

Guidelines for Large-Scale Projects - Phase 2 - 2015

Only invited Phase 2 applications may be submitted

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1. Introduction and reader's guide

1.1 Reader's guide and contacts

The present guidelines set out the general rules and constraints applicable to the preparation, submission and processing of applications for large-scale projects – Phase 2 under Innovation Fund Denmark's two-phase application process.

This translated guidance document is also available in a Danish original version at <http://innovationsfonden.dk/da/ansoegningsmateriale>. In the event of any discrepancy between the Danish and English versions, the Danish version prevails.

In addition to the guidelines, applicants wanting to submit a Phase 2 application will require:

- The relevant call text describing the specific framework within which applications may be submitted.
- The templates to be used in preparing the Phase 2 application and which must be attached to the application form in the e-grant electronic application system.

The relevant documents are available to applicants in a dedicated section of Innovation Fund Denmark website at <http://innovationsfonden.dk/en/application-material>.

In connection with feedback on their Phase 1 application, applicants for Phase 2 will have been assigned a contact. In addition, queries concerning the guidelines on large-scale projects may be directed at:

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In case of technical queries concerning use of the e-grant application system, please contact support.e-grant@fi.dk, tel. + 45 33 92 91 90 (open 9.00-12 noon on weekdays and until 7 pm on the closing date for applications, 8 September 2015).

1.2 Changes in relation to the Phase 1 guidelines

Applicants are advised that the requirements regarding application layout have been changed for Phase 2 and require the use of new appendix templates. In addition, the assessment criteria have been elaborated compared to those applicable to Phase 1.

Applicants should also note the adjustment to the budgetary rules for private enterprises (Section 3.5.1) as the section on "Subsidisation of non-profit organisations" has been deleted and replaced by a section on "Investment in financial or non-financial activities". A further adjustment has been made in Section 3.5.3 on budgetary rules for GTS institutes regarding the maximum investment rate. Finally, an addendum in Section 3.5.4 specifies that separate budgeting for large-scale subcontracts does not apply to equipment purchases.

1.3 About large-scale projects

Innovation Fund Denmark's purpose is to advance research, development and commercialisation/ implementation of innovative solutions for the benefit of growth and employment in Denmark. To that end, IFD expects large-scale projects to be placed at different points along the value chain, or to cover a broad span along the value chain, i.e. from research through development to commercialisation and implementation. Large-scale projects are projects in which IFD's investment exceeds DKK 5m and include societal partnerships. Large-scale projects are characterised by their high risk profile and focus on ambitious results in the form of either tangible products or processes, or the building of more long-term and generic research competences within strategic priority areas.

Given that large-scale projects are expected to range from research through development to commercialisation and implementation, and thus cover a broad range of disciplines, the scale and type of partnering will vary considerably from one project to the next. Similarly, IFD's investment will vary, but is expected to be typically in the order of DKK 5m to 30m incl. any overheads. In special cases, and notably for societal partnerships, IFD may at its discretion award substantially larger grants.

2. Application process

2.1 Funding opportunities

Applicants invited to submit a Phase 2 application will have been notified by Innovation Fund Denmark as to which of the IFD calls their application must be submitted under.

Applicants should bear in mind that the budgets published for the calls are guideline values, and that Innovation Fund Denmark may decide to allocate a proportion of the provisionally offered investment amounts to other calls. The financial frameworks for a given call may thus differ in the final funding allocation.

2.2 Project position in the innovation value chain

Innovation Fund Denmark specifically asks applicants to state if the main emphasis of their project is on research, development or commercialisation/implementation or spans more than one such activity. In other words, we would like to know where your project is placed along the value chain.

This information is relevant in assessment of the project, and in the case of private-sector enterprises, may determine Innovation Fund Denmark's level of investment.

Consequently, in the application form, under the item "Basic project information", you are asked to state where the project's principal activities are placed in the value chain. Where you place your project in the value chain is not in itself decisive. The aim is solely to ensure that the project is assessed according to the right criteria.

As an aid to determining where to place your project, Innovation Fund Denmark provides an overview showing the typical characteristics of a project at different points along the value chain. The description is not exhaustive, but should aid applicants in determining where their project should be placed in the value chain. This description is provided in Appendix 1 to the present guidelines.

2.3 Who can apply for and receive funding?

Any legal person (such as an enterprise or a research institution) in Denmark or outside Denmark directly involved in the project activities is eligible to apply or participate as a partner and receive funding from IFD. For details of Innovation Fund Denmark's maximum investment rates for the different types of partners, see Section 3.

If a key project participant is no longer employed by or associated with a funding recipient, Innovation Fund Denmark may regulate any further funding with regard to the general terms and conditions that will apply for the grant.

