



Questions & Answers

*Call for proposals 2018
H2020-S2RJU-2018*

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Acronyms	Abbreviation
Shift2Rail Joint Undertaking	S2R JU
Linked Third Party	LTP

Call for S2R JU members	CFM
Open Call	OC
H2020 Annotated Model Grant Agreement http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf	AGA
S2R JU Model Grant Agreement http://ec.europa.eu/research/participants/data/ref/h2020/other/mga/jtis/h2020-mga-multi-shift2rail-ju_en.pdf	MGA
Grant Agreement Preparation	GAP
Consortium Agreement	CA
S2R JU Amended Annual Work Plan and Budget for 2018 https://shift2rail.org/wp-content/uploads/2018/01/Ares-182422-Annex-1-S2R-1.pdf	S2R AWP 2018
Regulation (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 – the Framework Programme for Research and Innovation (2014-2020)" and repealing Regulation (EC) No 1906/2006 (OJ L 347, 20.12.2013, p.81) http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2013.347.01.0104.01.ENG	H2020 Rules of participation
Regulation (EU) No 1291/2013 of the European Parliament and of the Council of 11 December establishing Horizon 2020 – the Framework Programme for Research and Innovation (2014-2020) and repealing Decision No 1982/2006/EC (OJ L 347, 20.12.2013, p.104) http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2013.347.01.0104.01.ENG	H2020 framework Regulation
Council Regulation (EU) No 642/2014 of 16 June 2014 establishing the Shift2Rail Joint Undertaking (OJ L 177, 17.6.2014, p. 9) http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2014.177.01.0009.01.ENG	S2R Regulation

Questions & Answers		
Q	Topic	S2R Answer
1	<p>When I accessed the latest S2R call, I noted that the specific challenge for the topic below is contained in the annual work plan for JU members. Does this mean only JU members are eligible to apply?</p> <p>Research into optimized and future railway infrastructure Topic identifier: S2R-CFM-IP3-01-2018 Publication date: 11 January 2018</p> <hr/> <p>Types of action: Shift2Rail-IA-LS Innovation Action Lump-Sum Deadline Model: Opening date: single-stage 16 January 2018</p>	<p>According to the eligibility criteria listed in the Shift2Rail Annual Work Plan 2018 (section 2.3.4 Standard eligibility conditions), only JU members (founding and associated) and their affiliates can be beneficiaries in the topic that are labelled as "CFM" (Calls for members) in the S2R call 2018. In the case of Members in the form of consortia or groupings of legal entities, the individual constituent entities of these consortia or groupings, and the affiliated entities of these individual constituent entities, are eligible to participate in the restricted call topics for JU Members. Therefore, a non-JU member cannot participate directly or as part of the consortium submitting a proposal to the call which requires JU's membership as eligibility criteria. Nevertheless, a non-JU member has the possibility to participate in call for members, if linked with a participating member as:</p> <ul style="list-style-type: none"> - Third party with a legal link with the beneficiary, - Subcontractor. <p>In both cases, the provisions of H2020 Rules of Participations on subcontracting and on linked third parties should be complied with. You can find the list of the S2R JU Members here: https://shift2rail.org/about-shift2rail/ju-members/</p>
2	<p>I received a message from a member where he stated that Shift2Rail's associate members are not allowed to take part in consortiums for the upcoming call. However, I remember it was mentioned in a previous conversation that if a member were to participate in IP4, they would be entitled to receive funding.</p> <p>How can both statements be reconciled?</p> <p>Is a company actually limited to building a consortium dedicated to 'Passenger Experience' with non-associate members only?</p> <p>If a member could be convinced to take part in IP4, through which channel would they get funding?</p>	<p>In the topics labelled as "OC" (Open Call) in the S2R call for proposal 2018, the participation of non-S2R JU member is limited to build a consortium only with other non-S2R JU members and under the other special eligibility conditions per topic. According to the eligibility criteria listed in the Shift2Rail Annual Work Plan 2018 (section 2.3.4 Standard eligibility conditions), topics labelled OC are open only to entities that are not :</p> <ol style="list-style-type: none"> 1) Members of the S2R JU (founding or associated), 2) nor constituent entities of Members in the form of consortia or groupings, 3) nor affiliated entities either to the S2R JU Members or to the constituent entities of Members in the form of consortia or groupings. <p>Please consider that if a Member of the JU happen to be a beneficiary of the consortium replying to a topic labelled "OC", the full consortium will be considered not eligible and therefore excluded from the next steps of the evaluation.</p> <p>Subject to the conditions of Article 13 and Article 18 of the Grant Agreement, there are no elements which would question the selection of a S2R Member/its affiliated entities and/or linked third as a subcontractor by a beneficiary of an Open Call grant.</p> <p>Please note that the selection of consultant, organisation, institutes, entities, etc. that will perform action tasks as subcontractors - as per Art. 13 of the Grant Agreement - shall be selected respecting the best value</p>

		<p>for money principle. All relevant documents regarding the recruitment/selection process should be kept in order to demonstrate that this principle has been ensured (see Art. 18 GA).</p> <p>For more information about the selection of subcontractor, please refer to the H2020</p> <p>Annotated Grant Agreement pp 137-140 : http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf</p> <p>Additionally different opportunities are open to non-S2R JU members to participate in research and innovation activities realised by the JU Members (topics labelled as CFM), e.g.:</p> <ul style="list-style-type: none"> - be a third party with a legal link with the beneficiary, - be a subcontractor. <p>In both cases, the provisions of H2020 Rules of Participations on subcontracting and on linked third parties should be complied with.</p> <p>Finally please note that S2R JU member can participate in CFM topics (and get funding) which linked to the same Innovation Programme where OC topics are launched. Often those topics are marked in the call text as "complementary; this imply a collaboration between S2R JU Members and non-JU Members during the two or more parallel projects execution.</p>
3	<p>Would it be possible (and would make sense) for a JU-member to apply for a call for tender? In particular, the one related to "Study on railway bridge dynamics" of the AWP 2018.</p>	<p>The answer is yes. Under the amended S2R 2018 Work Plan participation in Open Call for tenders (relevant within the IP2 and IP3 scopes and within the framework of the S2R JU MAAP) is also open to any Shift2Rail JU Founding or Associated member, including the constituent entities of members in the form of consortia or groupings, or affiliated entities either to the Shift2Rail JU members or to the constituent entities of members in the form of consortia or groupings. Nevertheless, in accordance with the Shift2Rail JU's statutes (article 17- Allocation of the Union contribution) if a Shift2Rail JU Founding or Associated member is awarded with the contract, as an EU contribution, the amount received by the Founding Member or the Associated Member under this contract, and during its whole duration, should be counted against the S2R contribution planned to be received in accordance with their respective Membership Agreement and taking into consideration the maximum co-funding expected to be received in accordance with the S2R Regulation.</p>
4	<p>S2R-OC-IP3-01-2018 – Measuring and monitoring devices for railway assets</p> <ol style="list-style-type: none"> 1. The call identifies 2 separate work streams, do you advice that at some point to have interaction between them? 2. The call is close to market, do you expect a ready-to-implement software/hardware as a result? Can 	<p>The call topic clearly states that "the proposed research should address one or both the following two work-streams...", therefore your proposal should covers either one or both of them. The structure of the work plan and interactions is entirely up to you to decide. The evaluators will evaluate the quality and efficiency of the implementation based on aspects such as the coherence and effectiveness of the work plan, the appropriateness of the management structures and procedures, etc. These are aspects to be described by you and you may choose the best way to address them. Please refer to the "Topic conditions and documents" you can find in the Participant Portal under the topic you are interested to for more detailed information.</p>

	<p>the result have different modules with different levels of TRL?</p> <p>3. In WS2, section track geometry monitoring, is specified for vehicles with speeds between 60 to 200 km/h, do you advise to also address lower speeds e.g. 40 km/h to take in account urban rail transport?</p>	<p>The topic text indicate the TRL level expected for the main deliverables. You can find the Technology Readiness Level definition here: https://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2018-2020/annexes/h2020-wp1820-annex-g-trl_en.pdf</p> <p>The topic text also indicate the expected developments. It is up to the applicant to decide what it considers appropriate to propose for best answering the call text.</p>
<p>5</p>	<p>The Participant Portal shows the new call for proposals S2R-CFM-IP1-01-2018</p> <p>Development of technology demonstrators for the next generation of traction systems and adhesion management systems</p> <p>http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/topics/s2r-cfm-ip1-01-2018.html</p> <p>In the section “Topic conditions and documents” on this page as well as in the in the Annex 1 of the Amended Annual Work Plan and Budget for 2018</p> <p>https://shift2rail.org/wp-content/uploads/2018/01/Ares-182422-Annex-1-S2R-1.pdf</p> <p>it is mentioned, that the call is for S2R JU Members.</p> <p>Representing an affiliation that is not member of S2R, does this mean, that we cannot participate at all in this call or only being part of a joint proposal together with at least one member?</p>	<p>Please refer to answer to question 1</p>
<p>6</p>	<p>I have a question regarding the IP3 Open Call funding scheme (S2R-OC-IP3-01-2018).</p> <p>IP3 OC is an Innovation Action for which the funding for profit organisations is set at 70%. I would like to know whether the In-kind contribution (equal to 2,035,714 €) that has been specified here,</p>	<p>Yes, your reasoning is correct.</p> <p>The AWP 2018 makes reference to the 30% corresponding to In-kind contribution. This amount represent a maximum amount should all the beneficiaries be funded at 70% (considering the project's budget is in line with the budget published in the AWP).</p> <p>In principle, IA actions are funded 70% while non-profit beneficiaries/LTP participating in this actions may be reimbursed at 100% (Article 5 AMGA). According to their reasoning, I would say yes, the amount is the</p>

