THE FRAMEWORK PROGRAMME FOR RESEARCH AND INNOVATION

HORIZ N 2020

D2.2 Summary of the call v1
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Executive summary

*The Open Data Incubator for Europe (ODINE) is an H2020 project aiming at establishing an EU-wide , industry-focused network of open data startups and SMEs around Europe. This deliverable summarizes the first half of ODINE's open call, covering evaluation rounds 1 to 5 since May 2015 until April 2016. During this timespan ODINE received **618** applications from **33** countries and granted **34** companies from different economic sectors an amount of € **3,295,316.93** in total.*

ODINE's call is comprised by 8 rounds with 4 phases each:

- *Application reception: open for two months. Applicants send a 4-page proposal following a template developed by ODINE, where they explain their idea and its impact, their team, and the budget they ask from ODINE.*
- *Review: ODINE team checks SME and proposal eligibility (eligible country to receive H2020 funding, format rules respected) and assigns each proposal to two external reviewers, proposals considered promising by both of them based on the evaluation criteria developed by ODINE, are invited to the interview phase (to a maximum of 24). This phase lasts 3 weeks.*
- *Interview: Promising applications identified in the review phase give a 5 minutes pitch in front of a panel of independent evaluators and ODINE representatives followed by 25 min of Q&A. Based on the interview performance and the notes of the review phase, the panel makes the recommendation of granting the funds or not. Based on these recommendations, ODINE makes the final decision. This phase lasts 1 week.*
- *Negotiation: Granted companies go to the negotiation phase, where we check their legal documentation and credit, if OK, we agree with them on a workplan and three milestones that will govern the release of the installments of the funding during the 6-months incubation period. Workplan and milestones are attached to a contract (the subgrantee-agreement).*

Four instruments designed or implemented by ODINE support the call:

- *A submission platform, currently implemented with the conference management system EasyChair. EasyChair's flexibility, together with the similarity between ODINE's review phase and the workflow of a conference review, allow us to use it to support the application reception and review phase easily.*
- *The guide for applicants, the document that governs the call, details the rules for applying and contains required documents as annexes. The proposal template and the evaluation criteria are part of the guide.*
- *Subgrantee agreement, contract designed by ODINE that establishes the obligations of the SME and guarantees that the fund transfer complies with the legal requirements set by the grant agreement signed by ODINE and the European Commission.*
- *Workplan template, on which the milestones that define the payments are agreed.*

The call process has been kept mostly stable throughout the summarized period, the main changes being:

- *Different strategies to break ties for the interview slots.*

- *Composition of the interview panel. The same external reviewers that made the review (before), versus fixed "fresh" reviewers for all interviews (now).*
- *Progressive tightening of the format rules, from more flexible to less flexible (proposal template now needs to be used as it is)*

As lessons learned throughout the process, we cite:
1. *Make the proposal template fixed, to ensure applicants focus on relevant aspects, and*
2. *Implement the template as a web form, instead of a pdf, reduce eligibility check time and has the potential to provide wider stats.*
3. *Keep the evaluators stable through all the call.*
4. *Avoid "maybe"s in Yes/No criteria, to precipitate a meaningful decision rather than using the "maybe" as a stopgap measure.*

1. Introduction

The Open Data Incubator for Europe (ODINE) is an H2020 project aiming at establishing an EU-wide, industry-focused network of open data startups and SMEs around Europe. ODINE incubates SMEs by providing them full technical and process support: inception of the idea, data commoditization, networking, and connection with venture capital. ODINE's ultimate objective is to contribute to the establishment of a new industry implementing value-added services on top of open data. SMEs committed to this industry realize a positive impact in two important ways, primarily by contributing to the transition towards a European data-driven economy[1], and additionally by demonstrating with real business cases that open data can be used to generate value.

ODINE is built on the five pillars depicted in Figure 1

1. Competitive call: Stimulates innovative open data business ideas and selects the most promising to be fed into an innovation life-cycle.
2. Data and computing services: Provide SMEs with a cloud-based Data-As-a-Service infrastructure, with a computing platform to host applications that will facilitate the open data business ideas selected in the competitive call, and support on a set of tools to unlock, transform, lift and publish open data.
3. Business incubation: Support open data ventures through mentorship, training and connection with a network of investors and business angels interested in data-driven investment.
4. Engagement and dissemination: Awareness and information activities to make open data ventures known as a feasible path to innovation and value-generation which should be invested in and built upon.
5. Exploitation and sustainability: Exploit the proven-and-tested business models and success stories from the SMEs that participate in ODINE's incubation program.

In this document we focus on the competitive call and its development during the first half of the project's funding. The competitive call is the fundamental pillar of ODINE, it defines the instruments and processes to engage SMEs in open data innovation, comprising the rules for reception of applications, the evaluation of applications by panels of external evaluators, the negotiation of the KPIs and general terms of the funding received in the incubation process by the selected applicants. We describe the call process from the perspective of applicants, the ODINE team and the evaluators, and what decisions we have made to improve it in an iterative fashion, and detail the lessons learned and future steps.

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[1] https://ec.europa.eu/digital-single-market/en/towards-thriving-data-driven-economy
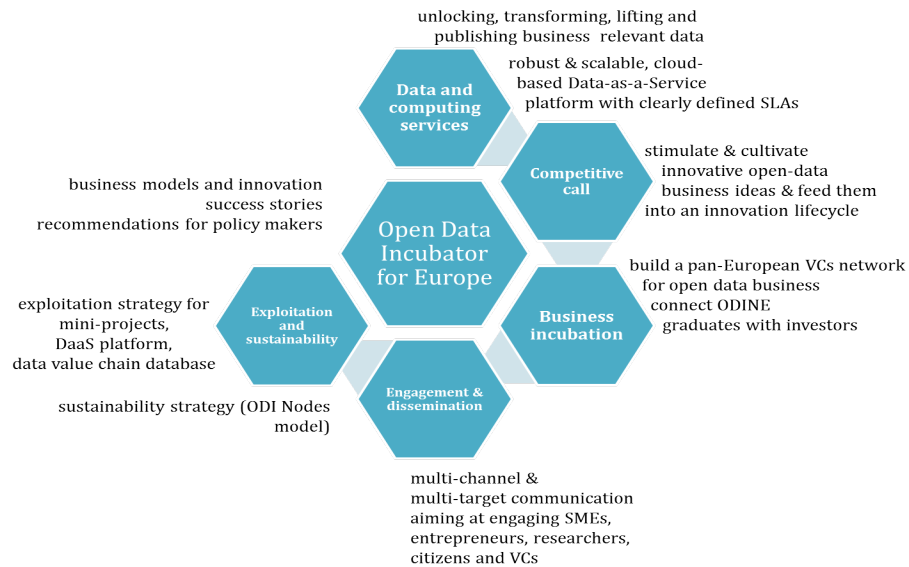
Figure 1.1 Five pillars of ODINE's incubator program

2. Competitive call

2.1 Overview

The call is an open innovation mechanism meant to be an instrument to support open data-driven entrepreneurship in Europe. ODINE's concept to unlock open data innovation is depicted in Figure 2. The competitive call covers the first three stages: definition, idea solicitation and idea selection, while incubation covers mentoring and business development.
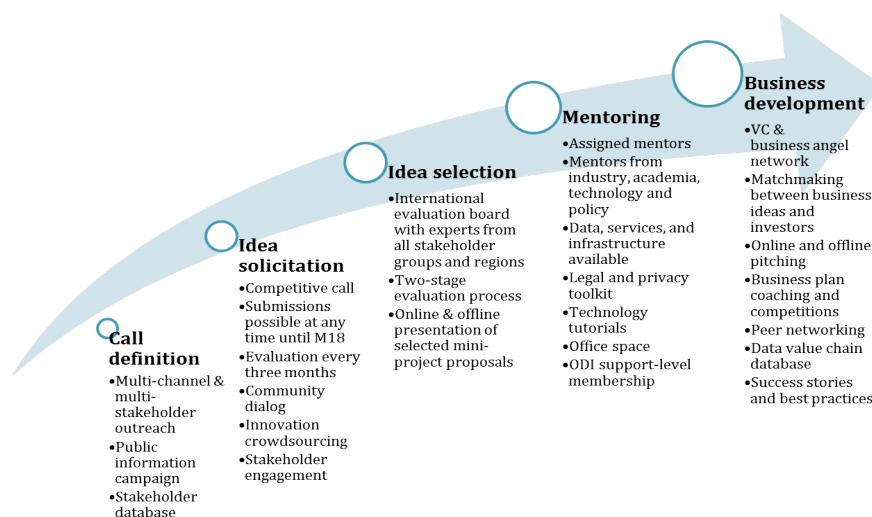
Figure 1.2 ODINE's concept to unlock open data innovation

The call is a rolling process comprised of 8 rounds of two months duration each. It is governed by the Guide for Applicants -"the guide"- (Annex 1), a document detailing all the rules that companies need to follow to submit an application. This includes the eligibility criteria, the proposal template and the evaluation criteria. After each round, we publish a new iteration of the guide with the dates for the next deadline and any changes we consider relevant to improve the process (e.g. evolution of eligibility rules and template and/or rephrasing of evaluation criteria).

Each round is comprised by 5 phases: 1) Application reception 2) Eligibility check 3) Review 4) Interview and final selection and 5) Negotiation. The first three phases are run through a dedicated submission platform, phase 4 is done using videoconference software (Google Hangouts), 5th phase is an internal ODINE meeting and the last phase is managed using Google Drive and e-mail communication. Figure 3 gives an overview of the phases in an individual round.
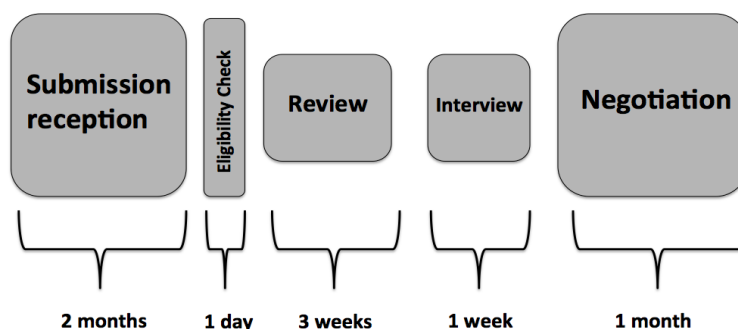

Figure 3. Overview of a round in the call

The submission reception phase of one round overlaps with the review and negotiation of the subsequent round. The full calendar of the call is described on Table 1.