2.4 Application deadline

The application must reach Innovation Fund Denmark, i.e. be submitted via the e-grant application system, by no later than **7 pm on Tuesday, 8 September 2015**.

2.5 Assessment process

In Phase 2 of the application process, all applications are assessed by external, international and independent experts in their field, and the peer reviews received from these experts will be sent to the applicants for comment under a formal consultation procedure in October 2015.

Based on the external peer reviews and any consultation comment, Innovation Fund Denmark prepares decision-support materials for the IFD Board, which makes the final decision.

The IFD Board expects to have made its decision on which applications are to be offered a grant by the beginning of November 2015. All applicants will subsequently receive a reply from Innovation Fund Denmark concerning the IFD Board's decision.

2.6 Assessment criteria

Applications for large-scale projects are assessed on the basis of three main criteria:

- Quality and novel value/originality
- Strategic significance and impact
- Efficiency and implementation

In the Phase 2 assessment of the three criteria, special emphasis will be placed on the following aspects:

Quality and novel value/originality

- Clear objectives in accordance with the call
Assessment of whether the project sets clear and ambitious goals consistent with the description in the relevant call text of the vision for the research area and the investments IFD intends to place.
- The project's key questions and hypotheses
Assessment of the quality and relevance of the questions and hypotheses to be addressed by the project.

- Method/technique applied
Assessment of the relevance and quality of the project's choice of methods and techniques for addressing the challenges.
- Novel value/originality
Assessment of the project's anticipated results in relation to state-of-the-art in the field. Depending on the project's ranging along the value chain, assessment will be made of the project's novel value/originality in relation to existing research results and projects, in relation to existing and ongoing innovation and development projects, or whether the anticipated results are innovative and competitive in relation to existing solutions on the market. In assessment of the novel value/originality, consideration will also be given to the degree of risk entailed by the project.
- Partner composition and inclusion of relevant competencies, including involvement of international partners
Assessment of whether the right and necessary parties and competencies are present for the purpose of realising the project's goals.
- Competencies and advanced-level talent nurture
Assessment of the quality of competencies that will be comprised by or developed over the course of the project.

Strategic significance and impact

The four aspects assessed under strategic significance and impact are:

- Correlation with national and international strategies and with Danish industrial and research strengths
Assessment of any contributions by the project to realising national and international strategies within the area in question and contribution to building Danish positions of strength. The positions of strength might be within special technological or industrial fields in which Danish industry has strong standing or has particular growth potential, or in which Denmark has internationally renowned research groups.
- Significance for Denmark and Danish society, including growth and employment
Assessment of the project's general industrial and/or application potential and any promise it holds for contributing to growth and employment in Denmark. Depending on the project's ranging along the value chain, the assessments will be made of the short, mid- or long-term potential.
- Value and potential for the project partners
Assessment of the project's strategic significance for each of the participating partners, e.g. in relation to the partners' research, development or business strategies and plans.
- The project's commercial potential
Assessment of the probability of the project's outcomes being commercially viable. Assessment of this criterion will depend on the project's ranging along the value chain. Projects which are close to the market are expected to have a robust business plan incl. assessment of market size, market access, risk, competitive advantages and a realistic plan for commercialisation. Projects which are further away from the market are expected to be able to outline a clear route to the market and demonstrate their potential.

The four aspects under this criterion will be weighted differently depending on the project's ranging along the value chain. For projects which are particularly focused on commercialisation activities close to the market, the aspect of the project's commercial potential will be attributed relatively greater significance than the other aspects, while the aspect of the project's correlation with Danish positions

of strength and national and international strategies will be attributed relatively lesser significance. For projects focused on more long-term research activities, this weighting will be reversed.

Efficiency and implementation

- Synergy in the partnership and a joint vision for the participating parties
Assessment of whether the partners' goals and expectations regarding the project and the planned division of roles are conducive to a high degree of interaction, cooperation and synergy between the partners in relation to the project's common goals.
- Feasibility and organisation
Assessment of whether the project's structure in the form of work packages and time schedules incl. risk management and the plan for organisation and management of the project are conducive to successful realisation of the project, and assessment of whether realistic and relevant Key Performance Indicators have been defined for the project.
- Economic efficiency ("bang for the buck" and "gearing")
Assessment of the relationship between the project's costs and anticipated results and the level of the partners' self-financing seen in relation to the project's ranging along the value chain.

3. Finances and budgeting

A Phase 2 application must include a budget for the project's total costs over the project period, broken down by the project's parties (i.e. enterprises/institutions). The budget should specify what proportion of the costs is requested to be funded by Innovation Fund Denmark and what is to be financed by the partners themselves or by other sources. The budget for each individual partner must be itemised by expense types and broken down into the project's various work packages; see the description under Section 3.4 below.

