in a change of category of the applicant enterprise (micro, small, medium-sized or big enterprise).

- No
- Yes (in this case fill in and attach a declaration regarding the previous accounting period).

### Signature

Name and position of the signatory, being authorised to represent the enterprise: .....

.....

I declare on my honour the accuracy of this declaration and of any annexes thereto.

Done at .....

Signature



## EXPLANATORY NOTE ON THE TYPES OF ENTERPRISES TAKEN INTO ACCOUNT FOR CALCULATING THE HEADCOUNT AND THE FINANCIAL AMOUNTS

### I. TYPES OF ENTERPRISES

The definition of an SME<sup>1</sup> distinguishes three types of enterprise, according to their relationship with other enterprises in terms of holdings of capital or voting rights or the right to exercise a dominant influence<sup>2</sup>.

#### ***Type 1: Autonomous Enterprise***

This is by far the most common type of enterprise.

It applies to all enterprises which are not one of the two other types of enterprise (partner or linked).

An applicant enterprise is autonomous if it:

- does not have a holding of 25%<sup>3</sup> or more in any other enterprise,
- and is not 25%<sup>3</sup> or more owned by any enterprise or public body or jointly by several linked enterprises or public bodies, apart from some exceptions<sup>4</sup>,
- and does not draw up consolidated accounts and is not included in the accounts of an enterprise which draws up consolidated accounts and is thus not a linked enterprise<sup>5</sup>.

#### ***Type 2: Partner Enterprise***

This type represents the situation of enterprises which establish major financial partnerships with other enterprises, without the one exercising effective direct or indirect control over the other. Partners are enterprises which are not autonomous, but which are not linked to one another.

The applicant enterprise is a partner of another enterprise if:

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<sup>1</sup> Henceforth in the text, the term "Definition" refers to the Annex to Commission Recommendation 2003/361/EC on the definition of SMEs.

<sup>2</sup> Definition, Article 3

<sup>3</sup> In terms of the share of the capital or voting rights, whichever is higher is applied. To this percentage should be added the holding in that same enterprise of each enterprise, which is linked to the holding company (Definition, Article 3 paragraph 2)

<sup>4</sup> An enterprise may continue being considered as autonomous when this 25% threshold is reached or exceeded, if that percentage is held by the following categories of investors (provided that those are not linked with the applicant enterprise):

- a) public investment corporations, venture capital companies, individuals or groups of individuals with a regular venture capital investment activity who invest equity capital in unquoted businesses ("business angels"), provided the total investment of those business angels in the same enterprise is less than EUR 1 250 000,
- b) universities or non-profit research centres,
- c) institutional investors, including regional development funds,
- d) autonomous local authorities with an annual budget of less than EUR 10 million and less than 5000 inhabitants.

(Definition, Article 3 paragraph 2, second sub-paragraph)

<sup>5</sup> - If the registered office of the enterprise is situated in a Member State which has provided for an exception to the requirement to draw up such accounts pursuant to the Seventh Council Directive 83/349/EEC of 13 June 1983, the enterprise should nevertheless check specifically whether it does not meet one or other of the conditions laid down in Article 3 paragraph 3 of the Definition.

- There are also some very rare cases in which an enterprise may be considered linked to another enterprise through a person or a group of natural persons acting jointly (Definition, Article 3 paragraph 3).

- Conversely, there are very few cases of enterprises drawing up consolidated accounts voluntarily, without being required to do so under the Seventh Directive. In that case, the enterprise is not necessarily linked and can consider itself only a partner.

To determine whether the enterprise is linked or not, in each of the three situations it should be checked whether or not the enterprise meets one or other of the conditions laid down in Article 3 paragraph 3 of the Definition, where applicable through a natural person or group of natural persons acting jointly.



- it has a holding or voting rights equal to or greater than 25% in the other enterprise, or the other enterprise has a holding or voting rights equal to or greater than 25% in the applicant enterprise,
- the enterprises are not linked enterprises within the meaning defined below, which means, among other things, that the voting rights of one in the other do not exceed 50%,
- and the applicant enterprise does not draw up consolidated accounts which include the other enterprise by consolidation, and is not included by consolidation in the accounts of the other enterprise or of an enterprise linked to it<sup>5</sup>.

### **Type 3: Linked Enterprise**

This type corresponds to the economic situation of enterprises which form a group through the direct or indirect control of the majority of the voting rights (including through agreements or, in certain cases, through natural persons as shareholders), or through the ability to exercise a dominant influence on an enterprise. Such cases are thus less frequent than the two preceding types.

In order to avoid difficulties of interpretation for enterprises, the Commission has defined this type of enterprise by taking over – wherever they are suitable for the purposes of the Definition – the conditions set out in Article 1 of Council Directive 83/349/EEC on consolidated accounts<sup>6</sup>, which has been applied for many years.

An enterprise thus generally knows immediately that it is linked, since it is already required under that Directive to draw up consolidated accounts or is included by consolidation in the accounts of an enterprise which is required to draw up such consolidated accounts.

The only two cases, which are however not very frequent, in which an enterprise can be considered linked although it is not already required to draw up consolidated accounts, are described in the first two indents of endnote 5 of this explanatory note. In those cases, the enterprise should check whether it meets one or other of the conditions set out in Article 3 paragraph 3 of the Definition.