Table 1. Competitive call calendar

Round	Deadline for submissions	Invitation to the interview	Interview	Final results notification	Negotiation
1	30.06.2015	13.07.2015 - 14.07.2015	20.07.2015 - 21.07.2015	31.07.2015	01.08.2015 - 31.08.2015
2	31.08.2015	14.09.2015 - 15.09.2015	21.09.2015 - 22.09.2015	30.09.2015	01.10.2015 - 31.10.2015
3	31.10.2015	16.11.2015 - 17.11.2015	23.11.2015 -	30.11.2015	01.12.2015 - 31.12.2015

			27.11.2015		
4	31.12.2015	22.01.2016	27.01.2016 - 29.01.2016	02.02.2016	02.02.2016 - 29.02.2016
5	29.02.2016	14.03.2016 - 15.03.2016	21.03.2016 - 25.03.2016	31.03.2016	01.04.2016 - 30.04.2016
6	30.04.2016	16.05.2016 - 17.05.2016	23.05.2016 - 27.05.2016	30.05.2016	01.06.2016 - 30.06.2016
7	30.06.2016	18.07.2016 - 19.07.2016	25.07.2016 - 29.07.2016	31.07.2016	01.08.2016 - 31.08.2016
8	31.08.2016	19.09.2016 - 20.09.2016	26.09.2016 - 29.09.2016	30.09.2016	01.10.2016 - 31.10.2016

2.1 The call for applicants

In this section we describe the call process from the point of view of the applicants. The process is designed to be as lightweight as possible for the applicants, with a minimum of documentation to be provided while not compromising the amount of information required to rigorously assess the proposals. A lightweight documentation also helps to maintain the pace of a "*rolling process*" like the one employed in ODINE. Moreover, as one of the purposes of ODINE is to assist entrepreneurs, we include feedback to all applicants, so they can improve their ventures even if they are not selected to participate in the incubation programme.

The first source of information potential applicants have access to is the ODINE website (http://opendataincubator.eu). The website serves as the entry point for all the documentation that an applicant needs to be aware of in order to apply. Applicants are advised to read the 'Guide for Applicants', that details all the required information necessary to tender an application: ODINE's aims, eligibility rules, calendar, and the documents that must be submitted.

With respect to eligibility, applicants must be established in an EU member state or an associate country of H2020, they are also required to be registered in the Commission's beneficiary register beforehand. We require the register to save time for the negotiation phase if they are selected.

Applicants need to produce two documents to apply, first, a declaration of honor and absence of conflict of interest signed by the legal representative of the company. This is to provide a legal

ground to the consortium to revoke a grant in case of a fraud attempt. Second, a description of their idea based on a proposal template. The proposal template is comprised by three sections, covering the three main criteria that we look in a proposal: an innovative and open-data centred Idea with enough potential market and value Impact, executed with an appropriate Team and Budget. Each section has a set of questions intended to direct applicants to provide answers that can be easily judged following the evaluation criteria. Applicants have a 4-page limit to describe their proposal following the guidelines of the template. See Annex 5 of the guide for the current version of the template.

The evaluation criteria were carefully designed to clearly distinguish the most promising applications. The criteria are public so that applicants have ample opportunity to carefully consider the degree to which they might be a good fit for ODINE, see annex 7. When the evaluation process is finished, applicants receive feedback from the reviewers in the form of comme https://docs.google.com/spreadsheets/d/1QLzt4N0CwDc5Sxmd49iTVwwft1hLI7sm4kcqrBeT4ss /edit#gid=0nts, they do not receive the numerical values of the evaluation. Applicants can use that feedback to improve their proposal and re-apply, up to three times.

Applications are received through the submission platform, reachable from the website and from the guide. A designated representative of the applicant SME (not necessarily the legal one) registers in the platform and uploads the declaration of honor and the proposal, in addition to a form with the country, sector and PIC assigned by the EC beneficiary register of the SME. The uploading process typically takes less than 5 minutes, the ODINE team produced a tutorial on the platform[2], accessible from the website.

Notifications of successful (or unsuccessful) selection to interview phase are sent 15 to 20 calendar days after the deadline of the round. In the interview, applicants deliver a 5 minutes pitch on their proposal in front of a panel comprised of external evaluators and ODINE representatives, followed by a 25 min Q&A session. Applicants that made it to the interview receive additional feedback from the panel about the pitch. Applicants that approved by the panel enter the negotiation phase.
In the negotiation phase, applicants are required to provide a minimal set of documents (translated into English) to confirm their legal existence, enable the assessment of their financial status and complicity with EU regulations:

- Completed Legal Entity Identification form. The form can be found at: http://ec.europa.eu/budget/library/contracts_grants/info_contracts/legal_entities/legEnt_p rivComp_en.pdf
- SMEs self-check document and associated PIC (participation Identification Code) number produced by EU Participant Portal.
- Company registration number & registration documents.
- Signed and stamped (if applicable) copy of company director's passport.

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[2] https://drive.google.com/file/d/0B9fO1KgpJgo1SjhhMy1fd3pZdU0/view

- Official VAT document or – if you are not registered for VAT – proof of VAT exemption not older than 6 months.
- Balance sheet
- Profit and loss accounts
- Staff headcount expressed as full time equivalents
- For newly established enterprises that have not yet closed accounts: a self-declaration, including a bona fide estimate (in the form of a business plan) for the ongoing financial year
- For enterprises without turnover whose activity implies a long time-to market: a declaration of the investment made and the likely expected return (to demonstrate that, despite the lack of turnover, your enterprise is engaged in an economic activity).

During this period, a set of milestones and KPIs are agreed that will govern the incubation period and the transfer of the funding. This is certified by the signature of a "subgrantee agreement", that formalises the relationship between the SME and the consortium as an indirect recipient of the ODINE grant. The budget is checked to verify it is comprised by eligible costs that are justifiably linked to the implementation of the proposal. Following our motto of saving as much overhead as possible, the workplan (annex 3) and the subgrantee agreement (annex 2) were designed to be as minimal as possible.

2.2 The call for the ODINE team

In this section we describe the call process from the ODINE team perspective. By detailing the operational aspects of running the call and how we organised to keep the pace of a rolling process, we aim at serving as a reference point for future innovation actions that include competitive calls for SMEs. The workload for the call can be subdivided in 4 main tasks: call promotion, review phase, negotiation phase and support to the applicants.

2.2.1 Call promotion

The promotion of the call is made in two ways,
1. Virtually, through the ODINE mini-site at The Guardian, twitter, newsletters, and focused web ads shown in selected countries. Ad campaigns were run in France and Germany for rounds 2 and 3, and for eastern countries in rounds 4 and 5. This effort is mainly driven by The Guardian and the OKFDE
2. Physical presence in selected events. To date, we have participated in more than 50 events throughout Europe. From an operational POV, the partner that secured the contact to participate in the event sends one representative.

Promotion is complemented through the announcement of the granted companies and the publication of their profiles at The Guardian mini-site.

Figure 4 shows the applications received from rounds 1 to 5. After a cold start in the first round, the number of applications has been in the order of 120-150 for rounds 2 to 5. We conjecture that the slight diminution in round 3 was due to the Christmas season (deadline was december 31st). From the 618 applications, 206 were resubmissions, meaning 412 different SMEs have applied to ODINE, making us confident that we will achieve our goal of 500.
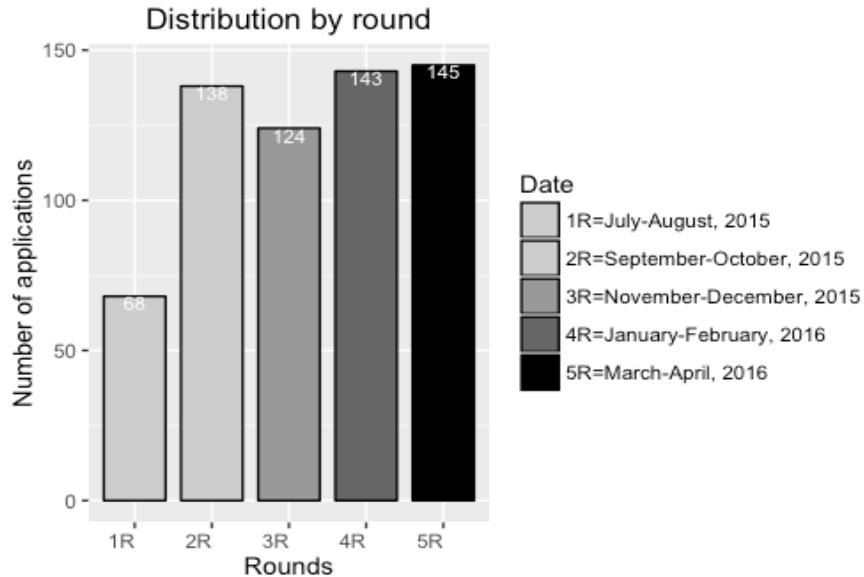
Figure 4. Number of applications by round

Figure 5 shows the distribution of the countries of the applications. There is a large number of applications from UK, Spain and Germany (53% of the total). We hypothesize that this is due to the fact that members of the consortium (and therefore, a large part of their networks and outreach) are from these three countries. We have already started to focus our efforts to promote the call in Eastern Europe.
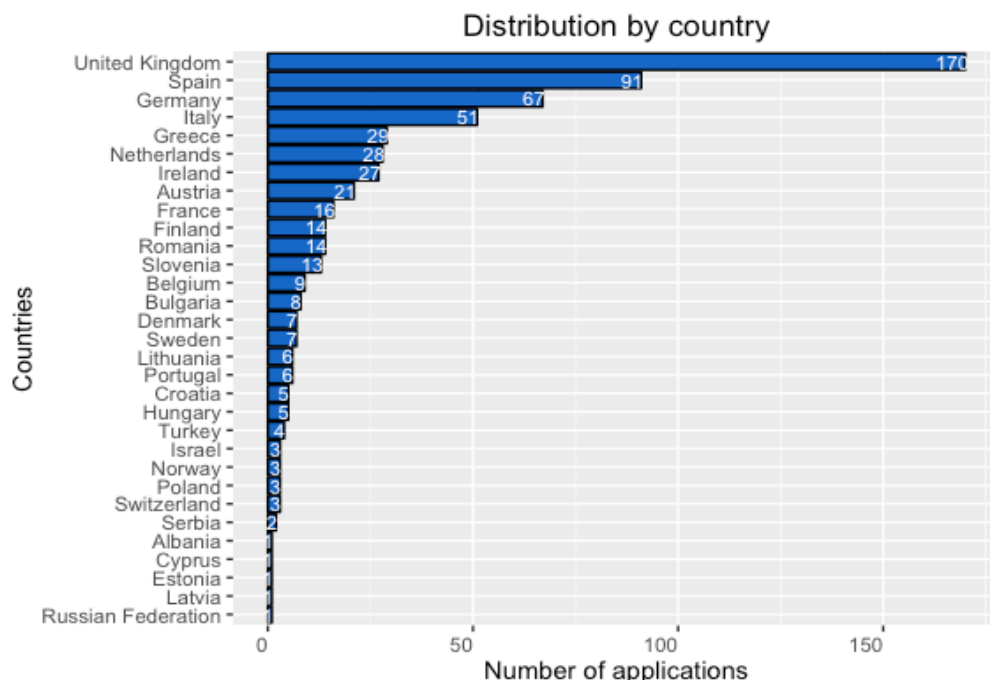
Figure 5. Per-country distribution of applications (without filtering resubmissions)

2.2.2 Review phase

The review phase takes approximately one month and is comprised by the following subtasks:

Eligibility check

Check if the submissions comply with the eligibility criteria stated in the guide, summarized as:
1. The SME is established in an EU member state or an H2020 associate state.
2. The SME is registered in the beneficiary register of the European Commission. This is required to receive H2020 funds.
3. Signed declaration of honour that the legal representative does not have conflicts of interest and has not made false declarations. This provides the consortium with the legal ground to protect itself in case of a fraud attempt.
4. Format and completeness considerations:
    a. No more than 4-pages long.
    b. All questions are answered
    c. Font size of 11pt for text and 9pt for tables.

