



# **The Venture Builder For Human-Centric Solutions**

**LEDGER**  
Grant Agreement N°: 825268  
Start Date:01/11/2018  
Duration:32 months

# **Guide for Applicants (GfA)**

## **LEDGER <sup>2nd</sup> Open Call (November 2019)**

*Applications' submission starts on Friday 1<sup>st</sup> November 2019, at 00:00 (CET).*

*Submission deadline on Friday 31<sup>st</sup> January 2020 at 18:00 (CET)*

*Version 11/09/2019*



*LEDGER is funded by the European Union's Horizon 2020 Research and Innovation Programme  
under the Grant Agreement n° 825268*

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# 1. Overview and summary of the Open Call

LEDGER is a European project financed by the European Commission under the European Union's Horizon 2020 Research and Innovation Programme, and aims at achieving new models that preserve citizens' control over the management of their data, where data is a common good owned by citizens and wealth created by data-driven platforms is equally distributed.

This Open Call aims at selecting 16 teams of human-centric innovators to develop Minimum Viable Products (MVPs) and services, leveraging on decentralised algorithms based on blockchain, distributed ledger technology (DLT), peer-to-peer (P2P) technologies, artificial intelligence, internet of things, immersive media and new connective infrastructure as 5G to address Privacy-by-Design Decentralised Data Governance in any of the 6 defined verticals.

The call is open for applications' submissions from 1<sup>st</sup> November 2019 until 31st January 2020, at 18.00 CET.

The selected applicants will be invited to take part in LEDGER's Venture Builder Programme, a 9 month programme that will help them progress from ideas (at TRL3/4/5) to MVPs (TRL7) and will provide them with funding (up to € 150,000), technical and non-technical support services and access to tools and users.

Of those, 8 best-in-class teams will get additional funding (up to € 50,000) and progress to a 3-months business ignition phase.

## *What types of projects will be eligible?*

Projects must be based in research components that are relevant for the topic of Privacy-by-Design (PbD) Decentralized Data Governance and should consist in the development, test and validation of technical and economic viability of a Minimum Viable Product (this is a representative model or prototype system) to be applied in one or more operational environments, whereby it can contribute to protecting citizens digital sovereignty.

These projects should address specific social or industrial challenges related with one of the challenges described below and its results should be compliant with Free and Open Source Licences (i.e. Open Source Hardware and Free and Open Source Software).

## *What are the defined verticals?*

The defined verticals are: Health, Economy, Mobility, Public services and Energy & Sustainability and an additional generic track on Open Innovation.

## *What challenges can be addressed by the projects in those verticals?*

The LEDGER project has defined sector-specific challenges that can be addressed by the applicant teams in its [Strategic Research and Innovation Work Programme](#). The scope of such challenges is summarized in the lines below:

- **Health:** solutions to leverage patient-generated health data in a decentralised way, leading to a measurable improvement of life conditions of patients and promoting decentralised data governance practices and tools to access data in a secure and disintermediated way, while preserving data integrity. This also encompasses solutions in the field of health insurance data management.

- **Economy:** solutions for new innovative forms of economic interaction between peers, such as crowdfunding, P2P lending and participatory budgeting, which favours disintermediation and standardisation, are reproducible and demonstrate the potentials and manage the risks of embedding governance structures within the rules of algorithmic protocols. There is a rising need to provide novel, qualitative ways of risk mitigation to support the growing scenario of social entrepreneurship.
- **Mobility:** design, implementation and deployment of models to build and pay for services on a decentralised and interoperable mobility ecosystem in domains including urban planning and smart cities, automotive, public and private transport together with mixed mobility. The goal in this vertical is to promote the creation of general frameworks, whereby mobility data is a digital commons and many different entities can join and build new sustainable business models.
- **Public Services:** solutions to make life easier for citizens, public officers and cities by streamlining bureaucratic and procurement processes. These solutions should imply the creation of interoperable public services that put citizens back in control of their data, including solutions in Higher education as a parts of concrete and sustainable upscale innovative services. In any case the goal is to create algorithms that are reusable in different circumstances and adaptable to different needs in different cities
- **Energy and sustainability:** solutions tackling issues such as decentralised renewable energy production, accumulation and exchange, carbon footprint reduction and ocean pollution, alternative food production, tagging and food chain management systems, the creation and distribution of new and less-pollutant materials or the re-use and recycling of existing materials and promoting sustainable decentralised data and business modelling for digital sovereignty in this vertical.
- **Open Innovation:** solutions which don't fit in the previous verticals but still address the topic of Privacy-by-design (PbD) Decentralized Data Governance and meet the requirements to take part in the call. Proposals that have a cross-cutting approach within LEDGER verticals framework focused on the human-centric nature of the solutions are encouraged to apply under this vertical.

More information on the Strategic Research and Innovation Work Programme is available at <https://ledger-2nd-open-call.fundingbox.com/pages/ledger-workprogramme>

#### ***What happens after the proposals are submitted?***

Immediately after the submission deadline (31st January 2020 at 18:00 CET) is over, the evaluation process begins (as described in detail in Section 4 of this Guide).

Experts will evaluate proposals submitted through the online system and score them adequately to the quality of the content presented. The goal of the process is to select 16 teams with the highest scores that will be invited to join the Programme. I

#### ***What will the selected teams get from MVP Builder Programme?***

The MVP Builder Programme, core of LEDGER, consists of 2 phases and 5 stages. The first phase, called Research and Development stage, will consist of the following stages:

- MBP Stage 1 - Welcome. Selected teams will meet during an intensive Welcome Event ending with a matching of the team with a technical mentor and a business mentor.
- MBP Stage 2 - Inception. The teams will work intensively over a 4-weeks period (month 1) to define the road to success with the support of industry, end-users, and mentors.



- MBP Stage 3 - Research & MVP Development. During this stage (months 2 to 6), it will take place the bridging process between Research and Innovation; each team will focus on Prototyping and MVP Agile development.
- MBP Stage 4 - MVP Test. In the following 3 months, the focus will be on Market adoption. The teams will be focused on testing the MVPs with first early adopters and defining Business models.

The second phase, called Business Ignition, includes one last stage:

- MBP Stage 5 - Scalability. The 8 best-in-class teams will access to this stage that will be centred on growth, covering sales, scalability, pivoting and fundraising.

