

SESAR Engage KTN – second Call for catalyst funding

1. Overview

Catalyst funding should be used to support focused projects. The focus is on maturing exploratory research further towards applications and operational contexts. These projects may address the corresponding thematic challenges mentioned below in Section 2. Other ‘open’ proposals, for projects moving solutions closer towards industry goals and objectives, and towards higher TRLs, will also be considered for catalyst funding, although some priority will be given to those aligned with thematic challenges, as set out below. Proposals supporting a thematic challenge should clearly state with which challenge the proposal is aligned. Cost constraints and submission principles are also described below. The Awards Board is comprised of Engage consortium members, the SESAR Joint Undertaking, ASDA, NEXTOR II and industry partners (without conflicting interests). It is chaired by EUROCONTROL (with a casting vote). Engage consortium members are ineligible to bid for the funding, although they will monitor, support and advise on the corresponding projects. This is the second of two waves of this type of funding, with ten projects awarded funding in the first wave. It is not a requirement that any of the proposers has attended an Engage thematic challenge workshop.

2. Research themes

As stated above, proposals may either support a thematic challenge, or be ‘open’. The thematic challenges are as described on the Engage website (see engagektn.com/thematic-challenges), viz.:

- thematic challenge 1: Vulnerabilities and global security of the CNS/ATM system;
- thematic challenge 2: Data-driven trajectory prediction;
- thematic challenge 3: Efficient provision and use of meteorological information in ATM;
- thematic challenge 4: Novel and more effective allocation markets in ATM.

Abstracts, and further details on each challenge, are available on the Engage website as downloadable PDFs (please refer to the December 2019 editions). Associated workshops, now into a second series and open to anyone to attend, have been advertised on the Engage website and disseminated through various other channels, including as *SESAR e-news* items. Key summaries from the workshops and/or updates from experts have been used to update the downloadable PDFs on the website. Those submitting proposals aligned with thematic challenge 1 may care to consider that a corresponding workshop is planned in Vienna on 17 June 2020, i.e. after the outcome of this Call is expected to be announced. Interested parties are advised to monitor updates for the thematic challenge 1 workshop (engagektn.com/thematic-challenges).

Proposals should demonstrate an original contribution to the state of the art. To avoid overlap with on-going research by the Engage PhDs and projects funded through the first catalyst funding wave, proposers should refer to the published PhD abstracts and project summaries (engagektn.com/cf-summaries and engagektn.com/phd-abstracts) on the Engage website.

3. Submission and selection procedures

3.1 General conditions

- Proposals may be submitted by a single entity, or a consortium of between two and four entities. Consortia do not need to comprise more than one country to be eligible to receive funding through Horizon 2020 grants.
- For proposals submitted by a single entity, this entity is the project coordinator. For consortia, one entity in each consortium acts as project coordinator, with the responsibility for submitting the proposal and acting as point of contact with the Engage KTN. The project coordinator role should not be shared between entities.
- For consortia, funding is allocated to the project coordinator who is responsible for paying the other entities in the consortium. Each entity in a consortium should be located in a country eligible to receive funding through Horizon 2020 grants. Please note that the same eligibility conditions apply to this Call as for the original call for proposals leading to the award of the Engage KTN (refer to [1]).
- Funding through this Call is made available as ‘financial support to third parties’ and complies with Article 15 of the Engage KTN Grant Agreement (refer to [2]).
- Proposals previously submitted in the first wave, but not funded, may be improved and resubmitted in the second wave.
- The duration of the project is limited to 12 months.
- This Call closes on **06 April 2020** at 17:00 (Brussels time).

3.2 Eligible costs

The maximum award per proposal from the Engage KTN is EUR 60 000; additional co-funding from another source is permitted. The following costs are eligible:

1. Effort of all parties according to Horizon 2020 rules;
2. Travel costs directly attributable to the project, including, for example, meetings with industry/stakeholders, participation at a corresponding Engage thematic challenge workshop and/or a dedicated session at a SESAR Innovation Days conference;
3. Data and other supporting material costs, including computing infrastructure (e.g., cloud resources). All taxes eligible under Horizon 2020 rules are covered;
4. In accordance with Article 15, the maximum amount that any third party can receive from the Engage KTN is EUR 60 000 over the duration of the network (please note that this rule does not apply to PhDs funded via a separate Call). Refer to the Annex for further guidance. For the avoidance of doubt, this means that no entity can receive more than EUR 60 000 *in total* from the Engage KTN, from the first or second waves of this Call and including any other KTN funding (except in support of PhDs). Entities already receiving funding through the first wave as well as entities submitting more than one proposal in the second wave should be mindful of this constraint.

