

**Q&A from the Info Day of 6/7<sup>th</sup> of March 2017 for the calls of SC7  
"Secure societies – Protecting freedom and security of Europe and its  
citizens" open in 2017**

**1. GENERAL QUESTIONS ON CALLS, RULES, FINANCIAL AND LEGAL ASPECTS**

**Q1: In contrast to the SEC call, the participation of practitioners or end-users is not mandatory in the DS call. If the consortium considers their involvement crucial for the success of the action, how should they be involved?**

A1: There is no common rule and there are many options: depending on the degree of desired involvement they can be part of the consortium or part of an advisory board. If major contributions are expected, they should be part of the consortium, otherwise there is no legally binding commitment towards the consortium and reimbursement of actual incurred costs will not be possible.

**Q2: Can applicants from the UK be part of a consortium and what is the funding foreseen?**

A2: For the moment, the UK is part of the European Union and UK partners are entitled to be beneficiaries in an EU funded research project. No indication can be given what would happen in case of the BREXIT at this point.

**Q3: Can a consortium partner get funding in parallel from other programmes, such as the EU infrastructure programmes?**

A3: In principle yes, if not explicitly excluded in the calls and if this does not lead to double funding of the same activities or expenses.

**Q4: Can an Innovation Action (IA) include elements of research?**

A4: Yes, this is definitely possible. However, the main focus of an IA has to lie in the demonstration and testing of innovative solutions in a realistic environment preparing the introduction of products or services into the market.

**Q5: Can (parts of) previously failed proposals (e.g. submitted for FP7 or H2020) be reused or resubmitted?**

A5: In principle yes, but in most cases it will require major adaptation to correctly address the topic or the type of action (which might have changed) of the current Work Programme to be successful. Please note that resubmissions need to be flagged in part A of the proposal with indication of the original proposal number.

**Q6: Will the Fast Track to Innovation programme (FTI) be relaunched in the near future?**

A6: Depending on the evaluation of the pilot of 2016, it might be relaunched within the 2018-20 Work Programme.

**Q7: Is there an opportunity to propose an idea for future research that is not included in the Work Programme?**

A7: Not in the current call. The Secure Society Calls are a top-down, competitive research programme where the community has already decided which problems need to be solved in the current call. The National Contact Points (NCPs) can be approached in case you wish to suggest ideas for future calls.

Please note that there are other parts of H2020 where by default research is conducted bottom-up (such as FET-OPEN or SME instrument) and where you can propose your research ideas not addressed in the current work programme.

**Q8: For the purpose of the evaluation, do the evaluators see all sections of the research proposal at once (i.e. part A, part B1-3 and part B4-6)?**

A8: Yes, for single-stage evaluations (which is the case in the Secure Society Calls) all proposal sections will be available and accessible to the evaluators at once.

**Q9: What is the meaning of "oversubscription"?**

A9: Oversubscription is an internal term designating the ratio of evaluated proposals over funded proposals, i.e. the inverse of the success rate. In 2016 the oversubscription has decreased with respect to 2015, partly thanks to the mandatory participation of practitioners.

**Q10: How is the weighting factor of 1.5 on the Impact criterion, relevant for Innovation Actions and the SME Instrument, applied in the evaluation process?**

A10: For Innovation Actions and SME instruments, proposals are ranked using a *normalised* Score  $S_{norm} = (S_{C1} + 1.5*S_{C2} + S_{C3})/17.5*15$  where  $S_{C1}$ ,  $S_{C2}$  and  $S_{C3}$  are the scores in the criteria 1, 2 and 3 respectively.

As an example, a proposal with a score of  $S_{C1} = 3$ ,  $S_{C2} = 5$  and  $S_{C3} = 4$  will have a normalised score  $S_{norm}$  of 12.43, and would be thus higher ranked than a proposal with  $S_{C1} = 5$ ,  $S_{C2} = 3.5$  and  $S_{C3} = 4$  ( $S_{norm} = 12.21$ ) despite having a lower non-normalised score (12 vs. 12.5).

**Q11. Is the LEAR appointed per project or per legal entity?**

A11: Per legal entity. There can only be one LEAR representing the legal entity towards the Commission / Agency for all research projects. However, (s)he can delegate electronic signature rights at project level to other members of the organisation via the internal appointment of legal signatories for project matters (PLSIGN) or financial matters (FLSIGN). More details on the management of roles and access rights in the Participant Portal can be found in the [H2020 Online Manual](#).

**Q12: Do applicants need to introduce and describe (linked) third parties already at the proposal stage or can this be done later in the grant preparation phase?**

A12: Third parties should be correctly introduced already in the proposal. The concise description of the consortium and their individual contributions - including those of possible (linked) third parties - is a prerequisite for the correct assessment of the proposal by the evaluators. It is also required for the correct assessment of the operational capacity.

**Q13. What is the difference between subcontractors and contractors?**

A13: Subcontractors are defined as third parties (i. e. they do not sign the grant agreement), which implement certain (and limited) tasks of Annex 1 under the liability of the beneficiary awarding the subcontract. No indirect costs will apply for subcontracting. Contracting refers to the purchase of services, which are not related to project tasks. It is considered as other direct cost and indirect costs will therefore be added. Please note that in the specific case of a PCP (pre-commercial procurement) specific definitions of subcontracting apply (Art. 13 of the GA).