During the first phase, the programme will provide technical support (Researcher-in-Residence type of services) during 9 months, initial business support, technology (access to state-of-art privacy-by-design free and open source software and hardware) and funding (up to € 150,000).

Selected teams will be assigned to a Researcher-in-Residence (RiR), with a wide background in DLT technologies and Social Innovation and overall vision of all the technologies/abilities addressed, who will advise/support the team's development capacities to develop a MVP to be tested in market conditions and to match its' needs with what is technologically feasible.

Of those, 8 best-in-class teams will progress to stage 2, a 3-months Business Ignition stage focused on growth, covering sales, scalability, pivoting and fundraising, and get additional € 50,000 in funding.

Business Mentoring support will focus on stages prior to market readiness like: building proposition and techniques to attract early adopters (i.e. for mock-up or testing), brokerage with early adopters and early investors' feedback.

The results of these bottom-up projects must be compliant with Free and Open Source Licences (i.e. Open Source Hardware, Free and Open Source Software).

More information on the MVP Builder Programme is included in Section 2. Financial support provided.

### ***What will the teams have to deliver to successfully go through the MVP Builder Programme?***

Each Beneficiary will have to comply with the rules set out in the Sub-Grant Agreement. This document will be a legal basis for the financial support provided by LEDGER's partners to the selected teams.

The selected teams will be obliged to hand out the following deliverables during the Research & Development phase of the programme:

- a work plan of the MVP in the first month of the programme,
- a mock-up of the MVP in the third month of the programme,
- an operative MVP in the sixth month of the programme, and
- a market proof of the MVP based on testing by early adopters.

Among those who complete the market proof (undertaken in month 9 of the programme), passing all the milestones of the programme, the best 8 will go into the Business Ignition stage and will have to deliver a business plan in the twelfth month of the programme.

## 2. Financial support provided

The 16 selected teams per open call will become part of the MVP Builder Programme articulated as a totally customized service, where high-level Researchers-in-Residence and top business professionals are specifically allocated to fit teams’ needs and guide them along the whole Programme.

Selected teams will go through an exhaustive sequential process which will last 12 months and will be composed of 2 phases and 5 stages and payments will be done in 6 instalments subject to achievement of certain milestones:

**During the 1st phase** (months 1-9 of the Programme):

- € 25,000 after participation in the Welcome Event (month 0)
- € 25,000 after successfully completing the Work Plan definition of MVP (month 1)
- € 25,000 after successfully completing the Mock-up (month 3)
- € 25,000 after successfully completing the MVP (month 6)
- € 25,000 after successfully completing the Market Proof (during MVP test, month 9).

One last payment of € 25,000 after MVP Builder Programme is fully completed in month 12.

**During the 2nd phase**, (months 10-12 of the Programme), for the 8 best-in-class performers:

- € 50,000 after successful delivery of the Business Plan (month 12).

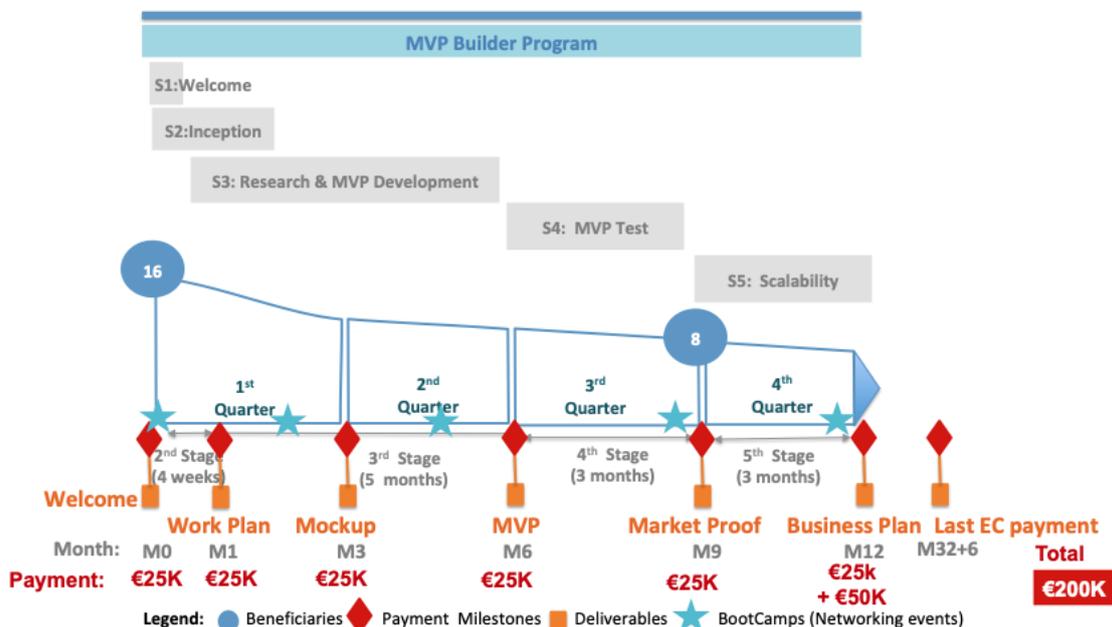


Figure 1: LEDGER MVP Builder Program

To all payments, a 15% retention of the total amount will be applied. This retention will be paid to the Beneficiaries projects once LEDGER project ends and has received the final payment from the European Commission. This should happen 6 months after the project ends. The expected end of the project is programmed for June 2021. Beneficiary that completed given stage will receive the

Detailed payment schedule and payment conditions will be settled in the Sub-grant Agreement.

In both phases, a voucher mechanism will be offered on-demand to provide access to experts and facilities in Europe outside the consortium when these services cannot be provided by LEDGER's partners:

- a Technical & Facilities Voucher (valued up to € 7,200) will be offered to beneficiaries for services such as technological support in DLT, HPC or Data storage, access to infrastructure for research and innovation, support on the development of pilot and demonstration of prototypes or access to IPR or data,
- a Business Voucher (valued up to € 2,400) will be offered to beneficiaries such as Strategy & Biz Model, Product development, Marketing & Sales, Internationalization, Finance & Funding, Management or Legal.