The budget must be set out in a budget template (Excel format) available at <http://innovationsfonden.dk/en/application-material>. The budget template itself contains a technical guide to using the template.

In the invitation to submit a Phase 2 application, the applicant may have been given special instructions concerning aspects such as project finances. In addition, it is possible to make reasonable adjustments to the budget and financing plan compared to the Phase 1 application. However, as a rule, the total funding from Innovation Fund Denmark is expected to not deviate significantly from the amount proposed in the Phase 1 application. Similarly, Innovation Fund Denmark's investment rate is expected not to be increased.

3.1 Size of investment and project duration

The size and the duration of Innovation Fund Denmark's investments in large-scale projects vary between the different calls. Applicants should therefore consult the specific call texts for detailed information. All quoted investment amounts are inclusive of any overheads.

3.2 Innovation Fund Denmark's maximum investment rates

Except in extraordinary circumstances, Innovation Fund Denmark will cover a maximum of 75 % of the project's total costs. In addition, there is a cap on how much of the individual partners' costs may be

covered by Innovation Fund Denmark. The maximum investment rates are shown in the summary of the budgetary rules for the different organisation types under Section 3.5.

It must be emphasised that all investment rates are maximum values. The individual partners may contribute a larger share of co-financing or finance the whole of their commitment themselves. It should also be noted that under the assessment criteria of “Efficiency and implementation”, Innovation Fund Denmark will consider the balance between the project’s anticipated results and the size of the investment sought from Innovation Fund Denmark (“bang for the buck”), and the scale of the partners’ co-financing (“gearing”).

3.3 Co-financing – including funding from other sources

Innovation Fund Denmark sets an absolute requirement that the project participants are ready to invest in the projects themselves, and therefore expects co-financing from all parties to a project. This is reflected in the maximum investment rates mentioned in Section 3.5. Project partner co-financing may be made in kind, e.g. as the value of labour, or in cash, where the participant pays for e.g. direct expenses incurred by the project.

In order to ensure compliance with the rules on state aid, the co-financing may **not** include other public-sector subsidy funding from the EU or EU Member States, including Denmark, unless this has been explicitly sanctioned by Innovation Fund Denmark. Enterprises should bear in mind that the EU thresholds for lawful state aid comprise the aggregate funding from any public-sector subsidisation schemes construed as state aid.

3.4 Budgeting

The budget must include all direct project costs, i.e. costs immediately attributable to the project, regardless of whether the applicant is seeking to have those costs covered by Innovation Fund Denmark or whether they will be borne by the project’s partners themselves or by a third party. Direct costs are typically salaries for staff working on the project, including any PhD students or postdoctoral researchers, any equipment purchases necessary for carrying out the planned activities, and other direct project-related costs such as purchasing of materials and travel and meeting costs.

The budget may **not** include indirect costs, since these fall under overheads or are factored into the fixed hourly rates. This applies, among other things, to general office expenses, administration and financial management, and the customary employer costs, including e.g. the additional costs of maternity leave or sick leave.

Costs must be calculated in accordance with the rules set out in Section 3.5 of the Guidelines for the different organisation types. The total project costs must be distributed among the partners according to the principle that the entity that will be defraying a given cost includes it in its sub-budget. For payroll costs, this means that it is the institution/enterprise that will be paying the salary for the project period that includes the cost in its sub-budget.¹

¹ If an individual is employed by more than one institution/enterprise, an agreement must be made between those entities on how the project time is split into working hours for each entity. Each entity then includes the payroll expenses for “its” share of the project working hours in its sub-budget.

For each partner, the expenses must be itemised by expense type ² (i.e. salaries, any expenditure on purchasing major equipment and other, directly project-related expenses, and – for public-sector entities – possibly overheads; see the rules in Section 3.5.2).

For each partner, the costs are then broken down into sources of funding (Innovation Fund Denmark, the partner itself or any other sources of funding).

Each partner is also required to break down both the consolidated budget and the funding from Innovation Fund Denmark into the project's individual work packages. In this part of the budget, the applicant must state whether a work package primarily constitutes "Industrial research", in which the focus is on gaining new knowledge and skills and their application, or constitutes "Experimental development", in which the focus is on the application of existing knowledge. This distinction is required because the investment rates for the two activity types differ for private-sector enterprises. Section 3.5.1 of the Guidelines provides a link to EU's precise definitions of "Industrial research" and "Experimental development".