The check is performed by screening the sent pdf files with the proposal in one working day, feasible with the effort of two persons. Non-eligible proposals are discarded without proceeding to review.

Figure 6 shows the number of eligible and non-eligible applications per round. The larger number of non-eligible applications in round 4 was due a change of eligibility criteria (See section 2.3) that was missed by many resubmitters that did not notice the change in the Guide for Applicants, simply updating their previous application.

Figure 6. Number of applications by decision of eligibility

<u>Review</u>

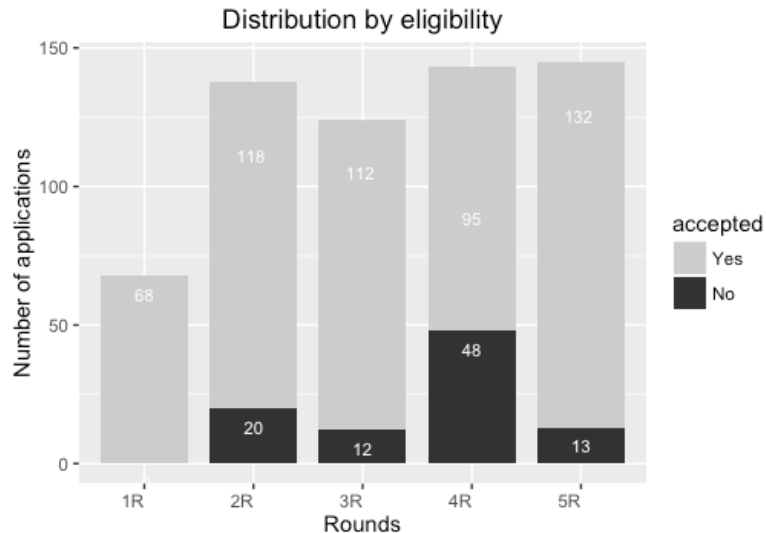In the review phase, two external evaluators review eligible applications based on the evaluation criteria stated in the guide. The goal is to shortlist for interviews between 17 and 24 applications depending on their overall quality. Evaluators assign a score between poor and excellent for each criterion and make a recommendation about inviting or not the applicants to interview (Yes, No, Maybe). Evaluators are also asked to report the best 3 applications in order of how promising they consider them, as an extra criterion to break possible ties. Applications with two "Yes" in the "Invite to Interview" criterion, meaning that they favorably impressed both evaluators, are invited to interview, then, applications with one "Yes" and one "Maybe" are considered, using the top-3 reported by the evaluators as tiebreak. The review phase takes two weeks. From an operational point of view, we had to take care of the following subtasks:

Pool of evaluators
In order to create a pool of expert independent evaluators for the first round, we started collecting a list of potential candidates suggested by all members of the consortium. The first list of contacts that we created consisted of 524 experts for different domains and levels of expertise. Each expert has been contacted and asked for eventual availability. This process led us to a list of 68 contacts, which the whole consortium (one representative per partner) could manually inspect for a final selection of 10 evaluators. This selection has been conducted considering an overall balance in nationality, gender, expertise and domain of expertise.
To date, over the different evaluation rounds, the pool of reviewers has been only slightly modified each round. In this regard, we constantly had to consider their availability and

performance in terms of precision, consistency and constructiveness of their feedback to the applicants. Each round, the number of evaluators in our pool varied from 9 to 11 members and a core group of 4 reviewers has been confirmed for all the rounds so far.

We agreed with evaluators on a fee of 75€ per hour, and an effort of 30 minutes per proposal.

The structure of the evaluation process from the evaluators' perspective has been the same for the first 3 rounds. All the evaluators had approx. 20 proposals to review in approx. one week time and according to their reviews and recommendations a subset of 17 to 24 best proposals were shortlisted for interviews.

Evaluations assignment

For the first round only, the assignments of reviews to the evaluators have been done automatically using the recommendations provided by the first round submission platform. With the switch to the Easychair platform in the second round this option was not available anymore and assignments could be done only manually. When possible, each eligible proposal is assigned to two evaluators according to the domain of the proposal (e.g. IoT, green energy, etc.) and the expertise of the evaluators. Otherwise the assignment can only be done randomly considering the overall availability of the evaluators. In case a submission has been already reviewed at an earlier round, the same evaluators are possibly re-assigned. This is because the same evaluators are then able to check the improvements over the different re-submissions.

Tiebreak strategies for getting into interview

As described in subsection "Review" in section 1, in order to select the best proposals to bring to the interviews stage we adopt a combination of ranking strategies. Here is the list of strategies adopted:

1. *Evaluators' recommendation*: after the reviews each evaluator provides us with an ordered list of top 3 favourite proposals. This usually generates a list of 20 to 30 top projects that we can use for our selection in combination with some other criteria.
2. *Overall score*: each proposal receives two overall scores (*yes/no/maybe*) from two evaluators. Proposals receiving a combination of two "maybe" or a "no" should not be invited to interviews as they clearly did not convince both evaluators.
3. *Average score*: we compute the average score of each proposal by assigning a number, on a scale from 1 to 5 (*poor* to *excellent*), to each criteria marked by the evaluators in the evaluation template. The average of all the scores given by the evaluators provides us with a precise value that can be used to rank the proposals.

For the 1st round, we did not adopt the above strategy #1 "*Evaluators' recommendation*", so we only used a combination of #2 and #3. In the following rounds we introduced strategy #1 and all the strategies were implemented one after the other, following the order of the list above. The introduction of strategy #1 prevents possible bias in the selection process in case some of the proposals receive high scores due to some evaluators being in general "more generous" than the others with their scores.

In some rounds the application of strategies #1 and #2 provided us already with a manageable number of projects to be shortlisted: i.e. between 16 and 20 projects. These numbers are given

by the short period of time we have for doing the interviews and evaluating them (1 week) and the availability of the evaluators who have to do the interviews. In case we have more projects in our shortlist after applying strategy #1 and #2, then we need to apply strategy #3 based on the average scores.

Internal evaluation assessment workshop

In order to assess the evaluation process, we ran an internal evaluation workshop with a two-fold goal: 1) Confirm that the consortium and the evaluators have similar evaluation scores, i.e, that we are on the same page as them. 2) Check if we are not inviting to interview applications that deserved it. We used as mock evaluators 8 members of the team involved in the evaluation process (3 from Soton, 1 from ODI, 1 from Wayra, 1 from OKFD and 2 from IAIS). We drew a sample of 16 applications (8 from round 2 and 8 from round 4) that missed the cut for interview by a narrow margin, this is, applications that were judged as excellent by one evaluator but poorly by the other, and applications that were judged overall good by both evaluators, but lost the tiebreak (not being in the top 3 of none of the evaluators). We applied the same evaluation process of ODINE with the mock evaluators on the sample applications, using the same form and allowing the same time. We focused on the "Overall Evaluation" criterion and if by following our selection rules, ODINE team considers that a non-interviewed application deserved to be interviewed. Results can be summarized as follows:

1. ODINE team was more severe in its overall evaluation than the evaluators, the main difference was the use of maybes, we tended to be more binary (many maybes were a "No" for us)
2. 1 out of the 16 applications evaluated was judged to merit an interview.

Interview

Shortlisted candidates are interviewed in front of a panel of evaluators. For the first three rounds, the same two evaluators that reviewed the shortlisted application were in the panel together with at least one ODINE representative. For the 4th round we switched to two evaluators dedicated exclusively to interview, plus the ODINE representative(s). Interviews are structured as a five-minutes pitch of the applicants followed by a 25min Q&A session. At the end of the interview, there are 30 minutes of deliberation between without the applicant's presence where the final recommendation of the evaluators is noted, together with a joint feedback of the results of the interview. At this stage, the panel can condition their decision to extra information to be provided by the applicants. Interviews are scheduled to happen during two or three days, with extra two or three days for the delivery of extra information, for a week in total. The last day, the ODINE consortium takes the final decision based on the panel recommendation.

Interviews are made through Google Hangouts. ODINE team creates one hangout per interview and extends invitations to the applicants, evaluators, and the rest of the ODINE team. Hangouts provides the means to record the interview and keep it as a private video hosted in youtube for documentation purposes. One member of the ODINE team has the role of moderator. The moderator reminds the rules of the interview, keeps control of the time, internal minutes and

starts/stops the recording. We found more convenient to offload the time control task to a second ODINE member if available, so the moderator could focus on the internal minutes.

As the rolling process makes review and negotiation cycles consecutive, we separated the teams taking care of review and negotiation, having an overlap only in the interviews and final selection, where all partners are required to participate in the final decision.

Figure 7 shows the applications invited to interview in each round. Due to the high amount of well-regarded applications in round 2, we decided to interview 24. This had the operational effect of requiring 3 days of interviewing instead of 2.
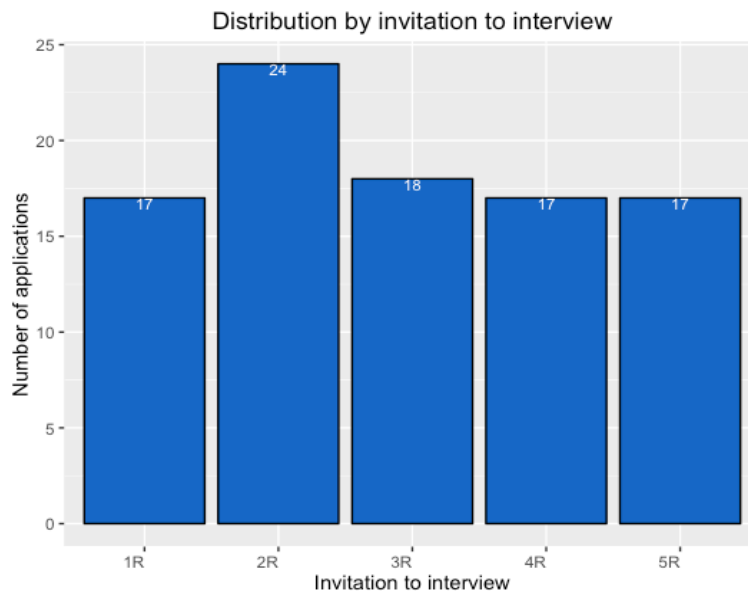
Figure 7. Number of applications interviewed per round

2.2.3 Negotiation phase

During the first two weeks of this phase, ODINE coordinates (through the project manager, at the University of Southampton) the reception and checking of the legal documents required to assess the legal status and financial stability of the selected SMEs, and the frist draft of the milestones and budgets for the incubation period. SMEs passing the legal and financial check have their milestones and projects reviewed by the negotiation team (which is the same that will advise them during the incubation period), this review takes one week and converges to a final version of milestones and budget. Budgets are sanity checked by the EU office at the University of Southampton to be 100% sure that they comply with EU regulations regarding eligible costs. The final week of the negotiation is used to exchange the signed copies of the subgrantee agreements prior to the official start of the incubation period. To date, no applicant has failed the negotiation.

