

Guidelines Grand Solutions Phase 2 2016

May 2016

Guidelines for Grand Solutions – Phase 2 – 2016

Contents

1. Introduction and reader's guide.....	4
1.1 About Grand Solutions.....	4
1.2 Reader's guide.....	4
1.3 News for 2016.....	5
1.4 Investments.....	5
2. Application process	6
2.1 Funding opportunities.....	6
2.2 Who can apply and receive funding?.....	6
2.3 Two-phase application procedure	6
2.4 Application deadline and other important deadlines.....	6
2.5 Assessment process	7
2.6 Assessment criteria.....	7
3. Finances and budgeting	9
3.1 Innovation Fund Denmark's maximum investment rates.....	9
3.2 Co-financing – including financing from other sources	9
3.3 Main budgeting principles	9
3.4 Budgetary rules.....	11
3.4.1 Budgetary rules for private sector enterprises in Denmark and abroad	11
3.4.2 Budgetary rules for public sector institutions in Denmark and abroad – incl. foreign research institutions and government-funded Danish institutions.....	12
3.4.3 Budgetary rules for GTS institutes (Approved Technological Service Institutes)	12
3.4.4 Budgetary rules for major sub-supplies.....	13
3.4.5 Budgetary rules for undistributed funds.....	13
4. Application preparation (Phase 2).....	14
4.1 Application content.....	14
4.2 Using e-Grant	14
4.3 Project timelines, tables and figures – application Appendix A.....	14
4.4 Budget – application Appendix B.....	14
4.5 CVs for the key project participants – application Appendix C.....	15
4.6 References – application Appendix D (optional).....	15
4.7 Stakeholder statements – application Appendix E (optional)	15
5. Content of the Phase 2 application form for Grand Solutions 2016.....	17
6. Process for investment	21
6.1 Investment and collaboration agreements.....	21
6.2 Active follow-up on investments	22
7. Other matters concerning processing of applications etc.....	23
7.1 Registration of information.....	23
7.2 Applicant's responsibility	23
7.3 Technical disclaimer.....	23
7.4 Rectification of application data	23

7.5 Disqualification from participation in applications for Grand Solutions.....	23
7.6 Rejection of applications without substantive consideration.....	24
7.7 Procurement of other information	24
7.8 Disclosure.....	24
7.9 Open access	25
7.10 RRI and the Danish Code of Conduct for Research Integrity	25
Appendix 1 – Contact	26
Appendix 2 – Project position in the innovation value chain	27
Appendix 3 – Technology readiness levels (TRL) definition according to HORIZON 2020	28

1. Introduction and reader's guide

1.1 About Grand Solutions

Innovation Fund Denmark's (IFD) purpose is to advance research, development and implementation/commercialisation of innovative solutions for the benefit of growth and employment in Denmark. IFD therefore expects project proposals for Grand Solutions to be placed at different points along the value chain. Grand Solutions are projects in which IFD's investment exceeds DKK 5m. Grand Solutions projects are characterised by their high risk profile and focus on ambitious results in the form of tangible processes, systems or products.

Given that Grand Solutions projects are expected to range from research through development to implementation/commercialisation, and thus cover a broad range of subject areas, the number and type of project participants will vary considerably from one project to the next. Similarly, IFD's investment will vary, but is expected to be in the order of DKK 5m to 30m incl. overheads. In special cases, IFD may award substantially larger grants. The typical duration of the projects is two to five years.

1.2 Reader's guide

The present guidelines set out the general rules and constraints applicable to the preparation, submission and processing of applications for Grand Solutions – Phase 2 under IFD's two-phase application process.

The guidelines apply to the calls listed in Section 1.4.

This guidance document is also available in a Danish original version at:

<http://innovationsfonden.dk/da/investeringstype/grand-solutions>. 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:

1. The relevant call text(s) describing the specific framework for applications. In addition, applicants should consult the material referred to in the call texts (e.g. Strategy and general criteria for Grand Solutions, Investment strategies (in Danish only), Guidelines for e-Grant and TRL definitions (Appendix 3)).
2. The templates to be used in preparing the Phase 2 application (front page for CVs and budget). These must be attached to the application form in the e-Grant electronic application system. An overview of the application form in PDF format can be found on the IFD website referred to below.

The relevant documents are available to applicants on the IFD website at:

<http://innovationsfonden.dk/en/investment/grand-solutions>.

In case of queries concerning calls and guidelines, please contact the contact persons listed on IFD's website (see link above) in connection with the specific calls.

In case of technical queries concerning use of the e-Grant application system, please contact support.e-grant@fi.dk or tel. + 45 33 92 91 90 (open 9.00-12:00 noon on weekdays, and until 19:00 CET on the closing date for applications, 15 August 2016).

1.3 News for 2016

Please note the following changes:

- PhDs may be an integrated part of a project; however, only the hours a PhD scholar spends on the project can be entered into the budget and follow the same rules as the remaining staff. Thus, only PhD expenses directly related to the project will be covered.
- Information about the individual project participants (institutions/enterprises) must be provided on a separate sheet as part of the budget template.
- Significant changes have been made to the application form since 2015.
- There is now only one budget model for private entities (cf. Section 3.4.1 of the present guidelines).
- Projects in which IFD has decided to invest will be subjected to an annual project review, where the partners and IFD review the project, its results and, if required, adjust the project plan and budget.

