



European Institute of  
Innovation & Technology

# EIT Proposal template 2016

EIT 2016 Call for KIC proposals

European Institute of Innovation and Technology (EIT)

December 2015

[www.eit.europa.eu](http://www.eit.europa.eu)



The EIT is a body of the European Union





## Part A: Administrative Information

*EIT 2016 Call for KIC proposals*

**Part A:** *This part contains administrative information on the proposal, the Coordinator and partners, including declarations that they are not in a situation leading to exclusion. The administrative information are entered directly into the submission system while declaration of honour shall be uploaded following the instructions below.*



## **PART A – Form Declaration of honour on exclusion criteria**

*EIT 2016 Call for KIC proposals*

**Instructions** - *“Form Declaration of honour on exclusion criteria” has to be filled in by **each partner** and the coordinator. **The coordinator** will be responsible for collecting and merging all partners' documents in one PDF (“portable document format”, compatible with Adobe version 5 or higher, with embedded fonts) to be uploaded in the system. Other file formats will not be accepted by the system. There is an overall limit of 10 Mbyte to the size of the file.*

**PART A – Form Declaration of honour on exclusion criteria**  
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**Declaration of honour on exclusion criteria**

The undersigned [*insert name of the signatory of this form*], representing:

<i>(only for natural persons)</i> himself or herself	<i>(only for legal persons)</i> the following legal person:
ID or passport number:	Full official name: Official legal form: Statutory registration number: Full official address: VAT registration number:

➤ declares whether the above-mentioned person is in one of the following situations or not:		
SITUATION OF EXCLUSION CONCERNING THE PERSON	YES	NO
a) it is bankrupt, subject to insolvency or winding up procedures, its assets are being administered by a liquidator or by a court, it is in an arrangement with creditors, its business activities are suspended or it is in any analogous situation arising from a similar procedure provided for under national legislation or regulations;	<input type="checkbox"/>	<input type="checkbox"/>
b) it has been established by a final judgement or a final administrative decision that the person is in breach of its obligations relating to the payment of taxes or social security contributions in accordance with the law of the country in which it is established, with those of the country in which the contracting authority is located or those of the country of the performance of the contract;	<input type="checkbox"/>	<input type="checkbox"/>
c) it has been established by a final judgement or a final administrative decision that the person is guilty of grave professional misconduct by having violated applicable laws or regulations or ethical standards of the profession to which the person belongs, or by having engaged in any wrongful conduct which has an impact on its professional credibility where such conduct denotes wrongful intent or gross negligence, including, in particular, any of the following:		
(i) fraudulently or negligently misrepresenting information required for the verification of the absence of grounds for exclusion or the fulfilment of selection criteria or in the performance of a contract;	<input type="checkbox"/>	<input type="checkbox"/>
(ii) entering into agreement with other persons with the aim of distorting competition;	<input type="checkbox"/>	<input type="checkbox"/>
(iii) violating intellectual property rights;	<input type="checkbox"/>	<input type="checkbox"/>
(iv) attempting to influence the decision-making process of the contracting authority during the award procedure;	<input type="checkbox"/>	<input type="checkbox"/>
(v) attempting to obtain confidential information that may confer upon it undue advantages in the award procedure;	<input type="checkbox"/>	<input type="checkbox"/>
d) it has been established by a final judgement that the person is guilty of any of the following:		