Figure 8 shows the number of companies granted per round. The second round was exceptional regarding the quality of the proposals (11 grants). Figure 9 depicts the countries of the granted companies. So far, the UK is the most represented country in the granted companies.

Figure 8. Companies granted

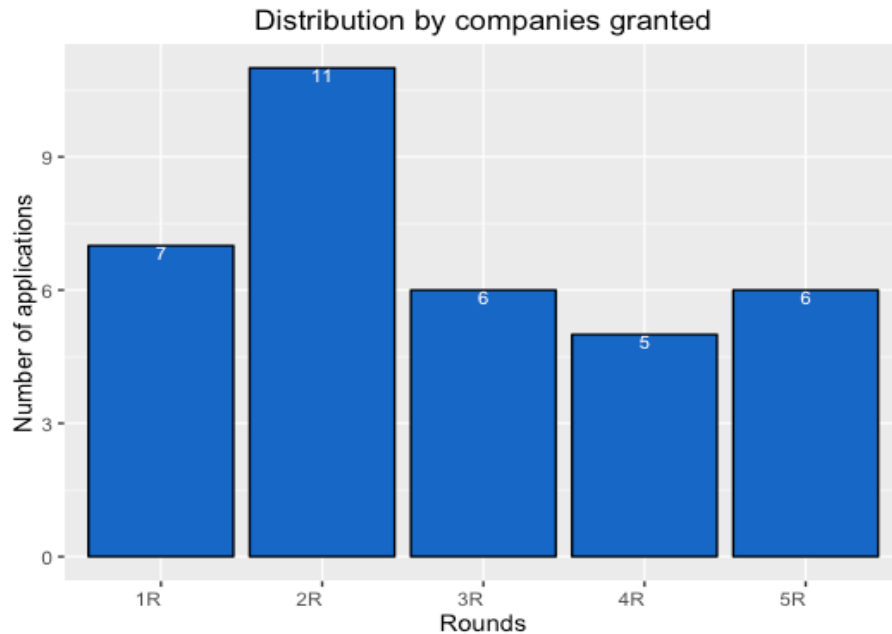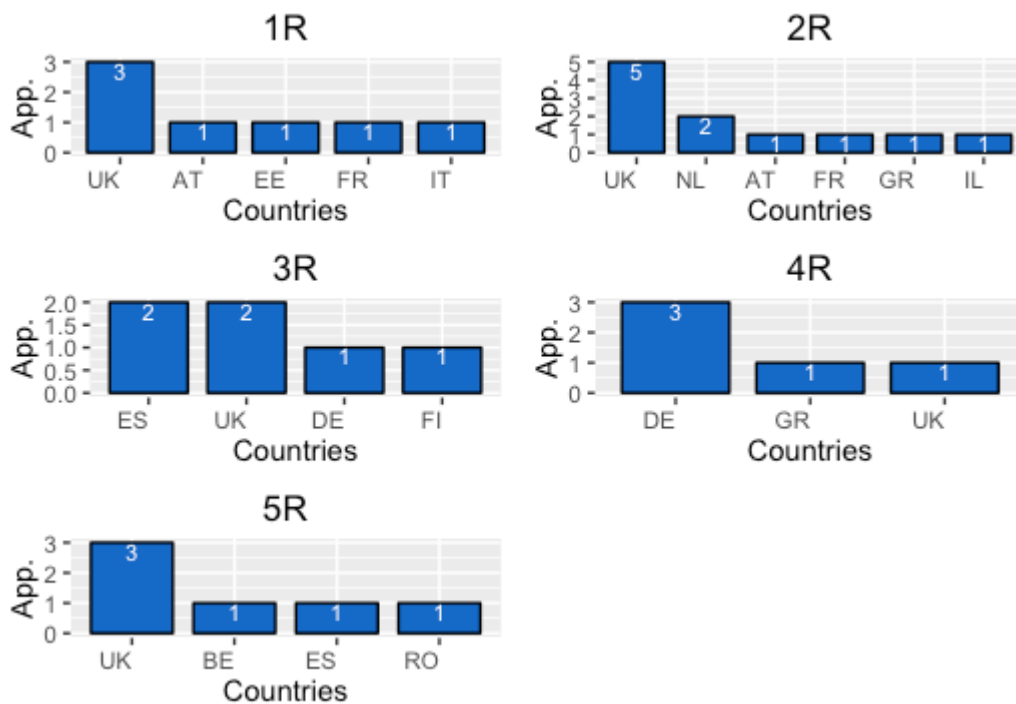**Figure 9. Number of companies granted by country**

2.2.4 Support to applicants

Support to applicants is handled through the mailing list call@opendataincubator.eu. We aim at answering pre-application enquiries (eligibility, format, required documents, general clarifications on the Guide for Applicants, questions about datasets) and requests for clarification of the evaluation results (after-application). We do not provide any pre-application check, nor we engage in any discussion about the appropriateness of an idea, beyond its eligibility.

Since the start of the project until 01/04/16 we handled 218 questions[3], broken down as follows:
- 146 general questions before application (format, eligibility, dates, etc)
- 36 questions for support after application (not receiving confirmation message, clarification of dates, request for resending feedback, request for withdrawal)
- 26 requests for clarification about evaluation (disagreement with evaluators, feedback clarification)

The team at the University of Southampton (2 people) have been enough to handle most of the queries in a timely manner (1 working day), except in certain cases that require further investigation, e.g., if a certain dataset can be considered as open or eligibility questions that are specific to a certain country.

2.3 The call for the evaluators

In this section, we describe the call from the point of view of the external evaluators that we use for the review and interview applicants.

Each evaluator has an account in the submission platform with a "reviewer" role. Reviewers can see and evaluate only their assigned proposals, and can see the reviews and scores assigned by the other reviewer of each proposal. Each evaluator reports its availability to ODINE and is assigned a number of proposal to a maximum of 40, i.e., 20 hours of estimated work. For each proposal the evaluator fills a form embedded in the platform with the following fields:
- Overall evaluation: Does this application merits the funding, overall, Yes, maybe or no?
- Invite to Interview: Does this application merit an interview, yes, maybe or no?
- For each of the evaluation criteria, a 1 (poor) to 4 (excellent) value
- For each section (Idea, impact and team and budget), the evaluator must leave a comment with his/her feedback. Feedback might be required to be amended by the ODINE team before being sent to the applicants.

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[3] Measured as number of conversations (threads) in the mailing list.

Figure 5 shows an extract of the evaluation form with the overall evaluation, invite to interview, and the first two criteria of the Idea section.

Overall evaluation (*).
- ○ 3: Yes
- ○ 2: Maybe
- ○ 1: No

Invite to interview (*).
- ○ 3: Yes
- ○ 2: Maybe
- ○ 1: No

Idea

Strength or novelty of the idea (1) (*). Can articulate the core idea in a short phrase or sentence
- ○ 4: Excellent
- ○ 3: Good
- ○ 2: Average
- ○ 1: Poor

Strength or novelty of the idea (2) (*). Demonstrate a clear differentiation with competitors
- ○ 4: Excellent
- ○ 3: Good
- ○ 2: Average
- ○ 1: Poor

Figure 5: Extract of the evaluation form

Figure 6 shows the load distribution of the total 11 evaluators that we have used after 5 rounds (we exclude 5 evaluators that only worked for us only for the first round). Evaluators 1 to 4 are the core team of evaluators, while evaluators 5 to 9 started from the second round. Evaluator 10 left the team after the 3rd round. Evaluator 11 joined the team in round 5.

Distribution by evaluator

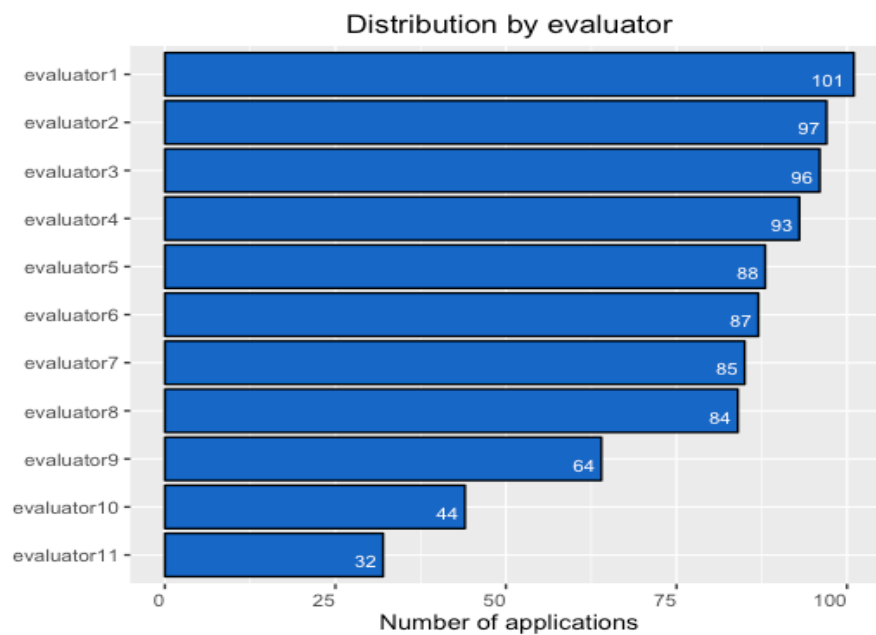| Evaluator	Number of applications
evaluator1	101
evaluator2	97
evaluator3	96
evaluator4	93
evaluator5	88
evaluator6	87
evaluator7	85
evaluator8	84
evaluator9	64
evaluator10	44
evaluator11	32

Figure 6. Number of applications reviewed per evaluator

Evaluators that participate in an interview are required to be available for one hour in total, taking in account the information of the proposal plus the pitch and the Q&A session, a verdict about the granting of not of the funding is reached and a joint interview feedback.