Please note the following changes, compared to the 2016 guidelines for Phase 1 applications:

- Section 3.3 of the Phase 1 guidelines stated that the Phase 2 budget must be divided into work packages. IFD no longer requires this. The budget for each project participant must now be divided into cost categories (salary, equipment and other direct project-related costs). Due to rules on state aid (stating the maximum investment rates for various forms of activities) costs must also be divided into fundamental research/industrial research and experimental development, respectively, as explained in detail in Section 3.3 of the guidelines.

1.4 Investments

IFD has allocated approx. DKK 600m for Grand Solutions, divided across the calls listed below:

Calls to which the present guidelines apply:	Economic frame
Energy	DKK 70m
Future welfare	DKK 21m
Food and resource-efficient biological production	DKK 188m
Environmental technology	DKK 25m
Psychiatry	DKK 30m
Strategic growth technologies	DKK 70m
Health and clinical research	DKK 80m
Transport and infrastructure	DKK 20m
Tourism	DKK 10m
Open call	DKK 80m

Note:

- IFD can decide to allocate parts of these funds for later calls, consequently reducing the financial scope of the current call.
- The funds for Organics (under Food and resource-efficient biological production) and Future welfare have been transferred from the National Budget 2015.

2. Application process

2.1 Funding opportunities

Applicants invited to submit a Phase 2 application may do so under open calls or one of the thematic calls, i.e. one of the politically determined themes (under the National budget and the Research Reserve Funds Agreement).

Normally the invitation to submit a Phase 2 application will specify which call the invitation is for. However, IFD may choose to assess the application under other thematic or open calls.

2.2 Who can apply and receive funding?

Any legal entity (such as an enterprise or a research institution) in or outside Denmark, directly involved in the project activities, is eligible to apply or participate and receive funding from IFD. For details of the maximum investment rate for the different types of participants, see Section 3.

One of the project participants will act as the applicant, and at the same time the project participants will select a person who, during the application process, acts as contact person between IFD and the project participants.

2.3 Two-phase application procedure

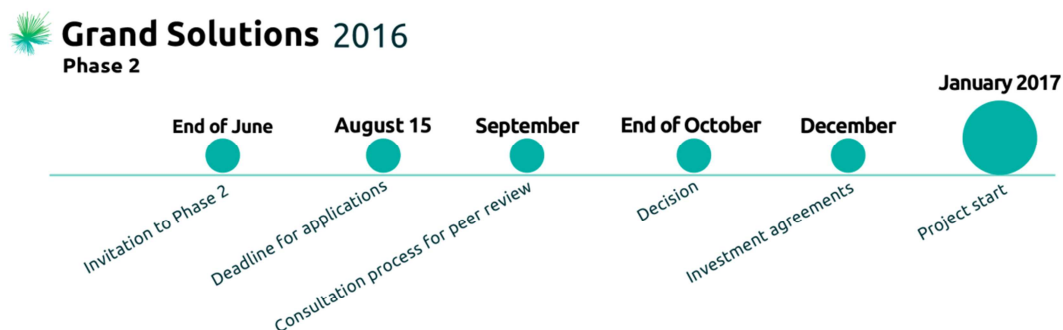
The application procedure for Grand Solutions is two-phased. Applicants have initially submitted a Phase 1 application focussing on the value creation of the project. In addition to value creation, invited Phase 2 applications must also focus on the operationalisation of the project.

2.4 Application deadline and other important deadlines

Phase 2 applications must reach IFD, i.e. be submitted via the e-Grant application system, by no later than 19:00 CET on Monday, August 15, 2016.

Applicants must meet the application deadline – it will not be technically possible to submit applications after the deadline.

The application process is expected to be as follows:



2.5 Assessment process

All Phase 2 applications are assessed by external and independent peer reviewers. The peer reviews are sent to the applicant via the project contact person in a consultative procedure. Applicants should note that the names of the peer reviewers must be handled confidentially.

Based on the external peer reviews and any consultation comments, IFD prepares decision-support materials for the IFD Board, which makes the final decision. Please note that while the peer reviewers make a scientific/technical assessment of the applications, IFD and its Board also take into consideration a series of other elements, e.g. the strategic importance of the project, cf. the assessment criteria.

In late October the Board is expected to decide which applications are invited to investment negotiations. All applicants will then receive a written reply from IFD and are invited to contact IFD for further feedback.

2.6 Assessment criteria

Applications for Grand Solutions are assessed on the basis of three main criteria:

- Quality and novelty/originality
- Strategic significance and impact
- Efficiency and implementation

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

Quality and novelty/originality

- Clear objectives in accordance with the call
- Quality of hypothesis/research questions
- Novelty and state-of-the-art
- Partner composition and inclusion of relevant competencies and qualifications, including potential involvement of relevant international partners

Strategic importance and impact

- How does the new knowledge created in the project result in growth and employment in Denmark?
- How does the project contribute with value creation for society/beneficiaries in relation to state-of-the-art?
- Does the project seek to accommodate an unmet need (“pull”) or to explore an opportunity (“push”)?
- What is the value creation for the project partners in the short, medium and long term, including commercial potential? Does the project have a beneficiary?
- Is the project linked to national or international strategies, or is it within a Danish position of strength?
- Does the project fit into the IFD strategy in the specific field?
- Can the results lead to innovation in other fields?