	<p>represents the value of the 30% of total costs that cannot be reimbursed (due to the 70% funding rate for profit organisations)? As this value will depend on the number of profit organisations involved in the consortium, the number may be lower if more non-profit organisations are part of a consortium. Is it correct that this figure represents the maximum in-kind contribution in case all partners are profit organisations?</p> <p>Could you please explain if this reasoning is correct, and how should partners take it into consideration when building the budget?</p>	<p>maximum in case all the beneficiaries are profit companies, but will decrease in case of several non-profit ones.</p> <p>For Open Calls the rules of H2020 are applicable, please see AMGA.</p>
<p>7</p>	<p>I have a question concerning:</p> <p>http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/topics/s2r-oc-ip4-01-2018.html</p> <p>In the document:</p> <p>http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/jtis/h2020-wp18-shift2rail_en.pdf</p> <p>on page 91 -- I have found the following statement:</p> <p>The proposed options must remain compatible (as much as possible) with the approach currently developed within IP4², to allow the adaptation of the interoperability framework mechanisms developed in the parallel complementary project CONNECTIVE (S2R-CFM-IP4-01-2017).</p> <p>I went to the page: http://projects.shift2rail.org/s2r_ip4_n.aspx?p=CONNECTIVE</p>	<p>The S2R programme is established in a way that projects might be complementary to each other and this is reflected in the Annual Work Plans. The complementarity is defined a topic level, and in the case of S2R-OC-IP4-01-2018, the complementary project is S2R-CFM-IP4-01-2017 (CONNECTIVE). This means that both CONNECTIVE and the successful proposal on S2R-OC-IP4-01-2018 will have to sign a Collaboration Agreement to agree on their interactions in order to ensure alignment, agree on tasks, background and results.</p> <p>During the proposal phase, you might refer to the project website of CONNECTIVE to see their objectives, structure, partners, contact details and available deliverables. Moreover, you might want to see the topic description answered by CONNECTIVE (AWP2017 available here: https://shift2rail.org/wp-content/uploads/2017/11/S2R-JU_AWP2017_Amendment-2_FINAL.pdf). Finally, as stated in the topic description, information on previous S2R activities on the interoperability framework, including public deliverables and brochures, can be found on the S2R website:</p> <ul style="list-style-type: none"> • The latest IP4 documentation is available here: https://shift2rail.org/wp-content/uploads/2013/07/19122016_S2R-IP4-latest-updates.pdf • Current state of research in the field of Interoperability Framework for IP4 is available here: https://shift2rail.org/wp-content/uploads/2017/11/S2R-OC-IP4-01-2018_InteroperabilityFramework.pdf <p>For further information, please find the presentation done during the AWP2018 info day: https://shift2rail.org/uncategorized/shift2rail-</p>

<p>and found out that, for all practical purposes, there is nothing there. As a matter of fact, the following information is posted:</p> <p>CONNECTIVE Technical workshop 6 February 2018 CONNECTIVE's first technical workshop to work in the design and specifications this means that the project has -- at the time of this mail - - completely nothing ready / public that anyone could align to --> as the first workshop on design and specification will take place on this coming Monday.</p> <p>Hence my question -- how can the expected proposals be aligned to something that does not exist / is not publicly available? Is there some document that describes what we should be aligned to that I have missed? Could you please point me to it?</p>	<p>information-day-open-call-proposals-2018-presentations-now-available/</p>
<p>8</p> <p>What is the legal status of the Joint Undertakings? And Specially for the Shift2Rail JU?</p> <p>*Question received during the S2R JU Info Days</p>	<p>The Shift2Rail Joint Undertaking (S2R JU) is a Union body, and more specifically, a public-private partnership (PPP) in the rail sector created under Article 187 and the first paragraph of Article 188 of the Treaty on the Functioning of the European Union. Article 187 TFEU allows the Union to set up joint undertakings or any other structure necessary for the efficient execution of Union research, technological development and demonstration programmes.</p> <p>The S2R JU was established by Council Regulation (EU) No 642/2014 of 16 June 2014 (the S2R JU Regulation), providing a platform for the rail sector as a whole to work together with a view to driving innovation in the years to come.</p> <p>Under the Horizon 2020 rules (Regulation (EU) No 1290/2013 and Regulation (EU) No 1291/2013), the primary task of the S2R JU is to establish the priority research and innovation activities to accelerate the penetration of integrated, interoperable, and standardised technological innovations to support the Single European Area and to achieve operational excellence of the railway system. ERRAC and ERA consultation contribute to this process.</p> <p>In addition, the S2R JU shall manage all rail-focused R&I actions co-funded by the Union, including outside the resources it has directly received.</p> <p>Rail Research & Innovation (R&I) conducted within the S2R JU must contribute to addressing the challenges faced by the rail sector, through</p>

		<p>a comprehensive and coordinated approach to research and innovation focusing on the needs of the rail system and of its users, including in Member States that do not currently have a railway system within their territory.</p> <p>In addition to the Union, which is a Founding Member, the S2R JU has eight other Founding Members and nineteen Associated Members. The latter were selected following a call for expression of interest to become associated member of the S2R JU.</p>
9	<p>Two companies are linked. Is it an obligation to declare them as “Linked Third Party” (LTP)” or can they be third parties providing in-kind contribution? Which figure should be used?</p> <p>*Question received during the S2R JU Info Days</p>	<p>A company linked to a beneficiary can be considered and included in the Grant Agreement as:</p> <ol style="list-style-type: none"> 1. Linked Third parties. Which must be affiliated entities or entities with a legal link to the beneficiary. 2. Subcontractors. Note that the beneficiaries must base their subcontracts either on the best value for money or on the lowest price. 3. Third Parties providing in-kind contributions. If necessary to implement the action, the beneficiaries may use in-kind contributions provided by third parties against payment. <p>The figure to be used will depend on the specific situation but it is highly advised that if the company is planning to perform and carry out a core tasks, it should be included as beneficiary and not as any of the options described above.</p> <p>For more information, please check articles 11 to 14 of the AGA.</p>
10	<p>In H2020 at least three different companies are needed to form a consortium, does this include universities?</p> <p>*Question received during the S2R JU Info Days</p>	<p>According to the H2020 rules of participation (article 9), at least three legal entities shall participate in an action and shall be established in a different Member State or associated country. Legal entity' means any natural person, or any legal person created and recognised as such under national law, Union law or international law, which has legal personality and which may, acting in its own name, exercise rights and be subject to obligations (article 2). This definition includes the participation of universities.</p>
11	<p>After the project is finished the exploitation of the IPR, several years afterwards, is given to a manufacturer outside the EU, is this a problem? Is the company liable to pay back any amount for the grant received? Is this a breach of an IPR obligation?</p> <p>*Question received during the S2R JU Info Days</p>	<p>The beneficiaries remain free to grant licenses (including quasi-exclusive licenses) to their own results, as long as they can guarantee that all the access rights can be exercised. They can even grant an exclusive licence, if the other beneficiaries have waived their access rights.</p> <p>Beneficiaries are free to grant additional access rights to results, beyond the rights foreseen in the GA.</p> <p>For more information, please read article 31 of the MGA.</p> <p>General Information on IPR under Horizon 2020 is available at the following link: https://www.iprhelpdesk.eu/node/2598</p>
12	<p>Project complementarity. Are potential project participants entitle to contact their potential complementary project coordinator</p>	<p>Potential complementary projects, that already running, can be contacted during the project formulation phase. Contact information of the current project’s coordinators can be found in the S2R JU webpage (https://shift2rail.org/projects/)</p>

	<p>during the project formulation phase?</p> <p>*Question received during the S2R JU Info Days</p>	<p>For the potential complementary projects to be selected under the S2R JU 2018 Call, information will not be available until the finalisation of the selection and award procedure. Nevertheless, you can find the model for the future Collaboration Agreement to be put into place (only for successful proposals retained for funding) also on the S2R website but all the concrete steps related to its drafting and finalisation are to be taken during the projects implementation.</p> <p>(https://shift2rail.org/wp-content/uploads/2017/06/S2R_Model_Coll_Agmt_Final.pdf)</p> <p>Finally, as specified in section 2.3.1 of S2R Annual Work Plan for 2018, in order to facilitate the contribution to the achievement of S2R objectives, the options regarding 'complementary grants' of the S2R Model Grant Agreement and the provisions therein, including with regard to additional access rights to background and results for the purposes of the complementary grant(s), will be enabled in the corresponding S2R Grant Agreements.</p>
<p>13</p>	<p>When is the Call 2018 deadline?</p> <p>*Question received during the S2R JU Info Days</p>	<p>H2020 Participant Portal: https://shift2rail.org/participate/call-for-proposals/for-ju-members/</p> <p>Deadline of submissions: 24 April 2018 at 17:00</p>
<p>14</p>	<p>Difference between the Call for proposals and the call for tenders?</p> <p>*Question received during the S2R JU Info Days</p>	<p>The term “Calls for Proposals” refers to the mechanism that the S2R Joint Undertaking puts in place to ensure to receive proposals —though a competitive and transparent approach based on equal treatment— in answer to research and innovation subjects, which are part of its Programme. The draft text of the “Call for Proposals” is part of the Annual Work Plan of the S2R JU. It is an official document that once is finalised is publish on the H2020 Participant Portal. Its purpose is to formally invite applicants to submit project proposals in view of their possible funding under the relevant participation rules. Therefore, the calls for proposals launched by the S2R JU are published on the H2020 single portal for participants as well as on the S2R JU website. Before submitting a proposal, you need to register and follow the steps indicated in the Participant Portal. All communication with the JU will be done through this portal.</p> <p>The term “Call for Tenders” refers to the mechanism with the objective of increasing the choice of potential suppliers to contracting authorities, thereby allowing them to achieve a better value for money result, while at the same time developing market opportunities for economic operators.</p> <p>As a general rule, the difference between a public contract and a grant is fairly clear. In the case of a contract the S2R JU obtains a product or service it needs in return for payment of an agreed price, while in the case of a grant it makes a ‘financial contribution’ ‘or financial support’; it is a direct payment made to one or more beneficiaries for the purpose of carrying out an action or implementing the S2R annual work plan.</p>