## **II. THE HEADCOUNT AND THE ANNUAL WORK UNITS<sup>7</sup>**

The headcount of an enterprise corresponds to the number of annual work units (AWU).

### **Who is included in the headcount?**

- The employees of the applicant enterprise,
- persons working for the enterprise being subordinate to it and considered to be employees under national law,
- owner-managers,
- partners engaging in a regular activity in the enterprise and benefiting from financial advantages from the enterprise.

Apprentices or students engaged in vocational training with an apprenticeship or vocational training contract are not taken into account in the headcount.

### **How is the headcount calculated?**

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<sup>6</sup> Seventh Council Directive 83/349/EEC of 13 June 1983, based on Article 54(3)(g) of the Treaty and concerning consolidated accounts (OJ L 193, 18/7/1983, p. 1), as last amended by Directive 2001/65/EC of the European Parliament and of the Council (OJ L 283, 27/10/01, p. 28).

<sup>7</sup> Definition, Article 5.



One AWU corresponds to one person who worked full-time in the enterprise in question or on its behalf during the entire reference year. The headcount is expressed in AWUs.

The work of persons, who did not work the entire year, or who worked part-time - regardless of its duration - and seasonal work is counted as fractions of AWU.

The duration of maternity or parental leaves is not counted.



## ANNEX TO THE DECLARATION CALCULATION FOR THE PARTNER OR LINKED TYPE OF ENTREPRISE

### Annexes to be enclosed if necessary

- Annex A if the applicant enterprise has at least one partner enterprise (and any additional sheets)
- Annex B if the applicant enterprise has at least one linked enterprise (and any additional sheets)

### Calculation for the partner or linked type of enterprise<sup>8</sup> (see explanatory note)

Reference period <sup>9</sup> :			
	Headcount (AWU)	Annual turnover (*)	Balance sheet total (*)
1. Data <sup>9</sup> of the applicant enterprise or consolidated accounts (copy data from box B(1) in annex B <sup>10</sup> )			
2. Proportionally aggregated data <sup>9</sup> of all partner enterprises (if any) (copy data from box A in annex A)			
3. Added up data <sup>9</sup> of all linked enterprises (if any) – if not included by consolidation in line 1 (copy data from box B(2) in annex B)			
<b>Total</b>			

(\*) EUR 1 000.

The data entered in the "Total" row of the above table should be entered in the box "Data used to determine the category of enterprise" in the declaration.

<sup>8</sup> Definition, Article 6 paragraphs 2 and 3

<sup>9</sup> All data must be relating to the last approved accounting period and calculated on an annual basis. In the case of newly-established enterprises whose accounts have not yet been approved, the data to apply shall be derived from a reliable estimate made in the course of the financial year (Definition, Article 4).

<sup>10</sup> The data of the enterprise, including the headcount, are determined on the basis of the accounts and other data of the enterprise or, where they exist, the consolidated accounts of the enterprise, or the consolidated accounts in which the enterprise is included through consolidation.



ANNEX A  
Partner enterprises

For each enterprise for which a 'partnership sheet' has been completed (one sheet for each partner enterprise of the applicant enterprise and for any partner enterprises of any linked enterprise, of which the data is not yet included in the consolidated accounts of that linked enterprise), the data in the 'partnership box' in question should be entered in the summary table below:

**BOX A**

<b>Partner enterprise</b> (name / identification)	<b>Headcount (AWU)</b>	<b>Annual turnover (*)</b>	<b>Balance sheet total (*)</b>
1.			
2.			
3.			
4.			
5.			
6.			
7.			
<b>Total</b>			

(\*) EUR 1 000.

(attach sheets or expand the present table, if necessary)

**Reminder:**

This data is the result of a proportional calculation done on the 'partnership sheet' for each direct or indirect partner enterprise.

The data entered in the "Total" row of the above table should be entered in line 2 (regarding partner enterprises) of the table in the Annex to the declaration.



## PARTNERSHIP SHEET

### 1. Precise identification of the applicant enterprise

Name or Business name .....

Address (of registered office) .....

Registration/VAT number<sup>11</sup> .....

Names and titles of the principal director(s)<sup>12</sup> .....

### 2. Raw data regarding that partner enterprise

Reference period			
	Headcount (AWU)	Annual turnover (*)	Balance sheet total (*)
<b>Raw data</b>			

(\*) EUR 1 000.

**Reminder:** These raw data are derived from the accounts and other data of the partner enterprise, consolidated if they exist. To them are added 100% of the data of enterprises which are linked to this partner enterprise, unless the accounts data of those linked enterprises are already included through consolidation in the accounts of the partner enterprise<sup>13</sup>. If necessary, add “linkage sheets” for the enterprises which are not yet included through consolidation.

### 3. Proportional calculation

- a) Indicate precisely the holding<sup>14</sup> of the enterprise drawing up the declaration (or of the linked enterprise via which the relation to the partner enterprise is established) in the partner enterprise to which this sheet relates:

.....  
 .....

Indicate also the holding of the partner enterprise to which this sheet relates in the enterprise drawing up the declaration (or in the linked enterprise):

.....  
 .....