## PART A – Form Declaration of honour on exclusion criteria

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(i) fraud, within the meaning of Article 1 of the Convention on the protection of the European Communities' financial interests, drawn up by the Council Act of 26 July 1995;	<input type="checkbox"/>	<input type="checkbox"/>
(ii) corruption, as defined in Article 3 of the Convention on the fight against corruption involving officials of the European Communities or officials of EU Member States, drawn up by the Council Act of 26 May 1997, and in Article 2(1) of Council Framework Decision 2003/568/JHA, as well as corruption as defined in the legal provisions of the country where the contracting authority is located, the country in which the person is established or the country of the performance of the contract;	<input type="checkbox"/>	<input type="checkbox"/>
(iii) participation in a criminal organisation, as defined in Article 2 of Council Framework Decision 2008/841/JHA;	<input type="checkbox"/>	<input type="checkbox"/>
iv) money laundering or terrorist financing, as defined in Article 1 of Directive 2005/60/EC of the European Parliament and of the Council;	<input type="checkbox"/>	<input type="checkbox"/>
(v) terrorist-related offences or offences linked to terrorist activities, as defined in Articles 1 and 3 of Council Framework Decision 2002/475/JHA, respectively, or inciting, aiding, abetting or attempting to commit such offences, as referred to in Article 4 of that Decision;	<input type="checkbox"/>	<input type="checkbox"/>
(vi) child labour or other forms of trafficking in human beings as defined in Article 2 of Directive 2011/36/EU of the European Parliament and of the Council;	<input type="checkbox"/>	<input type="checkbox"/>
e) the person has shown significant deficiencies in complying with the main obligations in the performance of a contract financed by the Union's budget, which has led to its early termination or to the application of liquidated damages or other contractual penalties, or which has been discovered following checks, audits or investigations by an Authorising Officer, OLAF or the Court of Auditors;	<input type="checkbox"/>	<input type="checkbox"/>
f) it has been established by a final judgment or final administrative decision that the person has committed an irregularity within the meaning of Article 1(2) of Council Regulation (EC, Euratom) No 2988/95;	<input type="checkbox"/>	<input type="checkbox"/>
g) for the situations of grave professional misconduct, fraud, corruption, other criminal offences, significant deficiencies in the performance of the contract or irregularity, the applicant is subject to: <ul style="list-style-type: none"> <li>i.facts established in the context of audits or investigations carried out by the Court of Auditors, OLAF or internal audit, or any other check, audit or control performed under the responsibility of an authorising officer of an EU institution, of a European office or of an EU agency or body;</li> <li>ii.non-final administrative decisions which may include disciplinary measures taken by the competent supervisory body responsible for the verification of the application of standards of professional ethics;</li> <li>iii.decisions of the ECB, the EIB, the European Investment Fund or international organisations;</li> <li>iv.decisions of the Commission relating to the infringement of the Union's competition rules or of a national competent authority relating to the infringement of Union or national competition law; or</li> <li>v.decisions of exclusion by an authorising officer of an EU institution, of a</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>

**PART A – Form Declaration of honour on exclusion criteria**

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European office or of an EU agency or body.		
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**[Only for legal persons other than Member States and local authorities, otherwise delete this table]**

- declares whether a natural person who is a member of the administrative, management or supervisory body of the above-mentioned legal person, or who has powers of representation, decision or control with regard to the above-mentioned legal person (this covers the company directors, members of the management or supervisory bodies, and cases where one natural person holds a majority of shares) is in one of the following situations or not:

<b>SITUATIONS OF EXCLUSION CONCERNING NATURAL PERSONS WITH POWER OF REPRESENTATION, DECISION-MAKING OR CONTROL OVER THE LEGAL PERSON</b>	YES	NO
Situation (c) above (grave professional misconduct)	<input type="checkbox"/>	<input type="checkbox"/>
Situation (d) above (fraud, corruption or other criminal offence)	<input type="checkbox"/>	<input type="checkbox"/>
Situation (e) above (significant deficiencies in performance of a contract )	<input type="checkbox"/>	<input type="checkbox"/>
Situation (f) above (irregularity)	<input type="checkbox"/>	<input type="checkbox"/>

- declares whether a natural or legal person that assumes unlimited liability for the debts of the above-mentioned legal person is in one of the following situations or not:

<b>SITUATIONS OF EXCLUSION CONCERNING NATURAL OR LEGAL PERSONS ASSUMING UNLIMITED LIABILITY FOR THE DEBTS OF THE LEGAL PERSON</b>	YES	NO	N/A
Situation (a) above (bankruptcy)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Situation (b) above (breach in payment of taxes or social security contributions)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- declares whether the above-mentioned person is in one of the following situations or not:

<b> GROUNDS FOR REJECTION FROM THIS PROCEDURE</b>	YES	NO
h) has not distorted competition by being previously involved in the preparation of the Call documents for this procedure;	<input type="checkbox"/>	<input type="checkbox"/>
i) has provided accurate, sincere and complete information to the contracting authority within the context of this procedure;	<input type="checkbox"/>	<input type="checkbox"/>
➤ acknowledges that the above-mentioned person may be subject to rejection from this procedure and to administrative sanctions (exclusion or financial penalty) if any of the declarations or information provided as a condition for participating in this procedure prove to be false.		

## **PART A – Form Declaration of honour on exclusion criteria**

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### **REMEDIAL MEASURES**

If the person declares one of the situations of exclusion listed above, it should indicate the measures it has taken to remedy the exclusion situation, thus demonstrating its reliability. They may include e.g. technical, organisational and personnel measures to prevent further occurrence, compensation of damage or payment of fines. The relevant documentary evidence which appropriately illustrates the remedial measures taken should be provided in annex to this declaration. This does not apply for the situations referred in point (d) of this declaration.

### **EVIDENCE UPON REQUEST**

Upon request and within the time limit set by the contracting authority the person shall provide information on the persons that are members of the administrative, management or supervisory body, as well as the following evidence concerning the person or the natural or legal persons which assume unlimited liability for the debt of the person:

For situations described in (a), (c), (d) or (f), production of a recent extract from the judicial record is required or, failing that, an equivalent document recently issued by a judicial or administrative authority in the country of establishment of the person showing that those requirements are satisfied.

For the situation described in point (a) or (b), production of recent certificates issued by the competent authorities of the State concerned are required. These documents must provide evidence covering all taxes and social security contributions for which the person is liable, including for example, VAT, income tax (natural persons only), company tax (legal persons only) and social security contributions. Where any document described above is not issued in the country concerned, it may be replaced by a sworn statement made before a judicial authority or notary or, failing that, a solemn statement made before an administrative authority or a qualified professional body in its country of establishment.

If the person already submitted such evidence for the purpose of another procedure, its issuing date does not exceed one year and it is still valid, the person shall declare on its honour that the documentary evidence has already been provided and confirm that no changes have occurred in its situation.

Full name

Date

Signature

## PART B – Form B1 Proposal

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### **Instructions for completing Form B1**

*Please follow the structure of this template when preparing your proposal. It has been designed to ensure that the important aspects of your proposal are presented in a way that will enable us to make an effective assessment against the evaluation criteria. Sections 1, 2 and 3 each correspond to an evaluation criterion.*

*The minimum font size allowed is 11 points, and Calibri or Calibri Light must be used. All margins (top, bottom, left, right) should measure at least 15 mm (not including any footers or headers). The maximum length of this file is 50 pages. All tables must be included within this limit. There is also a maximum length specified for each section. Applicants must keep their proposals within these limits.*

- *Applicants may only use PDF files ('portable document format', compatible with Adobe version 5 or higher, with embedded fonts). Other file formats will not be accepted by the system. The overall size of the file is limited to 10 Mbyte. The name of the file may only contain alphanumeric characters. Special characters and spaces must be avoided.*
- *Any hyperlinks to other documents, embedded material, and any other documents (supporting documentation, reports, audio, video, multimedia, etc.) sent electronically or by post, will be disregarded.*



## 1. STRATEGY *maximum 15 pages*

### 1.1 STRATEGIC APPROACH

- In this part, applicants should describe the KIC's vision, its mission statement, strategy and strategic objectives designed according to the SMART principles (simple, measurable, achievable, relevant and time dependent). The relevance and specificity of the proposed strategic approach should be demonstrated by the applicant.
- The multidisciplinary nature of a potential KIC should be reflected in its strategy (conducive to a positive economic as well as societal impact). Applicants should pay attention to the presentation and justification of the applicability of the KIC model, focusing on integrating the Knowledge Triangle and fostering entrepreneurship and innovation.