15	<p>In using a subcontractor, does the beneficiary need to follow the EU rules for Public Procurement Procedures?</p> <p><i>*Question received during the S2R JU Info Days</i></p>	<p>The beneficiary must award the subcontracts ensuring the best value for money or, if appropriate, the lowest price. In doing so, it must avoid any conflict of interests (see Article 13 of the AGA).</p> <p>Beneficiaries that are ‘contracting authorities’ or ‘contracting entities’ (within the meaning of the EU public procurement Directives 2014/24/EU and 2014/25/EU) must moreover comply with the applicable national law on public procurement.</p>
16	<p>Is there a maximum amount for subcontracting?</p> <p><i>*Question received during the S2R JU Info Days</i></p>	<p>There is no maximum set amount for subcontracting; it depends on the specific project. Nevertheless, as stated in article 13 of the AGA, only limited parts of the action may be subcontracted.</p>
17	<p>How can a non S2R JU member participate in a CFM? If a company has a legal link with a S2R JU Member and participates in a CFM, can they participate in an OC as well?</p> <p><i>*Question received during the S2R JU Info Days</i></p>	<p>Following the S2R 2018 Work Plan (section 2.3.4-Standard eligibility conditions), a non S2R JU member cannot participate directly as part of the consortium submitting a proposal to the topic of the call which requires S2R JU membership as eligibility criteria. The call topics for non-members are marked with “OC” in the titles and clearly mentioned in the topic conditions (Annex II), while the call topics marked with “CFM” in the titles and in the topic conditions (Annex I) are for the S2R JU members only.</p> <p>Nevertheless, different opportunities are open to your company –as non S2R JU member-to participate in research and innovation activities realised by S2R JU Members (i.e.: in call topics labelled as “CFM”), e.g.:</p> <ul style="list-style-type: none"> - be a third party with a legal link with the beneficiary, - be a subcontractor of one or more of the S2R JU Members and Associated Members. <p>In both cases, H2020 rules on subcontracting (i.e.: best value for money etc.) and on linked third parties (i.e.: a legal arrangement which extends beyond the scope of the relevant action, etc.) should be complied with. See Articles 13 and 14 of the AGA for further details.</p>
18	<p>When subcontractors or LTP can be added in the project? During the proposal formulation phase or after the signature of the Grant Agreement?</p> <p><i>*Question received during the S2R JU Info Days</i></p>	<p>LTP and Subcontractors can be added at any time during the life of the project: at the beginning, during the proposal formulation phase or once the project is awarded. During the Grant Agreement Preparation, they can be included through the Participant Portal. They can also be added after the signature of the Grant Agreement but in this case, an amendment will be needed in order to add the LTP and/or subcontractors. For more information read articles 13 and 14 of the AGA.</p>
19	<p>When and where is the Intellectual Property Rights (IPR) defined?</p> <p><i>*Question received during the S2R JU Info Days</i></p>	<p>Relevant IPR questions will arise throughout the lifecycle of your project: from the very first idea and conceptualisation of your project, throughout its execution, until the end and the potential exploitation and commercialization of the results. Therefore, the beneficiaries must identify and agree on what constitutes background for their action (in</p>

		<p>order to be able to give access to it), including IPR. Although not obligatory, beneficiaries are strongly advised to agree on background before the GA is signed, to ensure that they have access rights to what is needed for implementing the action (and then exploiting its results).</p> <p>In general the set of important documents with regard to IPR provisions are the general Rules for Participation in Horizon 2020, the MGA (articles 23a to 31) and in the Consortium Agreement. While the Consortium Agreement is drafted and organised according to the Consortium preferences, its content needs to follow the provisions of the MGA and the H2020 rules, including IPR.</p> <p>Note that beneficiaries become joint IPR owners if they specifically agree on it. In this case, there is a specific agreement, which needs to be signed when results are shared by several participants (Joint Ownership agreement) and will be prepared once the joint ownership is determined. In addition, for complementary grants foreseen in the S2R JU AWP 2018, the JU has developed a specific model template for a “collaboration agreement” that shall be used by the consortia with a need to collaborate, including the necessary modifications on IPR. This model should facilitate the establishment of the final agreement between the collaborating projects. https://shift2rail.org/wp-content/uploads/2017/06/S2R_Model_Coll_Agmt_Final.pdf For more information on IPR, see Article 23a to 40 to the AGA.</p>
20	<p>Are there clauses on the licensing of results for members of the S2R JU and participants?</p> <p>*Question received during the S2R JU Info Days</p>	<p>Due to the fact that your project is based on collaboration with several participants, matters related to access rights, i.e. licences and user rights to results and background, are of utmost importance and should be duly addressed in the CA. In general, requests to access another participant’s background or results should be done in writing. The exact format may be defined in the CA.</p> <p>In principle, the GA stipulates that results belong to the partner who generated them. Given the nature of collaborative projects it is likely that several partners are involved in fostering project results. In this case “joint ownership” of results may arise for which you may want to determine certain provisions including those for a potential transfer of ownership in the CA or in a separate joint ownership agreement. Unless otherwise agreed in the CA or the joint ownership agreement, each joint owner may grant non-exclusive licences to third parties to exploit the jointly-owned results (without any right to sub-license).</p> <p>Furthermore, there exists the option to transfer the ownership of results to one of the joint owners or even third parties, provided such a transfer is in line with the general conditions laid out in the applicable GA. The beneficiaries remain free to grant licenses (including quasi-exclusive licenses) to their own results, as long as they can guarantee that all the</p>

		<p>access rights can be exercised. They can even grant an exclusive licence (e.g. for commercial exploitation), but only if all other beneficiaries have waived their access rights and other access rights are preserved.</p> <p>For more information, please read article 30.2 of the AGA.</p> <p>General Information on IPR under Horizon 2020 is available at the following link: https://www.iprhelpdesk.eu/node/2598</p>
21	<p>How much time is needed to set up a consortium?</p> <p>*Question received during the S2R JU Info Days</p>	<p>Time needed for the setting up of a Consortium will vary depending on the participants and their circumstances. We cannot predict or provide an approximate time since it is completely up to the participants of the Call.</p> <p>Call's Coordinators must ensure internally the agreement of the consortium based on their internal decision-making processes. The consortium agreement (CA) should in principle be negotiated and concluded before the signature of the GA (i.e. each beneficiary should sign the consortium agreement before acceding to the GA). Otherwise, there is usually a serious risk that prolonged disagreement jeopardises the action. Of course, the consortium agreement does not have to remain the same during the lifetime of the action; it can be modified by the consortium at any moment.</p> <p>The CA should complement the GA and must NOT contain any provision contrary to it (or to the H2020 Rules for Participation or the EU Financial Regulation).</p> <p>For more information on the CA provisions, read Article 41.3 of the AGA and the H2020 Guidance — How to draw up your consortium agreement: http://ec.europa.eu/research/participants/data/ref/h2020/other/gm/h2020-guide-cons-a_en.pdf</p>
22	<p>Is the 2018 S2R JU call for proposals an exact reflection of the S2R Annual Work Plan in terms of content?</p> <p>*Question received during the S2R JU Info Days</p>	<p>The S2R call for proposals 2018 are based on its Annual Work Plan 2018 (AWP). The AWP 2018 outlines the scope of the Research and Innovation (R&I) activities that will be performed as from 2018, implemented through call(s) for proposals and/or call(s) for tenders addressed to its JU Members only and open call for proposals and/or call(s) for tenders addressed to non JU Members (i.e.: the broader research and innovation community). In its annexes, the AWP also identifies the topics related to the call that the S2R JU is planning to launch in 2018. The call topics for non-members are marked with "OC" in the titles and clearly mentioned in the topic conditions (Annex II), while the call topics marked with "CFM" in the titles and in the topic conditions (Annex I) are for the S2R JU members only. The AWP also include the eligibility conditions (section 2.3.4), the indication of the funding rates per types of action (section 2.3.5) as well as the maximum S2R co-funding.</p>

23	<p>Is there any formal information to read on subcontracting and LTP?</p> <p><i>*Question received during the S2R JU Info Days</i></p>	<p>Please refer to article 13 and 14 of the AGA.</p>
24	<p>What happen if a beneficiary (core/non-core) pulls out during the GAP? After the signature of the grant, can a replacement be legally added afterwards?</p> <p><i>*Question received during the S2R JU Info Days</i></p>	<p>During the GAP, the participation of one or more beneficiaries may be terminated by the coordinator, on request of the beneficiary concerned or on behalf of the other beneficiaries. The coordinator must formally notify termination to the S2R JU and inform the beneficiary concerned. Coordinators must ensure internally the agreement of the consortium based on their internal decision-making processes. After the signature of the grant, the coordinator should notifies the beneficiary’s termination to the S2R JU and submits the amendment request at the same time. For the removal of a beneficiary, whose participation is terminated read Article 50.2 and 50.3 of the AGA.</p> <p>In justified cases, the beneficiaries may request adding a new beneficiary. The new beneficiary must comply with the eligibility criteria. In this case, the coordinator must request an amendment for adding a new beneficiary. For addition of new beneficiaries read Article 56.2 of the AGA.</p>
25	<p>What are LTP? Only entities associated to a beneficiary?</p> <p><i>*Question received during the S2R JU Info Days</i></p>	<p>LTP are allowed to participate in the action, like the beneficiary they are linked to. They are NOT beneficiaries, but they are allowed to participate fully in the action and receive EU funding; they will therefore be treated for many issues like beneficiaries, and their beneficiaries must ensure that they comply with certain key obligations. Only affiliated entities or entities with a legal link to a beneficiary can be considered as a LTP. For more information on the definition of affiliated entities or entities with a legal link to a beneficiary, read Article 14 of the AGA.</p>
26	<p>Can we send the supporting documents in other language than English? And proposals?</p> <p><i>*Question received during the S2R JU Info Days</i></p>	<p>Supporting documents and proposals may be drafted and submitted in any of the official EU languages. Nevertheless, applicants are encouraged to submit their proposal in English to facilitate processing of the application including its review by independent experts who provide technical input to the evaluation. In addition, applicants should be aware that S2R JU will, in principle, use English to communicate with beneficiaries regarding the follow up and the monitoring of the co-financed actions (grant management stage).</p> <p>For proposals, when written in a language other than English, an English version of the abstract should be included in the “Technical Annex” section. If the documents are not in English, the beneficiary may be asked to provide an English summary.</p>