- b) The higher of these two holding percentages should be applied to the raw data entered in the previous box. The results of this proportional calculation should be given in the following table:

#### ‘Partnership box’

Percentage:	Headcount (AWU)	Annual turnover (*)	Balance sheet total (*)
<b>Proportional results</b>			

(\*) EUR 1 000.

<sup>11</sup> To be determined by the Member State according to its needs

<sup>12</sup> Chairman (CEO), Director-General or equivalent.

<sup>13</sup> Definition, Article 6 paragraph 3, first sub-paragraph

<sup>14</sup> In terms of the share of the capital or voting rights, whichever is higher. To this holding should be added the holding of each linked enterprise in the same enterprise (Definition, Article 3 paragraph 2 first sub-paragraph).



These data should be entered in Box A in Annex A.



ANNEX B  
Linked enterprises

**DETERMINE THE CASE APPLICABLE TO THE APPLICANT ENTERPRISE:**

- Case 1:** The applicant enterprise draws up consolidated accounts or is included by consolidation in the consolidated accounts of another enterprise. (Box B(1))
- Case 2:** The applicant enterprise or one or more of the linked enterprises do not establish consolidated accounts or are not included in the consolidated accounts. (Box B(2)).

**Please note:** The data of the enterprises, which are linked to the applicant enterprise, are derived from their accounts and their other data, consolidated if they exist. To them are aggregated proportionally the data of any possible partner enterprise of that linked enterprise, situated immediately upstream or downstream from it, unless it has already been included through consolidation<sup>15</sup>.

**CALCULATION METHODS FOR EACH CASE:**

**In case 1:** The consolidated accounts serve as the basis for the calculation. Fill in Box B(1) below.

**Box B(1)**

	Headcount (*)	Annual turnover (**)	Balance sheet total (**)
<b>Total</b>			

(\*) Where in the consolidated accounts no headcount data appears, the calculation of it is done by adding the data from the enterprises to which the enterprise in question is linked.

(\*\*) EUR 1 000.

The data entered in the "Total" row of the above table should be entered in line 1 of the table in the Annex to the declaration.

**Identification of the enterprises included through consolidation**

Linked enterprise (name / identification)	Address (of registered office)	Registration / VAT number (*)	Names and titles of the principal director(s) (**)
1.			
2.			
3.			
4.			
5.			
6.			
7.			

<sup>15</sup> Definition, Article 6 paragraph 3, second sub-paragraph



<b>Total</b>			
--------------	--	--	--

(\*) To be determined by the Member State according to its needs

(\*\*) Chairman (CEO), Director-General or equivalent.

**Important:** Partner enterprises of such a linked enterprise, which are not yet included through consolidation, are treated like direct partners of the applicant enterprise. Their data and a 'partnership sheet' should therefore be added in Annex A.

**In case 2:** For each linked enterprise (including links via other linked enterprises), complete a "linkage sheet" and simply add together the accounts of all the linked enterprises by filling in Box B(2) below.

**Box B(2)**

Enterprise No.:	Headcount (AWU)	Annual turnover (**)	Balance sheet total (**)
1. (*)			
2. (*)			
3. (*)			
<b>Total</b>			

(\*) attach one "linkage sheet" per enterprise

(\*\*) EUR 1 000.

The data entered in the "Total" row of the above table should be entered in line 3 (regarding linked enterprises) of the table in the Annex to the declaration.



## LINKAGE SHEET

(only for linked enterprises not included by consolidation in Box B)

### 1. Precise identification of the applicant enterprise

Name or Business name .....

Address (of registered office) .....

Registration/VAT number<sup>16</sup> .....

Names and titles of the principal director(s)<sup>17</sup> .....

### 2. Data on enterprise

Reference period			
	Headcount (AWU)	Annual turnover (*)	Balance sheet total (*)
<b>Total</b>			

(\*) EUR 1 000.

These data should be entered in Box B(2) in Annex B.

**Important:** The data of the enterprises, which are linked to the applicant enterprise, are derived from their accounts and their other data, consolidated if they exist. To them are aggregated proportionally the data of any possible partner enterprise of that linked enterprise, situated immediately upstream or downstream from it, unless it has already been included through consolidation<sup>18</sup>.

Such partner enterprises are treated like direct partner enterprises of the applicant enterprise. Their data and a 'partnership sheet' have therefore to be added in Annex A.

<sup>16</sup> To be determined by the Member State according to its needs

<sup>17</sup> Chairman (CEO), Director-General or equivalent.

<sup>18</sup> If the data of an enterprise are included in the consolidated accounts to a lesser proportion than the one determined under Article 6 paragraph 2, the percentage rate according to that article should be applied (Definition, Article 6 paragraph 3, second sub-paragraph).



# Block.IS

## Annex 6

## Bank account information form



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 824509.



# **Block.IS**

## **Annex 7**

## **Sub-grant Agreement Template**

April/2020



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 824509.

# Block.IS

## **Acceleration Beneficiary Agreement**

Agreement Number: Block.IS-OC2-2020/ 

(insert the number of your position in the Rank list from  
your Evaluation Summary Report)



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 824509.