After each round, we met the evaluators, and asked them about what could be improved about the process, that together with ODINE's own insight translated into slight changes in the Guide for Applicants. From rounds 1 to 5 the changes were
- For the 3rd round, tentative interview dates were spanned across 5 days instead of 2, to better accommodate to the agenda of evaluators. Interviews would still happen across two days, but applicants would then be warned that they could be called up at any of those 5 days.
- For the 4th round:
  - Included as part of the template a budget template. Before, the budget was required, but applicants had the flexibility to use as much space as they considered requisite. We detected 3 points for improvement, 1) The different formats used introduced an overhead in the evaluator's task 2) In some cases, applicants misjudged the importance of the budget, providing a too detailed account and sacrificing details in other parts of the proposal 3) presented budgets were sometimes for a larger amount thant the 100k€ limit, this meant that, in case of selection, the negotiation phase would take longer. We included a small table for applicants to detail their budget directly in terms of eligible costs.
  - Include as part of the template a forecast template. To better evaluate the credibility of the impact of the proposal, we required applicants to include a brief forecast of their venture for the next 3 years in terms of revenues, headcount and gross profit.
  - At evaluators demand, we formally included the possibility to demand additional documentation if they deemed it necessary.
  - Evaluation being scheduled for january, we slightly restructured the dates to take into consideration the evaluator's winter holidays, managing to have only one day of delay with respect to the previous rounds.
  - Eligibility rules regarding format were updated:
    - Hyperlinks were forbidden, as in many cases were being used to include content that does not fit in four pages. We decided to allow only links to the webpage of the applicant SME.
    - Annexes were disallowed, extra information could only be provided if required by the evaluators.
- For the 5th round:
  - No changes to the template were allowed. This to avoid any issue regarding template manipulation to get more space.

3. Lessons learned and next steps.

1. Make the proposal template fixed, to ensure applicants focus on relevant aspects, and
2. Implement the template as a web form, instead of a pdf, reduces eligibility check time and has the potential to provide more data for calculating impact, or to be more useful for public policies research.
3. Keep the evaluators stable through all the call. Reduces the overhead of explaining the process several times.
4. Avoid "maybe"s and leave binary Yes/No in evaluation criteria. This forces evaluators (and ourselves too) to think in a final decision instead of using the "*maybe*" as a stopgap measure.

Further efforts will be focused on promoting the call in Eastern Europe, as this area is currently under-represented with respect to the amount of applications received from other areas. Regarding next steps, no additional changes in eligibility rules are anticipated, the process as a whole is expected to remain stable.

Annex 1: Guide for applicants

ODINE – Open Data Incubator for Europe

H2020 - 644683

Guide for applicants

Final date and time for submission:

[Insert date here]

(two months rolling application process)

Changelog

Version number	Date	Changes
1.0	01/05/2015	Initial version for first evaluation round
2.0	01/07/2015	● Date of second evaluation round ● Adding proposal template ● Info on new submission platform
3.0	01/09/2015	● Date of third evaluation round ● Fixing wrong project start and negotiation dates for 2017.
3.1	21/09/2015	● Extending tentative interview dates to 5 days instead of 2 (4 days for rounds 4 and 8)
3.2	16/10/2015	● Explicitly stating that only one proposal per evaluation round is accepted per SME. ● Clarifying multiple submission paragraph in annex 4
4.0	02/11/2015	● Setting date of fourth evaluation round.
4.1	11/11/2015	● Add budget and forecast guides to proposal template ● Listing eligibility rules ● Adding reimbursable costs.
4.2	18/12/2015	● Slight change in the notification, interview and final notification dates of 4th evaluation round. ● Evaluators can ask for documents of clarifications to be provided before the actual interview. ● Expanding annex 8 to include any document allowing ODINE to assess the financial health and sustainability of the SME.
5.0	05/01/2016	● Set date of 5th evaluation round. ● Modification of the template is now forbidden. Must be used as it is.
5.1	15/01/2016	● Add Ukraine as eligible country.
6.0	01/03/2016	Set date of 6th evaluation round
6.1	07/03/2016	● A Brief explanation of budget is now required

		- Added question "what is the problem you solve?" "How you solve it?" in Value Proposition section. - Question "What impact your vision will have?" replaced by "What impact your solution will have?" - The Gross Profit row of the forecast is dropped.

Table of contents

What is ODINE about?

This guideline is designed to help applicants through the application process for the **Open Data Incubator for Europe (ODINE)** call. We also provide additional information about the incubation programme offered by ODINE.

Open data is a relatively new field, yet it is already supporting a rapidly developing market for innovative business ideas. Startups and enterprises driven by open data are energising the open data landscape, using the data unlocked by data holders to gain market advantage and expand their business.

The Open Data Incubator for Europe (ODINE) offers an **incubation programme for open data businesses**. We are committed to:

- Run a transparent, fair, and efficient funding process
- Develop a network of European open data entrepreneurs
- Provide initial investment to successful ideas through the ODINE call
- Facilitate access to incubation and mentoring by startup academies run by ODI (the Open Data Institute), Fraunhofer, and Wayra, as well as coaching from business schools and entrepreneurs
- Offer expert advice on the use of a rich collection of data services and cloud-based computing infrastructure
- Amplify the impact of open data businesses through promotion of success stories by The Guardian, ODI, and OKFN
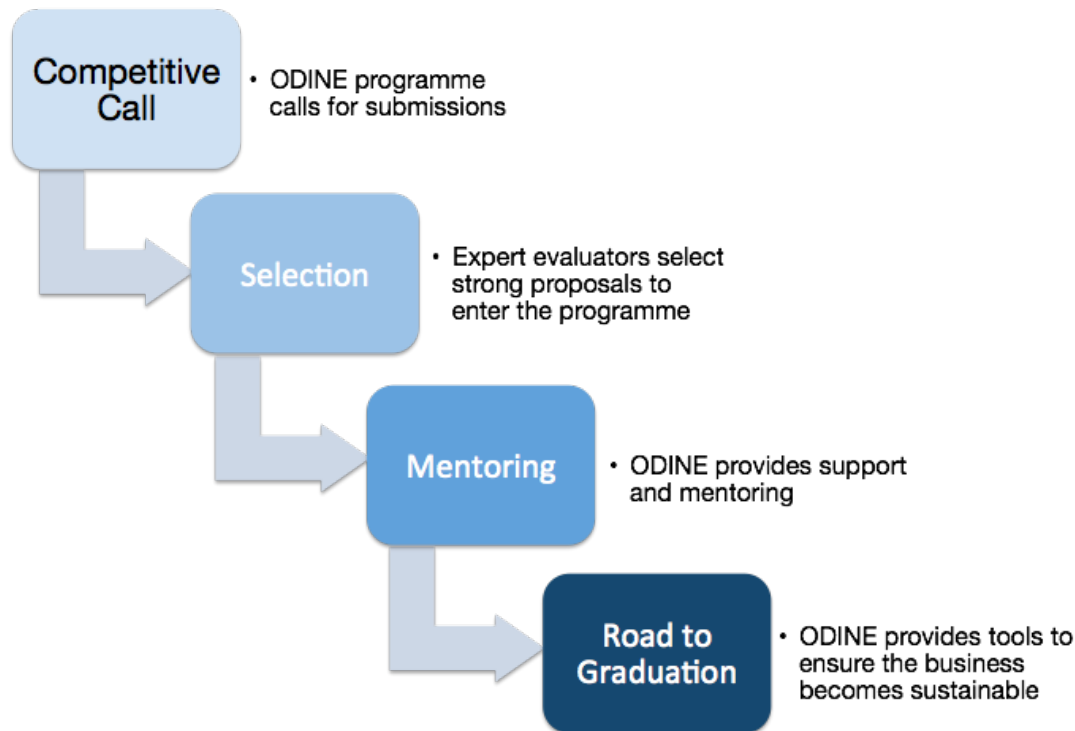
Why join ODINE?

Applicants who are successful in being accepted into the programme will receive an important boost to their idea, with support to develop a concept into a robust business.

If accepted for funding by the ODINE call an open data business will receive:

- Initial investment up to €100 000
- Coaching from business mentors and business schools
- Peer-networking and support via meetups in major European cities
- Business pitching opportunities at major open data events such as the ODI Summit
- Technology and data sets, as well as training materials and webinars by ODINE open data experts
- High-quality coverage in The Guardian datablog, at events such as OKCon, OKFest, ODI Summit, and European Data Forum, and via the Open Data Institute and OKF networks
- Brokering introductions to business angels and investors

Who is the funding for?

The ODINE incubation programme targets **Small and Medium Enterprises (SMEs) building a business around open data**.

For applications to be considered for evaluation in the ODINE call, they must comply with the eligibility criteria as follows:

- The applicant must be an SME (as defined by the European Commission)[4]
- The applicant must be legally established and working in the EU-28 countries or in the Horizon2020 associated countries – a full list can be found in Annex 1
- The applicant must be registered with the European Commission as an SME at the time of submission
- The applicant must make use of licensed open data in their proposal, specifying datasets they would use in their project. Open data is understood according to the definition by the Open Data Handbook as '*data that can be freely used, reused and redistributed by anyone - subject only, at most, to the requirement to attribute and sharealike*'
- The applicant must be working as an individual company - no consortiums will be permitted.

The ODINE call opened on 1 May 2015 and will remain open until 31 August 2016. Proposals will be evaluated at cut-off dates every two months starting from 1 July 2015 (see Annex 2). Companies may resubmit their idea to ODINE as long as the call is still open. However, no proposal will be allowed to receive double funding (see Annex 4 for more details).

What is the funding for?

The funding can be spent in accordance with the official Horizon 2020 guidelines.[5] In short, a Horizon 2020 budget distinguishes between four types of costs:

- Staff directly associated with the project
- Other direct costs such as equipment, consumables, travels etc., which are relevant for the execution of the project
- Subcontracting (e.g., for marketing, training or legal support)
- Indirect costs (also known as overhead) for items such as rent, admin staff, printing and photocopying, heating, electricity etc., calculated as a flat rate of 25% of the total direct costs

As a participant in the ODINE programme you may budget costs in all four categories as long as they are eligible (see Annex 3 for more details). All eligible costs will be fully reimbursed.

The work you plan to carry out in ODINE cannot receive double funding. Synergies with other sources of funding, including other Horizon 2020 projects, are encouraged as long as the grants are used for complementary, not overlapping purposes. Annex 4 gives more details on our policy concerning the open data accelerator Finodex.

Who keeps the intellectual property rights?

You will be the unique owner of the results of your project. ODINE may ask you to present your work as part of our PR and networking events in order to showcase the benefits of the the incubation programme. ODINE does not take an equity stake in your company either.

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[4] http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/index_en.htm; Commission Recommendation 2003/361/EC

[5] http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

How to apply

To apply for the ODINE call you are required to follow the following steps:

Step 1

Register with our submission platform at apply.opendataincubator.eu. Submission will take place online via the submission platform. No submission via email or post will be accepted.

Only one application per SME will be allowed per evaluation round. In case of multiple submissions, only the last uploaded submission will be considered. All other submission will be declared non-eligible and discarded without review.

Submission of the same proposal to a future evaluation round is allowed. However, after three unsuccessful attempts, we reserve the right of discarding the application without review.

Step 2

Complete the online form and attach the declaration of honour and your proposal (refer to Annex 5 and 6 for templates of these documents). All information you provide must be in English.