### 1.2 ADDED VALUE, INNOVATIVENESS AND SYNERGIES

- Applicants should describe the novelty of the KIC's strategic approach, how its strategy is unique and innovative while at the same time creates specific synergies and complementarities with EU and other relevant global, public, private and third sector initiatives. Applicants should present how the proposal builds on already existing initiatives. Examples of potential synergies should be provided.

### 1.3 KIC PARTNERSHIP INNOVATION QUALITY

- Applicants should describe the combined strength and quality of the partners (including SMEs) and how they form a diverse, balanced, collaborative and world-class partnership from the Knowledge Triangle and beyond to successfully implement KIC's strategy and deliver impact.
- Applicants should demonstrate how the combined strength of the partners is greater than the sum of the strengths of the individual partners.
- As a KIC is expected to expand partnerships to include new partners, an expansion plan should be also presented.

## 2. OPERATIONS *maximum 20 pages*

### 2.1 KIC GOVERNANCE AND LEADERSHIP

- Applicants should describe the KIC's governance and management model (both at co-location centre (CLC) and KIC level) for implementing their strategy, including justification of the suitability of the KIC Legal Entity. The involvement of the partners' top management in the KIC's governance structure, respecting the principles of good governance, should be evidenced. Profiles of the management team should be presented.
- The governance structure should comply with the principles of good governance as follows:
  - a) it should reflect the diversity in the composition of the partnership, in particular the balance within the knowledge triangle;
  - b) it should separate ownership/membership from operational management;
  - c) it should ensure an open and high-quality decision-making process, composed of top-management from KIC partners' as well as independent high-level members;
  - d) it should separate the supervisory function from the operations and integrates a system of checks and balances; the body with supervisory function should have an independent chairperson;
  - e) it should have a size allowing to function in an effective and efficient way;

### 2.2. OPERATIONS

- Applicants should present the KIC's operational model outlining its effectiveness, including Knowledge Triangle Integration within and connectivity among CLCs.
- Applicants in this part should present the innovativeness and relevance of its key identified thematic areas and demonstrate how their activities (education, research and business) are integrated in the entrepreneurship-driven Knowledge Triangle to foster innovation.

### 2.3. KIC BUSINESS MODEL AND FINANCIAL PLAN

- Applicants in this part should present their business model and multi-annual financial plan for achieving market targets and strategic milestones. Cash-flow, including the EIT's funding and commitment/investments of partners and other non-EIT resources, should be justified. The applicants' approach for achieving financial sustainability in the medium to long term, with a progressive phasing out of EIT funding, should be included.
- The KIC's plan for the management and exploitation of intellectual property supporting and resulting from its business model should be presented by applicants.

**3. IMPACT** *maximum 15 pages*

**3.1 IMPACT AND KIC SCOREBOARD**

- Impact is the overarching principle of the Call. Applicants should describe the expected concrete and measurable outcomes that they plan to achieve in the short term as well as the expected mid and long-term pan-European impact on human capital, job creation, economic growth and its relevance in the context of the KIC's strategy, the EIT's Strategic Innovation Agenda and the Horizon 2020 objectives. Tools for measuring outcomes and impact should also be indicated (sources of verification).
- The main expected outputs/outcomes should be summarised as targets per year in the form of Key Performance Indicators (KPIs) included in a KIC Scoreboard consistent with the KIC's strategic approach. Contributions to the EIT Core KPIs should be detailed using the following table format.