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## Contracting parties

F6S NETWORK LIMITED (F6S), established in KEMP HOUSE CITY ROAD 152-160, LONDON EC1V 2NX, United Kingdom, VAT number: GB166239787, represented for the purposes of signing the Agreement by CEO, Sean KANE, legal representative of F6s.

Hereinafter referred as the “Contractor”

POSLOVNO UDRUZENJE VOJVODJANSKI IKT KLASTER (VOICT), established in TRG DOSITEJA OBRADOVICA 6, NOVI SAD 21000, Serbia, VAT number: RS106621203, represented for the purposes of signing the Agreement by Mr Milan Šolaja, CEO, legal representative of VOICT.

Hereinafter referred as the “Treasurer”

Of the one part,

[COMPANY\_NAME], a SME organized under the laws of [COUNTRY], established in [LEGAL\_ADDRESS], with VAT number [VAT\_NUMBER], duly represented by [LEGAL\_REPRESENTATIVE], [LEGAL\_REPRESENTATIVE\_POSITION],

Hereinafter referred as the “Beneficiary”

Hereinafter collectively referred as the “Contracting Parties”

HAVE AGREED to the following terms and conditions including those in the following Annexes, which form an integral part of this BLOCK.IS Acceleration Process 2 Beneficiary Agreement (hereinafter referred as the “Contract”):

## General Provisions

The European Commission (hereinafter referred as the “EC”) and the Contractor, as a member of the Block.IS consortium, have signed the Grant Agreement no 824509 for the implementation of the project “Blockchain Innovation Spaces” (Acronym: BLOCK.IS) within the framework of the Programme H2020-INNOSUP-2018-2020/H2020-INNOSUP-2018-01.

The Beneficiary has received the favourable resolution by the external evaluators and therefore is entitled to receive funding and services according to the terms and conditions set out under this Beneficiary Agreement and in accordance with the Annex 2: Guidelines for Applicants.

This Contract aims at defining the framework of rights and obligations of the Contracting Parties.

The Funding received by the Beneficiary is property of the EC. The Contractor and Treasurers are mere holders and managers of the funds.

# Article 1 – Entry into force & Termination of the contract

## 1.1 Entry into force

This Contract shall enter into force on the day of its signature by the last Contracting Party. However, late signature of the contract by any of the contracting parties will not affect the execution schedule of the sub-project. The Contractor shall sign this contract, only after all of the following documents have been received from the Beneficiary:

- The original signed Declaration of Honour (as given in Annex 4 of this Contract);
- *SME Declaration* form (as given in Annex 5 of this Contract);
- Copy of ID-card or Passport of legal representative(s) of the SME;
- Copy of the original Extract of SME registration;
- Proof of VAT registration;
- Bank Information Form (as given in Annex 6 of this Contract).

All documents shall be sent to the Contractor first via email to the following address: [administrative@blockis.eu](mailto:administrative@blockis.eu), while the Annexes 1, 2, 3 and 3.1 of this Contract will also be sent as originals, via regular mail, to the following address:

Vojvodina ICT Cluster (BLOCK.IS Team)  
Vojvodjanskih brigada 28,  
21000 Novi Sad  
(premises at Business Incubator Novi Sad)  
Serbia

The Beneficiary is solely responsible for the accuracy of all data provided to the Contractor.

## 1.2 Contract Termination

- This Contract covers all three phases of Block.IS acceleration program, namely INNOVATE, EXPERIMENT and COMMERCIALISE.
- At the end of each of the aforementioned phases INNOVATE, EXPERIMENT and COMMERCIALISE, an evaluation of the Beneficiary projects' progress will take place as fully described in Annex 2 "Guidelines for Applicants".
- In case the Beneficiary is not selected to enter the next phase, this Contract is automatically terminated, and the Beneficiary fully accepts that no additional payments due to said next phases will be made by the Contractor.
- This Contract also terminates in the event of unjustified withdraw by the Beneficiary of the current fulfilment of its Contract obligations. "Unjustified withdraw" covers any situation out of "Force Majeure" qualification which determines the absence of performance of the Beneficiary contractual obligations. In this particular case, it entitles the Contractor the right to claim the Beneficiary the full refund of all payments made to the Beneficiary up to date.

## Article 2 – Obligations and Responsibilities of the Beneficiary

The obligations and responsibilities of the Beneficiary are defined in detail in the Annex 2 - Guidelines for Applicants.

Additionally, the Beneficiary shall take every necessary precaution to avoid any risk of conflict of interest relating to economic interests, political or national affinities, personal or any other interests liable to influence the impartial and objective performance of the Project. In case the Beneficiary is involved in a conflict of interest or in a risk of conflict of interest, the Beneficiary must formally notify this situation to the Contractor without delay and immediately take all the necessary steps to rectify this situation.

## Article 3 – Breach of Contractual obligations

In the event of the breach of the contractual obligations by the Beneficiary, the Contractor reserves the right to claim the Beneficiary the full refund of all payments made to the Beneficiary up to date. The breach of the contractual obligations by the Beneficiary shall be determined by the BLOCK.IS Consortium or BLOCK.IS Project Coordinator. Not attending the Event (unless in the case of Force Majeure) or attending the Event in a manner which intentionally disrupts the Event, shall be deemed as breach of the contractual obligations by the Beneficiary. The provision of false or misleading declarations by the Beneficiary or any unsolved situation of conflict of interest also constitute examples of breach of contractual obligations by the Beneficiary.