Efficiency and implementation

- Do the participating parties have a clear, shared vision?
- Feasibility and organisation:
 - i) Risk assessment and risk management
 - ii) Interdependencies between work packages and results, incl. stop/go-criteria
 - iii) Efficient decision-making processes
 - iv) Any ethical and legal aspects
- Economic efficiency (incl. “financial gearing”)

3. Finances and budgeting

A Phase 2 application must include a budget for the project's total costs over the project period. The budget must be broken down into project participants (i.e. enterprises/institutions) and specify, for each party, the funding being sought from IFD. The budget for the individual participants must be divided into cost categories and specify whether the research to be conducted is "Fundamental research/Industrial Research" or "Experimental Development", cf. the description in Section 3.4.1.

The budget must be made in the budget template (Excel format), available at <http://innovationsfonden.dk/en/investment/grand-solutions>, and be in accordance with the budgetary rules provided in the template or in the application form in e-Grant. The Excel file contains a short guide to the use of the template.

The invitation to submit a Phase 2 application may contain specific instructions for the applicant, e.g. about the finances of the project. In this case, it will be possible within reason to adjust the budget and finance plan submitted with the Phase 1 application. However, the overall funding applied for from IFD should not vary greatly from the amount stated in the Phase 1 application, and the IFD investment rate should not be increased.

Please note that the budget file must be uploaded in Excel format through e-Grant, **and** that selected overview sheets from the budget file should be attached in a PDF format as Appendix B. This is explained in detail in the Excel file.

3.1 Innovation Fund Denmark's maximum investment rates

Except in extraordinary circumstances, IFD will cover a maximum of 75 % of the project's total costs. In addition, there is a cap on the IFD coverage of the costs of each individual participant. The maximum investment rates are shown in the summary of the budgetary rules for the different organisation types under Section 3.4.

It must be emphasised that all investment rates are maximum values. The individual participants may contribute a larger share of co-financing or finance the whole of their commitment themselves.

3.2 Co-financing – including financing from other sources

IFD requires the participants to invest in the project themselves, and therefore expects co-financing from all participants of a project. This is reflected in the maximum investment rates mentioned in Section 3.4. Project participants' co-financing may be made in kind, e.g. as the value of labour, or in cash, where the participant pays e.g. for direct expenses incurred by the project.

The budget may also include financing from other sources. In order to ensure compliance with the EU rules on state aid, the co-financing may **not** include funds from public sector subsidisation schemes within the EU or EU Member States, including Denmark, unless this has been explicitly sanctioned by IFD. In this connection, enterprises must observe that the EU's scope of legal state aid comprises the total funds from public sector subsidisation schemes regarded as state aid.

3.3 Main budgeting principles

The budget must include all direct project costs, i.e. costs directly attributable to the project, regardless of whether the applicant is seeking to have those costs covered by IFD, or whether they will be borne by the project participants themselves or by a third party. Costs must be calculated in accordance with the rules set out in Section 3.4 for the different organisation types.

Direct costs are typically salary for staff working on the project, including project management and project administration for this particular project, any costs of equipment necessary for carrying out the planned activities, and other direct project-related costs such as purchasing of materials, consultancy support, contract-based research, and travel and meeting costs. If the equipment is only used partly for the project, only the depreciation costs during the project duration may be included in the budget. The depreciation costs must be calculated in accordance with normal accounting practice.

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

The costs are calculated in accordance with the rules provided in Section 3.4 for each of the organisation types. The total project costs are divided across the project participants based on the principle that the entity defraying a given expense must include it in its own budget. For salary costs this means that the institution/enterprise paying the salary during the project period must include this cost in its own budget.¹

For each project participant the costs must be divided into categories (i.e. salary, costs of equipment and other direct project-related costs, and – for public sector units – any overhead, cf. the rules provided in Section 3.4.2).

The costs within each cost category must furthermore be divided into “Fundamental research/Industrial Research” or “Experimental Development”, respectively. “Fundamental research/Industrial Research” focusses on generating new knowledge, whereas “Experimental Development” focusses on using existing knowledge. This split is necessary, among other things, because the investment rates of the activity types are different for private entities. Section 3.4.1 includes a link to the EU’s definitions of “Fundamental research/Industrial Research” and “Experimental Development”. Please note that budgetary costs relating to “Fundamental research” must be placed under “Industrial Research”.

Finally, the costs are divided into sources of financing (IFD, the project participants and other sources of financing, if applicable).

¹ When a project participant is employed by more than one institution/enterprise, these entities will be responsible for determining how the project hours are divided between them. Each entity will thus include salary costs for that entity’s share of the project hours in its own budget.

3.4 Budgetary rules

3.4.1 Budgetary rules for private sector enterprises in Denmark and abroad

Salary costs: A fixed rate of max. DKK 750/hour applies to all staff groups.