3.5 Budgetary rules

3.5.1 Budgetary rules for private-sector enterprises in Denmark and abroad

Hourly costs:

Enterprises may budget employee costs in three ways:

1. The enterprise can opt to apply a fixed rate of max. DKK 750/hour to comprise payroll costs and all expenses on basic operations.
2. Enterprises that are able to document auditor approved average costs per full-time equivalent, may apply this rate instead.
3. Enterprises that are able to document an auditor approved overheads factor per hour may apply a rate determined by multiplying the actual payroll cost per hour by this cost factor.

Companies that apply model 1 in budgeting their hourly costs may, in addition, include other direct project-related costs in the budget, such as expenses for equipment, external services etc., at the actual, expected price. This is not an option for enterprises that apply model 2 or model 3.

Overheads: overheads may not be itemised separately.

Maximum investment rate: the maximum investment rate for enterprises (i.e. the maximum share of an enterprise's project costs that may be covered by Innovation Fund Denmark) depends partly on whether the enterprise is an SME (small and medium-sized enterprises), partly on whether the project activities count as *industrial research*, where the focus is on acquisition of *new knowledge* and skills and their application, or as *experimental development*, where the focus is on application of *existing knowledge*.

The maximum investment rates are:

² Note, however, that private-sector enterprises have the option of using a budgeting model in which individual expense types need not be budgeted separately. These budget models (models 2 and 3) are described in Section 3.5.1.

Small and medium-sized enterprises (SMEs)

Industrial research:	60 %
Experimental development:	35 %

Large enterprises

Industrial research:	50 %
Experimental development:	25 %

SMEs have fewer than 250 employees. In addition, there are certain requirements regarding the enterprise's turnover and balance sheet, and the enterprise's autonomy. For details, see "[The new definition of small and medium-sized enterprises – User guide and declaration](#)" or contact Innovation Fund Denmark for more information.

For more information on the definitions of industrial research and experimental development, please consult <http://eur-lex.europa.eu/legal-content/DA/TXT/PDF/?uri=CELEX:32014R0651&from=EN> (in particular, definitions 85 and 86 in Article 2 on page 25 of the document) or contact Innovation Fund Denmark for advice.

Note regarding grants to private-sector enterprises:

Grants to private-sector enterprises are awarded within the constraints of Innovation Fund Denmark's notification to the European Commission pursuant to the General block exemption Regulation (Commission Regulation (EU) No 651/2014 of 17 June 2014 declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty Text), Chapter 1 (definitions in Article 1-12) and Articles 25 and 30. The notification has been made, but publication on the Commission's website is still pending. The aid granted is to stimulate the enterprises' initiation of additional research and development activities (incentive effect), e.g. by raising an enterprise's total expenditure on research or increasing the number of employees engaged in research activities.

Investment in financial or non-financial activities:

Industry organisations, interest organisations and organisations and enterprises engaged in activities on market terms, i.e. that offer goods or services on a market, must in principle comply with the rules for state aid to enterprises, including the maximum investment rates on the part of Innovation Fund Denmark.

If the organisation in question is not engaged in activities on market terms, Innovation Fund Denmark may at its discretion, on a case-by-case basis, increase the maximum investment rate.

In its assessment of whether or not an application is for funding of activities on market terms, IFD will attach importance to the following:

1. Criteria indicative that activities on market terms are not involved
 - Activities comprised by the state's exclusive competence and activities comprised by the exercise of authority
 - Services that are financed by the public sector without user fees and which everyone has access to
2. Criteria indicative that the activities will be undertaken on market terms
 - Activities in which goods or services are offered on a market
 - Activities that are already offered by one or more operators
 - Activities financed exclusively by one or more private operators

3.5.2 Budgetary rules for public-sector institutions in Denmark and abroad – incl. foreign research institutions and government-funded Danish institutions

Payroll costs: scientific/academic and technical/administrative salaries must be stated as actual, anticipated costs.

Other direct project-related costs: must be stated as the actual, anticipated price except in the case of educational subsidies (see below).

Educational subsidies: as a supplement to a PhD programme, where the student is employed by a public-sector, Danish research institution, an annual educational subsidy may be awarded to the institution. The subsidy is at the disposal of the institution and is to be used to cover expenses relating to the PhD programme, i.e. supervision, courses, brief travels, study stays at other institutions etc. Thus, costs of this nature must not be stated at their actual cost in the budget. The fixed rates for educational subsidies are DKK 50,000 per annum for studies within the humanities and social sciences and DKK 80,000 per annum for studies within science, technology and health sciences.