Voucher value will be deducted from the total grant amount.

## 3. Eligibility criteria

All Applicants will have to abide to all general requirements described in this section to be considered eligible for MVP Venture Builder Programme.

Therefore please read this section with attention and care.

### 3.1 Types of Beneficiaries

Teams legally established in eligible countries, with a multidisciplinary configuration **including at least 3 members: researcher, developer and business developer.**

Teams might be composed of:

- minimum 1 and maximum 2 legal persons (SME<sup>1</sup>, research organizations, Higher Education (e.g. university), with a team composed of at least 3 profiles (researcher, developer, business developer/entrepreneur) or
- minimum 3 natural persons (at least a researcher, developer and business development/ entrepreneur)
- mix of natural and legal persons with a team composed of at least 3 profiles (researcher, developer, business development/entrepreneur) .

Gender, ethnic and cultural diversity will be deemed as an indicator of quality. We are encouraging teams with high percentage of female team members to apply.

When there is not a constituted SME, teams of natural persons will be required to provide a written commitment to set up a legally registered SME if reaching “Scalability” stage (Stage 5).

### 3.2 Eligible countries

Only applicants legally established/resident in any of the following countries (hereafter collectively identified as the “Eligible Countries”) will be eligible for the MVP Builder Programme:

- **The Member States of the European Union:** Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, the Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and the United Kingdom<sup>2</sup>.

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<sup>1</sup> A SME will be considered as such, if it complies with the Commission Recommendation 2003/361/EC ([http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition\\_en](http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en)).  
As a summary, the criteria which define a SME are:

- Headcount in Annual Work Unit (AWU) less than 250;
- Annual turnover less or equal to €50 million OR annual balance sheet total less or equal to €43 million.

<sup>2</sup> For British applicants: Please note that until the UK leaves the EU, EU law continues to apply to and within the UK, when it comes to rights and obligations; this includes the eligibility of UK legal entities to fully participate and receive funding in Horizon 2020 actions.  
Please be aware however that the eligibility criteria must be complied with for the entire duration of the grant. If the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in

- **The Overseas Countries and Territories (OCT) linked to the Member States** (Entities from Overseas Countries and Territories) are eligible for funding under the same conditions as entities from the Member States to which the OCT in question is linked): Anguilla, Aruba, Bermuda, Bonaire, British Virgin Islands, Cayman Islands, Curaçao, Falkland Islands, French Polynesia, Greenland, Montserrat, New Caledonia, Pitcairn Islands, Saba, Saint Barthélemy, Saint Helena, Saint Pierre and Miquelon, Sint Eustatius, Sint Maarten, Turks and Caicos Islands, Wallis and Futuna.
- **Countries Associated to Horizon 2020** (those which signed an agreement with the Union as identified in Article 7 of the Horizon 2020 Regulation): the latest information on which countries are associated, or in the process of association to Horizon 2020 can be found at: [http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/hi/3cpart/h2020-hi-list-ac\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/3cpart/h2020-hi-list-ac_en.pdf)

### 3.3 Types of activities

**LEDGER will support activities for the development, test and validation of technical and economic viability of a MVP based in Privacy-by-design concepts.**

Proposals should fulfil the following eligibility conditions:

- Proposals should address specific social or industrial challenges related to one or more of the application domains or challenges, defined within the [Strategic Research and Innovation Work Programme](#),
- Proposals should explicitly address a research component related to the topic of Decentralized Data Governance,
- Resulting MVPs and services should be able to provide a significant improvement in terms of data sovereignty for end users, and
- The results of the bottom-up projects should be compliant with Free and Open Source Licences (i.e. Open Source Hardware, Free and Open Source Software).

LEDGER will only support bottom-up projects that will commit to generate Open Knowledge as result of their projects in the shape of free and Open Source software, and Open Source hardware” and “Open Access” accordingly with the nature of the result, being software, hardware of other intangible piece of knowledge (i.e. research paper).

### 3.4 English language

English is the official language for LEDGER Open Calls. Proposals must be in English in all their mandatory parts in order to be eligible. If video materials are submitted with the proposal, English should be used as spoken language, or at least the video have to be properly subtitled in English.

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particular that British applicants continue to be eligible, you will cease to be eligible to receive EU funding (while continuing, where possible, to participate) or be required to leave the project on the basis of Article 50 of the grant agreement."



If the mandatory parts of the proposal are in any other language, the entire proposal will be rejected. If only non-mandatory parts of a proposal are submitted in a language different from English, those parts will not be evaluated but the proposal is still eligible.

English is also the only official language during the whole length of the MVP Builder programme process. Accordingly, SGA and any requested deliverables will be in English.

### 3.5 Multiple submissions

Though teams could submit multiple applications, neither team member nor any legal entity can be funded twice by LEDGER.

In the case more than one proposal with any similar team members or from the same organisation will be among the 16 selected projects only the one with more points will be funded.

### 3.6 Submission system

Only proposals submitted through the Open Call submission tool at <https://ledger-2nd-open-call.fundingbox.com/> and within the Call duration will be accepted. Proposals submitted by any other means, will not be evaluated.

Only the documentation included in the application form and in the attachments to the form will be considered by Evaluators. The attachments can be in the following formats: PDF, PNG, JPG, AVI, mp4. Please note - the information from the attachments will not be scored by evaluators (this is additional information to support the proposal). The information provided should be actual, true and complete and should allow the assessment of the proposal.

### 3.7 Deadline

Only proposals submitted before the deadline will be accepted. After the call closure no additions or changes to received proposals will be taken into account. The deadline for this call is **31<sup>st</sup> January 2020, at 18.00 CET.**

### 3.8 Absence of conflict of interest

Applicants shall not have any actual or/and potential conflict of interest with the LEDGER selection process and during the whole Venture Builder Programme. All cases of conflict of interest will be assessed case by case. In particular applicants cannot be LEDGER Consortium partners affiliated entities nor their employees or cooperators.

### 3.9 Other

Each applicant must confirm:

- It is not under liquidation or is not an enterprise under difficulty accordingly to the Commission Regulation No 651/2014, art. 2.18,
- Its project is based on the original works and going forward any foreseen developments are free from third party rights, or they are clearly stated,



- It is not excluded from the possibility of obtaining EU funding under the provisions of both national and EU law, or by a decision of both national or EU authority,
- All statements embodied in the Declaration of honour and also the Information and Consent Sheets, included as annexes, considering the ethical issues that might arise concerning the gathering of personal data, during the application process.