<p>27</p>	<p>Can we set up a consortium with a subsidiary company not based in an EU member state?</p> <p>*Question received during the S2R JU Info Days</p>	<p>In accordance with the H2020 rules of participation (articles 7 and 10), whereas participation is open to any legal entity, S2R JU funding is reserved for legal entities complying with the following criteria: (a) any legal entity established in an EU Member State or associated country, or created under EU law; (b) any international European interest organisation; (c) any legal entity established in a third country identified in the S2R JU work plan.</p> <p>Other companies can participate but without funding from the Union.</p> <p>Regarding the S2R JU list of countries eligible for funding, the Part A of the General Annexes to the EC Horizon2020 Work programme 2018-2020 applies.</p> <p>http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2018-2020/annexes/h2020-wp1820-annex-ga_en.pdf</p>
<p>28</p>	<p>How do you form a consortium agreement?</p> <p>*Question received during the S2R JU Info Days</p>	<p>As a general rule, the partners must conclude a Consortium Agreement (CA) before the signature of the Grant Agreement to ensure a smooth and successful implementation of the framework partnership and the specific actions.</p> <p>The CA cannot contradict the H2020 regulation and should include provision such as:</p> <ul style="list-style-type: none"> - internal organisation of the consortium; - management of access to the electronic exchange system; - distribution of EU funding; - additional rules on rights and obligations related to background and results - settlement of internal disputes; - liability, indemnification and confidentiality arrangements between the partners. <p>Costs related to the preparation of the CA are not eligible.</p> <p>For more information, please read article 41.3 of the AGA.</p>
<p>29</p>	<p>What happen if an entity goes bankrupt?</p> <p>*Question received during the S2R JU Info Days</p>	<p>An entity shall be excluded from participating in any grant award procedures if it is bankrupt, subject to insolvency or winding-up procedures (Article 131(4) of the EU Financial Regulation). If the applicant has, for example, entered into a bankruptcy procedure after having been awarded a grant but before signature of a grant agreement/adoption of a grant decision the applicant has to be excluded and the award decision has to be corrected.</p> <p>In case of bankruptcy, the beneficiary or the coordinator must immediately inform the S2R JU. The participation of the beneficiary (of a linked third party) affected may be terminated by the S2R JU (Art.49.2 AGA) and the GA be amended. In case that a new beneficiary is added,</p>

		<p>the coordinator must request an amendment and annexes 1 and 2 will be changed.</p> <p>If a beneficiary's participation is terminated based on Article 50.3.1(e) (i.e. bankruptcy or similar), the S2R JU will follow a contradictory procedure and will also contact the liquidator/administrator. If it confirms termination, the S2R JU will specify the date on which termination will take effect (termination date).</p> <p>For more information, please check articles 47-50 of the AGA.</p> <p>Article 106 <i>Exclusion criteria and administrative sanctions</i> 1. The contracting authority shall exclude an economic operator from participating in procurement procedures governed by this Regulation where: (a) the economic operator is bankrupt, subject to insolvency or winding-up procedures, where its assets are being administered by a liquidator or by a court, where it is in an arrangement with creditors, where its business activities are suspended, or where it is in any analogous situation arising from a similar procedure provided for under national laws or regulations.</p>
30	<p>For results, does all data need to be shared with all the members of the consortium?</p> <p><i>*Question received during the S2R JU Info Days</i></p>	<p>As a rule set out in the GA, the beneficiaries must give each other access — on a royalty-free basis — to background needed to implement their own tasks under the action, unless the beneficiary that holds the background has — before acceding to the GA:</p> <p>(a) informed the other beneficiaries that access to its background is subject to legal restrictions or limits, including those imposed by the rights of third parties (including personnel), or</p> <p>(b) agreed with the other beneficiaries that access would not be on a royalty-free basis.</p> <p>If beneficiaries intend to deviate from the default rule, it is recommended that this is explained in detail in their proposal.</p> <p>For more information, please check article 31 of the MGA.</p>
31	<p>Is it possible to use in-kind contributions in IA when one is not a Member?</p> <p>For not JU members, is it possible to use in-kind contributions- cost category to cover a cost of a third party in a project?</p> <p>This refers to in-kind contributions as detailed in Grant Agreement, when</p>	<p>There are two types of in-kind contributions which should not be mixed up to each other.</p> <ol style="list-style-type: none"> 1. In-kind contributions: under the S2R JU Regulation the <u>S2R JU members ("other than the European Union")</u> contributions correspond to: <ul style="list-style-type: none"> - IKOP, in-kind contributions by the S2R JU Members consisting of the total costs incurred by them in implementing indirect actions less the contribution of the S2R JU and any other Union contribution to those costs,

	<p>services are performed by people outside the company?</p>	<ul style="list-style-type: none"> - And IKAA, the costs incurred by the S2R JU Members in implementing additional activities outside the work plan of the S2R JU, which are complementary to the work plan, in accordance with Annex B of the Membership Agreement and which contribute to the objectives of the S2R JU Master Plan. <p>Only S2R JU Members can provide in kind contributions in the sense of point 1 her above/ Nevertheless, the following can be considered:</p> <p>2. In-kind contribution as per the Grant Agreement. This cost category <u>is available for all beneficiaries of the grant agreement</u>, both members and non-members of the JU. If necessary to implement the action, the beneficiaries may use in-kind contributions provided by third parties against payment or free of charge.). In-kind contributions against payment are costs of the beneficiary (because they have to pay) and are therefore already explicitly mentioned in the different budget categories. Their costs (i.e. the payment) must be declared under those specific budget categories. The costs of in-kind contributions free of charge (i.e. the costs of the third party offering them) can be assimilated to beneficiary costs and must be declared in the budget category that the beneficiary would have used.</p> <p>For more information, please refer to the Article 11 and 12 of AGA for in-kind contributions provided by third parties against payment (Art.11) and in-kind contributions provided by third parties free of charge (Art.12).</p>
<p>32</p>	<p>How are the overheads calculated in a project?</p> <p><i>*Question received during the S2R JU Info Days</i></p>	<p>This budget category applies to all RIA, IA and CSA grants under the General MGA.</p> <p>In Horizon 2020, indirect costs are declared as a 25% fixed flat-rate of the eligible direct costs minus certain direct eligible costs (see Article 5.2 and Article 6.2. of MGA), from which are excluded:</p> <ul style="list-style-type: none"> (a) costs of subcontracting [and]; (b) costs of in-kind contributions provided by third parties which are not used on the beneficiary's premises [and]; (c) lump sums and unit costs already covering indirect costs <p>Please see article 6.2. of the AMGA for further detail.</p>
<p>33</p>	<p>How is it possible to fund a project to 100%</p> <p><i>*Question received during the S2R JU Info Days</i></p>	<p>As indicated in the S2R AWP 2018 (section 2.3.5- Types of action: specific provisions and funding rates), part D of the General Annexes to the EC Horizon2020 Work Programme 2018-2020 applies. This means that the funding rate for grants will be :</p> <ul style="list-style-type: none"> • 100% of the total eligible costs for research and innovation actions (RIA) and coordination and support actions (CSA), and • 70% of the total eligible costs for innovation actions (IA) (except for non-profit legal entities where a rate of 100% applies).

		<p>However, the contribution in each grant agreement is limited to the maximum grant amount. Moreover, the final grant amount applied is calculated at the payment of the balance (final payment).</p> <p>The specific grant must not produce a profit. Therefore, in the calculation of final grant amount some reductions may apply due to the non-profit rule.</p> <p>Please see Article 10 of AMGA for further detail.</p>
34	<p>We have no experience in H2020 FUNDING SCHEMES and possibilities: where do we start?</p> <p>Is there a specific methodology to calculate personnel costs?</p> <p><i>*Question received during the S2R JU Info Days</i></p>	<p>The starting point is to estimate the resources you would require to carry out the actions and the budget needed for it.</p> <p>This budget is included in the Call for Proposals and applied as a maximum amount on the Grant Agreement itself. The estimated budget of the action will be detailed later on in the Annex II of the GA.</p> <p>A template for the budget is made publicly available and needs to be respected. You will need to define the form of costs you will use, such as actual and unit costs, and divide the resources you have identified earlier into cost categories to which they belong based on their nature.</p> <p>The AMGA — Annotated Model Grant Agreement is a user guide that aims to explain to applicants and beneficiaries the General Model Grant Agreement (General MGA) and the different specific Model Grant Agreements ('Specific MGAs') for the Horizon 2020 Framework Programme for 2014-2020 (H2020).</p> <p>The purpose of this document is to help users understand and interpret the GAs, by avoiding technical vocabulary, legal references and jargon, and seeking to help readers find answers to any practical questions they may have about particular parts of the GAs.</p> <p>It details all GA Articles and calculation methodologies available under H2020 funding scheme with some practical examples.</p> <p>The types of eligible personnel costs are explained in AMGA including the use of actual and unit costs in Chapter 3 > Article 6.2.A</p>
35	<p>Does the legal entity that will be used for subcontracting have to be known from the beginning on?</p> <p><i>*Question received during the S2R JU Info Days</i></p>	<p>No. Subcontractors, as well as “linked third parties” (LTP) can be added at any time during the life of the project: at the beginning, during the proposal formulation phase or once the project is awarded.</p>
36	<p>Do subcontractors have to be specified before the start of the project or can they be added later?</p>	<p>During the Grant Agreement Preparation, they can be included through the Participant Portal. If the name of the subcontractor is known at the time of the grant signature, the beneficiary may indicate it in Annex 1. However, the fact that the name of the subcontractor is indicated in</p>

	<p>*Question received during the S2R JU Info Days</p>	<p>Annex 1 does not imply the approval of the S2R JU of the subcontract (or the subcontracting costs). For example, if the subcontractor was not selected based on best value-for-money the S2R JU may reject the costs even if its name was indicated in Annex 1.</p> <p>Subcontractors can also be added after the signature of the Grant Agreement but in this case, an amendment will be needed in order to add the subcontractors. In this case the coordinator must request an amendment to the GA (it can be exceptionally approved during reporting time without an amendment).</p> <p>Information related to subcontracting is explained under Article 13 of AMGA “ARTICLE 13 — IMPLEMENTATION OF ACTION TASKS BY SUBCONTRACTORS ”. It is the work (i.e. the action tasks) to be performed by a subcontractor that must be identified in Annex 1. The name of the subcontractors is in principle not necessary.</p>
<p>37</p>	<p>You discussed about unit costs; this has to be decided in the beginning of the projects; can you please clarify?</p> <p>*Question received during the S2R JU Info Days</p>	<p>As indicated in the EU Financial Regulation implementing rules (article 180(2) RAP), Unit costs shall cover all or certain specific categories of eligible costs which are clearly identified in advance by reference to an amount per unit.</p> <p>Unit costs could be one of the beneficiary declared “form of costs” that are part of the total eligible costs (direct and indirect) for a beneficiary. According with Article 5 of the MGA, unit costs apply for:</p> <ul style="list-style-type: none"> - personnel costs calculated by the beneficiaries in accordance with their usual cost accounting practices (average personnel costs); - costs of SME owners and natural persons not receiving a salary; costs of internally invoiced goods and services calculated by the beneficiaries in accordance with their usual cost accounting practices. <p>The MGA also foresees “actual costs” (i.e. costs which are real and not estimated or budgeted) for personnel costs, unless declared as unit cost. Unit costs are part of the eligible costs to be described in the GA, at proposal level. If the unit costs have not been identified and are needed afterwards, and amendment will be needed.</p>
<p>38</p>	<p>Indirect costs vs direct costs; how are they considered as eligible costs?</p> <p>*Question received during the S2R JU Info Days</p>	<p>For a cost to be eligible, it must fulfil a certain criteria.</p> <p>This applies to both the direct and indirect costs.</p> <p>Please see AMGA Article 6.1 referring to general eligibility cost conditions, applicable per cost form (see Article 5) and Article 6.2 referring to specific eligibility cost conditions, applicable per budget category (see Article 4).</p>