KPIs	Unit	18	19	20	21-24	TOTAL
<b>EIT Core KPIs</b>						
<b>The KIC's specific KPIs (results/outcome level)</b>						

The KIC's other key operational KPIs (for example covering Knowledge Triangle Integration, CLCs, outreach and dissemination, financial sustainability)						

### 3.2 COMMUNICATION, OUTREACH AND DISSEMINATION

- Communication must be an intrinsic part of the KIC's strategy. Applicants should present the key goals and assumptions of the KIC's communication strategy, dissemination and outreach plans, including plans to implement the EIT's Regional Innovation Scheme (RIS).

SIGNATURE OF THE PROPOSAL BY THE

AUTHORISED LEGAL REPRESENTATIVE OF THE COORDINATOR

Date and place

Signature

\_\_\_\_\_

\_\_\_\_\_

## PART B – Form B2 Estimated Financial Resources

*EIT 2016 Call for KIC proposals*

Sources of funding (in million EUR)	2018	2019	2020	2021 - 2024	TOTAL
EIT funding					
NON-EIT funding of which:					
1) Overall partners' contribution					
Partner #1					
Partner #2					
...					
2) Other sources					
TOTAL					

## PART C – Motivation and Commitment Declaration

*EIT 2016 Call for KIC proposals*

### Instructions

*Each partner will submit a declaration (maximum two pages) containing:*

- 1. Its motivation to join the KIC;*
- 2. Its added value to the KIC;*
- 3. Its commitment towards the KIC (including financial and non-financial commitment);*
- 4. Information about its linked third parties to be involved in the implementation of the KIC if the proposal is successful.*

*The minimum font size allowed is 11 points, and Calibri or Calibri Light must be used. All margins (top, bottom, left and right) should measure at least 15 mm (not including any footers or headers).*

*This document must be signed by the authorised legal representative of the partner's organisation.*

***The coordinator*** will be responsible for merging all partners' documents into one PDF file ('portable document format', compatible with Adobe version 5 or higher, with embedded fonts). Other file formats will not be accepted by the system. The overall size of the file is limited to 10 Mbyte.

In addition, the coordinator should attach to its Motivation and Commitment declaration information to evidence its operational capacity.

1. The information requested about project implementation experience should be structured in table format using the template below.

Ref. number	Title of the project		Starting date	Final implementation date
Budget total (in EUR)	Of which budget allocated to the coordinator (in EUR) <sup>1</sup>	Funding institutions	Role in the project	
Short description of the project (objectives, scope and results)				
List of key academic partners (stating their country of origin)		List of key partners from the research sector (stating their country of origin)	List of key business partners (stating their country of origin)	

2. CVs of the key members of the Interim Management Team should be presented in the Europass format <sup>2</sup>:

- a. CEO (Chief Executive Officer),
- b. COO (Chief Operational Officer) and
- c. CFO (Chief Financial Officer).

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<sup>1</sup> In case of the coordination of the reference project the total budget should be provided

<sup>2</sup> <https://europass.cedefop.europa.eu/en/documents/curriculum-vitae/templates-instructions>

The coordinator is invited to present the following self-compliance check table in the Motivation and Commitment *declaration* with information on the proposed members of the Interim Management Team:

	YES/NO	Number of years and description of <b>relevant</b> experience or education
<b>CEO</b>		
at least 7 years' work experience relevant to the position		
7 years' experience in the Call's thematic field		
at least 3 years' work experience in an international environment		
level of education which corresponds to completed university studies of at least four years attested by a diploma, recognised as equivalent by the relevant EU Member State authorities		
<b>COO</b>		
at least 7 years' work experience relevant to the position		
5 years' experience in the Call's thematic field		
at least 3 years' work experience in an international environment		
level of education which corresponds to completed university studies of at least four years attested by a diploma, recognised as equivalent by the relevant EU Member State authorities		
<b>CFO</b>		
at least 7 years' work experience relevant to the position		
at least 3 years' work experience in an international environment		
level of education which corresponds to completed university studies of at least four years attested by a diploma, recognised as equivalent by the relevant EU Member State authorities		