Projects focused on military use cannot be funded.

## 4. Summary of evaluation process

The evaluation flow is as follows:

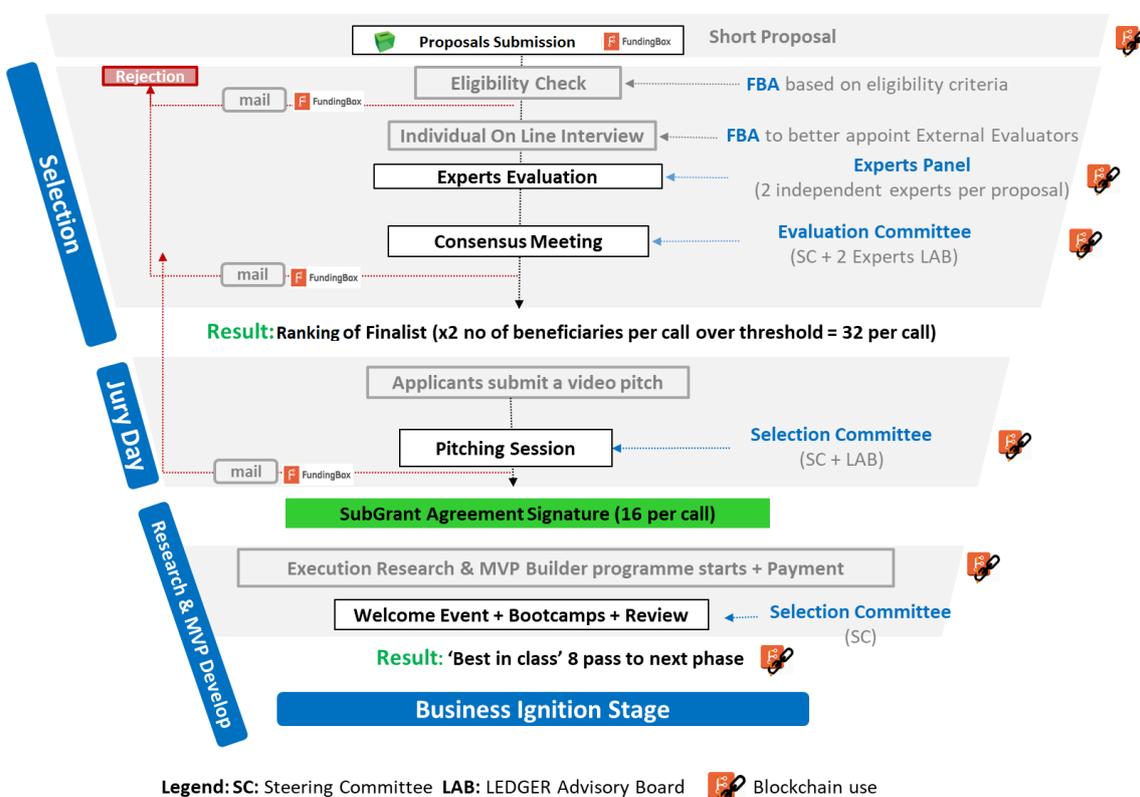


Figure 2: LEDGER Selection Process

### Phase 1: Eligibility Check and pre-scoring

In order to be eligible for evaluation, applications will be checked for compliance with the ELIGIBILITY CRITERIA listed in Section 3. In case that this number of applications will be greater than 100, we will introduce a pre-scoring procedure.

Eligible proposals will then be automatically scored by the FundingBox System, according to the following criteria:

- Team composition and team members' skills,
- Team members' dedication to the project,
- Percentage of female team members,
- Scalability (growth potential and knowledge of potential market),
- TRL (Technology Readiness Level) of the project,
- Research component of the project,
- The way the project is planning to use Free and Open Source Licences (free And Open source software and hardware).

For each item, different weights will be defined. In total teams can get up to 100 points. At least the 60 top ranked applications will form the "Filtered List of Applicants" proposed for experts' evaluation.

Communication to participants: Specific communication will be sent to the applicants eliminated from the selection process after the pre-scoring. An individual communication will be sent to all participants passing the pre-scoring with specifics on pre-scoring results.

## Phase 2: Experts Evaluation

Each proposal will be evaluated by 2 (two) independent experts with wide expertise in privacy-by-design and given industry, based on the following criteria:

### (1). EXCELLENCE will evaluate:

- **Ambition.** The applicants are invited to demonstrate to what extent the proposed experiment is beyond the State of the Art related with the application of privacy by design and decentralized data governance in the operational environment targeted by the experiment and describe the innovative approach behind it (e.g. ground-breaking objectives, novel concepts and approaches, new products, services or business and organisational models). The applicants need to also demonstrate to what extent the proposed experiment leverages on a research component related with the topic of Decentralised Data Governance.
- **Innovation:** applicants have to provide information about the level of innovation within the vertical selected and about the degree of differentiation that this experiment will bring. This should include the definition of concrete performance targets in one or several of the domains described in this Open Call. Moreover, the proposal should state how these performance targets will be achieved.
- **Soundness of the approach:** Applicants have to contribute premises of the proposed ideas.
- **Cross-value chain approach:** The applicants have to provide concrete and verifiable arguments, and/or evidences, regarding to what extent the proposed project will rely upon, or will contribute to, the collaboration and integration of different innovation actors (for instance, by including large enterprises, SMEs, public authorities, and research organizations)

### (2). IMPACT will analyse:

- **Market opportunity:** The applicants are invited to demonstrate a clear idea of what they want to do and whether the new/improved product has market potential, e.g. because it solves a problem for a specific target customer base.
- **Reusability potential and contribution to grow Free and Open source hardware and software ecosystems:** The applicants have to provide information about how the experiment might

contribute to provide new building blocks (applications, algorithms, among others) that might help to grow Free and open source hardware and software ecosystems.

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- IPR Management<sup>3</sup>: The applicants need to demonstrate how they will comply with the openness principle by addressing free and open source Hardware and Software.