Overheads: for certain types of institution, a separate overheads factor applies as a fixed percentage of all direct costs. The rates are as follows:

- Danish institutions (including universities and sector research institutes) subject to the rules on subsidised research activities under the Danish Ministry of Finance budgetary guidelines and thereby authorised to carry out subsidised research activities 44 %
- Other Danish institutions who receive and are expected to receive on a permanent basis 25 % or more in fixed government subsidies to cover operating expenses (measured in relation to their annual turnover), who are non-profit institutions with no direct commercial use in view, where any proceeds cannot be distributed to the owners and who have performance of research as a main purpose 20 %
- Foreign universities (including universities in Greenland and on the Faroe Islands) 20 %
- Other foreign institutions (incl. institutions in Greenland and on the Faroe Islands), which are non-profit institutions with no direct commercial use in view, where any proceeds cannot be distributed to the owners and which have performance of research as a main purpose 20 %
- Public hospitals in Denmark, in Greenland and on the Faroe Islands and state-accredited Danish museums (under the Museum Act) and national museums in Greenland and on the Faroe Islands 3.1 %
- All other entities in Denmark and abroad 0 %

Maximum investment rate: Innovation Fund Denmark will cover a **maximum** of 90 % of the partner's total project costs incl. overheads.

3.5.3 Budgetary rules for GTS institutes (Approved Technological Service Institutes)

Payroll costs: scientific/academic and technical/administrative salaries must be stated as the actual, anticipated salary costs per hour over the project period multiplied by the cost factor for the institute concerned, as documented and approved by the Danish Agency for Science, Technology and Innovation. This cost factor is applicable to the full duration of the project period.

Other direct project-related costs: other costs must be stated as the actual, anticipated price.

Overheads: overheads may not be itemised separately.

Maximum investment rate: Innovation Fund Denmark can cover up to 60 % of the GTS institutes' project costs for non-profit research activities. For such activities, IFD requires that the results of the research conducted will be published or otherwise made publicly available to everyone on equal terms.

In parallel with their non-profit research activities, GTS institutes are permitted to pursue activities on market terms by offering for example consulting services. Innovation Fund Denmark's investment in such activities is subject to the rules on maximum investment rates applicable to private-sector enterprises.

3.5.4 Budgetary rules for major sub-supplies

Some projects will need to purchase large-scale services from external suppliers. If expenses on such services are expected to amount to DKK 0.5m or more, the expenses for these services must be itemised in a separate sub-budget in the budget template at the anticipated actual purchase price. This rule does not apply to major equipment purchases. These must be entered in the budget for the partner that will be purchasing the equipment.

Applicants should note that a given entity may not concurrently be a partner within a project and a subcontractor to it.

3.5.5 Budgetary rules for undistributed funds

In order to ensure flexibility over the course of a project, especially in large-scale and long-term activities, it is permissible for up to 10 % of Innovation Fund Denmark's budgeted investment to be left undistributed among the individual partners at the start of the project. However, the budget must still state which activities the undistributed funds are to be used for, normally in the form of a work package. Applicants wishing to make use of this option are required to create a separate sub-budget called "Undistributed" in the budget template.

4. Application preparation (Phase 2)

4.1 Application content

The application consists of an electronic application form completed in the e-grant application system www.e-grant.dk and the following appendices to be attached to the electronic form:

- Appendix A: Project description (mandatory)
This must be provided on a special template available at <http://innovationsfonden.dk/en/application-material>. The template consists of: Table 1 (max. 15 pages) and Table 2 (max. ½ page per participating enterprise/institution).

- Appendix B: Budget (mandatory)
This must be provided using a special template available at <http://innovationsfonden.dk/en/application-material>.
- Appendix C: CVs (mandatory)
This appendix is for compiling the CVs for the project's key participants in a single file. Each individual CV must cover no more than 1 page (A4).
- Appendix D: Statements from stakeholders (optional)
This appendix provides an opportunity for compiling any letters of support/expressions of interest from relevant stakeholders wishing to detail their commitment to, and interest in, the project. A stakeholder statement must address the specific value and relevance of the project to the stakeholder and take up no more than 1 page.

The content of the appendices is described in detail below.

All texts in the application form and appendices must be written in English, except for a brief popular description to be written in Danish. The application must have an official title (max. 180 characters incl. spaces) briefly describing the activity for which funding is being sought. Applicants are asked to prefix their title with an appropriate, short acronym (e.g. word formed from the initial letters of one or more of the words in the title). **NOTE:** for technical reasons, the title must not contain special characters such as @ § [% ' ' "".

The appendices must be in PDF and total no more than 25 MB in size.