- **About the applicant:** basic information about the SME, including full legal name, address, company registration number or VAT number, as well as the confirmation of SME status granted by the European Commission.[6]
- **Declaration of honour:** signed/stamped by the legal representative of the SME, uploaded to the submission platform as PDF. See Annex 6 for the rules regarding the declaration and a template.
- **Short proposal:** explain the main idea of your proposal. There are three sections: (1) idea (2) impact and (3) team and budget. We provide a template that you are strongly recommended to follow, see Annex 5 for the rules regarding the short proposal. It has to be uploaded to the submission platform as PDF.

If the applicant discovers an error in the proposal before the cut-off deadline, he/she may revise the submission. Only the last version received prior to the cut-off date will be considered for evaluation.

How we select proposals

Proposals will be evaluated at cut-off dates every two months starting from 1 July 2015. Steps 1 to 3 will be completed within one month after a cut-off deadline and negotiations are expected to take two to four weeks.

Step 1

ODINE checks if eligibility criteria are met. Proposals considered non-eligible will not proceed to Step 2 of the evaluation. The current eligibility criteria are:

- The ones detailed in section Who is the Funding for?
- Declaration of honour is complete, and correctly dated and signed (cf. Annex 6)

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[6] http://ec.europa.eu/research/participants/portal/desktop/en/organisations/register.html

- General rules of the short proposal are respected (cf. Annex 5)

Step 2

Eligible proposals will be evaluated by at least two independent external reviewers who will consider the following criteria for the evaluation:

- Criterion 1: Idea
    - Strength or novelty of the idea
    - Usage or creation of open data
    - "Open by default"
- Criterion 2: Impact
    - Value proposition and potential scale
    - Market opportunity and timing
    - Triple bottom line impact (social, environmental, economic)
- Criterion 3: Team and budget
    - Knowledge and skills of the team
    - Capacity to realise the idea
    - Appropriateness of the budget to realize the idea

Details of the scoring criteria are in Annex 7. Each criterion is weighted equally and will receive an internal score from 0 to 3. The overall score will provide an internal ranking of applicants that will guide the decision of who is proceeding to step 3.

Step 3

Shortlisted companies will be invited to attend a 20-minute interview (via Google hangout) with a panel of two independent reviewers and at least one member of the ODINE consortium. Evaluators may ask for documents or clarifications to be provided before the interview.

Interviews for each round will take place on either of at least two predetermined days.

In the interview, the applicant will present her/his proposal in 5 minutes to the panel of reviewers. We recommend the following pitch deck template.[7] The rest of the time will be used for questions.

After the interview, the panel will decide whether to accept the applicant into the ODINE programme or reject it.

Each applicant will receive via email:

- An Evaluation Summary Report (ESR).
- A confirmation whether the proposal was accepted for funding or was rejected.

7

https://docs.google.com/presentation/d/1M2_bjdDGBnl1Ut9HTCao2v8XPT7gxlpIbDHD95N7pFk/edit#slide=id.ga0858a11b_0_22

Step 4

Before starting the programme, the applicant and ODINE agree on milestones and success criteria. The applicant must provide the documentation required to finalise its acceptance into the programme as listed in Annex 8.

Joining ODINE

Funds will be transferred in stages if the agreed milestones will be met. SMEs will be mentored by ODINE members and external advisers. They will be asked to support ODINE to increase public awareness and promote open data innovation at several conferences and networking events, both during the project and after graduation.

At the end of the project progress will be reviewed by a panel consisting of the SME's mentors.

Successful graduates will join the ODINE network and commit to peer-mentor newer applicants.

Annexes

Annex 1: Eligible countries

Only companies legally established, and working, in the case of the individuals, in any of the following countries will be eligible for the ODINE call:

- EU 28 countries: Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and United Kingdom.
- H2020 associated countries: Iceland, Norway, Albania, Bosnia and Herzegovina, the former Yugoslav Republic of Macedonia, Montenegro, Serbia, Turkey, Israel, Moldova, Switzerland, Faroe Islands, Ukraine.

Annex 2: Call schedule

The following figure gives an overview of the ODINE call, which consists of one standing-call for 16 months and eight rounds of evaluations. The call will be opened from 1 May 2015 and ends on 31 August 2016. During this period of time, applicants can submit their proposals at any time. The evaluation process will start every two months and will last for one month, followed by a one-month negotiation and project setup. Each selected project will have maximum of 6 months to further develop their ideas and build a sustainable business. All the projects are planned to finish before 30 April 2017.

The following table gives an overview of the overall schedule.

Round	Deadline for submissions	Invitation to the interview	Interview	Final results notification	Negotiation	Project
1	30.06.2015	13.07.2015 - 14.07.2015	20.07.2015 - 21.07.2015	31.07.2015	01.08.2015 - 31.08.2015	01.09.2015 - 29.02.2016
2	31.08.2015	14.09.2015 - 15.09.2015	21.09.2015 - 22.09.2015	30.09.2015	01.10.2015 - 31.10.2015	01.11.2015 - 30.04.2016
3	31.10.2015	16.11.2015 - 17.11.2015	23.11.2015 - 27.11.2015	30.11.2015	01.12.2015 - 31.12.2015	01.01.2015 - 30.06.2016
4	31.12.2015	22.01.2016	27.01.2016 - 29.01.2016	02.02.2016	02.02.2016 - 29.02.2016	01.03.2016 - 31.08.2016
5	29.02.2016	14.03.2016 - 15.03.2016	21.03.2016 - 25.03.2016	31.03.2016	01.04.2016 - 30.04.2016	02.05.2016 - 31.10.2016
6	30.04.2016	16.05.2016 - 17.05.2016	23.05.2016 - 27.05.2016	30.05.2016	01.06.2016 - 30.06.2016	01.07.2016 - 31.12.2016
7	30.06.2016	18.07.2016 -	25.07.2016 -	31.07.2016	01.08.2016 -	01.09.2016 -

		19.07.2016	29.07.2016		31.08.2016	29.02.2017
8	31.08.2016	19.09.2016 - 20.09.2016	26.09.2016 - 29.09.2016	30.09.2016	01.10.2016 - 31.10.2016	01.11.2016 - 30.04.2017

Annex 3: Eligible costs

Eligible means that the costs must be:

- incurred by your company in connection with your project
- incurred by your company during the project
- identifiable and verifiable in your accounts
- compliant with national law
- reasonable, justified, in accordance with sound financial management (economy & efficiency)
- indicated in the budget you submit with your application (see Step 2 in the application section)

Please consult the Horizon 2020 annotated grant agreement at
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf.

Cost categories and reimbursement guidelines

The budget mentioned in the contract the SME signs with ODINE includes different cost categories, which are explained in the following. There is a general distinction between direct costs, subcontracting, and indirect costs (also known as overhead). The overhead is calculated as 25% of the direct costs; no overhead can be charged on subcontracting.

All costs, except for purchased equipment, will be reimbursed to 100%, including the overhead charged on top of the total direct costs.

Direct costs: Personnel
SMEs can spend ODINE funds on staff who are directly involved in the execution of the project.

Direct costs: Travel
SMEs can spend ODINE funds to attend meetings and events relevant to their project. They include: transportation, accommodation, food, etc.

Direct costs: Equipment
SMEs can spend ODINE funds on purchasing equipment. According to Horizon 2020 depreciation rules, only 15% of these costs can be charged to ODINE, plus a 25% overhead. The rationale behind is that we can only reimburse the depreciation sustained by the equipment during the 6 months incubation period.

Renting equipment can be fully charged to ODINE, as long as the renting cost is not greater than the depreciation cost incurred if the equipment was purchased.

Direct costs: Consumables, Other goods and services, VAT

SMEs can spend in consumables and other good and services (including VAT), as long as they are for the achievement of the project. These costs are fully reimbursed.

Subcontracting

SMEs can subcontract some of their activities to other parties. No overhead can be charged on subcontracting costs. Note that we expect you to carry out the majority of the tasks of the project, your budget can be subject to amendment at negotiation phase.

Annex 4: ODINE and Finodex

Finodex is a FiWare accelerator that funds projects by SMEs and Web Entrepreneurs to build business around FiWare technology and reusing open data.[8] Finodex is running a competitive call programme that has some time overlap with the ODINE Open Call. In order to avoid the possibility that one project is funded by both ODINE and Finodex, the basic information about a proposal (summary and participants) will be shared with Finodex. These general rules will apply:

- Proposals cannot receive funding from both the ODINE programme and Finodex. Once funding has been granted by either ODINE or Finodex for a proposal, it cannot receive funding from the other programme.
- Any proposer can submit several proposals to ODINE and Finodex. However, in ODINE, only one proposal will be funded for each applicant.
- Duplicated submissions in ODINE will be treated as one proposal.
- Resubmission of a rejected proposal from Finodex to ODINE is permitted as long as the applicant subsequently follows the ODINE application process.

As a general rule, only one proposal per SME will be selected for funding at the same time. New proposals from an applicant can be submitted only after completion of the project funded by either ODINE or FINODEX.

Annex 5: Rules on Proposal and template

We ask applicants to use the template below. Here you can find it as a separate document. It contains all the questions that you need to answer, inline with the evaluation criteria (Annex 7). The following rules must be respected:

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[8] http://finodex-project.eu/

1. The template **cannot** be changed. The cell structure must be kept as it is.

2. The proposal must have a **maximum length of 4 pages.**

3. **All** questions **must** be answered.

4. Font size of **at least** 11pt for text and at least 9pt for tables and charts

5. Annexes are **not** allowed

6. Hyperlinks to external documents that answer a question are **not** allowed. Hyperlinks to your website, competitor's' websites or previous work you have carried out, are allowed.

7. Budget **must be for the 6 months incubation period** and for an amount **less or equal to 100.000€**

8. Visual elements like charts, tables and screenshots are allowed, however, they must comply with the font size restriction (use your common sense).

Proposals not respecting any of the above rules might be declared non-eligible and discarded without further evaluation.

Proposal title

1. Idea

1.1 Strength and novelty of the idea

*Describe the core idea of your application in **one sentence**.*	
How are you different from your competitors? *Why are you using and/or producing open data?*	

1.2 Dataset description and use

What data sets (open and proprietary) will you use and how? *Give an example of how open*	

data will be used.	
What risks/challenges in using open data in the context of your product/service you envision?	

1.3 Open by default

Give an example of how you are contributing to the open data ecosystem.	
Do you rely on personal data and, if so, how do you deal with it?	

2. Impact

2.1 Value proposition and potential scale

What is the problem you solve? How do you solve it?	
How will you make money? What is your monetisation strategy?	
What is the market segment and size you are addressing?	

2.2 Market opportunity and timing

Why is now a good time? Give an example.	
How many users or customers do you already have?	

2.3 What impact will your project have

What impact will your solution	

have?	
Give a concrete example (where appropriate) of the economic, environmental and/or social impact of your idea.	

3. Team and budget

3.1 Knowledge and skills of the team

List the core members of your team *What are their skills?*	
How many members are working full time on the project?	
How many members are working part time on the project?	
Why should we back your team?	