**(3). IMPLEMENTATION** will consider:

- **Team:** The applicants have to provide details about their management and leadership qualities; their ability to take a concept from ideas to market; their capacity to carry through their ideas and understand the dynamics of the market they are trying to tap into. The team should be balanced, cross-functional, and fully dedicated to the project and with a strong background and skill base. The applicants must demonstrate how they will comply with the multidisciplinary principle of addressing at least 1 Researcher, 1 Developer and 1 entrepreneur. Teams with more than 1 developer will be positively validated as to build an MVP in 9 months will require a strong dedication.
- **Resources:** Demonstrate the quality and effectiveness of the resources assigned to get the objectives/deliverables proposed. One important aspect is that applicants' state clearly in the proposal that what they propose can be developed using LEDGER partners' capabilities.
- **Gender balance:** Gender balance and teams with higher percentage of female team members will obtain more points in the -pre-scoring phase.

Transversal criteria such as "Environment and low carbon economy contribution", "Equal Opportunities" and "Social Impact" will be also considered by evaluators when scoring the applications and in the final decision in case of a tie. Thus, the scores included in this section will be relevant in order to decide the final list of beneficiaries.

Since Internet innovators should avoid addressing a niche, but a large and diverse public of different gender, age and cultural backgrounds, teams should reflect this diversity in their own composition, clearly manifesting their capacity to extend their attention to a broad scenario of sensibilities. Academic preparation will not be a requirement for more than one member of the team, while ethnic and cultural diversity will be deemed as an indicator of quality.

LEDGER Open Calls will also reward especially those teams that present high impact solutions satisfying values such as privacy-by-design; the capacity to influence the norms and standards regulating technological, algorithmic and data sovereignty; business models that provide revenue for all participants, for instance in the form of decentralised dividend allocations and forms of business structures like platform cooperatives that leverage steward-ownership models for the Internet Commons.

The experts will score each award criterion on a scale from 0 to 5 (half point scores may be given):

- 0 = Proposal fails to address the criterion or cannot be assessed due to missing or incomplete information.
- 1 = Poor: criterion is inadequately addressed or there are serious inherent weaknesses.
- 2 = Fair: proposal broadly addresses the criterion, but there are significant weaknesses.
- 3 = Good: proposal addresses the criterion well, but a number of shortcomings are present.

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<sup>3</sup> Intellectual Property Rights Management.

- 4 = Very good: proposal addresses the criterion very well, but a small number of shortcomings are present.
- 5 = Excellent: proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

For each section, the minimum threshold is 3 out of 5 points. The default overall threshold, applying to the sum of the three individual scores, is 12.

The result of this phase is a shortlist of proposals that will be presented for validation/final selection during the Consensus Meeting.

### Phase 3: Consensus Meeting

The “Evaluation Committee” will decide by consensus and based on the ranking established as a result of the Experts Evaluation, the best proposals that will be invited to the Jury Day.

A “Ranking List of fundable projects” will be issued as a result of the Consensus Meeting.

### Jury Day

All the proposals included in the “Ranking list of fundable projects” will be invited to participate in the Jury Day. During the Jury Day, at least two representatives of the applicants will be invited to present their proposals in front of the “Selection Committee” in a 5 to 10 minutes session. Attending the Jury Day will be mandatory requirements for finalists

The “Selection Committee” will select the final beneficiaries considering the following criteria:

- Team and commitment towards the project;
- Reusability potential for third parties of the foreseen project results;
- Leverage effect degree on results of previous Research projects.

The “Selection Committee” will define by a majority vote (2/3 from all members) the “Provisional list of FSTP<sup>4</sup> beneficiaries”, and the “Reserve list”. The exact number of proposals approved will be decided based on the overall quality of the proposals.

### Ethical review

After the Jury day, but before the Sub-Grant Agreement Signature, the Ethical Committee will review all selected projects and, in particular, those highlighting upfront ethical issues (by participants or by evaluators) to validate the actions proposed and the others to ensure that there are not ethical issues. Proposal might be rejected due to the ethical issues.

After the Jury LEDGER participants must indicate in the separate application whether they foresee ethical issues in the development of their projects and how they plan to handle them. Specific guidelines will be included in the “Guide for Evaluators” for them to recognize ethical issues.

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<sup>4</sup> Financial Support to Third Parties, also known as “Cascade funding”.

Candidates with proposals rejected due to ethical issues, or rejected because they insufficiently address ethical issues in their projects will be contacted via email, indicating that their proposals cannot be selected and including the ethical report.

The objective of this ethical review is to make sure that LEDGER does not support projects which would be contrary to fundamental H2020 ethical principles, and that the procedures to prevent ethical issues described in the proposal coincide with the European Ethical Policies.

### **Sub Grant Agreement Setup Process**

To sign a Sub-Grant Agreement with the LEDGER Consortium, the Applicants will be checked against the fulfilment of the legal requirements. The Applicants included in the “Provisional List of FSTP Beneficiaries” will have to provide all documentation required to prove their compliance with the Eligibility Criteria described in Section 3.

In case the requested information is not provided in time without a clear and reasonable justification, this will directly end the “Sub-Grant Agreement” setup process and projects inside the “Reserve List” will substitute the failing applicants inside the “Provisional List of FSTP beneficiaries” in order of ranking.

Once all these formalities are covered the Consortium (represented by its coordinator FBA) will sign the “LEDGER Sub-grant Agreement” with the final beneficiaries of FSTP. The applicants who undersigned the Sub-Grant Agreement will be declared winners of the 1st LEDGER Open Call.

### Review process of awarded projects

An exhaustive “Review Process” will be implemented in order to do a proper follow up of the selected bottom-up projects: there will be several “Review milestone” and the financial support will be provided after some of these milestones, always linked to the achievement of the KPIs/Deliverables established. The “Review Milestones” will be applied in 2 steps as illustrated in the following figure:



Figure 3: LEDGER Review Process

In a first step of the review process, the Technical/Business performance will be evaluated based on the KPIs and Deliverables established at the beginning of each Stage by the “Mentoring Committee”. Bottom-up projects not reaching the minimum KPIs or whose Deliverables are not validated by the “Mentoring Committee” yet, because they are not mature enough, will not be candidates to upgrade to the next stage. These projects will not get the payment associated to the milestone until their mentors and LEDGER project managers consider the milestone achieved. They will be able to continue with the programme and next milestones until the end of the first stage of the venture builder programme (month 9).