4.2 Using e-grant

The application must be completed in the www.e-grant.dk electronic application system. Once you have been set up as a user in the system and have logged in, you create a new application by selecting "Application possibilities" (in Danish: "Søgemuligheder") in the menu at the top on the front page. You then locate the correct call and press "Apply now". Note that the list of calls is sorted alphabetically, and that the names of all the calls from Innovation Fund Denmark for large-scale projects are prefixed by "IF".

The webpage <http://innovationsfonden.dk/en/application-material> provides a downloadable technical guide/user guide to the e-grant system, including information on how to set yourself up as a user, and a summary of required content on the electronic application form. The e-application form itself also contains dynamic help texts explaining the content of the individual fields etc.

4.3 Project description, budget form, CVs and stakeholder statements

4.3.1 Project description – application Appendix A

The project description constitutes the main section of the application and must be attached to the application form as Appendix A. The project description is a detailed description of the project proposal submitted in Phase 1.

In Phase 2, the applicant is expected to provide a thorough description of the project's content. The required structure for the project description is the same as for Phase 1 and consists of two parts. The first part (Table 1) is for describing the project's: 1. vision, objectives and novelty; 2. content, method and organisation; and 3. anticipated results. The description of Sections 1-3 must cover no more than 15 sheets of A4, including references. The second part (Table 2) is for presenting the partners. Here

each individual party to the project describes its competencies in relation to the project's activities and expectations for how it stands to benefit from the project. These descriptions must cover no more than a half A4-sized sheet per party.

The project description must be written using a special template available at <http://innovationsfonden.dk/en/application-material>. The template is in Word format. Once the template has been filled in, it must be saved as a PDF document on the applicant's local hard drive until it is attached to the application inside the e-grant system. Note that the file name must not exceed 45 characters. The format for the template is Calibri font, font size 11 pt, at least single-line spacing and 2-cm margins. This format must be respected. It is permissible to paste figures and tables into the application, as long as the maximum-length requirements are respected.

Table 1 (max. 15 pages)

The following aspects must be addressed in the project description. A number of these aspects are explained in the template for the project description:

1. Vision, objective and novelty

- 1.1. The challenge which the project will contribute to solving
- 1.2. The specific research and innovation goals
- 1.3. The novelty/originality of the project in terms of research, innovation or market
- 1.4. Relations to Danish positions of strength in business & industry and research
- 1.5. Correlation with national or international strategies

2. Content, method and organisation

- 2.1. The specific questions or hypotheses to be investigated by the project
- 2.2. The methodological approach that will lead to achieving the anticipated results
- 2.3. A description of all of the work packages
- 2.4. Time schedule and project plan including all relevant milestones and deliverables
- 2.5. Key risk elements and plans for mitigation
- 2.6. Specification of the governance model, including possible plans for steering committee, project leader and management, advisory boards etc.

3. Anticipated results

- 3.1. The overall success criteria for the project
- 3.2. Impact on growth and employment in Denmark and additional effects for society
- 3.3. Commercial value and potential of the project

Key References

Table 2: Presentation of the project parties (max. ½ page per party)

- Short presentation of the party, competencies and contribution to the project
- Strategic importance of the project and specific results anticipated
- Number of employees of the company/institution

4.3.2 Budget – application Appendix B

This appendix must contain:

- Budget Overview 1: The project’s consolidated budget itemised by partners and sources of funding
- Budget Overview 2: The project’s consolidated budget itemised by work packages
- Budget Overview 3: The project’s consolidated budget itemised by expense types
- List of principal participants in the project, including PhD and postdoctoral fellows
- A sub-budget for each partner in the project (incl. a sub-budget for any undistributed funds and for large-scale subcontracts)

The budget must be prepared in accordance with the rules in Section 3 of the present guidelines. The budget must be typed into a special template available at <http://innovationsfonden.dk/en/application-material>. The template is in Excel format.

The template provides a technical user guide (the tab labelled “Guide-Vejledning”), which explains how to use the file – including that all the budget overviews are generated automatically via formulas in the file. This means that the applicant should only enter a limited amount of master data in a special worksheet, complete a sub-budget for each partner and complete the list of participants.

Once the template has been completed, the relevant sheets should be attached to the application in e-grant as a single PDF file. This is explained in more detail in the technical guide in the Excel file. Note that the file name must not exceed 45 characters.

Please note that Innovation Fund Denmark also requires a copy of the Excel file used for preparing the budget (in Excel format). This must be submitted as soon as possible after submission of the application via e-grant. The Excel submission must be made by e-mail to store.projekter@innofond.dk. When sending the file, please enter both the application title and project leaders name in the e-mail subject line.

4.3.3 CVs for the project’s key participants – application Appendix C

In Phase 2, applicants must attach CVs for the project’s key participants. These will typically be research/development managers for the main activities/sub-projects and the project leader. The CVs must focus on competencies of relevance for the project.