Other direct project-related costs: Must be stated as actual, anticipated costs.²

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 IFD) depends partly on whether the enterprise is an SME (small and medium-sized enterprises), partly on whether the activities under the project count as *Fundamental research/Industrial research*, where the focus is on acquisition of *new knowledge* and skills and their utilisation, or as *Experimental development*, where the focus is on utilisation of *existing knowledge*. Cf. link to EU definitions below.³

The maximum investment rates are:

Small and medium-sized enterprises (SMEs)

Fundamental research/Industrial research:	60 %
Experimental development:	35 %

Large enterprises

Fundamental research/Industrial research:	50 %
Experimental development:	25 %

SMEs have fewer than 250 employees. In addition, it is a requirement *either* that the enterprise's annual turnover does not exceed EUR 50m, *or* that its balance sheet does not exceed EUR 43m. In addition, there are certain requirements regarding the enterprise's autonomy. For details, see "[The new definition of small and medium-sized enterprises – User guide and declaration](#)" or contact IFD for more information.

The EU's definitions of fundamental research, industrial research and experimental development, respectively, are provided in the EU's General Block Exemption Regulation at: <http://eur-lex.europa.eu/legal-content/DA/TXT/PDF/?uri=CELEX:32014R0651&from=EN> (see *in particular, definitions 84, 85 and 86 in Article 2 on page 25 of the document*).

Note regarding grants to private-sector enterprises:

Grants to private sector enterprises are awarded within the constraints of IFD's notification to the European Commission pursuant to the General block exemption Regulation (Commission Regulation (EU) No 651/2014 of 17 June 2014 (see link above) 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 Articles 1-12) and Articles 25 and 30.

² Note Section 2.2 regarding equipment and depreciation costs.

³ It must be emphasised that the EU definitions of "Fundamental research", "Industrial research" and "Experimental development" are not identical with the descriptions of the value chain provided by the fund in Section 2.2 of the present guidelines.

Investment in profit and non-profit organisations:

Trade organisations, interest organisations, and organisations and enterprises performing economic activities, i.e. offers products or services in a market, must observe the rules for state aid to enterprises, including the IFD's maximum investment rates.

Insofar as the organisation in question performs non-economic activities, IFD, following a concrete assessment, may choose to increase the maximum investment rate. Information on such matters should reach IFD well in advance of the application deadline.

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

Salary costs: Must be stated as actual, anticipated costs.

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

Overheads: For certain types of institutions, a separate overhead 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's budgetary guidelines and thereby authorised to carry out subsidised research activities 44 %
- Other Danish institutions which meet all of the following criteria:
 - 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)
 - Are non-profit institutions with no direct commercial use in view, and where any proceeds cannot be distributed to the owners
 - Which 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: IFD will finance up to 90 % of the project costs of Danish research institutions. However, the IFD can finance a **maximum** of 75 % the project participants' total project costs, incl. overheads.

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

Salary costs: Must be stated as the actual, anticipated salary costs per hour during 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: Must be stated as the actual, anticipated price.

Overheads: Overheads may not be itemised separately.

Maximum investment rate: IFD will cover a **maximum** of 60 % of GTS institute project costs for non-profit research activities. In that connection IFD requires that the results of the research conducted are published or, by other means, made publically available to all on equal terms.

GTS institutes can concurrently with non-profit research activities perform activities on market terms by e.g. providing consultancy support. Investments made by IFD in such activities are subject to the rules of maximum investment rates applicable to enterprises.

3.4.4 Budgetary rules for major sub-supplies

Some projects will depend on large-scale services purchased from external suppliers. If expenses for such services are expected to amount to approx. DKK 0.5m or more, the expenses for these services must be specified separately in the budget at the anticipated actual purchase price. Applicants should note that the prevailing statutory public procurement rules must be adhered to in conclusion of contracts for sub-supply over the course of the project, and that a given entity may not concurrently be a participant and a sub-supplier of a project.

With regard to costs of equipment only depreciation costs during the project period may be included in the budget if the equipment is used in the project for only part of its lifespan. These depreciation costs must be calculated based on generally accepted accounting principles. The depreciation costs must be specified in the budget of the participant responsible for purchasing the equipment.

However, Danish research institutions can include purchase costs for the equipment in the budget. The equipment must only be used for *non-economic activities* and thus not for commercial purposes.

3.4.5 Budgetary rules for undistributed funds

In order to ensure flexibility over the course of a project, especially in large-scale and long-term activities, a small proportion (max 10 %) of IFD's budgeted investment can be left undistributed among the individual partners at the start of the project. However, the budget must still state for which activities the undistributed funds are to be used. Applicants wishing to make use of this option must create a separate "Undistributed" item in their budget.

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. The application content is described in detail in Section 5 below and can also be found in PDF format on the IFD website.

The following appendices must be attached to the electronic form (Appendices A-C are obligatory). The application cannot be submitted until they have been attached (Appendices D and E are optional):

- Appendix A: Project timelines
- Appendix B: Budget (PDF generated from the Excel budget form – budget overview)
- Appendix C: Front page and CVs (max. 1 page per individual)
- Appendix D: References (optional)
- Appendix E: Stakeholder statements (optional)

All texts in the application form and appendices must be written in English, except for a short popular description in Danish in the electronic application form. The application must have an official title (max. 180 characters incl. spaces) briefly describing the activity. 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** that for technical reasons the title must not contain special characters such as @ § [% ' ' "".