In the second step, the “Selection Committee”, will ratify a final decision, based on the info provided by the “Mentoring Committee”. The teams will receive a detailed feedback and advice to further develop their activities from LEDGER Mentors.

## 5. Preparation and submission of the proposals

Proposals have to be submitted through the LEDGER's Open Call microsite: <https://ledger-2nd-open-call.fundingbox.com/>. Applications submitted by any other means will not be considered for funding.

All Applicants will be asked to acknowledge the Informed consent form – in order to submit the full application.

The proposals – submitted through the online platform – will include the following sections:

1. Contact info
2. Team Composition
3. Project Description
4. *(Scored)* EXCELLENCE
5. *(Scored)* IMPACT
6. *(Scored)* IMPLEMENTATION
7. *(Scored)* TRANSVERSAL CRITERIA (used in case of tie)
8. Statistical section (optional)
9. Informed consent form
10. Declaration of honour – confirmation of the exclusion criteria and absence of conflict of interest to be accepted by the Applicants
11. Processing of personal data – legal requirements related to the processing of the personal data of the Applicants (in accordance with the General Data Protection Regulation, EU 2016/679)

Additional material, which has not been included and specifically requested in the online application form, will not be considered for the evaluation of the proposals. Data not included in the proposal will not be taken into account. The LEDGER consortium makes its best effort to keep all provided data confidential; however, for the avoidance of doubt, the applicant is solely responsible to indicate its confidential information as such.

The applicants are strongly recommended not to wait until the last minute to submit the proposal. Failure of the proposal to arrive in time for any reason, including extenuating circumstances, will result in rejection of the proposal.

The applicants are solely responsible for verification of the completeness of the form. Data not included in the form will not be taken into account during assessment regardless of the reason for not being included.

## 6. Applicants communication flow

### 6.1 General communication procedure

The applicants will receive the communications after each step of the evaluation process indicating if they passed the phase or not. A communication will be sent to applicants eliminated, including the reasons for the exclusion.

### 6.2 Appeal procedure

If, at any stage of the evaluation process, the applicant considers that a mistake has been made or that the evaluators have acted unfairly or have failed to comply with the rules of this LEDGER Open Call, and that her/his interests have been prejudiced as a result, the following appeal procedures are available.

A complaint should be drawn up in English and submitted by email to: [social@ledgerproject.eu](mailto:social@ledgerproject.eu). Any complaint made should include:

- contact details (including postal and e-mail address),
- the subject of the complaint,
- information and evidence regarding the alleged breach.

Anonymous complaints will not be reviewed.

Complaints should also be made within five (calendar) days since the evaluation results are presented to the Applicants.

As a general rule, the LEDGER Team will investigate the complaints with a view to arriving at a decision to issue a formal notice or to close the case within no more than seven days from the date of reception of the complaint, provided that all required information has been submitted by the complainant. Where this time limit is exceeded, the LEDGER Team will inform the complainant by email.

## 7. Obligations of FSTP beneficiaries

Each selected applicant will sign the “LEDGER Sub-Grant Agreement” with the LEDGER consortium. The funds awarded under the Sub-Grant Agreement are provided directly from the funds of the European Project LEDGER, and are therefore funds owned by the European Commission: Management of the LEDGER funds has been transferred to the project partners in LEDGER via the European Commission, Grant Agreement number 825268.

The “LEDGER Sub-Grant Agreement” will include the set of obligations that the FSTP beneficiaries have towards the European Commission. It is the task of the FSTP beneficiaries to satisfy these obligations and of the LEDGER consortium partners to inform the FSTP beneficiaries about them.

## 8. Intellectual Property Rights (IPR)

### 8.1 IPR ownership of the sub-granted projects

The ownership of all IPR created by the FSTP beneficiaries, via the LEDGER funding, will remain with them. Results are owned by the Party that generates them. The Sub-Grant Agreement will introduce provisions concerning joint ownership of the results of the sub-granted projects.

This will be assessed and negotiated case by case.

### 8.2 Communication obligations

There are no IPR obligations toward the European Commission (EC). However, any communication or publication of the FSTP beneficiaries shall clearly indicate that the project has received funding from the European Union and the LEDGER programme, therefore displaying the EU and logo on all printed and digital material, including websites and press releases. Moreover, FSTP beneficiaries will agree that certain information regarding the projects selected for funding can be used by LEDGER consortium for communication purposes.

## 9. Support for the applicants

For more information about the LEDGER Open Call, please check the Frequently Asked Questions (FAQs) section included at <https://ledger-2nd-open-call.fundingbox.com/>

For further information on the Open Call, in case of any doubts regarding the eligibility rules, the information that is to be provided in the Application Form, or if you encountered technical issues or problems with the Application Form, please contact LEDGER Technical Helpdesk email: [social@ledgerproject.eu](mailto:social@ledgerproject.eu)

When contacting the LEDGER Technical Helpdesk, please include the following information in your email message:

- your username, telephone number and your email address;
- details of the specific problem (error messages you encountered, bugs descriptions, i.e. if a dropdown list isn't working, etc.); and
- screenshots of the problem.

## 10. Schedule

The table below presents the indicative dates during which each phase of the evaluation and MVP Builder Programme will take place:

Description	Indicative Dates
Call launch	1 <sup>st</sup> November 2019 at 0:00 CET
Submission deadline	31 January 2020 at 18:00 CET
Evaluation period	Until the end of February 2019
Signature of sub-grant agreement	During May 2019
MVP Builder Programme: phase 1	From June 2020 to February 2021
MVP Builder Programme: phase 2	From March 2021 to July 2021

*Table 1: LEDGER 1st Open Call schedule*

The schedule is based on estimations according to the expected number of proposals received and the actual timing of the consecutive phases may vary.

## 11. Applicable law

Any matters not covered by this Guide for Applicants will be governed by Polish law, in particular the provisions of the Polish Civil Code and the law of the European Union.



## Annex 1: Informed consent form

The statements below will be included prior to the online application form.