39	<p>What is CFS?</p> <p><i>*Question received during the S2R JU Info Days</i></p>	<p>CFS is a Certificate on Financial Statements. The CFS is a factual report produced by an independent auditor or Public Officer. Its purpose is to enable S2R JU to check whether costs declared in the financial statements are eligible.</p> <p>A separate CFS must be submitted for each beneficiary (and linked third party) that requests a total of EUR 325 000 or more as reimbursement of actual costs and unit costs calculated according to its usual cost accounting practices for a project. It is needed for the final payment only.</p> <p>Annex 3 of the Grant Agreement include an example of the certificate to be submitted and Annex 4 show the Term of reference to be applied.</p>
40	<p>How does the consortium need to be composed? Do several parties from different countries need to be represented?</p> <p>Regarding RIA: what are min legal requirements regarding consortium composition?</p> <p><i>*Question received during the S2R JU Info Days</i></p>	<p>According to the H2020 rules of participation (article 9), at least three legal entities shall participate in an action and shall be established in a different Member State or associated country. Legal entity' means any natural person, or any legal person created and recognised as such under national law, Union law or international law, which has legal personality and which may, acting in its own name, exercise rights and be subject to obligations (article 2). This rule apply for consortium involved in research and innovation actions (RIA) or in innovation actions (IA). Nevertheless, for coordination and support actions (CSA), the minimum condition shall be the participation of one legal entity.</p> <p>Call's Coordinators must ensure internally the agreement of the consortium based on their internal decision-making processes. The consortium agreement (CA) should in principle be negotiated and concluded before the signature of the GA (i.e. each beneficiary should sign the consortium agreement before acceding to the GA). Otherwise, there is usually a serious risk that prolonged disagreement jeopardises the action. Of course, the consortium agreement does not have to remain the same during the lifetime of the action, it can be modified by the consortium at any moment.</p>
41	<p>Does the total maximum grant amount cover all types of costs? Direct and indirect? What about the 25%</p> <p><i>*Question received during the S2R JU Info Days</i></p>	<p>Yes, the maximum grant amount covers all types of costs; direct and indirect (based on the 25% flat rate) that have been declared in the GA (Annex 1 and Annex 2).</p> <p>However, the final grant amount applied is calculated at the payment of the balance (final payment) for more information, please also see question 2 and 3.</p>
42	<p>If I remember correctly from the last financial meeting it was communicated that:</p> <ul style="list-style-type: none"> - The payments are deliverable completion based, i.e. in the RP 	<p>In the case of payments, they are based on work packages completion.</p> <p>The 44.44% will apply at Member and project level. It is up to you to design the project activities considering the total costs, and therefore including the Members in kind contribution. The Member EU H2020</p>

	<p>following the completion of a deliverable the payment of funding may be requested by us</p> <ul style="list-style-type: none"> - The question on how we are supposed to make the lump sum fit with the 44, 44% rule of S2R remained open (supposing that in some deliverables we need more resource than planned, in others less etc.). <p>Now from the submissions I receive information that it seems to be the understanding of related Coordinators that:</p> <ul style="list-style-type: none"> - The payments will be WP completion based, i.e. in the RP following the completion of a WP the payment of funding may be requested by us. Most WPs so far were of a duration of the whole project. <p>Could you please kindly expand on these points, as we need to work on the submissions accordingly?</p>	<p>contribution request of eligible costs in the project should not in principle be higher than 44.44% of the total costs encountered by the member for that project.</p> <p>However, it is correct to mention that in case the project budget is overestimated, there is a risk that the final IKOP objective of 55.56% will not be reached. It is therefore essential to be cautious when establishing the estimated budget of the action. Please note, with the Lump sum, in case of budget transfer between work packages, an amendment request should be introduced.</p> <p>It is possible to submit a proposal with an increased number of Work package compared to the past. The lump sum of each Work Package is due at the condition the Work Package is completed by the end of the Reporting period.</p> <p>The slides of last webinar on lump sum are available on our website: https://shift2rail.org/about-shift2rail/reference-documents/ under information material.</p>
43	<p>Regarding the answer of the question 3 of the Questions & Answers for the 2018 call for proposals published on the 05th of February, my doubt is the following: Is it mean that if a JU-member is awarded with a Call for tender it will be funded just with the 44,44% of the total project cost stated in the proposal?</p>	<p>If a JU Member is awarded with a Call for tender, no funding applies but the contractor will be paid on the basis of the tender accepted price. However, this additional value will be counted into the JU Member total S2R Programme participation as per the Membership Agreement. This means that the amount received by the Member as contractor will be counted in the total maximum co-funding expected to be received by the Member in accordance with the Membership participation to S2R.</p>
44	<p>1. What will reporting periods look like on the CFM projects? We used to have one short period to align with the calendar year, followed by essentially annual reporting. Will this remain the same or are there changes and, if so, what is the new schedule?</p> <p>2. Will we be expected to upload the full lump-sum excel file with all tabs per beneficiary, or will it be sufficient to upload only the summary tables in</p>	<p>1. Our intention is that the reporting periods are kept aligned with the calendar year.</p> <p>2. For the proposal stage, the full excel files should be uploaded in the participant portal including all tables (Zip file containing the financial Excel table and the consolidated table). This is essential for the evaluation of the proposal.</p> <p>3. It is up to each beneficiary to categorise its personnel relevant to the tasks to be carried out. The excel file is not editable as it covers all the necessary categories of costs.</p>

	<p>the tabs "BE-WP Overview" and "Proposal Budget"?</p> <p>3. What is the expected split between scientists and technicians in the personnel categories (if possible to give example what category of personnel goes to the different categories of personnel)? Is there a rule on this or would each partner classify their own personnel? How far can the excel file be edited? Can we add or delete rows? Can we add or delete tabs?</p> <p>4. Will it be acceptable to the JU to use the same monthly rates across the WPs for the same partner? - Will it be acceptable to use only or primarily the first three personnel categories in the table (accounting for cost that is not included there in either IKOP or as part of indirect cost)?</p> <p>5. Are we correct to assume that the 44.44% of total project cost describe the total EC contribution and NOT the size of the H2020 budget? Opinions on this point seem to differ, but material used to explain the funding rules at the start of the JU appears to support this view.</p>	<p>4. The financial evaluation of the proposals will be based on the information provided in the excel file. For this reason, the applicants should indicate the appropriate resources to be engaged on the project.</p> <p>5. "The Requested EU contribution" per project and per member shall correspond to maximum 44.44% of the total project costs.</p>
<p>45</p>	<p>S2R-OC-IPX-02-2018 – Transversal exploratory research activities and knowledge transfer</p> <p>I would like you to clarify a question in regards to the S2R call in the subject of this e-mail.</p> <p>A number of organizations are contacting us as they consider we are a relevant stakeholder for this call. They are calling us to be partner but with clear role in support to the organization of relevant workshops, etc. (i.e. no funding for the secretariat</p>	<p>According to H2020 rules, the minimum participation for CSA actions is of at least one legal entity established in an EU Member State or Horizon 2020 associated country (article 9.4 of the H2020 rules for participation).</p> <p>This legal entity can be: a) any legal entity established in a Member State or associated country, or created under Union law; (b) any international European interest organisation (meaning an international organisation, the majority of whose members are Member States or associated countries, and whose principal objective is to promote scientific and technological cooperation in Europe); (c) any legal entity established in a third country identified in the work programme.</p> <p>If your company is included in any of the three previous categories, it is allowed to participate in the S2R JU 2018 open call for proposals.</p>

	<p>tasks). We consider we are not eligible according to the call text, no matter the separation of activities; we cannot participate in a consortium. On the other hand, we also think further engagement of our network could add value to the envisioned action.</p> <p>Could you please clarify if my company is excluded as potential beneficiary?</p>	<p>Please also note that the project must not subsidise any direct or indirect costs (e.g. secretariat) of the ETP organisations. In kind contributions from additional stakeholders are welcome.</p>
46	<p>If we now do a practical example on the application of lump sum in the context of S2R:</p> <p>Let's say (rounded numbers, example only) Plan: WP1 lumpsum = 100.000 EUR Total cost estimation at submission: 225.000 EUR</p> <p>Actuals (at end of WP1, middle of project) Total costs of WP1 at end of WP1 = 120.000 EUR (effort was overestimated) 44,44% of the total costs of WP1 at end of WP1 = 53.000 EUR</p> <p>Can we then just say in H2020 reporting that lumpsum is 100.000 EUR but we just request 53.000 EUR?</p> <p>And now, what happens, if at the end of project we have a WP2 completed:</p> <p>Plan: WP2 lumpsum: 100.000 EUR Total costs estimation at submission: 225.000 EUR</p> <p>Actuals (at the end of WP2 = end of project) Total costs of WP2 400.000 EUR 44,44% of the total costs of WP2 at the end of WP2 = 178.000 EUR</p>	<p>For the payment per WP and the question on IKOP, please refer to the Question 42.</p> <p>As complementary information: On the example of WP1: No, once the WP is completed, the corresponding lump sum will be claimed and paid in full. On the example of WP2: No, lump sum amounts cannot be offset amongst itself. As a consequence, we confirm that the lump sum amount should always be claimed. The beneficiaries can request for a project amendment should re-allocation amongst WP be necessary, and before the end of the corresponding reporting period. In addition, in case no amendment is done, and in this specific example, the WP "loss" will be absorb by the WP "gain" from treasury point of view.</p>