**Q14. What is the difference between unit and actual cost?**

A14: For the calculation of costs, unit and actual costs can be used depending on the usual cost accounting practices of the legal entity. Actual costs are real incurred costs, such as for salaries or purchase of goods. Unit cost is an average based on a set of past data (such as annual data), e.g. applied to salaries of a certain category of employees. This is determined on the basis of an amount per unit calculated by the beneficiary in accordance with its usual cost accounting practices. Note that personnel without salary (e.g. SME owner, natural persons) can only claim unit costs.

**Q15. Should there be a necessity of change in the consortium during the course of the project, how can this be dealt with?**

A15: Projects are of course dynamic and there can be situations requiring a change in the consortium. These changes have to be done via an amendment to the grant agreement, typically requested by the consortium. It is up to the Agency / Commission to accept or reject the amendment request based on a thorough analysis of its content. Please note that major changes in the project might question the validity of the evaluation results and will be rejected if considered as a major deviation from the original research proposal.

**Q16: What happens if, during the implementation of project, it turns out that the project should switch to a different solution or application to achieve better results?**

A16: The monitoring of the continued relevance of the action in terms of objectives and outcome is part of the technical review. In parallel, the consortium is asked to continuously monitor and update the project risks – including technological ones - throughout the project. If reviewers and the Agency / Commission should come to the conclusion that major changes are necessary to make best use of EU public money, an amendment to the grant agreement can be initiated either by the consortium or the Agency / Commission. Please note that no deviations from the original contractual objectives can be authorised without going through an official amendment procedure.

## QUESTIONS CONCERNING ETHICS

**Q1: It seems important to have an Ethical Advisory Board (EAB) – are there any limits for the financial support?**

A1: Actually, there is no legal requirement to have an EAB, unless there is an explicit requirement from the ethics summary report. If an EAB – involving external experts – is set up it is usual practice to reimburse all travel and participation costs, which can be amended by a reasonable allowance in case of specific tasks with added value to the project.

**Q2: The ethics summary report points out the ethical issues, but sometimes lacks concrete guidance how to solve it. How should we deal with it?**

A2: Extensive guidance on how to deal with the most frequent ethical issues can be found in the [guidance document of the Commission](#). Very often, ethics expertise is also found among the consortium members and, of course, the consortium can seek advice from the EAB if it has been set up. Please note that compliance with the ethical requirements is mandatory and non-compliance can have severe consequences such as the reduction or even termination of the grant.

**Q3: As legislations concerning ethics may be different among participating countries, what is the approach to be taken not to jeopardise the project implementation?**

A3: It is absolutely mandatory to comply with both national and European law concerning the ethical issues throughout the project for activities carried out in a certain location. Non-compliance puts at risk the continued funding of the project.

**Q4: How to provide assurance that developed technologies, such as Artificial Intelligence, do not end up in the wrong hands and are subsequently misused?**

A4: It is the responsibility of the consortium to credibly assess and monitor the potential risks and to outline and implement the measures to be taken in order to prevent misuse. The consortium will need to prove throughout the project that appropriate steps have been taken to minimise this risk.

## QUESTIONS ON SECURITY SCRUTINY:

**Q1. Where can applicants find the list of third countries having signed a Security Agreement with the EU?**

A1: This information is available in the [EU Treaty Base](#).

**A2: What happens if the consortium disagrees with the outcome of the security scrutiny?**

Q1: The Security Scrutiny is performed by the Security Scrutiny Group consisting of national security experts nominated by EU member states and H2020 associated countries with a security agreement. The outcome of the Security Scrutiny is binding and recommendations and requirements need to be incorporated into the Grant Agreement (before signature). Compliance with the security recommendations and/or requirements concerning EU classified information is

mandatory during the implementation of the project. Please note that rejections of proposals based on security concerns are extremely rare.

#### **QUESTIONS REGARDING CROSS-CUTTING ISSUES (SSH, GENDER,..)**

**Q1: Topic SEC-18-BES-2017 - dealing with future border security checks - has been flagged for gender dimension. Could you please explain how this should be taken into account?**

A1: Topic SEC-18-BES-2017 has indeed been flagged as gender-relevant. For the design of future border checks and to ensure their acceptance and finally their deployment, a multitude of societal factors have to be taken into account, gender aspects being one of them. The evaluators will need to judge if this (among other dimensions) is sufficiently incorporated in the approach of the proposal.

Please note that also topics not specifically flagged as gender-relevant might require inclusion of gender-related aspects to fully cover the scope of the topic or to plausibly reach the expected impact.

#### **QUESTIONS ON SME INSTRUMENT:**

**Q1: Can Swiss SMEs apply under the new SME Instrument?**

A: Yes, Switzerland is again considered as an Associated Country. As a consequence Swiss legal entities can apply for all parts of H2020, thus including the SME instruments. In particular this implies that they count towards the fulfilment of the (general) eligibility criteria and are entitled to receive automatically funding from the EU.