*By ticking the boxes below, I confirm that I have read and understood the information package and in particular have noted that:*

- 1. I have read and understood the information about the project, as provided in the Information Sheet.*
- 2. I have been given the opportunity to ask questions about the project and my participation via [social@ledgerproject.eu](mailto:social@ledgerproject.eu)*
- 3. I voluntarily agree to participate in the LEDGER project.*
- 4. I understand that other researchers will have access to this data only if they agree to preserve the confidentiality of the data and if they agree to the terms I have specified in this form.*

*By ticking the boxes below, I confirm that I have read and understood that:*

- 5. I voluntarily agree to get registered at LEDGER Online Community at <https://spaces.fundingbox.com/c/ledger>*



## Annex 2: Processing of personal data

### CONTROLLER'S IDENTITY AND CONTACT DETAILS

The data controller is FundingBox Accelerator sp. z o.o. (Al. Jerozolimskie 136, 02-305 Warsaw, Poland).

In all matters regarding personal data, you can contact us using the following email address: [privacy@fundingbox.com](mailto:privacy@fundingbox.com)

### PURPOSES, LEGAL BASIS AND PROCESSING PERIOD

The purpose of processing	Legal basis for processing	Period
To run an Open Call and collect data necessary to evaluate applications submitted in the LEDGER 2nd Open Call	The legal basis for processing is the indispensability to implement the legally justified interest of the data controller, consisting in fulfilling the obligations laid down in the Grant Agreement (Article 6 paragraph 1 point f) GDPR in this respect.	6 years after completing the LEDGER Project
To realize the LEDGER Project goals described in the Grant Agreement (communication, reporting, collaborating with other project partners)	The legal basis for processing is indispensability to implement the legally justified interest of the data controller, consisting in effectively participating in the project and fulfilling the obligations laid down in the Grant Agreement (Article 6 paragraph 1 point f) GDPR in this respect.	6 years after completing the LEDGER Project
In order to possibly establish and enforce claims or defend against them	The legal basis of the processing is the legitimate interest of the data controller consisting in the protection of its rights (Article 6 paragraph 1 point f) GDPR in this respect.	12 years after completing the LEDGER Project
<b>In case your application will be selected to participate in the next stage of Project:</b>		
For the implementation of contracts for co-financing concluded by Data controller, EC and other project partners.	The legal basis for processing is the indispensability to implement the legally justified interest of the data controller, consisting in fulfilling the obligations laid down in the Grant Agreement (Article 6 paragraph 1 point f) GDPR in this respect.	6 years after completing the LEDGER Project

### DATA RECEIVERS



Data controller will transfer personal data only to trusted recipients such as entities belonging to the FundingBox's capital group, evaluators, IT service providers, accountants, law firms, postal and courier companies (who process personal data on the controller's behalf).

To realize the LEDGER Project data can be transferred also to Project Partners (complete list of the project partners is available at the email address: [privacy@fundingbox.com](mailto:privacy@fundingbox.com)), European Commission and other affiliated entities.

#### RIGHTS OF DATA SUBJECT

Due to the fact that we process your personal data, you have the right to:

- 1) request access to your personal data,
- 2) demand the rectification of their personal data,
- 3) request to remove or limit the processing of your personal data,
- 4) data portability with respect to the personal data that you have provided to the controller
- 5) complain with the supervisory authority (The President of the Personal Data Protection Office, Warsaw, Poland).

You also have a right to object to processing of your personal data (according to the Article 21 of GDPR).

#### INFORMATION ABOUT VOLUNTARY OR OBLIGATORY DATA PROVISION

Providing data is voluntary, although it is necessary to participate in the LEDGER second Open Call. Without providing your data, it is not possible to contact you and evaluate the application.

## Annex 3: Information sheet

**Project title:** decentraLizEd Data Governance for nExt geneRation internet

**Project coordinator:** FundingBox Accelerator Sp. z o.o., Project Coordinator, Xabier Chao.

### *About the project*

LEDGER, a European project financed by the European Commission, is looking for 16 human-centric innovators to develop Minimum Viable Products and services, in order to achieve new models that preserve citizens' digital sovereignty, where data is a common good owned by citizens and wealth created by data-driven platforms is equally distributed.

The Open Call aims at selecting 16 proposals from 5 different verticals (Health, Economy, Mobility, Public services and Energy & Sustainability) and an additional generic track. The call is open to teams of researchers, developers and entrepreneurs and to teams from legal entities (including SMEs and cooperatives), who want to shift data management, leveraging on decentralised technologies and algorithms (such as blockchains, distributed ledger technology (DLT), peer-to-peer, artificial intelligence, internet of things, immersive media and new connective infrastructure as 5G), to address Privacy-by-design Decentralized Data Governance, reliability, trustworthiness and openness to build human centric solutions.

The 16 selected companies will go through a 9 month customised MVP Builder Programme, including technical and non-technical support services and access to tools and users, and receive up to €150k funding. The best 8 out of those will be offered additional €50K and will get in a business focused programme of 3 months.

### *Who is responsible for the data collected in the project?*

FundingBox Accelerator is the responsible for the data collected in the project, namely through the information provided by applicant teams through the Ledger community and/or the Application Form data requested for their participation in the projects Open Calls to provide financial support to third parties at: <https://ledger-2nd-open-call.fundingbox.com/>.

Data are collected and processed in accordance with our Terms of use and Privacy policy. You can contact the Project Manager, Andrés Sánchez, for any further queries you may have.

The LEDGER project will follow the EU directives and regulation which have a significant impact on Data Protection:

- The Charter of Fundamental Rights of the European Union;
- The European Convention on Human Rights and its Supplementary Protocols;
- General Data Protection Regulation (GDPR) regarding "protection of the fundamental rights and freedoms of natural persons and in particular, their right to the protection of personal data", and Directive 2002/58/EC on privacy and electronic communications.

The data that will be collected, and consequently protected in the LEDGER community and sign-up process and/or open calls, according to aforementioned directives and regulations,



### ***Methods of data collection, storage and sharing***

LEDGER will collect data of European entities and individuals through an online form available at <https://ledger-2nd-open-call.fundingbox.com/>. The information gathered will serve to evaluate and fund the most promising projects in the area of Privacy-by-Design Decentralized Data Governance. Therefore, it is necessary to collect, store and process the online forms that will be submitted by the applicants.

