



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 824964

D3.6

DIH2 funding 1.0

version 1.0

Confidential

Päivi Mikkonen

VTT Technical Research Centre of Finland Ltd
P.O. Box 1300
33101 Tampere
Finland

paivi.mikkonen@vtt.fi
+358 40 056 08 51

Project acronym DIH ²	Project title A Pan-European Network of Robotics DIHs for Agile Production	Grant agreement No. 824964
Deliverable No. D3.6	Deliverable title DIH ² funding 1.0	Version 1.0
Type Report	Dissemination level Confidential	Due date M27
Lead beneficiary VTT Technical Research Centre of Finland		WP No. 3
Main author Päivi Mikkonen		Reviewed by Anastasia Garbi
Accepted by Project Coordinator Päivi Mikkonen		Accepted by Technical Coordinator Ali Muhammad
Contributing author(s) Antonio Montalvo/ Anca Marin		Pages 172
VTT archive code VTT-R-00326-20		Lead beneficiary archive code

Abstract

D3.6: DIH² funding 1.0 [M27]

This report will be including the details of FSTP distributed during the first round of TTP.

Task 3.7. Sub Grant Agreement [SGA] signature & 3rd Parties performance follow up (M16-M26// M36-M47)
[Leader: FBA, Involved: VTT & PIAP]

3rd Parties Legal & Financial Validation and Ethical Review [FBA]: The Provisional Beneficiaries have to provide all documentation required to prove their compliance with the Eligibility Criteria and for the Legal and Financial validation. All main listed proposals are carefully verified by the 'Ethical Committee' (Section 3.2(a)) to see if there are any ethics issues raised. If so, an 'Ethics Summary Report' will be produced, and specific requirements will be included as deliverable (contractual obligation) in the ethics section of the SGA. The implementation of ethics issues will be monitored during the entire project life cycle. In case of any requirement/info requested is not provided by beneficiary, this will directly end the SGA setup process and projects inside the 'Reserve List' will substitute the failing applicants. FBA will elaborate the 'Guide for SGA set up' where the procedure will be clearly stated.

SGA signature [VTT]: Before starting any activity, the project coordinator will sign a 'Sub Grant Agreement [SGA]' with each third party, on behalf of the consortium (see detail in Section 4.3).

3rd Parties Performance Follow Up [FBA]: The objective of this task is to coordinate the financial movements from the EC to Project Coordinator and from Coordinator to Beneficiaries. FBA will elaborate the 'Guide for Project Interim and Final Review' -where the procedure for project evaluation and payments will be stated- and will coordinate all the tasks to be done till payment validation (See detail for payment validation in Section 4.3). Once the validation is done, FBA will inform Coordinator which will proceed to make the payments. When all the payments are done, the Coordinator will send to the EC a 'Report on Sub-Grantees Payments'

Deliverables: D3.4, D3.6, D3.11, D3.12

KPIs: 26 SGAs signed

Project Coordinator contact Päivi Mikkonen VTT Technical Research Centre of Finland Ltd Visiokatu 4, PL 1300, 33101 Tampere, Finland E-mail: paivi.mikkonen@vtt.fi Tel: +358 40 820 6139	Technical Coordinator contact Ali Muhammad European Dynamics SA E-mail: ali.muhammad@eurodyn.com Tel: +358 400 560 851
Notification The use of the name of any authors or organization in advertising or publication in part of this report is only permissible with written authorisation from the VTT Technical Research Centre of Finland Ltd.	
Acknowledgement This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 824964	

HISTORY OF CHANGES

Date	Version	Author	Comments
22/09/2021	0.1	FBA	Draft
12/10/2021	0.2	VTT	Ready for review
22/10/2021	1.0	VTT	Final

TABLE OF CONTENTS

HISTORY OF CHANGES	5
EXECUTIVE SUMMARY	7
1 SUB GRANT AGREEMENT [SGA] SIGNATURE PROCESS	9
1.1 3rd Parties Legal & Financial Validation	9
1.2 Formal check for the Mini-Grant Agreement	9
1.1 SME Check for the Sub-Grant Agreement Set-Up Process	9
1.2 Ethical Review	10
1.3 Sub-Grant Agreement Preparation and Signature	11
2 THIRD-PARTIES PERFORMANCE FOLLOW-UP	15
2.1 Lump Sum Distribution criteria	15
2.2 FSTP beneficiaries follow-up	17
2.3 Payments	17
ANNEX 1 – SUB-GRANT AGREEMENT TEMPLATE– 1ST PHASE	23
ANNEX 2 – SUB-GRANT AGREEMENT TEMPLATE – 2ND PHASE	49
ANNEX 3 – SUB-GRANT AGREEMENT AMENDMENT – 2ND PHASE	79
ANNEX 4 – SUB-GRANT AGREEMENT TEMPLATE – 3RD PHASE	82
ANNEX 5 – TTE FINAL REVIEW REPORTS – 2ND PHASE	109
ANNEX 6 – TTE FINAL REVIEW REPORTS – 3RD PHASE	144