3.2 Capacity to realise the idea

How much short-term funding do you need?	
What is your current monthly cash burn rate?	
What is your time-to-market?	
Indicate other sources of funding and how likely you are to secure them.	

Revenue Forecasts	Year 0	Year 1	Year 2	Year 3
Revenues (€)				

Headcount (#)				

Year 0 = Last Year

Please provide a brief justification (1 paragraph) for your revenue forecast (e.g. customers, pricing, and market size).

3.4 Budget for the incubation period (6 months)

Give a breakdown of how you will use ODINE's funding for personnel, subcontracting, travel, equipment, and other goods and services. Respect the following rules. Your application might be declared non-eligible if you fail to do so:

1. *Describe costs only for ODINE's incubation period: 6 months and for a maximum of €100 000.*
2. *Remember that a flat overhead rate of 25% is applied to costs (except subcontracting)*
3. *Remember that due to European regulation, only 15% of purchased equipment can be reimbursed. Consult the Guide for Applicants for more details on eligible and reimbursed costs.*
4. *You may remove this instruction notice.*

	Cost over 6 months	Overhead (25%)	Total in Euro
Personnel			
Travel			
Equipment			
Other goods and services			
Subcontracting		n/a	
		Grand total in Euro	

Please provide a brief explanation of in what you are going to spend the funds (e.g. CEO Salary, subcontract legal advice, travel to XYZ conference, etc). This can be provided inside the cells or as a separate paragraph. You may delete this notice.

Annex 6: Declaration of honor template

(Available as separated GoogleDoc here)

Guidelines:

1. *The signatory must be the legal representative of the SME.*
2. *The signature can't be typed. Digital signature (e.g. using pdf readers features) is allowed.*
3. *The date must be between 01/05/15 and the deadline of the evaluation round you are applying for.*
4. *Delete this notice before uploading the declaration to the application platform.*

1. I declare that I am 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 organisations

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;

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 organisation 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 legal entity are not in the situations referred to in b) and e) above;

3. I declare that I

a)   am not subject to a conflict of interest;

b)   have not made false declarations in supplying the information required by the as a condition of participation in the ODINE call or does not fail to supply this information;

c)   is not in one of the situations of exclusion, referred to in the abovementioned points a) to f).

4. I certify that I:

a)   am committed to participate in the abovementioned project;

b)   have 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;

c)   have or will have the necessary resources as and when needed to carry out its involvement in the above mentioned project.

5. I declare that, to the best of my knowledge and belief, I am eligible to apply for ODINE call and all the information I provided in the form is true

Name	
Signature	
Date	

Annex 7: Detailed scoring criteria

Idea	Strength or novelty of the idea	Can articulate the core idea in a short phrase or sentence
		Demonstrate a clear differentiation with competitors
		Set open data at the heart of the business proposition; does not feel like a 'bolt-on'
	Use or provision of open data	Explain an open dataset in use or generated by the product
		Highlight risks and challenges of the open data use or provision in the context of their product/service
	"Open by default"	Demonstrate 'open by default', eg by seeking feedback on released data, or engaging with suppliers to help improve existing data
		Address personal data and explain how potential issues are managed
Impact	Value proposition and potential scale	Explain business model in clear and concise terms eg distinguish between commercial and open value proposition
		Revenue stream is easily scalable eg not relying on team size
	Market opportunity	Detail a use case / user story / experience journey

	and timing	Describe and quantify the potential size of the market/prize
	Triple bottom line impact	Demonstrate economic impact such as save cost or improve decision-making etc
		Demonstrate social impact such as empowering less privileged groups of society or promoting culture etc
		Demonstrate environmental impact such as reducing carbon emissions or encouraging reuse etc
Team and budget	Knowledge and skills of the team	List a team with at least one technical and one non-technical member
		Demonstrate a track record in business skills e.g., a previous startup, a team member with sales experience etc
	Capacity to realise the idea	Quantify current status of the business, e.g., number of users, number of customers, revenue figures etc
		Give an outline of the financial plan for the next 3 years
		Indicate other pursued sources of funding and a likelihood of success
	Appropriateness of the budget to realise the idea	Show that salaries and other cost are in line with local market rates

Annex 8: Documents needed to join ODINE

- **Sub-grantee agreement**, a contract which will be signed by the ODINE consortium (represented by the University of Southampton) and the SME.
- **Proof of legal existence**, such as the company register or official journal, providing the trading name, legal address, registration number of the organisation, and, if applicable, VAT registration. In cases where either the number of employees or the ownership is unclear, any other supporting documents such as payroll, annual reports, association records etc.

- **Bank account form**, which will provide information on the account to which the funds will be transferred, signed by the legal representative of the SME and the financial institution. ODINE reserves the right to audit this documentation at any point during the programme.
- Any other document that allows ODINE to assess the financial health of the SME and its sustainability during and after the incubation period.

Annex 2: Sub grantee agreement

ODINE Contract

Table of contents

1. Contracting parties

Of the one part,

University of Southampton, a non-profit organization established in University Road, Southampton, UK, SO17 1BJ, with VAT No. GB 568 6304 14000, duly represented by Emma Mills – EU Accountant, hereinafter referred to as the "**ODINE Co-ordinator**"

Of the other part,

(insert company name), an SME established in **(insert relevant address)** hereinafter referred to as the "**Company**"

Hereinafter collectively referred as the "**Contracting Parties" or "Contracting Party**",

Have agreed to the following terms and conditions, including those in Annexes 1-7, which form an integral part of the agreement (hereinafter referred to as the "**Contract**").

2. General provisions

The European Commission (hereinafter referred as the "**EC**") and the ODINE Co-ordinator and the ODINE Consortium have signed Grant Agreement no 644683 for the implementation of the

Open Data Incubator for Europe (ODINE) as part of the H2020 Framework Programme for Research and Development.

ODINE has, as one of its major objectives the distribution of EC Horizon 2020 funding to SMEs for the purposes of incubating open data business in Europe by means of open calls as described in Annex 2.   The Project has been positively evaluated and is therefore entitled to receive funding and services according to the terms and conditions set out under this Contract and in accordance with Annexes 2 and 3. The funds received by the Company are owned by the EC. The ODINE Co-ordinator has been tasked by the EC to manage these funds as described in the Grant Agreement no 644683.

This Contract defines the framework of rights and obligations of the Contracting Parties under the project (**insert project name here)**, hereinafter referred to as the "**Project**", described in Annex 1.

3. Entry into force of the contract and termination

This Contract shall enter into force on the day of its signature by the last Contracting Party. The termination of the Contract will be subject to the terms and conditions set out in 5, below.

4. Performance obligations and responsibilities of the Company

The Company will comply with the obligations as set out in this Contract and Annexes 2 and 3, in particular:

4.1 The Company will use the allocated funding for the sole purpose of carrying out the Project

4.2 The Company shall immediately inform the ODINE Co-ordinator of any changes in status or circumstances that may lead to a delay in or inability to perform its obligations under the Contract

4.3 The Company shall not assign its rights, duties or obligations under this Contract to any person or entity, in whole or in part and any attempt to do so shall be deemed a breach of this Contract

4.4 The Company shall take every necessary precaution to avoid any risk of conflict of interest relating to economic interests, political or national affinities, family or emotional ties or any other interests liable to influence the impartial and objective performance of the Project.

5. Breach of contractual obligations

- In the event the ODINE Co-ordinator identifies that the Company has:Breached its obligations under the Contract; or
- changed the nature of its business and therefore is not able or willing to continue the Project; or
- Is declared bankrupt, being wound up, having its affairs administered by the courts, has entered   into an arrangement with creditors, has suspended business activities, or is subject to any other similar proceedings or procedures

The ODINE Co-ordinator will give written notice requiring that, where possible, such a breach is to be remedied within 30 days. In case the Company has not remedied the breach within the notice period, or a remedy is not possible, the ODINE Co-ordinator may decide to terminate the contract unilaterally and to take measures to secure from the Company the repayment of the payments already received.

6. Funding and financial provisions

6.1 Maximum financial contribution

The financial contribution shall be specified in the project description included in **Annex 1.**

The maximum financial contribution to be granted to the Company must not exceed the one hundred thousand euros (€ 100,000).

6.2 Distribution of the financial contribution

The financial contribution to be granted to the Company shall be calculated and distributed in accordance with the provisions specified in Annexes 1 and 2.

Payments to the Company will be made by the ODINE Co-ordinator. The ODINE Co-ordinator will give prior written notice to the Company of the estimated date and the amount to be transferred into the Company's bank account (according to the information in **Annex 3**), giving the relevant references.

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

- The achievement of the milestones and deliverables specified in Annex 1 and reported in accordance with Annex 3.
- The ODINE Co-ordinator reserves the right to withhold the payments if the Company does not comply with the obligations and responsibilities specified in this Contract and in Annexes 2 and 3.
- Payments will be transferred in stages.
    - For the first stage, the payments will be released no later than fifteen (15) calendar days after the contract has been agreed and signed by the Company

- and by the ODINE Co-ordinator. This first installment will amount to 30% of the total grant.
  - ○ Additional 30% of the total grant will be released no later than fifteen (15) calendar days upon the successful completion of the M4 milestone of the project, as specified in Annex 1.
  - ○ A third and final payment of 40% of the total grant will be transferred within fifteen (15) calendar days upon the achievement of the M6 milestone of the project, according to Annex 1, and the receipt of the final project reports (according to Annex 3), signed off by the ODINE Co-ordinator.
- Banking and transaction costs relating to the bank transfers shall be covered by the Company.

7. Liability of the Company

The EC, the ODINE Co-ordinator and the other members of the ODINE Consortium cannot be held liable for any acts or omissions of the Company in relation to this Contract nor for any damage caused by the Company as a consequence of implementing this Contract including any acts of gross negligence.

The Company shall bear sole responsibility for ensuring that their acts within the framework of this Contract do not infringe third parties rights.

The EC, the ODINE Co-ordinator, and the other members of the ODINE consortium cannot be held liable for any damage caused to the Company as a consequence of implementing the Project including consequential losses.

8. Confidentiality

8.1 Principles

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.

8.2 Confidentiality obligations

The Contracting Parties agree that the information defined in 8.1 is communicated on a confidential basis and its disclosure may be prejudicial to the owner of the information, and undertake that:

1. they will not, during the Project and for a period of five (5) years from the expiration date of the Project, use any such information for any purpose other than in accordance with the Contract and the terms specified in Annexes 2 and 3.
2. they will, during the Project and for a period of five (5) years from the expiration date of the Project, treat the information as confidential, provided always that such agreement and undertaking shall not extend to any information which the receiving Party can show:
   a. was, at the time of disclosure to the Company, published or otherwise generally available to the public, or
   b. has, after disclosure to either of the Contracting Parties, been published and become generally available to the public otherwise than through any act omission on the part of the receiving Party, or
   c. was already in the possession of the Contracting Parties, without any restrictions on disclosure, at the time of disclosure to the receiving Party, or
   d. was rightfully acquired from others without any undertaking of confidentiality; or
   e. is subsequently independently developed by the Contracting Parties without use of the information provided by the disclosing party.
   f. was required to disclose the confidential information in order to comply with applicable laws or regulations or with a Court or administrative order

In case of breach of the confidential rules hereinabove set, the Contracting Party breaching the confidentiality will remain solely liable for possible claims.