	<p>As we can then just request the lumpsum of WP2 = 100.000 EUR, can we then charge the unused 47.000 EUR in WP1 at this point in time in order to balance the 44,44%?</p>	
47	<p>I have some questions regarding the S2R-OC-IPX-03-2018 call.</p> <p>It is mentioned in the scope of the call:</p> <p>“The S2R JU expect to finance four proposals from universities or similar high level institutes covering each at least one PhD student activities.”</p> <p>And in the Annual Work Plan document, it is mentioned that an expected amount of the value of the action of 500 k€.</p> <p>I suppose each proposal/consortium must have at least one partner from at least three European Union countries. If S2R is supporting four proposal, each should be around 125 k€, and each partner with an average of 41.6 k€. Am I right? Or there can be proposal with a single university from one country and applying with a 125k€ proposal?</p>	<p>According to H2020 rules, the minimum participation for CSA actions is of at least one legal entity established in an EU Member State or Horizon 2020 associated country (article 9.4 of the H2020 rules for participation).</p> <p>This legal entity can be: a) any legal entity established in a Member State or associated country, or created under Union law; (b) any international European interest organisation (meaning an international organisation, the majority of whose members are Member States or associated countries, and whose principal objective is to promote scientific and technological cooperation in Europe); (c) any legal entity established in a third country identified in the work programme.</p> <p>If your company is included in any of the three previous categories, it is allowed to participate in the S2R JU 2018 open call for proposals.</p>
48	<p>In the Amended Annual Workplan and Budget 2018 of 4.01.18 you have changed in the IP3-01 Open Call the text referred to addressing the WS. Before it was said that all WS need to be addressed and now you say that one or both WS can be addressed. First question is, apart of being possible to fund a single proposal with the two WS being addressed, if you foresee as well to fund a maximum of 2 proposals in total (one for WS1 and WS2, each with the indicative budget) for this call. Or if you will fund only one proposal</p>	<p>In principle, the S2R total annual budget available allows for retaining for funding one proposal per topic only where not explicitly mentioned otherwise.</p> <p>The possibility of financing more than one proposal per topic may result from available budget due to cases such substantially lower requests for financing in one topic, no award of proposals in one topic, etc. The final decision belongs to the S2R GB.</p> <p>Yes, the latest version is the Amended Annual Workplan 2018, of 4 January 2018, which is the only version used for the publication of the Call 2018.</p>

	<p>independently of how many WS are addressed.</p> <p>Second question is, if the amended text can be considered now definitive until submission.</p>	
49	<p>I am writing with reference to the Shift2Rail call and specifically the topic of S2R-OC-IPX-03-2018: Innovative/breakthrough mobility concepts (with rail as backbone). As far as I understand Open Calls require that applications meet standard H2020 prerequisites. That would mean that the application must come from at least 3 partners from 3 member states. Is that correct? From the context I would understand that one university (or high level institution) would be eligible to apply for one of the research positions without creating a consortium. Is that assumption correct?</p>	<p>Please refer to question 47</p>
50	<p>Could you please also clarify the theme you are expecting for S2R-OC-IPX-03-2018: Innovative/breakthrough mobility concepts (with rail as backbone)?</p> <p>I am considering to submit an application with the support of XXXXXXX University. The research would apply the findings of recent findings in bicycle and train integration as described in the linked OECD study. https://www.itf-oecd.org/improved-cycling-transit-integration-synergies</p> <p>A recent EU funded project, the Bitibi (www.bitibi.eu) also found that the integration of cycle share schemes to the railway network led to doubling the railway's ridership in the Netherlands.</p> <p>Based on the above findings I would be interested to expand these studies to regions where S2R JU members operate and to understand the social</p>	<p>As indicated in the topic text, "This topic aim to challenge the traditional rail approach with innovative and breakthrough concepts from a non-linear approach to existing technological evolution" on the following thematic "Innovative/breakthrough mobility concepts that keep rail as backbone of a sustainable European Transport system". It is up to the applicant to decide what it considers appropriate to propose for best answering the call text.</p>

	<p>and economic impact of the new intermodal transport choice.</p> <p>Is this something the S2R JU call could consider or will the call prefer more engineering based solutions?</p>	
51	<p>First question: What does "completed" mean? Would it mean to deliver the technical results as of the DoA (obviously) but also to spend the whole budget? Would a WP be not "completed" if the total budget is not spent even if the technical goals are reached?</p> <p>Second question: This is a R&I programme so there is always the possibility of failing. What would it happen if the research activity concludes that a technology or prototype is not feasible (i.e. the DoA goals are not fulfilled) but still the whole budget is spent?</p> <p>Third question: What if a partner underperforms? Would the other WP contributors have their payment retained or rejected?</p>	<p>Question 1. Yes, completed means all technical activities related to the WP have been finalised - or that the JU considers them as completed; considering that the S2R Programme deliver Research and Innovation, the overall result may differ from the initial expectations or demonstrate why the initial expectations cannot be met. The full budget spent won't be verified by the JU during the reporting periods. Please refer to the questions 42 and 46.</p> <p>Question 2. The WP completion will be assessed by the JU and a failure demonstrated by R&I could also be considered as an acceptable result provided there is evidence for it; in that case the corresponding lump sum amount will be paid. Projects under Research and Innovation activities may indeed conclude that a technology or prototype is not feasible. Again, there is no verification made on the budget expenditure per WP during the project life cycle.</p> <p>Question 3: it will be assessed by the JU under the reporting period assessment. If the WP is considered as not completed following the partner underperformance, the consortia will be invited to resubmit in the next reporting period. Till the final one if necessary, in which the JU could finally decide of a possible partial release of the WP lump sum - thus allowing the other project partners to be paid their own share.</p>
52	<p>I heard that Shift2Rail intends to use lump sum pilot grants in 2018. Could you please provide me with some more information on this issue?</p>	<p>For more information about the Lump Sum please check the slides of last webinar on lump sum on our website: https://shift2rail.org/about-shift2rail/reference-documents/#collapseSeven</p> <p>under "information material".</p> <p>Please be aware that under the Call 2018 we are piloting the lump sum applies only to the CFM topics, where only S2R JU Members are eligible to participate. For the Open Call topics (where the S2R JU Members are excluded) the normal H2020 Model Grant agreement applies, with funding through reimbursement of requested and accepted eligible costs.</p>
53	<p>With the lump sum, will the project coordinator have the authority and the responsibility to consolidate all the beneficiaries' financial information to the lump sum Financial Excel Tables? Who will fill in</p>	<p>The S2R JU recommendation is that the project coordinator should indeed take the responsibility to consolidate the financial input received from the project consortium's beneficiaries into the Financial Excel Tables as one unique consolidated document (Zip file containing three Financial Excel Tables templates allowing you to accommodate project proposal up to 30 beneficiaries and the consolidated table) that will be uploaded in the Participant Portal at proposal submission.</p>

	<p>the financial info in the lump sum spreadsheets? I and the financial statements on the different reporting periods? This might generate disclosure of information between parties that should be private</p>	<p>Nevertheless, the JU will look how to address the issue on confidential personnel costs financial data in a next release of the Excel Financial Table. This will be addressed by the end of March at the latest.</p>
54	<p>Where could we find the Zip file containing the 3 Financial Excel Tables (3 templates allowing you to accommodate projects up to 30 beneficiaries) and the consolidated table (for the budget for proposal and budget per WP (with TPC/IKOP) for the GAP phase)</p>	<p>When you enter the Participant Portal - S2R JU 2018 CALL- select the topic of your preference. At the bottom of the page, you click on start submission and at the fifth step, you will be able to download the Annex B and A plus the Zip file. They are all located at the same stage.</p>
55	<p>With the lump sum: 1) Is there a financial check at proposal level? 2) Will the tools supplied help calculate the budget for the project accurately? 3) When a consortium with members from different countries with different economic strengths declare salary costs, they cannot declare the same values for the same positions, due to their different economic realities. How can we address this issue?</p>	<p>1) Yes, there will be a financial check at proposal level. This happened already for the previous call 2015-2016 and call 2017 evaluation. However, with lump sum approach, the financial verification of proposals will be done more in depth, with the review of the Financial Excel Tables that you will upload in the Participant Portal when you are submitting your proposal. The objective is to ensure that the lump sum share requested per beneficiary and per Work Package is coherent with respect to the technical work described in the Annex 1 of the proposal.</p> <p>2) At proposal level and during the GAP phase, the Financial Excel Tables (as well as the consolidated table made available by the JU) provides the necessary support to have your project budget calculated accurately per beneficiary, per work package and per total estimated budget for the project. Once finalised, the project figures that you obtain in the consolidated Excel Table can be copy/pasted in the Participant Portal:</p> <ul style="list-style-type: none"> - Tab "Proposal budget" should match exactly the "Budget for the proposal" table that is included in the template for the Part A of the proposal. - Tab "BE-WP Overview" will to be used as a template for the Annex 2 during the GAP phase if your project proposal is successfully retained for funding. <p>3) In case this would apply at beneficiary level, there is no problem considering each beneficiary can fill in its own tab in the Financial Excel Table.</p> <p>in case this difference of salary costs would apply between a main beneficiary and its Linked Third party(ies), there is still the possibility to use specific salary costs for the beneficiary (Tab "BEx" - column C) and the specific one for the LTP (same tab "BEx" - column F). Should a beneficiary has several LTP, all of them have to be included as one single 'third party' per beneficiary. Therefore, their costs per categories should also be consolidated. We remind you that, according to H2020 rules, a LTP does not charge a price, but declares its own costs for implementing the action tasks.</p>