LIST OF FIGURES

Figure 1. DIH2 – 1 st TTP – Ethics Assessment Process	11
Figure 2. The phases of the project	12
Figure 3. Review process of awarded projects	16
Figure 4. Review Meeting – Evaluation Procedure	17

LIST OF TABLES

Table 1. List of ethics experts	10
Table 2. Sub-Grant Agreement signed per phase of the project	12
Table 3. Summary of signed SGA effective dates	13
Table 4. Lump sum distribution – 1 st phase	15
Table 5. Lump sum distribution – 2 nd phase	15
Table 6. Lump sum distribution – 3 rd phase	16
Table 7. Payments 1 st Phase – Jury Day pre-selected finalists	18
Table 8. Payments 2 nd Phase – TTE Consortia	19
Table 9. Payments Phase 3 – Technology Providers	20
Table 10. Summary of Payments	21

EXECUTIVE SUMMARY

This report includes the details of FSTP distributed during the first round of Technological Transfer Experiments (TTE), as described under task 3.7. Sub Grant Agreement [SGA] signature & 3rd Parties performance follow up, detailing all the steps from the agreement signature up to the payments. It also includes an in-depth description of the 3rd Parties Legal & Financial Validation and Ethical Review processes regarding the first beneficiaries of the DIH2 programme.

The report gives factual data on the FSTP management for the 11 selected proposals throughout the first and second stages of the First Open Call, including a lessons-learned section and analysis of the whole process.

For the first round of TTEs, the FSTP management in DIH2 included the following tasks:

- Sub-Grant Agreement preparatory & signature task
- FSTP beneficiaries follow-up & payments task

The **Sub-Grant Agreement preparatory task** started with the **Formal Check**, which checked the formal status of the finalists, according to the criteria established in the GfA, before the SGA was signed. It included verification of the registration documents and formal status. The risk of double funding was also checked at this stage.

Ethics Assessment was an in-depth analysis of the ethical issues of the proposals. For the SGA preparatory phase, the ethics issues checked during the evaluation process enabled to identify the proposals with ethics issues and pass them through the Ethics Assessment.

Sub-Grant Agreement preparation & signature refers to the customisation of the SGA for each FSTP recipient and coordinating the signature of the SGA.

The FSTP beneficiaries follow-up & payments task included:

- Individual Mentoring Plan
- Milestones Review
- FSTP grantees payment

For the first round of TTEs, payments were based on the results of the Reviews Meetings and were done only once they have been explicitly approved by the 'Selection Committee'

The final beneficiaries received the funding support as follows:

Jury Day: The 3,500 EUR mini-grant was paid once the Jury Day finalised and the attendance was confirmed. Due to Covid-19 and the fact that the Jury Day was held online, a first version of the Individual Mentoring Plan and the deliverable D1 (Requirement Specifications) were requested for this payment.

TTE Definition and Execution Phase (Duration: 8 months):

- 25% at M01 upon validation, after Review Meeting #1, of the Individual Mentoring Plan V2.
- 30% at M04 upon validation, after Review Meeting #2, of the Deliverables D2 (Smart Factory Service) and D3 (Experimental set-up).
- 45% at M08 validation, after Review Meeting #3, of the Deliverables D4 (Experiment Implementation), D5 (Automation Roadmap) and D6 (Ethics and Safety Manual).

TTE Scale-up (ROSE-AP) Phase (Duration: 2 months):

- 25% at M09 upon validation, after Review Meeting #4, of the Deliverables D7 (Commercialisation Plan).
- 75% at M10 upon validation, after Review Meeting #5, of the Deliverables D8 (Business Plan) and D9 (ROSE-AP development).

All payments were made by bank transfer from the Coordinator, who held all third-party funds, on behalf of the consortium. FSTP Beneficiaries were informed from the beginning about these conditions which are included in the Sub-Grant Agreement.



H2020 Innovation Action – This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 824964