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

4.2 Using e-Grant

The application must be completed in the electronic application system e-Grant, www.e-grant.dk. Once you have been set up as a system user and have logged in, you can create a new application by selecting “Application possibilities” (in Danish: “Søgemuligheder”) in the menu on the front page. Then locate the correct call and press “Apply now” (in Danish: “Start din ansøgning”). Note that the list of calls is sorted alphabetically, and that the names of all the calls from IFD for Grand Solutions are prefixed by “IF”.

A user guide to the e-Grant system, including information on how to become a user, is available at: <http://innovationsfonden.dk/en/investment/grand-solutions>. The electronic application form itself also contains dynamic help texts explaining the content of the individual fields etc.

4.3 Project timelines, tables and figures – application Appendix A

Appendix A should contain a short overview of the main project timelines and deadlines, e.g. in a Gantt chart format and tables and/or figures relevant for the application (max. 4 pages in total).

4.4 Budget – application Appendix B

The budget must be prepared in accordance with the rules stipulated in Section 3 of the present guidelines. The budget must be typed into a special Excel template available for download directly from the application form or at <http://innovationsfonden.dk/en/investment/grand-solutions>.

The four overview sheets in the Excel file (OV1, OV2, OV3 and OV4) must be converted to PDF and saved as one file and then be submitted with the application as Appendix B (the other sheets in the Excel file, including the budget for each participant, should **not** be included in Appendix B). See further details in the guide in the Excel file. The filename of the PDF document must not exceed 45 characters.

Note that the budget file itself (in Excel format) must be uploaded before the application is submitted, as this will make it possible to transfer all data in the file to the administrative systems of IFD and ensure that key parameters are automatically entered into the final application document.

Note that the budget template does not facilitate year-by-year division, but that applicants invited to contract negotiations are required to fill in a new budget template with year-by-year budgets. If the applicants prefer they can use the year-by-year template in the Phase 2 application. This template is available from IFD.

Finally, please note that the budget must include information on the individual project participants, including – for Danish entities – CVR numbers and P numbers, where applicable. (*A P unit is the place from which business is conducted, and a CVR number can have several P numbers affiliated*). If an application leads to an investment it is an essential requirement that each Danish project participant has a unique combination of CVR and P numbers; i.e. if several project participants share the same CVR number it is absolutely necessary that they have individual and separate P numbers.

4.5 CVs for the key project participants – application Appendix C

In Phase 2, applicants are expected to attach CVs for the project's key individuals, i.e. the individuals who are central to the success of the project. The CVs are expected to match the qualifications and competencies described as necessary for the success of the project in "Project partners – qualifications and competencies". The front page of Appendix C provides an overview of the time the key individuals expect to spend on the project. Note that each CV must not exceed one A4 page.

The front page with the estimated time consumption of the key participants as well as all relevant CVs must be compiled into a single PDF document with each CV starting on a fresh page. The PDF document must be saved and attached to the application in the e-Grant system. Note that the file name must not exceed 45 characters.

The front page template is available at: <http://innovationsfonden.dk/en/investment/grand-solutions>

4.6 References – application Appendix D (optional)

Appendix D is for references, if relevant for the application.

4.7 Stakeholder statements – application Appendix E (optional)

If deemed relevant for the assessment of the project, statements from relevant stakeholders, such as beneficiaries, manufacturers or public authorities, may be requested. The statements are considered relevant if they clarify the given stakeholder's specific interest in the project and have been signed by a person at management level.

Each statement must be no more than one A4 page and with a typography that ensures easy reading on paper and electronically, e.g. on an iPad. The statements must be compiled into one PDF

document and submitted with the application from e-Grant. Note that the file name must not exceed 45 characters.

5. Content of the Phase 2 application form for Grand Solutions 2016

Below is a description of the information which must be entered into the electronic application form on www.e-grant.dk for Grand Solutions. The list observes the menu items to the left on the application form.

Introduction

- This page contains general information. Press “start” to access the remaining pages.

Basic project information

- The name of the call under which the application has been created will be evident at the top of the page. If this is not the correct call, a new application should be made under the correct call.
- **Project title:** (name of the application, possibly adjusted compared to the one given on the very first page of the application). The title should be given in both Danish and English.
- **Subject areas:** (placing the application within a given subject area). This field is for statistical use. *The subject areas are: “Bioresources, Food and Lifestyle”, “Production, Materials, Digitisation and ICT”, “Biotech, Medico and Health”, “Infrastructure, Transport and Construction”, “Trade, Service and Society”, “Energy, Climate and Environment” and “Other”.*

Applicant

- **Applicant:** Provide information about the applicant (institution/enterprise). A choice of frequently used entities is available from a drop-down list. Otherwise, state the name, CVR number and possibly CVR-P number (available from the Danish Central Business Register at: <https://datacvr.virk.dk/data/>) and address of the applicant.
- **Contact:** Provide the title, name, email address and phone number of the person, who, on behalf of the applicant, will be the IFD contact person in connection with the application.