56	<p>Questions on lump sum:</p> <p>1) Is this method compulsory for projects which are going to start in 2018?</p> <p>2) Is this method applicable in projects which are actually running?! (i.e. from call 2015-2016 or 2017) in this case, how can we apply it?! If yes, should the consortium modify the GA?</p> <p>3) For what concern the AUDIT, seems that where will be only technical audit concerning activities/ materials/ prototypes /IPR. Is it also valid for already running projects?</p>	<p>1) Yes. According to its Annual Work Plan (AWP) 2018, the S2R JU has decided to enter in a test phase making use of lump sum grants for the call open to S2R Members. Therefore, the lump sum approach is only applicable to CFM topics (i.e: topics listed in Annex 1 of the AWP).</p> <p>2) No, the lump sum pilot project only applies to S2R JU Call 2018 CFM projects.</p> <p>3) No, as per the answer to your question 2) above. For audit issues on running projects, please refer to the terms of the signed grant agreement (Article 22).</p>
57	<p>We know that the call now that is formally open. We are very interested in this call but have a few questions:</p> <p>1. Given these are PhD applications, is there a different form and different set of evaluation criteria to complete?</p> <p>2. I understand that there is particular interest here in social science / non-pure technical research – is that correct?</p> <p>3. I understand that Universities are probably expected to apply on their own – and you will fund up to 4. Do you envisage Universities therefore applying for say 4 studentships – in which case I am wondering would you then perhaps award say 2 of those and give 2 to another University – in other words, is it an all or nothing approach here? I am wondering whether to apply for just 1 or 2 on the grounds that we would be unlikely to get all 4, or whether we should make a bid with 4 PhD ideas and you might choose the ones you like from that?</p> <p>4. Related to point 3, are you interested in critical mass – i.e. a doctoral training centre type model or really just to select 4 good ideas, potentially from 4 different Universities</p>	<p>1. As referred in the S2R JU Work Programme 2018 (AWP 2018), section 2.3.6 "Evaluation rules", Part H of the General Annexes to the EC Horizon2020 Work Programme 2018-2020 applies, including for PhD applications (http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2018-2020/annexes/h2020-wp1820-annex-ga_en.pdf).</p> <p>2. The topic "S2R-OC-IPX-03-2018: Innovative/breakthrough mobility concepts (with rail as backbone)" is a PhD research, looking to challenge the traditional rail approach with innovative and breakthrough concepts. it is identified as Coordination and Support Action (CSA), therefore no Technological Readiness Level (TRL) of the research results is required.</p> <p>3. As indicated in the AWP 2018, in the topic "S2R-OC-IPX-03-2018: Innovative/breakthrough mobility concepts (with rail as backbone)", the S2R JU expect to finance four proposals from universities or similar high-level institutes covering each at least one PhD student activities. According to the H2020 rules for participation (article 9), in the case of coordination and support actions, the minimum condition shall be the participation of one legal entity. Legal entity' means any natural person, or any legal person created and recognised as such under national law, Union law or international law, which has legal personality and which may, acting in its own name, exercise rights and be subject to obligations (article 2). This definition includes the participation of universities.</p> <p>4. See answer 3 above.</p> <p>5. As mentioned in the call topic, the period between 12 to 36 months is indicative and relate to the PhD research. Be aware that selection criteria include 'financial capacity' and 'operational capacity. Award criteria include 'excellence, impact' and quality and efficiency of the implementation.</p> <p>6. As mentioned in the topic, "The PhD researchers are expected regularly to liaise with the S2R JU and to present their research findings to the S2R events, including those organized with the European rail Research Technological Platform and submit scientific papers to relevant conferences (e.g. TRA, WCRR, etc. but also non-rail related). This action</p>

	<p>5. It mentions funding for 12 to 36 months – so does that imply that you welcome match-funded arrangements – and is that a selection criteria?</p> <p>6. How far are interfaces with other S2R projects important here?</p>	<p>may be requested to provide relevant inputs to the European rail Technology Platform.” Additionally, As mentioned in the S2R AWP, the challenge of the topic "S2R-OC-IPX-02-2018 – Transversal exploratory research activities and knowledge transfer" is also to consider, incorporate and further elaborate on the results of the topic S2R-OC-IPX-03-2018 in order to leverage the effect from a broad community of rail stakeholders (represented in the ETP) with transfer of knowledge and specialised PhD research activities.</p>
58	<p>Dear Sir / Madam,</p> <p>Please can you explain where I can find and download the full descriptions for all current open s2r calls? In particular, or rather more urgently, I need to see the full description for the “paradigm shift” call.</p> <p>Topic identifier: S2R-OC-IPX-01-2018</p>	<p>You can find all the S2R call topics 2018 and the information on how to apply in the H2020 Participant Portal at the following address: http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/h2020/calls/h2020-s2rju-2018.html#c.topics=callIdentifier/t/H2020-S2RJU-2018/1/1/1/default-group&callStatus/t/Forthcoming/1/1/0/default-group&callStatus/t/Open/1/1/0/default-group&callStatus/t/Closed/1/1/0/default-group&+identifier/desc</p> <p>In particular the full topic descriptions are insert in the Shift2Rail 2018 Annual Work Plan: http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/jtis/h2020-wp18-shift2rail_en.pdf</p> <p>Please be aware that the call will close on April 24, 17h.</p>
59	<p>Where can I find the participants awarded a contract from a particular S2R call?</p>	<p>All the grant awarded in the course of a financial year are published annually - before the 30 June of the year following the year of the signature of the grant agreement - in the S2R JU web site at the following address: https://shift2rail.org/participate/recipients-shift2rail-funds/</p> <p>Therefore, the grant awarded under the S2R JU call for proposals 2018 will be published in this web site on 30/06/2019 at the latest.</p>
60	<p>Dear Shift2Rail team,</p> <p>I am assisting a consortium who is preparing a proposal.</p> <p>We are in search of the lump sum table document (s. attachment) as an excel file.</p> <p>Do you happen to have this ready?</p>	<p>When you enter the Participant Portal - S2R JU 2018 CALL- select the topic of your preference. At the bottom of the page you click on start submission and at the fifth step you will be able to download the Annex B and A plus the Zip file. They are all located at the same stage.</p>
61	<p>We contact you concerning the three projects Paradigm shifts for railway, Innovative/breakthrough mobility concepts and Semantic framework for multimodal transport services. As a small research company for mobility innovation and economics, we would like to know if there are any consortia</p>	<p>You are interested to participate in 3 S2R 2018 call topics, two topics considered as research and innovation actions (RIA) - S2R-OC-IPX-01-2018 and S2R-OC-IP4-01-2018) and one topic considered as coordination and support action (CSA- S2R-OC-IPX-03-2018). You are looking for partners during the preparation of the call for proposals. According to the H2020 rules of participation (article 9), for RIA actions at least three legal entities shall participate in an action and shall be</p>

	<p>potentially looking for such a partner to join them.</p>	<p>established in a different Member State or associated country. Legal entity' means any natural person, or any legal person created and recognised as such under national law, Union law or international law, which has legal personality and which may, acting in its own name, exercise rights and be subject to obligations (article 2). However, for CSA actions, the minimum participation is of at least one legal entity established in an EU Member State or Horizon 2020 associated country (article 9.4 of the H2020 rules for participation). It is up to the legal entity (including research companies) to decide on the companies that will be participate in the in the S2R JU 2018 open call for proposals.</p> <p>Shift2Rail, as funding authority, cannot intervene in the creation of consortia. We regularly facilitate although the dissemination of the call, though S2R information days at the launch of the call where we encourage networking among participants.</p>
<p>62</p>	<p>We have looked at the answers on the web site and still feel that the process seems unclear.</p> <p>We are very keen to apply under this call but the concern is that without knowing the evaluation criteria, it is risky to make an application.</p> <ul style="list-style-type: none"> • In particular, would we use the same form as for a standard project? And if so, I presume that the same level of detail as for a standard project would not be expected? • Given the aim to fund students for 12 to 36 months does that mean that obtaining match funding is a criteria for selection? By this I mean, if we ask for just 12 month funding for one student, with the rest funded elsewhere, would that be more favourably received than one asking for 36 month funding for 1 student? • Finally, if we put forward an application for four studentships would the whole bid either be accepted or not (so 4 students or zero), or might you select one of the four? <p>It would be very helpful to get some more guidance as this is something we are keen to apply for in principle as our work is very much in the cross-cutting themes area.</p>	<p>Please refer to the answer provided in question 57 sub-question (5).</p>

<p>63</p>	<p>Dear Madam/Sir,</p> <p>I have few questions concerning TRL definitions, as we need to ensure that what will be developed and demonstrated is fully in line with the TRL definitions defined in Shift2Rail (aligned with H2020 rules):</p> <p>1) Shall “Technology” (see for example TRL6) be read/understood as DEMONSTRATOR ?</p> <p>2) The word “Prototype” appears only in TRL7; IP3-01 Open Call, for example, must reach TRL5/6 and therefore it seems to us that no prototype should be developed. Shall all WP descriptions reaching TRL6 avoid to use the word Prototype? In order to avoid to go off topic.</p> <p>3) If not real test, what does “Relevant environment” mean exactly? Could you please provide an example?</p>	<p>You can find the Technology Readiness Level definition here: https://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2018-2020/annexes/h2020-wp1820-annex-g-trl_en.pdf</p> <p>1) TRL 6 clearly implies a demonstration.</p> <p>2) The choice of the appropriate level of answer to the topic request is up to the applicant, considering the topic description and the required TRL level. Per se, the word Prototype is not banned for TRL lower than TRL7.</p> <p>3) Examples include testing a technology in a high fidelity laboratory environment or in simulated operational environment.</p>
<p>64</p>	<p>In the framework of the ongoing IP2-01 Call on Moving Block and Virtual Coupling, would it be possible that you give us the contact person who is leading the X2Rail-1 WP5 on Moving Block?</p>	<p>Details concerning the X2Rail-1 project (S2R-CFM-IP2-01-2015), in particular the Coordinator contacts, as well as all the S2R JU projects already granted can be found in the S2R JU web site: https://shift2rail.org/projects/</p>
<p>65</p>	<p>Could you please clarify if the “development of proposals for a modernised design approach including design limits for bridges and the interface with rolling stock” part of the scope of the topic S2R-CFM-IP3-01-2018 should be focus on an infrastructure manager point of view? Can it be focused only on one high-speed network? Which INF TSI open points should be closed? Can we cooperate with CEN experts?</p>	<p>The applicant should submit a proposal deciding what is the best approach to cover the appropriate “understanding of dynamic effects based on tests or simulations in a relevant environment” and “design limits for bridges and the interface with rolling stock”. The participation of rolling stock manufacturers/operators and infrastructure managers in the project is possible.</p> <p>The topics text also indicated “for high speed lines” and that “It is expected that the results will pave the way for the closure of the related open points in the INF TSI”, therefore the approach should be European-wide in support of the development of the Single European Railway Area and the analysis should be done in the more than one network. The applicants can “pave the way for the closure of the related open points in the INF TSI” addressing the topic scope and therefore by defining the missing part of the target system requirements for new and existing bridges and by defining the missing harmonised methodology to perform the compatibility check between trains and bridges.</p> <p>The applicant should submit a proposal deciding what is the best approach to answer the text and a collaboration with CEN experts is possible in compatibility with the H2020 rules for participation. S2R JU is also collaborating with CEN management.</p>