Data will be exploited for three main purposes:

- evaluation of proposals;
- impact assessment of the open calls and/or the project;
- dissemination and communication materials; and
- statistics.

The personal data included in the Application forms, will be stored and secured in the FundingBox online platform in order to guarantee the access only to those partners authorised via authentication. External Evaluators, will be responsible for evaluating the proposal and thus will be granted access to a limited number of projects. Under no circumstances personal data will be released during the evaluation process. After the evaluation process, the name of the finalists and the information of the awarded projects will be made public in order to give visibility and recognition.

Anonymised data sets will be kept 4 years after the end of the project for statistics purposes. Any extension of this period or change in the purpose of the use of data will require your previous authorisation. After this period data will be erased definitively from the project repositories.

### ***What are your rights as a participant?***

Taking part in the LEDGER project as an Open Call applicant is voluntary. You may choose not to take part or subsequently cease participation in the open call at any time.

Do not hesitate to contact the LEDGER project team in case you are interested in knowing more about the project and learn about the published results.

### ***Will you receive any payment or monetary benefits for your data collection?***

You will receive no payment for the fact of providing the data collected by the project, as described above.

Therefore, you should not expect any royalties or payments in concept of “data collected” from the project in the future.

The only expected benefit might refer, not to the collection of data itself, but to the fact of providing those data with the aim of participating in the Open Calls and receiving financial support according to the conditions established by the Open Call(s) requirements, and which will be published in <https://ledger-2nd-open-call.fundingbox.com/>

On the other hand, the data will not be used by any member of the project team for commercial purposes.

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***For more information***

If you have any further questions or concerns about this application process, please contact:

**Aneta Gałazka**

+48602150448

email: [aneta.galazka@fundingbox.com](mailto:aneta.galazka@fundingbox.com)

You can also contact:

**Andrés Sánchez Sandaza**

e-mail: [andres@fundingbox.com](mailto:andres@fundingbox.com)

***What if I have concerns about this project?***

If you are worried about any of the information requested, or if you are concerned about how it is being collected, you can send an e-mail to [privacy@fundingbox.com](mailto:privacy@fundingbox.com)



## Glossary

**Data Sovereignty** - is the idea that data are subject to the laws and governance structures within the nation they are collected. The question of data sovereignty is ruled upon in the EU regulation GDPR article 3.

**Decentralized Data Governance** - Decentralization is the process by which the activities of an organization, particularly those regarding planning and decision-making, are distributed or delegated away from a central, authoritative location or group.

**Distributed Ledger Technology** - A LEDGER is a book in which the monetary transactions of a business are written in the form of debits and credits. It's as well an English term used to refer to the slab of stone that sits on a grave. This to testify that one of the main characteristics of a Ledger is that what is written upon it is final, is by definition signed truth proven to be such as long as you trust the hand of the one that writes. Anyway one assumes total responsibility for what one writes.

Imagine the Digital equivalent of a ledger, a DLT, as a way to build cryptographically shared, immaterial, ledger. It is the same, in the hands of many peers, which take responsibility to accept what is written upon it as truth. It cannot be modified unless a certain consensus is made. And we can be cryptographically sure of this.

It is like to have an immaterial book of truth in which entries, by all recognised participants, are written and validated in blood. We can always be sure who's blood is it by checking its DNA.

**Experiment** – experiments are aimed at developing technology-based novel products or services and testing them with early adopters in their respective operative environments.

**Financial Support to Third Parties (FSTP)** - is a mechanism to distribute public funding by allowing that some EU-funded projects issue, in turn, open calls for further funding. It's used to assist beneficiaries (such as start-ups,, SMEs and/or mid-caps), in the uptake or development of digital innovation.

**Minimum Viable Product (MVP)** - it refers to a first version of a product or service which includes enough core features for early adopters to test it and to obtain “the maximum amount of validated learning about customers with the least effort”, as per Eric Ries definition.

**MVP Venture Builder Programme (VBP)** - the MVP Builder Program is inspired in the Venture Builder concept (which refers typically to companies or cooperatives of developers which evolve themselves through a combination of start-up developments, shared resources and hard work). LEDGER adopts this market-oriented cooperative philosophy and it will act as a MVP Builder Ecosystem in itself, by sharing their own resources to help the bottom-up projects to develop their own MVPs and become fully-operational companies by the end of the project.

**P2P** - Peer-to-peer computing or networking is a distributed application architecture that partitions tasks or workloads between peers. Peers are equally privileged, equipotent participants in the application. They are said to form a peer-to-peer network of nodes.

**Privacy-by-Design (PbD)** - this means that privacy preservation should be taken into account from the inception of a product or service and throughout the whole process.

**Researcher-in-Residence (RiR)** – an experienced researcher, with background in DLT technologies and Social Innovation, and an overall vision of all the technologies / abilities addressed, who will be allocated to a given team to match its' needs with what is technologically feasible. RiR will be the central point of the mentorship program from the Technical point of view and will support the team in developing a new MVP to be tested in market conditions.

**Sub-grant Agreement** - legal contract signed between FundingBox Accelerator Sp. z o.o. (the LEDGER Coordinator, responsible for the organization of the Open Calls and management of the support for third parties) and the applicants selected to enter the MVP Venture Builder Programme. The contracts include detailed information about the rules of the grant, obligations and applicable legal requirements. More information can be found in Section 4 of this Guide (Sub Grant Agreement Setup Process).

**Technology Readiness Level** - As per European Commission definition (Annex G, [General Annexes to Work Programme 2018-2020 of the Horizon 2020 Programme](#)), there are 9 possible levels of technology readiness corresponding to:

- TRL 1 – basic principles observed,
- TRL 2 – technology concept formulated,
- TRL 3 – experimental proof of concept,
- TRL 4 – technology validated in lab,
- TRL 5 – technology validated in relevant environment (industrially relevant environment in the case of key enabling technologies) ,
- TRL 6 – technology demonstrated in relevant environment (industrially relevant environment in the case of key enabling technologies),
- TRL 7 – system prototype demonstration in operational environment,
- TRL 8 – system complete and qualified, and
- TRL 9 – actual system proven in operational environment (competitive manufacturing in the case of key enabling technologies; or in space)