Upload budget

Here applicants can download the budget form in Excel format.

Once the template has been filled in and saved on the applicant's local hard drive, it can be uploaded here. Note that the budget cannot be uploaded until certain budget fields have been completed correctly.

Key budget figures

- **Amount applied for ex. overheads:** The amount is extracted automatically from the budget form.
- **Amount applied for, for overheads:** The amount is extracted automatically from the budget form.
- **Amount applied for incl. overheads:** The amount is extracted automatically from the budget form.
- **Total budget incl. overheads:** The amount is extracted automatically from the budget form.
- **Equipment expenses:** If the budget contains equipment expenses in excess of DKK 500,000, the applicant must provide a short explanation. (The text cannot exceed 1,000 characters).

Duration

- The expected start time and finish time of the project and its duration in months.

OECD codes

- For statistical purposes, please characterise the scientific content of your project based on the international OECD code system. The codes must be listed in order of priority presenting the most relevant codes first. You should only state codes corresponding to significant elements in the project, as a guideline a coded element must correspond to at least 1/5 of the project's research time.

Keywords and short popular description

- **Keywords:** A maximum of 5 words describing the project content (to be used in the initial screening of the applications).
- **Popular description in Danish:** Provide a short, popular description of the project of a maximum of 1,250 characters. The description may be used for publication.

Scientific/technical summary in English

- The summary is used internally and should describe the main activities of the project (max. 1,800 characters).

Other applications and previous grants

On this page applicants may provide a series of supplementary information in text fields:

- **Please state your Phase 1 application number:** Providing the project's Phase 1 application number here ensures that the applications are linked in the IFD's database.
- **Changes in relation to the Phase 1 application, if any:** Describe any changes made since the Phase 1 application was submitted and explain why such changes have been made (max. 1,000 characters).
- **Is the application linked to other grants:** Provide an outline of any other funds or programmes etc. from which support has been sought for the given project. Also state if an investment by the IFD will lead to funding from other sources (max. 1,000 characters).
- **Are any project activities dependent on applications submitted to other sources of funding:** Provide a short description of project activities or work packages that depend on funding from other sources, if any (max. 1,000 characters).
- **Any supplementary information:** Here the applicant may provide any supplementary information which the applicant deems vital to the application, but which does not fall under any of the other categories in the application form (max. 1,000 characters).

Aim and novelty

- **Aim:** Please give a short description of the overall aim, specific goals and research hypothesis of the project (max. 750 characters).
- **Innovative scope:** Please give a short description of how the project idea is innovative. Does it create new knowledge, is it based on new knowledge, does it combine knowledge or known techniques in a new manner, or will the implementation of the project lead to new products, processes or ways of organising work? Innovation can be any combination of the above that lead to value creation (max. 1,250 characters).
- **State-of-the-art**
Please describe the state-of-the-art of the theoretical and practical field at national and international levels. Include e.g. knowledge base, main competitors, competing technologies and solutions when relevant. (max. 2,500 characters).

Value

- **Relevance of the project:** Please describe the relevance of the project; e.g. is the project directed towards an opportunity or does it seek to cover an unmet need? Who will benefit from the project?
Provide an estimate of the magnitude/ size in terms of impact e.g. on society or its commercial potential (max. 1,250 characters).
- **Positioning in the value chain:** Please state along which part(s) of the value chain the project is positioned by ticking at least one box: “Applied research”, “Development”, “Commercialisation/ implementation”. Appendix 2 of these guidelines describes what typically characterises projects in different parts of the value chain.
- **Description of placement:** Please describe where in the value chain the project is placed, for instance in terms of TRL. Where in the value chain will the project be placed after an investment from the IFD, for instance in terms of Technological Readiness Level (TRL) (max. 500 characters). Appendix 3 contains the TRL definition from Horizon2020.
- **Value creation in overall innovation:** Please describe the estimated value creation of the overall innovation in terms of quantitative and/or qualitative measures. The individual calls may include examples of specific quantitative measures (max. 1,250 characters).
- **Value creation after end of investment:** Please describe how the IFD’s investment will add value to the specific project. E.g. will the investment progress the project in terms of a change in TRL? Who will use, invest in or own/ manage the project or results once the IFD’s contribution has ended? (Max. 1,250 characters).
- **Innovative gearing:** If relevant, please describe if the project enables other innovative projects or solutions. Is it possible to expand the results to other areas? (Max. 500 characters)

Regulations, ethics and financial gearing

- **Regulatory and ethical considerations:** If relevant, please describe possible ethical and/or regulatory issues and considerations, including authorisation requirements (scientific ethics, data security, use of laboratory animals or other), and handling of health, environmental or ethical issues associated with the project (max. 1,250 characters).
- **Financial gearing:** Will the IFD’s investment attract/initiate funding from other sources? (max. 750 characters).