**For British applicants:** Please be aware that eligibility criteria must be complied with for the entire duration of the grant. If the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that British applicants continue to be eligible, you will cease to receive EU funding (while continuing, where possible, to participate) or be required to leave the project.

## Article 4 – Financial contribution and financial provisions

### 4.1 Maximum financial contribution

**The maximum financial contribution to be granted by the Contractor to the Beneficiary shall not exceed the amount of Sixty Thousand Euros (60,000€).**

### 4.2. Distribution of the financial contribution

The financial contribution to be granted to the Beneficiary shall be calculated and distributed in accordance with the provisions of the Annex 2: Guidelines for Applicants.

In any case, the financial grant to be paid will always be subject to:

- A favourable resolution by the external evaluators and Block.IS project responsible for assessing the Project in each of the phases;
- Reception and acceptance of the relevant Financial Statement (F1, F2, F3 and F4) of the beneficiary;
- The Beneficiary Bank Account (Annex 6) matches the Financial Statement Bank Account;

- The availability of funds in TREASURER bank account during the relevant payment period
- Payments to the Beneficiary will be made by the Treasurer. In particular:
  - The Treasurer reserves the right to withhold the payments in case the Beneficiary does not fulfil with its obligations and tasks as per Annex 2 - Guidelines for Applicants;
  - Banking and transaction costs charged by any of the banks related to the handling of any financial resources made available to the Beneficiary by the Treasurer shall be covered by the holder of the bank account which originated the cost. This means that the Treasurer bears the cost of transfers charged by its bank and the Beneficiary bears the cost of transfers charged by its bank.;
- Payments will be released no later than thirty (30) natural days after the notification by the Contractor;
- The Beneficiary is responsible for complying with any tax and legal obligations that might be attached to this financial contribution.

### 4.3. Payments schedule

The payment schedule is directly linked to the relevant phase of the Project as per the Guidelines for Applicants (Annex 2).

Expected date of payment	Amount (in EUROS)	Condition / Event	Linked Phase
<b>Month 2</b>	3.000	Subject to participating at the Block.IS INNOVATE event, submitting project presentation slides and pitching proposal idea	Phase 1: INNOVATE
<b>Month 4</b>	15.000	Subject to successful review of Deliverable D1: Design & presentation of the idea/ prototype design during a remote evaluation	Phase 2: EXPERIMENT Design Sub-phase
<b>Month 10</b>	35.000	Subject to successful review of Deliverables D2: Implementation & D3: Business & Exploitation Plan, participation at the Demonstration Event and demonstration of the MVP (TRL 4-6) & Pitching on the solution	Phase 2: EXPERIMENT Implementation & Validation Sub-phase
<b>Month 12</b>	7.000	Subject to successful review of project presentation slides, participation at the Commercialization demonstration of the product (TRL 8-9) & pitching on the solution	Phase 3: COMMERCIALISE

The Beneficiary is entitled to receive exclusively those payments allocated to each specific stage of the Project provided that the conditions under Article 4.2 are met.

## Article 5 – Liability of the Beneficiary

Neither the Contractor nor the EC can be held liable for any acts or omissions of the Beneficiary in relation to this Contract. At the same time, the Beneficiary is responsible for any act or omission that causes damage to the Contractor, the Data Provider, and/or the EC in relation to this Contract.

The Beneficiary shall bear sole responsibility for ensuring that their acts within the framework of this Contract do not infringe third parties' rights. There is no joint liability between the Contracting Parties.

## Article 6 – Confidentiality

With respect to all information of whatever nature or form as is disclosed between the Contracting Parties in connection with the Project and identified in writing as confidential, the terms of this Article shall apply.

The Contracting Parties agree that such information is communicated on a confidential basis and its disclosure may be prejudicial to the owner of the information.

## Article 7 – Force Majeure

“Force Majeure” shall mean, any unforeseeable exceptional situation or event beyond the Contracting Parties control, which prevents either of them from fulfilling any of their obligations under the Agreement, which was not attributable to error or negligence on their part and which proves to be inevitable in spite of the exercising all due diligence.

Any default of a service, defect in equipment or material or delays in making them available, unless they stem directly from a relevant case of force majeure, as well as labour disputes, strikes or financial difficulties cannot be invoked as force majeure.

The Contracting Parties shall take the necessary measures to limit any damage due to force majeure. They shall do their best to resume the implementation of the action as soon as possible.

No Contracting Party shall be considered to be in breach of its obligations and tasks if such breach is caused by Force Majeure. A Contracting Party will notify the other Contracting Party of any Force Majeure as soon as possible. In case the Beneficiary is not able to overcome the consequences of Force Majeure within 10 (ten) days after such notification, the Contractor will decide accordingly including the termination of the Contract.

## Article 8 – Information and communication

Any publicity made by the Beneficiary in respect of the project, in whatever form and on or by whatever medium, must specify that it reflects only the author’s views and that the Contractor, BLOCK.IS consortium or EC are not liable for any use that may be made of the information contained therein.