<p>66</p>	<p>We are looking to bid for S2R-OC-IP3-01-2018, however, we are slightly confused by the Innovation Action funding mechanism, and whether there are specific Shift2Rail rules (over and above standard H2020 rules) around this topic.</p> <p>The call states that the value of the action is 6,785,714 Euro, with a maximum of 4,750,000 Euro funding available and an in-kind contribution of 2,035,714 expected. In a standard H2020 Innovation Action, industry would be funded at 70% costs, while universities are funded at 100% costs (i.e. industry would be providing a 30% 'in-kind contribution'). Is that intended here (i.e. if universities are involved the in-kind contribution could be less than 2,035,714 Euro), or is there a necessity whatever the make-up of the consortium for there to be a contribution of 2,035,714 Euro?</p>	<p>The key amount is the S2R funding made available by the JU. The grant can never reimburse more than the maximum grant amount fixed in Article 5.1 of the Grant Agreement. As a general principle there is only one funding (reimbursement) rate per action, the same for all activities and all beneficiaries of the action (one project – one funding rate). Innovation Actions are funded up to 70%. However, if non-profit beneficiaries or non-profit linked third parties are partners of an Innovation Action - alone or together with profit beneficiaries/linked third parties - their eligible costs will be reimbursed according to their different reimbursement rates, up to 100% (article 27 of the H2020 Rules of Participation). Considering the indicated values on the call: at this moment, the exact composition of the consortia could not be predicted. However, by applying the estimate that all parties are financed up to 70% funding rate, we may reach a total project value of EUR 6,785,714. If this condition changes, so that all beneficiaries and linked third parties would be non-profit hence having a possibility of up to 100% funding rate, the total project value may result to EUR 4,750,000. All the options between these two extremes are possible.</p>
<p>67</p>	<p>We are preparing a proposal for an open call (on long trains simulation and radio communication) due on April 24th, which is to be complementary to a CFM call for associated members. We have understood that nobody from associated members groups (including subsidiaries or controlled company) is allowed be involved in our consortium and remunerated by the funding of the project. Are we authorized to say, and write in the proposal, that we will create, after the result of the proposal, if we are selected and funded, an advisory board involving persons of associated members with no remuneration whatsoever, to advise us for a wider applicability of the results to other railway companies or other manufacturers and to ensure the best alignment with the CFM project with which we are complementary? In case these advisory board meetings would need justified travel costs for our advisory members, shall we be authorized to reimburse them.</p>	<p>Article 17 of the S2R JU Establishment Regulation (Allocation of the Union contribution) states that (a) up to 40 % shall be allocated to founding members, other than the Union, and their affiliated entities; (b) up to 30 % shall be allocated to associated members and their affiliated entities; (c) at least 30 % shall be allocated by way of competitive calls for proposals and calls for tenders. Based on this rules, in the S2R JU Annual Work Plan (AWP) 2018, different eligibility conditions apply for S2R JU members and S2R non-JU members. In section 2.2.4 is mentioned the call for proposals and/or Call for tenders where S2R JU members are eligible only (topics labelled as CFM) as well as the the open call for proposals where non-JU members are eligible only (topics labelled as OC).</p> <p>Regarding the question whether an affiliated entity (subsidiaries or controlled company as you mentioned) of a S2R Member can be part of an Open Call and then be remunerated or participate under an Open call topic, the answer is not. As mentioned in the S2R JU AWP 2018 (section 2.3.4), In line with the distinction between different types of calls for proposals, the JU distinguish between two types of calls for proposals with specific eligibility conditions:</p> <p>1) competitive calls for proposals, which, pursuant to Article 9.5 of H2020 Rules for Participation and Article 17.1(a) and (b) of S2R JU Statutes, will restrict the type of beneficiary to JU Members (founding and associated), and their affiliated entities. In the case of Members in the form of consortia or groupings of legal entities, the individual constituent entities</p>

		<p>of these consortia or groupings, and the affiliated entities of these individual constituent entities, are eligible to participate in the restricted calls for JU Members;</p> <p>2) and open, competitive calls for proposals that, pursuant to Article 9.5 of H2020 Rules for participation, will be addressed only to entities that are not Members of the S2R JU (founding or associated), nor constituent entities of Members in the form of consortia or groupings, nor affiliated entities either to the S2R JU Members or to the constituent entities of Members in the form of consortia or groupings.</p> <p>Therefore, following the eligibility condition (2), an affiliated entity of a S2R Member (founding and associated) cannot participate in S2R call topic labelled as an “Open Call” in the S2R JU AWP 2018.</p> <p>With regard to the creation of an advisory board after the start of the project activities, if you are awarded with the grant, we do not see objections to announce it in the proposal but we would advise not to mention the composition at the time of the submission; the reason behind is due to the fact that the definition of the composition as you propose may fall within the aforementioned provisions on affiliated entities and/or LTP.</p> <p>(*) Legal definitions in H2020 Rules of participation :</p> <ul style="list-style-type: none"> • ‘Affiliated entity’ means any legal entity that is - under the direct or indirect control of a participant, or - under the same direct or indirect control as the participant, or - directly or indirectly controlling a participant. • ‘Third party with a legal link to a beneficiary’ is any legal entity which has a legal link to the beneficiary implying collaboration that is not limited to the action.
68	<p>We have the following questions regarding proposals for an OC topic in the 2018 call:</p> <ol style="list-style-type: none"> 1. What is the minimum and maximum duration allowed for the proposed project? 2. We have several S2R JU members interested in the proposal, but we know they cannot be beneficiaries. We don't contemplate having them as subcontractors either. Is there an acceptable informal way to give such entities access to the project results, and opportunity to provide feedback as an unpaid contribution? (e.g. members of an Advisory Board) 3. Is there any limitation for regional government entities to be beneficiaries? 	<ol style="list-style-type: none"> 1. The duration and the starting date of the action is indicated in Article 3 of the GA. The starting date is usually the first day of the month following the date when the GA enters into force. The GA enters into force when the last party signs it. The action or project duration relates to the period during which the action tasks (set out in Annex 1) are implemented, therefore there is no minimum or maximum duration for the proposed project; It is up to the participant to suggest the best approach in terms of duration. 2. Members can be involved in an advisory board and there are a number of call for members projects (projects labelled CFM) which are complementary to open calls (topics labelled OC) in the S2R AWP 2018, where interaction will be necessary (i.e: S2R-CFM-IP5-01-2018). 3. According to H2020 Rules of participation, any legal entity, regardless of its place of establishment, or international organisation may participate in an action. Therefore, there is no limitation for national (central, regional or local) authorities or public bodies to be beneficiaries. Nevertheless, you must take into consideration the principle of non-cumulative award ("double funding"), i.e the rule that prohibits the award of more than one grant funded from the Union

	<p>4. Is an acceptable practice to provide letters of support from interested parties outside the consortium? If so, can they be included in Section 4, so that they do not count against the page limit?</p>	<p>budget to the same beneficiary for the same action. 4. Letters of support are not requested.</p>
<p>69</p>	<p>“Compared to Research and Innovation Actions (RIA), Innovation Actions (IA) are only funded 70% under the Horizon 2020 framework. These changes should be reflected within the calculation of the projects. Considering that the S2R co-funding is about 44% for IAs and RIAs (see “Amended Annual Work Plan and Budget for 2018” p 17/18). How should these differences be translated in the project calculation?</p>	<p>In accordance with Art 16 (3) of the S2R statutes annexed to the S2R Establishment Regulation, the S2R Members (other than the Union and including their affiliated entities) contribution in in-kind consists of the costs incurred by them in implementing indirect actions (hence the total project cost) minus the contribution of the S2R JU and any other Union contribution to those costs. This formula is applied regardless of the co-funding rate. Consequently, the maximum requested contribution of 70% of H2020 budget under IA should be equal to the 44.44% co-funding of the Total Project Cost.</p>
<p>70</p>	<p>We would like to raise a question regarding the relationship between the Beneficiary and a Linked Third Party in the S2R Open Call for proposals.</p> <p>According to the Annotated Grant Agreement (p. 151, art. 14) – the two conditions set out for the Linked Third Party are that they are (1.) broad and not specifically created for the work in the GA; and that they form (2.) a legal relationship.</p> <p>Thus, is it possible to conclude that according to the H2020 rules, one entity (Beneficiary in the consortium in the S2R OC) may include into the project another entity as a Linked Third Party to which it has a customer-supplier relationship? (In case the first entity (Beneficiary in the OC S2R) is in a position of a supplier to the second entity (potential Linked third Party), it shall be a legal relationship not created specifically for the work in the GA.)</p>	<p>Following the H2020 rules, you must differentiate in the model S2R Grant Agreement, the rules between subcontractors (Article 13) and contractors (Article 10) on one side, and linked third parties (Article 14) on the other. According to the H2020 AGA (http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf), article 14 (Implementation by linked third parties) should be interpreted in the sense that the beneficiaries should have a legal link with the linked third parties (LTP) not limited to the action and not based on a contract for the purchase of goods, works or services or the implementation of specific action tasks. Therefore, if the relationship is based only on a customer-supplier relationship, the entity cannot be considered as a LTP. In case of purchases of goods, work or services, article 10 of the model S2R Grant Agreement applies. In this case, beneficiaries have a contractual link with contractors or subcontractors having as their object the purchase of goods, works or services or the implementation of specific action tasks. For the rules for purchasing goods, works or services please refer to Article 10 of the AGA.</p>

71	<p>I am writing to ask information regarding the Open Call S2R-OC-IPX-03-2018: Innovative/breakthrough mobility concepts (with rail as backbone).</p> <p>In particular, I would like to know if the duration of the project can be shorter than the duration of the PhD research activities.</p>	<p>As mentioned in the call topic, the period between 12 to 36 months is indicative and relates to the PhD research. Please be aware that selection criteria include 'financial capacity' and 'operational capacity'. Award criteria include 'excellence', 'impact' and 'quality and efficiency of the implementation'.</p>
72	<p>Can we make use of average personnel costs in the Lump Sum Financial Excel Table?</p>	<p>There is no specific provision on the use of form of costs (actuals, unit, average personnel costs, etc.) in the Lump Sum Model Grant Agreement. As stated in the S2R JU AWP 2018, "the methodology for establishing project-specific lump sums, based on cost estimation in the proposals is indicated in the Annex to the Commission decision C(2017) 7151 of 27 October 2017 (http://ec.europa.eu/research/participants/data/ref/h2020/other/legal/lump_sum/lumpsumdecision_en.pdf) and applies mutatis mutandis to S2R JU grants", which indicates : "(a) The lump sum must be an approximation of the beneficiaries' underlying actual costs". The beneficiaries may explain how the approximation was used in the proposal.</p>
73	<p>Does the lump sum approach for CFM project imply that the beneficiaries need to pay VAT out of the lump sum received from a successful completion of a work package and project?</p>	<p>No, the lump sum approach concern grants for research and innovation activities within the framework of H2020.</p>