Project description

- **Value proposition:** Please describe the value proposition (quantitatively if possible) for society of improved processes and services. Alternatively, describe the value proposition of the solution, explaining the (quantitative and qualitative) value for the end-user/customer compared the current state-of-the-art (max. 1,250 characters).
- **SWOT analysis:** Please make a SWOT analysis of the project describing the top three strengths, weaknesses, opportunities and threats. Focus on project-specific issues (max. 2,500 characters).
- **Project plan – overview:** Please describe the overall project plan providing an overview of work packages and their interdependencies. Include key milestones and stop/go criteria. An overview of timelines (for instance in a Gantt chart format) should be included in Appendix A. Include risk management of the three main risks of the project (max. 2,500 characters).
Project plan – work package level: Please describe the work packages which constitute the project. Which packages are central to the project, and which are the most demanding? Include methods (if relevant), specific deliveries and milestones with specific deadlines. Method descriptions are particularly relevant for the social sciences and humanities (max. 750 characters per work package; max. 7,500 characters in total).

Project participants

- **Qualifications and competencies:** Please link the qualifications and competencies of the key project participants to the specific project tasks and the success of the project. Describe the participants' experience with project management and their competencies, and how the total qualifications of the team will ensure the success of the project. Why is the team a dream team? Synergies should be highlighted (max. 2,500 characters).
- **Governance:** Please describe the organisation and governance of the project with respect to the steering committee and project management. Link the governance and decision-making processes to the execution, goals and success of the project. Please note that the project organisation and governance should be balanced with the project size (max. 2,500 characters).
- **Project participants:** Please describe the individual participants' motivation for participating in the project and their expected outcome. Justify the roles and activities in the project. Link the individual participant descriptions to the vision of the project and the expected outcome for the individual participants (max. 1,250 characters for each participant).

Attach appendices

On this page the appendices are attached to the electronic application:

- Appendix A: Project timelines
- Appendix B: Budget
- Appendix C: Front page and CVs (max. one page per person)
- Appendix D: References (optional)
- Appendix E: Stakeholder statements (optional)

6. Process for investment

6.1 Investment and collaboration agreements

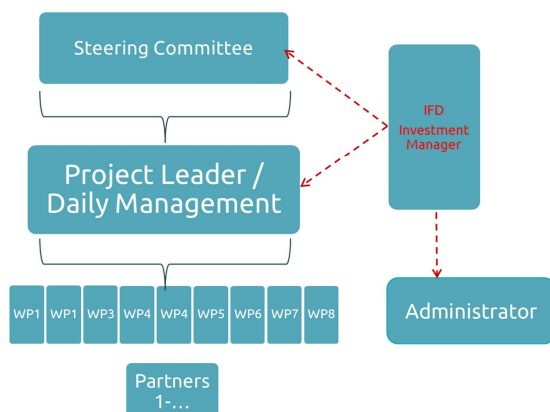
To receive funding from IFD the project participants and IFD must sign an investment agreement for the project no later than 60 days after the written invitation to the Investment Agreement negotiations. The investment period and thereby the project upstart can commence on January 1, 2017 at the earliest and no later than 120 days after approval is given. IFD can demand reimbursement of part of the investment if the agreed investment conditions are not complied with.

IFD attaches great importance to collaboration in the project, and it is therefore a prerequisite that the participants have entered into a collaboration agreement before an investment agreement can be signed. The collaboration agreement is an exhibit of the investment agreement. In the collaboration agreement the participants decide how to use background and foreground knowledge, distribution of the project results, who will gain access to the project results, rules for publication, the process for project participants leaving the project etc.

Negotiating the collaboration agreement is often time-consuming. We recommend that the project participants start negotiations as soon as possible after receiving the invitation to the Investment Agreement negotiations.

IFD's standard Investment Agreement from 2015 as well as an "inspirational draft" for preparation of a collaboration agreement can be found at: <http://innovationsfonden.dk/en/material-investment-agreement-negotiations>. These 2015 documents are potentially subject to change in 2016. Furthermore, "General Terms and Conditions for Large-Scale Projects", stating general terms and conditions for investments, can be found at http://innovationsfonden.dk/sites/default/files/general_terms_and_conditionslarge-scale.pdf

The figure below shows the project management model on which the Investment Agreement is based.



Please note, that when entering into the Investment Agreement it is possible to divide the project participants into "project partners" and "project contributors", respectively. The division is especially relevant for projects with many participating institutions and enterprises.

The project partners will in this case be the main institutions and enterprises in the collaboration. They are part of the steering committee and appoint the project manager and administrator, cf. the conditions of the Investment Agreement. The project contributors are not part of the steering

committee nor can they appoint the project manager and administrator. Project partners or project contributors have the same right to receive funds from IFD and the same obligations to IFD with respect to reporting etc.

6.2 Active follow-up on investments

IFD is committed to being an active partner in all Grand Solutions and will to that end engage in proactive interaction with the project for its duration. Specifically, IFD appoints one or more investment manager(s) to safeguard its interests in the project. The follow-up will be evident from the investment contract between IFD and the individual projects.

IFD requires that the project includes regular reviews in the project period, typically once a year, and reserves the right to collect information about results and effects for a period of five years after the termination of the project. In addition, IFD reserves the right to discontinue projects which are deemed to have made insufficient progress or are unable to meet the goals and visions on which IFD based its investment in the project. Conversely, projects that document especially promising results and potential will be invited to apply for supplementary funding of up to 10 % of the original investment.

7. Other matters concerning processing of applications etc.

7.1 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 you entered or edited your data.

7.2 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 the application deadline for that specific call.