The Contractor, BLOCK.IS consortium and EC shall be authorized to publish, in whatever form and on or by whatever medium, the following information:

- the name of the Beneficiary;
- contact address of the Beneficiary;
- the general purpose of the project;
- the amount of the financial contribution of the EC.

The Beneficiary shall ensure that all necessary authorizations for such publication have been obtained and that the publication of the information by the Contractor, BLOCK.IS Consortium or EC does not infringe any rights of third parties.

Upon a duly substantiated request by the Contractor on behalf of the Beneficiary, the EC may agree to forego such publicity if disclosure of the information indicated above would risk compromising the beneficiary's security, academic or commercial interests.

## Article 9 – Data protection

### 9.1. Data protection obligations

The Contracting Parties have the obligation to abide by the Regulation (EU) 2016/679 (General Data Protection Regulation – GDPR) of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data.

The processing of personal data shall be carried out lawfully, fairly and in a transparent manner, collected for specified purposes and adequate, relevant and limited to what is necessary in relation to the purposes for which it is processed.

The Beneficiary will use and process the data only for the purposes of this Contract and during the length of the Contract. Any unauthorised use is forbidden. In any event, neither the Contractor nor the Data Provider will be held responsible for any abusive use of data incurred into by the Beneficiary.

The Beneficiary shall not to try to re-identify anonymised data. In the event that re-identification occurs, the Beneficiary commits not to use such data.

The Beneficiary shall delete, at the end of this Contract, the data to which the Beneficiary has been granted access during the incubation process, except where an agreement is entered into with the Data Provider.

### 9.2. New data produced

The Beneficiary acknowledges that he/she will be the “data controller” of any new dataset of piece of personal information that the Beneficiary may produce in the course of the Block.IS project.

## Article 10 – Financial audits and controls

The EC may, at any time during the implementation of the Project and up to five years after the end of the Block.IS project (foreseen for 31 December 2021), arrange for financial audits to be carried out, by external auditors, or by the EC services themselves including the European Anti-Fraud office (OLAF), on the Beneficiary. The audit procedure shall be deemed to be initiated on the date of receipt of the relevant letter sent by the EC. Such audits may cover financial, systemic and other aspects (such as accounting and management principles) relating to the proper execution of the Grant Agreement. They shall be carried out on a confidential basis.

The Beneficiary shall make available directly to the EC all detailed information and data that may be requested by the EC or any representative authorised by it, with a view to verifying that the Grant Agreement is properly managed and performed in accordance with its provisions and that costs have been charged in compliance with it. This information and data must be precise, complete and effective.

The Beneficiary shall keep the originals or, in exceptional cases, duly authenticated copies – including electronic copies - of all documents relating to the Contract until 2026. These shall be made available to the EC where requested during any audit under the Grant Agreement.

In order to carry out these audits, the Beneficiary shall ensure that the EC's services and any external body(ies) authorised by it have on-the-spot access at all reasonable times, notably to the Beneficiary's offices, to its computer data, to its accounting data and to all the information needed to carry out those audits, including information on individual salaries of persons involved in the project. They shall ensure that the information is readily available on the spot at the moment of the audit and, if so requested, that data be handed over in an appropriate form.

On the basis of the findings made during the financial audit, a provisional report shall be drawn up. It shall be sent by the EC or its authorised representative to the beneficiary concerned, which may make observations thereon within one month of receiving it. The EC may decide not to take into account observations conveyed or documents sent after that deadline. The final report shall be sent to the beneficiary concerned within two months of expiry of the aforesaid deadline.

On the basis of the conclusions of the audit, the EC shall take all appropriate measures which it considers necessary, including the issuing of recovery orders regarding all or part of the payments made by it and the application of any applicable sanction.

The European Court of Auditors shall have the same rights as the EC, notably right of access, for the purpose of checks and audits, without prejudice to its own rules. In addition, the EC may carry out on-the-spot checks and inspections in accordance with Council Regulation (Euratom, EC) No 2185/96 of 11 November 1996 concerning on-the-spot checks and inspections carried out by the EC in order to protect the European Communities' financial interests against fraud and other irregularities.

## **Article 11 – Amendments**

Amendments or changes to this Contract shall be made in writing and signed by the duly authorized representative of the Contracting Parties. Nevertheless, In the event the EC modifies the conditions, the Contractor will amend the Contract accordingly.

## **Article 12 – Language**

This contract is drawn up in English, language which shall govern all documents, notices, meetings and processes relative thereto.

## **Article 13 – Applicable Law**

This Contract shall be construed in accordance with and governed by the laws of Belgium.

## **Article 14 – Settlement of disputes**

If the Contracting Parties are unable to resolve a dispute amicably, such dispute will be finally settled under the Rules of Arbitration of the International Chamber of Commerce by three (3) arbitrators in Brussels.

Each of the Contracting Parties to the dispute shall appoint one (1) arbitrator and the three (3) arbitrators so appointed shall elect the presiding arbitrator. Should a Party to the dispute which should appoint an arbitrator fails to do so within fourteen (14) days of the delivery of the written notice to do so from the other Party to the dispute or should the appointed arbitrators fail to reach agreement on the presiding arbitrator within fourteen (14) days after their appointment, such arbitrator shall be appointed in accordance with the Rules upon request of any of the Parties to the dispute.