Each CV must cover max. 1 sheet of A4. The relevant CVs for the project’s key participants must be compiled as a single PDF document, with each CV starting on a new page. Applicants submitting many CVs are recommended to include a table of contents at the start of the appendix. The PDF document must be attached to the application from inside e-grant. Note that the file name must not exceed 45 characters.

4.3.4 Stakeholder statements – application Appendix D (optional)

If deemed relevant for assessment of the project, statements may be obtained from relevant stakeholders, such as users or beneficiaries of the results, manufacturers or public authorities. The statements will be treated as relevant if they account for the author's specific interest in the project and if the signatory holds an executive position with the stakeholder entity. Standardised letters of support will not be attributed significance. Each statement must cover no more than a single A4

sheet, and should be formatted for optimum legibility on both paper and e.g. an iPad. The statements must be compiled in a single PDF document. The PDF document must be attached to the application from inside e-grant. Note that the file name must not exceed 45 characters.

5. Grant award

5.1 Investment and collaboration agreements

Innovation Fund Denmark's grant award is conditional on the conclusion of an "investment agreement" between the project's partners and IFD no later than 60 days from the date of the notice of grant award. The grant period and hence start-up of the project must commence no later than 120 days from the date of the notice of grant award. Innovation Fund Denmark may demand repayment of a proportion of the "Investment" if the agreed funding conditions are not fulfilled.

IFD gives high priority to collaboration in the project, and consequently requires that the partners have concluded a collaboration agreement before the signing of the investment agreement. The collaboration agreement is annexed to the investment agreement. In the collaboration agreement, the parties agree on how to share background and foreground knowledge, on the distribution of the results of the project, who has access to utilise the project's results, rules regarding publication, the withdrawal of a party from the project etc. IFD's standard collaboration agreement is available at www.innovationsfonden.dk/en from the beginning of July 2015, but provided the parties agree, an alternative partnership agreement may be used.

The parties' negotiation of the collaboration agreement is typically a time-consuming process, and the parties are therefore urged to commence the process well in advance of the final date for submission to IFD.

5.2 Responsible Research and Innovation and the Danish Code of Conduct for Research Integrity

Innovation Fund Denmark attaches importance to Responsible Research and Innovation (RRI), which seeks to advance greater coherence between research and innovation processes and results and societal values and needs. Innovation Fund Denmark promotes RRI in both its overarching strategies and via its projects and abides by the European Commission's definition and implementation of RRI. More information about RRI and IFD requirements is provided at: <http://innovationsfonden.dk/en/requirements-responsible-research-and-innovation>.

Note that one of the requirements is for projects with an IFD investment to involve all relevant stakeholders and institutions in the research and innovation process. One element of this is that projects that have or might potentially have great impact on society and/or individuals ethically or technologically are to engage in direct dialogue with society at large in order to ensure the dissemination of information and relevant discussion in society. This might be achieved, for example, by the holding of civic meetings of a suitable nature. Innovation Fund Denmark reserves the right to make specific requirements to that end in connection with conclusion of the investment agreement with the parties to the project.

Similarly, Innovation Fund Denmark endorses the policies laid down in the Danish Code of Conduct for Research Integrity. Innovation Fund Denmark expects that the projects it invests in comply with RRI and the Code of Conduct, and by signing the investment agreement with Innovation Fund Denmark,

the applicant subscribes to these principles.. Read the Code of Conduct here: [The Danish Code of Conduct for Research Integrity](#).

5.3 Open access

Applicants are advised that Innovation Fund Denmark has adopted the rules laid down in “Open Access policy for public-sector research councils and foundations”. This means that published scientific articles, which are the result of full financing or co-financing from Innovation Fund Denmark, are to be made freely available to the public domain via Open Access if the publisher consents and by signing the investment agreement with Innovation Fund Denmark, the applicant accepts this policy. Read the complete wording of the policy here: “[Open Access policy for public-sector research councils and foundations](#)”.

5.4 Active follow-up on grants

Innovation Fund Denmark is committed to being an active partner in all large-scale projects and to that end will engage in proactive interaction with the project for its duration. Innovation Fund Denmark reserves the right to conduct project reviews at any stage during the projects, to obtain information about results and impacts for a period of 5 years after conclusion of the project, and to discontinue projects which are deemed to have made insufficient progress. Conversely, projects that document particularly promising results and potential will be invited to apply for supplementary financing of up to 20 % of the original grant.

6. Other matters concerning processing of applications etc.

Registration of information

The *e-grant* application system registers certain data automatically. When you set yourself up as a user, e-grant registers your identity, your IP address, and the time and date on which the application was created or edited.