3.3 Material

Proposals are to be submitted in English as a PDF file.

Each proposal should be composed of a:

- Project description (see details below);
- Short description of each entity (max 2 pages per entity) with relevance to the topic addressed in the proposal and the ability to execute it, and;
- Project administrative form (an MS Word template is available to download from the Engage website).

3.3.1 Submission material for proposals

Proposals should include the following parts:

- (1) Summary (1 page): a concise overview of the project and its background, with project inputs and any planned outputs that are in addition to those specified in Section 4. (It is intended that this summary page, for projects awarded funding, will be published, for information, on the Engage website (with any names and references removed), after permission is obtained from the proposer(s).)
- (2) Project goals and objectives, either explicitly supporting a specific thematic challenge (as identified in Section 2), or stated as ‘open’.
- (3) Research plan, including a:
 - Description of the research approach, with *specific reference* to criteria (i)-(iv) in Table 1, below;
 - Description of the data sources and their use, if applicable;
 - Project schedule and milestones over the 12 months (please align these with Section 4 requirements); note that detailed workpackage descriptions and formal meetings (e.g. ‘kick-off’) *with the Engage KTN* are not expected.
- (4) Financial plan (concise summary):
 - Provide evidence of eligible costs per entity, including an estimate of effort, as specified in Section 3.2;
 - Provide evidence of co-funding, if applicable; *this may be used as evidence to support criterion C(iv) in Table 1, but will not be given explicit weighting in its own right*. Note that co-funding is separate and does not contribute towards the EUR 60 000 maximum award per proposal.
- (5) Project administrative form (complete the supplied template).

An optional annex of references may be additionally included.

Proposals should be written in a font no smaller than 11-point. Parts (2) – (4) above, inclusive, should comprise 5-8 pages (and no more than this). An optional annex of references will not count towards this page limit.

Proposals supporting a thematic challenge should clearly state with which challenge the proposal is aligned.

Projects will be encouraged to start promptly, however the starting date cannot be later than **03 July 2020** and funding is not available beyond 12 months.

Submissions with the attached PDF proposal and project administrative form (in MS Word format) should be e-mailed to:

EngageKTN-coordinator@westminster.ac.uk

using the subject line “**Catalyst Call**”. All proposals received before the Call closes will be acknowledged by e-mail. In the event of a failure with the Engage e-mail account, a message will be posted on the catalyst Call page on the KTN website (engagektn.com/catalyst-call2) with alternative submission instructions.

3.4 Selection criteria

Proposals will be evaluated by the Engage Awards Board based on four criteria (Table 1, column C). In order for a proposal to be eligible, each criterion must receive a score higher than, or equal to, the threshold (Table 1, column T). For eligible proposals, the score of each criterion is then weighted (Table 1, column W) to obtain the final score. Eligible proposals are then ranked in decreasing order of the final score. For proposals in the top 75th percentile, which are aligned with a thematic challenge, one project will be awarded per thematic challenge, based on rank order (i.e. with the intention of thus awarding at least one project per thematic challenge). The remaining projects will be awarded in order of rank order alone. It is expected that up to eight projects will be awarded through this second wave, although the Engage consortium may possibly award more, or fewer, depending on the quality and complementarity of the proposals, and of the total funding requested (e.g. a significant number of successful co-funded projects would permit a higher number to be awarded).

Table 1. Selection criteria, thresholds and weights

Criterion (C)	Threshold (T)	Weight (W)
(i) Impact on, and relevance for, ATM	7/10	30%
(ii) Clarity of how the research will: contribute to advancing the state of the art / mature the TRL / improve the potential application of the concept, citing previous research, where applicable	7/10	25%
(iii) Quality of the research plan, including the identification of measures of success and overcoming future barriers towards maturing the concept through future research; the consortium’s experience in relation to the proposed work	7/10	25%
(iv) Integration and consultation with industry members (i.e. excluding universities and research institutes) (see also body text)	7/10	20%

Formal inclusion of industry members in a consortium may be used as evidence supporting criterion (iv), *but will not be given explicit weighting in its own right*. In all cases, an explicit consultation activity with industry, and industry engagement, is expected in order to attain the threshold score, for example, organising a stakeholder consultation exercise.

4. Project reporting

Each project can start as soon as the agreement is in place between the University of Westminster and the project coordinator. Project progress will be assessed by the Engage Executive Board (Engage consortium members) in relation to the project schedule and milestones in the proposed research plan (Section 3.3.1).