The seat of arbitration shall be Brussels.

The Contracting Parties agree that the language of the arbitration, including oral hearings, written evidence and correspondence, shall be English.

A duly rendered arbitration award shall be final and binding on the Contracting Parties to the dispute. Each Contracting Party to the arbitration conducted in accordance with this section hereof shall bear its own expenses incurred in connection with such arbitration, including fees of its legal counsels. All other costs and expenses shall be apportioned between the Contracting Parties to the arbitration in accordance with the decision of the arbitrators.

Nothing in this Contract shall limit the Contracting Parties right to seek injunctive relief or to enforce an arbitration award in any applicable competent court of law.

AS WITNESS:

The Contracting Parties have caused this Contract to be duly signed by the undersigned authorized representatives in three (3) copies:

<p>For F6S (the Contractor)                  Mr/Ms Sean Kane                  CEO                  Signature</p> <p>Done at London on DD/MM/2020</p>	<p>For VOICT (Treasurer), established in TRG DOSITEJA OBRADOVICA 6, 21000 NOVI SAD, SERBIA                  Mr Milan Šolaja,                  CEO                  Signature</p> <p>Done at Novi Sad on DD/MM/2020</p>
<p>For [SME] (the Beneficiary)                  Mr/Ms [NAME SURNAME]                  [POSITION_IN_COMPANY]                  Signature</p> <p>Done at _____ on DD/MM/2020</p>	

# Annexes

# Block.IS

## **Annex 8**

## **Sample of challenge application form available in F6S**

April/2020



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 824509.



# BlockIS Challenge



## Sample form ▾

Update your Startup profile  
Put Startup in stealth mode

## Questions



### BlockIS Project and Challenges Information

BlockIS will organize two open calls to attract, select and fund the best of the best SMEs to generate blockchain-based products, processes and business models with strong market potential in the sectors of agrifood, logistics and finance.

For the EU economy to grow sustainably it needs to re-industrialize, leveraging innovation and digital intelligence. Among the most important sectors of EU economy one can find the agrifood, logistics and financial sectors. EU's agrifood sector has a strong global competitive position as the largest food and drink exporter with a market share of 18%. The logistics sector amounts to 14% of EU's GDP, and the sector is expected to grow 40% by 2040. The financial sector makes up to 20-30% of total service market revenue and about 20% of the total gross domestic product in EU economies

The Blockchain technology has been recognized by influential people and institutions, including EC and WEF, as one of the most promising and disruptive technologies of this century. The technology exhibits a unique combination of features that make it ideal for solving the challenges mentioned above - provenance, transparency, traceability, efficiency, trust, data sharing — in the three sectors. Blockchain technology enables a decentralized, trusted and programmable way to transfer value and information.

Please visit [blockis.eu](https://blockis.eu) for more information on the BlockIS

BlockIS has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 824509

## SME Summary

Documents to be reviewed when preparing the application:

Annex 1: Open Call text, which provides a full set of information regarding the Open Call for Proposals for the BlockIS project.

[blockis.eu/library/oc1/BlockIS\\_OC1\\_A1.pdf](https://blockis.eu/library/oc1/BlockIS_OC1_A1.pdf)

Annex 2: Guidelines for Applicants, which provides the scope and objectives of the open call.

[blockis.eu/library/oc1/BlockIS\\_OC1\\_A2.pdf](https://blockis.eu/library/oc1/BlockIS_OC1_A2.pdf)

Annex 7: Sub-grant Agreement Template, which provides a template of the sub-grant agreement that the successful applicants will be requested to sign.

[blockis.eu/library/oc1/BlockIS\\_OC1\\_A7.docx](https://blockis.eu/library/oc1/BlockIS_OC1_A7.docx)

### 1 SME Name \*

Official name of the SME

150

### 2 Country \*

Country of registration

40

### 3 Name of the contact person \*

Primary person to be contacted by BlockIS

### 4 Email of the contact person \*

Email address of the contact person which will be added to BlockIS mailing lists

### 5 Phone number of contact person

In rare but urgent situations, we need reach quickly to your team. Phone call it still the fastest channel.

20

## SME DESCRIPTION

6 **Sector that you are addressing \***

Agrifood

Logistics

FinTech

Other

7 **Company description \***

1000

8 **Value proposition \***

Describe the value proposition of your SME and how you generate value yourselves, to society, environment, economy and/or others

1000

9 **Who are your target customers \***

500

10 **What is the European dimension and impact your SME \***

Describe any cross-border/cross-sector solution and potential economic and societal impact of your SME

1000

## SME CHARACTERISATION

11 **What is your “go to market” strategy \***

Describe your target revenue streams, pricing and a clear exploitation strategy/ business plan, including commercial milestones. Provide clarity on how you have validated this

1500

12 **How do you differentiate your products/services from your competitors' \***

1000

13 **Any products that already use blockchains technology \***

500

14 **How many people are working full time in the company \***

100

15 **Key personnel short CVs involved in the project \***

Please include one paragraph short CV of each team member and mention the legal framework for the collaboration (employed, external contract, intern,...)