**Q2: What other activities could be submitted for Phase 1 of the SME Instrument?**

A2: Under phase 1 only feasibility studies can be funded.

#### **QUESTIONS CONCERNING THE CIP CALL**

**Q1: Concerning the topic CIP-01-2016-2017 can applicants address critical infrastructures, such as transport, already covered in 2016?**

A1: No. The Work Programme explicitly states that "only the installations not covered in 2016 will remain eligible in 2017". Information on remaining critical infrastructures is provided on the participant portal (cf. [topic information](#))

## QUESTION ON THE DS-CALLS AND PRIZES

**Q1: Topic DS-08-2017 lists three different strands. Are applicants expected to address only one strand or all of them?**

A1: As stated in the Work Programme it is sufficient to cover one strand only, but in principle sub-topics can also be combined within a proposal if there is a good reason to do so.

**Q2: The topic description of DS-07-2017 refers to "(critical) cyber infrastructure" and "high risk organisations" - can you give any definition or examples?**

A2: A (non-exhaustive) list of types of entities with considerable risks per business sector can be found in Annex II of the [NIS Directive 2016/1148](#).

**Q3: Topic DS-08-2017 requires to "develop innovative, secure and privacy enhancing digital identity platforms beyond national eID systems". Could you be more specific what is meant by that?**

A3: The topic aims for technologies to enhance the use of digital identities, in particular across borders. New approaches to e-IDs are welcome; applicants are invited to consult as a relevant reference Regulation [No 910/2014](#) on electronic identification and trust services for electronic transactions in the internal market.

**Q4: Concerning the Prizes Instrument - what are the eligibility criteria for such an award? Does it require a consortium?**

A4: There are no global eligibility criteria that apply across all Horizon Prizes: e.g. all legal entities (including natural persons) or groups of legal entities could be eligible to participate in some contests. For each Prize, the eligibility criteria are specified in the Rules of Contest. The specific Rules of Contest for the Authentication Prize will be published on the participant portal in the second quarter of 2017.

## QUESTIONS ON THE SEC CALL:

**Q1: Concerning the topic SEC-04-DRS-2017 (PCP) dealing with broadband communication system, what outcome is expected beyond the work on integration that has already been done in past or current projects?**

A1: The PCP requires mature technologies and should lead to development up to Technology Readiness Level (TRL) 8 to meet the needs of practitioners. Good EU representation is crucial for success and the participation of buyer organizations from at least 8 EU Member States or Associated Countries is therefore mandatory (12 if phase 0 should be necessary). The findings of the BROADMAP project should be taken into account. For further information, please consult the information on the participant portal and regularly check for possible updates. (cf. [topic information on the PP](#)).

**Q2: For SEC-07-FCT, are associations of practitioners eligible as partners for a consortium?**

A2: Depending on its set-up and composition, an association may be accepted as a practitioner. Please note that, even if accepted, an association will count as only one practitioner, so direct participation of practitioners seems to be the preferable approach.

**Q3: Concerning the topic SEC-07-FCT-2016-2017 what is the link with technologies?**

A3: SEC-07-FCT-2016-2017 does not foresee development of technologies, however the smart use of existing technologies in the context to better understand and map the human factors in crime and terrorism is encouraged.

**Q4: Can proposals which failed in 2016 under the specific sub-topics 1 to 3 of SEC-12-FCT-2016-2017 still be resubmitted for funding under the topic 4 – “Others” in 2017?**

A4: No, it is not possible to (re-)submit under sub-topic 4 "Others" (failed) proposals addressing the closed sub-topics 1-3. They will be declared ineligible.

**Q5: Is the focus of topic SEC-15-BES-2017 on risk-based screening stronger on passengers than on goods?**

A5: The control of goods and, in particular identification of potentially dangerous or smuggled items, is an essential element of the topic scope. It is up to the proposal to make a good case why the identified strategy and work plan has potential to reduce capability gaps in risk based screening at border crossing.

**Q6: Could you please elaborate the link between the topics SEC-15-BES-2017 and SEC-18-BES-2017?**

A6: The innovation action SEC-15-BES-2017 aims to improve today's border crossing challenges developing or improving rather mature technologies or concepts whereas the Research and Innovation Action SEC-18-BES-2017 aims to explore innovative future border crossing solutions and to anticipate their acceptability. Consideration of aspects from SEC-15-BES-2017 would be helpful input for SEC-18-BES-2018.

**Q7: The topic description of SEC-17-BES-2017 mentions "*... international cooperation is encouraged, and in particular with international research partners involved in ongoing discussions and workshops...*". May applicants receive more information about the partners involved in these workshops?**

A7: Finally, these research workshops could not be organised and this remark is not to be taken into consideration.

**QUESTIONS ON THE NCP-NETWORK PROJECT SEREN 3:**

**Q1: Is there any visibility about the sustainability of the SEREN3 website and the partner search tool beyond SEREN3?**

A1: There is a firm intention to maintain the SEREN3 services. The NCPs will apply for a follow-up project "SEREN4" under SEC-21-GM-2016-2017 d) in 2017 that will hopefully secure the business continuity of the SEREN3 services.