Applicant's responsibility

It is the applicant's responsibility to ensure that the information provided in the electronic application is accurate, that the required appendices have been attached to the application, that the content of the appendices is correct, and that the application is submitted before expiry of the application deadline for the call.

The applicant is under obligation to notify Innovation Fund Denmark in the event of any subsequent material changes affecting the information submitted, including if financing for the activities or part thereof is received from other sources.

Technical disclaimer

The Danish Agency for Science, Technology and Innovation, which is responsible for e-grant, has a duty to notify users of the system of any errors that cause e-grant to be inaccessible to the point where it affects the applicant's access to submitting an application by a given deadline. Updates on any system disruptions will be posted on the website of the Danish Agency for Science, Technology and Innovation at <http://ufm.dk/fi/e-grant>.

In very severe cases, Innovation Fund Denmark may extend the application deadline for all affected applicants. This will likewise be announced at <http://ufm.dk/fi/e-grant> and at <http://innovationsfonden.dk/>.

Innovation Fund Denmark and the Danish Agency for Science, Technology and Innovation disclaim all and any liability for erroneous information ensuing from faults in software, computation errors, transmission faults and similar faults, and in respect of any claim for damages ensuing from incorrect use of e-grant.

Rectification of application data

There is no option after the application deadline to rectify the content of the application aside from rectification of any personal data.

Rejection of applications without substantive consideration

In the event of failure to comply with the following provisions in the call, the application may be rejected without substantive consideration:

- The application must be submitted solely in response to an invitation based on an approved Phase 1 application.
- The application must be submitted via the e-grant application portal by the deadline stated in the call.
- The electronic application form must contain all the required information; see the instructions on the form.
- The amount applied for must be consistent with the financing frameworks specified in the relevant call.
- The e-application form must be appended with exactly the appendices specified in Section 4 of the present guidelines, and the volume of the appendices must be as stipulated.
- Application Appendices A and B must be completed on the correct appendix templates and Appendix C must contain CVs for the project's key participants. All appendices must be written in English and comply with the form and content requirements stipulated in the present guidelines.
- Appendices must not be password-protected or otherwise locked, and must total no more than 25 MB in size.

Procurement of other information

In the event that funding for the activity has been or will be applied for from other sources, Innovation Fund Denmark reserves the right to obtain information as to whether any such amount has been granted.

Disclosure

Innovation Fund Denmark will publish a listing of Phase 2 applications that are awarded a grant, and may, in that connection, make use of the brief popular-science description from the application form. In addition, details of the project leader's title, name, place of employment and e-mail-address, the names of the participating parties, the grant title and duration, key figures for the grant and the size of the grant may be published in the Danish Research Database (www.forskningsdatabasen.dk), on Innovation Fund Denmark's website (www.innovationsfonden.dk) and in Innovation Fund Denmark's publications.

Applicants should also bear in mind that information may be disclosed in the event that an application is filed for access to information pursuant to the Danish Access to Public Administration Files Act ("Offentlighedsloven"). Access to information may, for example, be granted in the form of lists of who has applied and for what purpose (applicant names, application titles and amounts applied for). Applicants should therefore take care that their application title does not contain information about

activities which are to be kept out of the public domain. With regard to the actual application, Innovation Fund Denmark will in dialogue with the applicants (enterprises etc.) ensure that no commercially sensitive data is disclosed, as well as any other information which with reference to the law may not be disclosed.

Appendix 1 - Project position in the innovation value chain

	Research	Development	Commercialisation/ implementation
Results	The creation of a knowledge platform that can be successfully continued within many different applications.	A product, a successful preclinical trial, a prototype, a patent or the like.	Demonstration, testing and validation of new or enhanced products, processes or services.
Commercial timeframe	Approx. 5-15 years	Approx. 3-10 years	Approx. 1-5 years
Research contribution	New knowledge and skills are created at a high international level.	The focus might be both on creating new knowledge and on applying existing knowledge in a novel and original way.	Typical focus on application of existing knowledge. Any research is very closely related to a single company's needs.
Market	The project is application-oriented and contributes to solving significant societal challenges.	The project is based on a convincing business case with demonstrable high potential.	The market potential and business plan for the idea are well-founded and likely positive impacts on the involved parties' business development can be described.
Consortium	Typical initiator and main weight of the contribution from research institution.	Balanced initiative and commitment on the part of both the research institutions and enterprises.	Initiator and main weight of the contribution from enterprise.
Rights/IPR	A plan has been agreed for the distribution of rights between the parties.	Parties are ready to sign a shared rights agreement.	Parties have typically signed a shared rights agreement.