Each project will produce three reports: two Progress Reports and a Final Technical Report (further content guidance for these will be provided by the KTN). Project coordinators will submit project reports by e-mail to the University of Westminster, to then be assessed by the Engage Executive Board and shared with the SESAR Joint Undertaking.

The Intermediate Progress Report (max ten pages) will be submitted after six months. This will summarise the technical progress made in relation to the project schedule and implementation of criteria (i)-(iv) in Table 1, during the first half the project and expected progress over the second half. The financial situation will also be reported, detailing all eligible costs per entity (if more than one partner is participating) during the first six months, to satisfy the release of the first payment. Note that the Intermediate Progress Report should be submitted as soon as possible after the end of month six, but no later than 30 days thereafter.

The Final Progress Report will have a similar structure and content as the Intermediate Progress Report. This will summarise technical progress in relation to the project schedule and the financial situation during the final six months to satisfy the release of the second payment (*jointly with the Final Technical Report, see below*) and should be submitted as soon as possible after the end of the project, but no later than 30 days thereafter.

The Final Technical Report will summarise the achieved scientific results, the extent to which the objectives were achieved and how the results helped to increase the maturity towards applied (or industrial) research (with reference to the criteria in Table 1) and will be made public after approval by the KTN. Further content guidance will be provided to projects. The Final Technical Report should be submitted at the end of the project, but no later than 30 days thereafter.

Projects are encouraged to disseminate their findings and this will also be supported by the KTN. Projects supporting a thematic challenge should participate at a corresponding Engage thematic challenge workshop. A poster and/or paper are expected to be submitted to the SESAR Innovation Days conference taking place within the lifetime of the project. Note that content from the various projects' Final Technical Reports will be re-published in Engage deliverables.

5. Contractual procedure

For each project, an agreement will be signed between the University of Westminster (as Engage coordinator) and the project coordinator. This will confirm the compliance of parties to Horizon 2020 rules. Two payments will be made by the University of Westminster to the project coordinator. Payment will be released only after approval has been given by the Engage Executive Board to: (i) the Intermediate Progress Report (after six months), and (ii) the Final Progress Report/Final Technical Report (after 12 months). Note that catalyst-funded projects will not be managed using the EU's Participant Portal.

6. Contact

For questions regarding the submission of proposals, go to the "Contacts" page of the Engage website (engagektn.com/contacts), and select "Second wave for catalyst funding question" from the drop-down when submitting your query. We will post these questions (anonymised), and their responses, on a dedicated FAQ page on the Engage website. Interested parties are advised to monitor the FAQ page for clarifications (see also the archived FAQs from the first wave: engagektn.com/catalyst-call1-faqs). The last date for questions to be submitted will be **23 March 2020**, two weeks before the Call closes.

7. References

- [1] SESAR Joint Undertaking, 2015. Decision ADB(D) 02-2015 concerning the adoption of the SESAR Joint Undertaking ad hoc Financing Decision relating to the ‘Exploratory Research 2020’ Call for Proposals. (Refer to Section V of the Annex for a list of countries eligible to receive funding through Horizon 2020.)
http://ec.europa.eu/research/participants/data/ref/h2020/other/legal/jtis/h2020-sesar-fin-decision-er_en.pdf
- [2] European Commission, 2019. H2020 Programme – Annotated Model Grant Agreement V5.2, 26 June 2019. (Refer to Article 15 - Financial support to third parties.)
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

8. Submission checklist

- Submission deadline: **06 April 2020** (17:00 Brussels time).
- Proposals supporting a thematic challenge should clearly state with which challenge the proposal is aligned.
- Submit proposal to: EngageKTN-coordinator@westminster.ac.uk (using the subject line “Catalyst Call”).
- Proposal written in English, saved as a PDF file that follows the document structure, formatting and page limits specified in Section 3.3:
 - Project description with: (1) Summary; (2) Project goals and objectives; (3) Research plan, and (4) Financial plan. (An annex of references is optional.)
 - Short description of each entity.
- Project administrative form (in MS Word format).

Annex: maximum funding

Except for PhDs funded through the KTN, **the maximum amount that any third party can receive from the Engage KTN is EUR 60 000 over the duration of the network.**

Third party entities can submit more than one proposal in response to this Call, and can already be a partner in a project funded through the first wave, **however the aggregate total funding per entity cannot exceed EUR 60 000.** All funding received from the Engage KTN (*except* PhD funding) counts towards this total.

If this maximum is reached, no further funds can be released to the entity. Please be aware of this limit when preparing project proposals.

Further funding guidance will be posted in the FAQ section as required.



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