9. Intellectual property rights

Results developed during the Project shall be owned by the Company.

10. 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 Contract, 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.

None of the Contracting Parties 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 Company is not able to overcome

the consequences of force majeure within thirty calendar (30) days after such notification, the ODINE Co-ordinator is entitled to terminate the Contract unilaterally.

11. Information and communication

11.1 Information and communication with the EC and the ODINE Consortium

The Company shall, throughout the duration of the Project, take appropriate measures to engage with the public and the media about the Project and to highlight the financial support of the EC and the ODINE Consortium.

Any publicity made by the Company in relation with 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 and the ODINE Consortium are not liable for any use that may be made of the information which it contains.

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

- the name of the Company
- contact address of the Company
- the general purpose of the Project
- the amount of the financial contribution of ODINE foreseen for the Project; .
- the geographic location of the activities carried out;
- the list of dissemination activities and/or of patent (applications) relating to foreground;
- the publishable reports submitted to it, in accordance to Annexes 1 and 3.
- any picture or any audiovisual or Web material provided to ODINE during the Project. The Company shall ensure that all necessary authorisations for such publication have been obtained and that the publication of the information by the EC and ODINE does not infringe any rights of third parties.

The Company must participate in dissemination and networking events organized by the EC or ODINE, as specified in Annexes 1 and 3.

11.2 Information and communication among the Contracting Parties

Any notice to be given under this Contract shall be in writing to the legal authorities of Contracting Parties .
Any change of persons or contact details shall be notified immediately to the ODINE Co-ordinator as specified in Annex 3.

12. Financial audits and controls

12.1 Third Party Audit

The Commission may - at any moment and up to two years after the payment of the final balance to the coordinator, carry out an audit. Audits normally concern mainly the financial implementation of the action by a beneficiary, but may also cover technical aspects or compliance with other obligations under the Grant Agreement. They consist of an in-depth examination by professional auditors of the implementation of the action by the beneficiary. They may also extend to third parties involved in the action and third parties receiving financial support. If an audit is carried out on a third party, the beneficiary concerned must inform the third party.

12.2 Company Obligations

The Company shall make available directly to the EC or their representatives all information that is required to verify that the Project is/was properly managed and performed in accordance with the present Contract and its Annexes. The Company shall keep originals or, in exceptional cases, duly authenticated copies – including electronic copies   of all documents relating to the Contract for up to two (2) years from the date of the final payment to the coordinator. These shall be made available to the EC where requested during any audit.

The Company 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 Company's offices, to its computer data, to its accounting data, and to all the information needed to carry out an audit, including information on individual salaries of staff involved in the Project.

The European Court of Auditors shall have the same rights as the Commission, 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.

12.3 Audit Findings

If the audit shows ineligible costs, improper implementation of the action or the violation of 'other obligations' under the GA, it may lead to suspension, termination, rejection of costs, reduction of the grant and, if necessary, recovery (of funds).

If the Commission suspects that the Company committed fraud or other illegal acts, it will inform OLAF

13. Language

This Contract is drawn up in English language, which shall govern all documents, notices, meetings and related processes.

14. Amendments

Amendments or changes to this Contract shall be in writing and signed by the duly authorized representative of the Contracting Parties.
Nevertheless, in the event the EC modifies the conditions of its grant to the ODINE Co-ordinator, the ODINE Co-ordinator has the right to amend the Contract accordingly.

15. Applicable law

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

16. Settlement of disputes

The Contracting Parties shall endeavour to settle their disputes amicably.

Any dispute, controversy or claim arising under, out of or relating to this Contract and any subsequent amendments of this Contract, including, without limitation, its formation, validity, binding effect, interpretation, performance, breach or termination, as well as non-contractual claims, shall be submitted to mediation in accordance with the WIPO Mediation Rules. The place of mediation shall be Brussels unless otherwise agreed upon. The language to be used in the mediation shall be English unless otherwise agreed upon.

If, and to the extent that, any such dispute, controversy or claim has not been settled pursuant to the mediation within 60 calendar days of the commencement of the mediation, it shall, upon the filing of a Request for Arbitration by either Contracting Party, be referred to and finally determined by arbitration in accordance with the WIPO Expedited Arbitration Rules. Alternatively, if, before the expiration of the said period of 60 calendar days, either Contracting Party fails to participate or to continue to participate in the mediation, the dispute, controversy or claim shall, upon the filing of a Request for Arbitration by the other Contracting Party, be referred to and finally determined by arbitration in accordance with the WIPO Expedited Arbitration Rules. The place of arbitration shall be Brussels unless otherwise agreed upon. The language to be used in the arbitral proceedings shall be English unless otherwise agreed upon.

AS WITNESS:

The Contracting Parties have caused this Contract to be duly signed by the undersigned authorized representatives in three (3) copies the day and year first above written:

For **(insert company name & Director's name/surname)**	For the University of Southampton (the ODINE Co-ordinator)
Director Signature:	Mrs Emma Mills EU Account Signature:
Signed at _____ on DD/MM/201Y	Signed at _____ on

Annex 1 Project description

This is based on the original submission, which might have been altered during negotiations. In addition to the original submission, the project description also includes a list of deliverables and milestones, the budget allocated to them, and the list of dissemination and networking events the Company commits to attend.

Annex 2 Guide for applicants

See https://docs.google.com/document/d/1xa2Ez5KZfaCvCFEpIgcElHRww4up9DGYNk18Z0Mi1RQ/edit?usp=sharing

Annex 3: SME obligations

- Populate and maintain a contact sheet with key contact details of staff;
- Provide bio and photo for each key member of your team to the ODINE communication team, this will be placed on the ODINE website;
- Pair and collaborate with another startup or SME within the programme, where appropriate;
- Pair and collaborate with one of the graduated startups or SMEs, where possible;

- Update any team changes and comms data to ODINE as soon as reasonably practicable and in any event, no later than seven days following the relevant change.
- Provide biweekly (every two weeks) financial updates using a form provided by ODINE including, but not limited to the value of new business secured, grants secured, revenue recognised and the current cash position.
- Provide biweekly (every two weeks) updates of the work funded by ODINE, using a form provided by ODINE, including, but not limited to the progress towards the achievement of milestones and deliverables, and events attended.
- Write a blog post after each successful milestone, which will be published on ODINE's website
- Work to promote ODINE and its mission
- Use the ODINE brand appropriately in its communications
- Do nothing that may have an adverse effect on the reputation of ODINE
- Produce and/or consume open data and use ODINE services where possible

Annex 4: Bank account information form

This is the bank information document provided and signed and stamped by the representative of the Company. The template can be found at:

http://ec.europa.eu/budget/library/contracts_grants/info_contracts/financial_id/fich_sign_ba_gb_en.pdf
Please use CAPITAL LETTERS and LATIN CHARACTERS when filling in the form.

Annex 5: Administrative data form

This is the administrative data submitted by the Company with the original application.

Annex 6: Declaration of honour

This is the document uploaded by the SME with the original submission

Annex 7: SME validation information

The following should be provided to the co-ordinator to validate to SME status of the applicant.

You can submit original documents in all the official EU languages. However, you must also submit a certified/official/legal translation into English made by an accredited body or translator. ODINE will not be able to validate your SME status unless you provide these translations.

- Completed Legal Entity Identification form. The form can be found at: http://ec.europa.eu/budget/library/contracts_grants/info_contracts/legal_entities/legEnt_privComp_en.pdf
- SMEs self-check document and associated PIC (participation Identification Code) number produced by EU Participant Portal.
- Company Registration Number & Registration Documents
- Signed and stamped copy of Director's passport
- Official VAT document or – if you are not registered for VAT – proof of VAT exemption not older than 6 months.
- Balance Sheet

- Profit and Loss accounts

- Staff Head Count Expressed as Full Time Equivalents

- For newly established enterprises (e.g. start-up company) that have not yet closed accounts: a self-declaration, including a bona fide estimate (in the form of a business plan) for the on-going financial year

- For enterprises without turnover whose activity implies a long time-to market: a declaration of the investment made and the likely expected return (to demonstrate that, despite the lack of turnover, your enterprise is engaged in an economic activity). Sworn or solemn statements before a judicial or administrative authority, notary or public officer are **not** acceptable proof of your SME status.

Annex 3: Workplan

Project title

1. Milestones

Milestone 1 (due at the end of month 2) YYYY-MM-DD
Description of milestone *Please give a short description of the major work in this milestone. Avoid long paragraphs of texts and structure your outline.*
Key performance indicators (KPIs) *Please list the KPIs you want to achieve in this milestone. KPIs have a quantitative element.* *For example,* - *cold calls to 50 potential customers* - *product feedback from 250 users* *At least in **milestone 2 and 3** you have to include three KPIs on your expected* ● *revenue,* ● *number of users/customers, and* ● *sales pipeline.*
Deliverables *Please list the deliverables for this milestone* *For example* - *evaluate our acquisition channels (one page document)* - *working prototype that can be used in a demo*

Milestone 2 (due at the end of month 4) YYYY-MM-DD
Description of milestone *Please give a short description of the major work in this milestone*

Key performance indicators (KPIs)
Please list the KPIs you want to achieve in this milestone

Deliverables
Please list the deliverables for this milestone

Milestone 3 (due at the end of month 6) YYYY-MM-DD

Description of milestone
Please give a short description of the major work in this milestone

Key performance indicators (KPIs)
Please list the KPIs you want to achieve in this milestone

Deliverables
Please list the deliverables for this milestone

2. Contribution to the open data community

Dissemination
*Please give a short description of **how** you are telling your story. Are you planning to write articles, social media, speak at conferences, etc?*

Networking events
Please list the the events you are attending

For example,
- *2 people at the ODI summit, 2-3 Nov*
- *Final review meeting*

Capacity building

Please list your ambition of learning or teaching in the open data community

As part of ODINE we distinguish three ways of providing training for the open data community.

1. *Training offered by the consortium and third parties at cost*
2. *Free online courses for self-learning*
3. *Free public webinars for a variety of topics*

Amplifying your impact
Please tell us your vision of how you contribute to the open data community after the 6 months

Mentorship
Please list the areas of expertise you would like mentorship on and how you expect a mentor to help you reach your milestones

For example,
- *sales expert, helping us improve our pitch to local governments*

3. Budget breakdown

Please use a copy of the following [budget template](). Include it as a table in this section.

Kindly note the [funding guidelines]().

4. Progress report

Milestones agreed

Date	*YYYY-MM-DD*
SME	*(electronic signature)*
ODINE	*(electronic signature)*

Milestones achieved

	Date	**Signed**

Milestone 1		
Milestone 2		
Milestone 3		