The applicant is under obligation to notify IFD immediately in the event of any subsequent material changes affecting the information submitted, including the amount of funding for the activities or parts thereof received from other sources.

7.3 Technical disclaimer

The Danish Agency for Science, Technology and Innovation, responsible for e-Grant, has a duty to notify system users of any errors causing e-Grant to be inaccessible to the point where it affects the applicant's access to submit 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/en/research-and-innovation/funding-programmes-for-research-and-innovation/e-grant/operational-status>.

In especially severe cases, IFD may extend the application deadline for all affected applicants. This will likewise be announced at: <http://ufm.dk/en/research-and-innovation/funding-programmes-for-research-and-innovation/e-grant/operational-status> and at: <http://grandsolutions.dk/>.

IFD 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.

7.4 Rectification of application data

After the application deadline it is not possible to rectify the content of the application aside from rectification of any personal data.

7.5 Disqualification from participation in applications for Grand Solutions

An enterprise that has not met a demand for reimbursement of funding, which has been declared illegal by the European Commission in an earlier decision, and is incompatible with the common market cannot participate in Grand Solutions.

Furthermore, *enterprises in difficulty*, as defined in Article 2, point 18 of the European Commission's General block exemption Regulation no. 651/2014 <http://eur-lex.europa.eu/legal->

[content/EN/TXT/PDF/?uri=CELEX:32014R0651&from=EN](https://www.innovationsfonden.dk/content/EN/TXT/PDF/?uri=CELEX:32014R0651&from=EN) , cannot participate in applications for Grand Solutions.

7.6 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 via the e-Grant application portal by the deadline stated in Section 2.5 of the present guidelines.
- The electronic application form must contain all the required information, cf. the instructions on the form.
- The electronic application form must be appended with exactly the appendices specified in Section 4 of the present guidelines, and the scope of the appendices must be as stipulated.
- Application Appendix B and the front page of application Appendix C 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.
- As part of the application the completed budget file for the project must be uploaded (in Excel format).
- The application must be submitted on the basis of an invitation following a successful Phase 1 application.

7.7 Procurement of other information

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

7.8 Disclosure

The IFD will publish a list of the Phase 2 applications that will receive funding, and may in that connection use part of the short popular description submitted as part of the application. In addition, the title, name, place of employment and email address of the project leader, the names of the participating parties, the title and duration of the project, key figures and the size of the investment may be published in the Danish National Research Database (www.forskningsdatabasen.dk/en), on the IFD website (www.innovationsfonden.dk) and in IFD publications.

Applicants should 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 regards to the actual application, IFD in dialogue with the applicants (enterprises etc.) will ensure that no commercially sensitive data is disclosed, as well as any other information which, with reference to the law, may not be disclosed.

7.9 Open access

Applicants are advised that IFD 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 IFD, are to be made freely available to the public via Open Access, if the publisher consents. See the complete wording of the policy here: [“Open Access policy for public-sector research councils and foundations”](#).

7.10 RRI and the Danish Code of Conduct for Research Integrity

IFD 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. IFD promotes RRI in both its overarching strategies and via its projects, and abides by the European Commission's definition and implementation of RRI. You can read more about RRI and the requirements of IFD at: <http://innovationsfonden.dk/en/requirements-responsible-research-and-innovation>.

Note that one of the requirements is that the projects in which IFD invests must involve all relevant parties and institutions in the research and innovation processes. One aspect hereof is that projects which have or may have a significant impact on society and/or the individual citizen, ethically or technologically, will enter into direct dialogue with the general public in order to facilitate dissemination of information and relevant debate in society. This can e.g. be done through relevant public meetings. IFD reserves the right to make specific demands for the projects in which the fund invests. If a project concerns technologies or processes that are disruptive and thus may have a significant impact on society, the consequences of the technology must be evident from the application. It is therefore expected that such projects include all relevant competences, and socially relevant research perspectives, e.g. anthropology or similar, should be integrated.

Similarly, IFD endorses the policies laid down in the Danish Code of Conduct for Research Integrity and expects the projects it invests in to comply with RRI and the Code of Conduct. Read the Code of Conduct at: <http://ufm.dk/publikationer/2014/the-danish-code-of-conduct-for-research-integrity>

Appendix 1 – Contact

Questions about specific calls

Contact information for IFD staff will be evident from the given call text.

Technical questions about e-Grant

e-Grant support

Phone: 33929190

Email: support.e-grant@fi.dk

[Technical support for e-Grant, click here](#)

Appendix 2 – Project position in the innovation value chain

The overview provided below describes what typically characterises projects in different parts of the value chain. The descriptions are not exhaustive, but are meant to help the applicant determine the position of the project in the 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 may be on creating new knowledge as well as on applying existing knowledge in a novel and original way.	Typically 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.	The parties have typically signed a shared rights agreement.

Appendix 3 – Technology readiness levels (TRL) definition according to HORIZON 2020

Technology Readiness Levels (TRL) comprise a measurement system used to assess the maturity level of a particular technology. TRL 1 is the lowest and TRL 9 is the highest.

- 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
- TRL 9 – actual system proven in operational environment (competitive manufacturing in the case of key enabling technologies; or in space)