3000

16 **Why your team best suited to work together towards addressing the theme of the challenge \***

1000

17 **Which is the current TRL of your solutions or services? \***

- TRL 1 – basic principles observed
- TRL 2 – technology concept formulated
- TRL 3 – experimental proof of concept
- TRL 4 – technology validated in lab
- TRL 5 – technology validated in relevant environment
- TRL 6 – technology demonstrated in relevant environment
- TRL 7 – system prototype demonstration in operational environment
- TRL 8 – system complete and qualified
- TRL 9 – actual system proven in operational environment

## ADMINISTRATION & LOGISTICS

18 **How did you hear about BlockIS \***

- Project Web Site
- EC Open Calls site
- F6S web site
- Clusters; missions/events
- Other

- 19 **Please upload the "Annex.4: Honour Declaration" properly fill-in and signed (Max file size 30MB.) \***

You may download document from here: [blockis.eu/library/oc1/BlockIS\\_OC1\\_A4.docx](https://blockis.eu/library/oc1/BlockIS_OC1_A4.docx)

**CHOOSE A FILE**

- 20 **Please upload the "Annex 5: SME Declaration " properly fill-in and signed. (Max file size 30MB.) \***

You may download document from here: [blockis.eu/library/oc1/BlockIS\\_OC1\\_A5.docx](https://blockis.eu/library/oc1/BlockIS_OC1_A5.docx)

**CHOOSE A FILE**

- 21 **Acceptance of the Data Privacy Policies \***

I accept the data policy  
privacy as detailed in Annex  
2

- 22 **Acceptance of the BlockIS open call conditions \***

Full call documents available at [blockis.eu](https://blockis.eu)

We have reviewed an and  
accept the terms and  
conditions

Are you done? Click below to finalize

**APPLY TO OPEN CALL**

# Block.IS

## **Annex 9**

## **TEMPLATE for H2020 Financial Support to Third Parties**

April/2020



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No. 824509.

## TEMPLATE for FP7 Competitive Calls and H2020 Financial Support to Third Parties

To publish a call on the Funding & Tenders Portal (F&TP), the Project Officer must send to the F&TP team at least the following information:

	Information to be provided by the project consortium
Call title:	Block.IS Open Call #2 - blockchain-based application proposals in the areas of agrifood, logistics and finance
Full name of the EU funded project:	Blockchain Innovation Spaces
Project acronym:	Block.IS
Grant agreement number:	H2020-824509
Call publication date:	<i>22 April 2020</i>
Call deadline:	<i>22 July 2020 at 17:00 (Brussels time)</i>
Expected duration of participation:	<i>11 months</i>
Total EU funding available:	Funding available for this acceleration process: 1.355.000€ (45*3.000€ + 23*50.000€ + 10*7.000€)
Submission & evaluation process:	<p>The goal of Block.IS open call #2, is to accelerate innovation in the areas of agrifood, logistics and finance by supporting blockchain-based application proposals.</p> <p>The 2nd acceleration process will have three phases: INNOVATION (where 45 proposals will be selected), EXPERIMENT (where the 23 top projects from the INNOVATION phase will enter this phase), COMERCIALISE (where the 10 top projects from the EXPERIMENT phase will enter this phase).</p> <p>Block.IS Open Call #2 will select the best 37 projects from any of the 3 areas. Eight (8) additional project will enter the INNOVATE phase as winners of the Block.IS challenges.</p> <p>The maximum amount of funding that each SME may receive is 60.000€.</p> <p>Submissions are available via <a href="https://www.f6s.com/block.is">https://www.f6s.com/block.is</a></p>
Further information:	Details available at <a href="https://blockis.eu/">https://blockis.eu/</a>

Task description:	<p><i>Block.IS aims to provide to competitive and market oriented European SMEs access to knowledge, technology, capital and markets with the aim to place new products/ services in the market targeting blockchain technology. The most innovative, competitive and market oriented blockchain-based application proposals in the areas of agrifood, logistics and finance will be selected to start an "Innovate - Experiment - Commercialise" stages programme.</i></p> <p><i>SMEs participating in the INNOVATE stage will be invited to fine-tune their concept, elaborate an early prototype or mock-up and the technical architecture of the proposed solution and prepare a tech-business pitch to present at the Innovation Event/Clusters-Innovators Assembly.</i></p> <p><i>SMEs participating in the EXPERIMENT stage will develop an MVP (Minimum Viable Product) targeting the agrifood, logistics and/or finance market. The EXPERIMENT stage has two sub phases, Design and Implementation &amp; Validation. In the end of the Design sub-phase SMEs will need to submit deliverable 1 specifying the implementation approach. In the end of the Implementation &amp; Validation sub-phase SMEs need to submit deliverable 2 documenting project implementation and deliverable 3 with business and exploitation plan.</i></p> <p><i>SMEs participating in the COMMERCIALISE stage will develop activities associated with the promotion and exploitation of their project, aiming to engage new customers and/or partners and/or investors.</i></p>
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**Additional information may also be required/presented:**

Funding scheme/type of action, thematic priority, contract type, project status, project/research costs and funding, eligibility requirements, evaluation criteria, proposal format, project coordinator...