



Horizon Europe Programme

Proposal Template – EIT Higher Education Institutions (HEI) Initiative

Annotated Application forms (Part A)

Version 2.0
21 January 2022

Disclaimer

This document is aimed at informing potential applicants for Horizon Europe funding. It serves only as an example. The actual Web forms and templates, provided in the online submission system under the Funding and Tenders Portal, might differ from this example.

Structure of the Proposal

The proposal contains two parts:

- **Part A** of the proposal is generated by the IT system. It is based on the information entered by the participants through the submission system in the Funding & Tenders Portal. The participants can update the information in the submission system at any time before final submission.
- **Part B** of the proposal is the narrative part that includes three sections that each correspond to an evaluation criterion. Part B needs to be uploaded as a PDF document following the templates downloaded by the applicants in the submission system for the specific call or topic. The templates for a specific call may slightly differ from the example provided in this document.

The electronic submission system is an online wizard that guides you step-by-step through the preparation of your proposal. The submission process consists of 6 steps:

- Step 1: Logging in the Portal
- Step 2: Select the call, topic and type of action in the Portal
- Step 3: Create a draft proposal: Title, acronym, summary, main organisation and contact details
- Step 4: Manage your parties and contact details: add your partner organisations and contact details.
- Step 5: Edit and complete web forms for proposal part A and upload proposal part B
- Step 6: Submit the proposal

- Instructions and footnotes in green will not appear in the text generated by the IT system.
- For options [in square brackets]: the option that applies will be automatically shown in the IT system (Part A) or included in the template of Part B offered by the IT system or you must select the appropriate value from a predefined list.
- For fields in [grey in square brackets] (even if they are part of an option as specified in the previous item): enter the appropriate data in the IT system.
- Data in coloured fields will be prefilled by the IT tool.

HISTORY OF CHANGES		
Version	Publication date	Changes
1.0	10.03.2021	▪ Initial version
1.1	19.04.2021	▪ Formatting and alignment
2.0	21.01.2022	▪ Added definitions for role of participants

Please check our [wiki](#) for help on navigating the form.

Horizon Europe

Application forms (Part A)

Topic:

Type of action:

Type of Model Grant Agreement:

Proposal number:

Proposal acronym:

Table of contents

Section	Title	Action
1	General information	
2	Participants	
3	Budget	
4	Ethics and security	
5	Other questions	

The forms must be filled in for each proposal in the submission system. Some data fields in the forms are pre-filled based on the previous steps in the submission wizard.

Application Forms	
Proposal ID XXXXXXXXX	Acronym XXXXXXXX

1 – General information

Section 1 provides basic data on the proposal. It can be filled in by contacts of the coordinator. Other participants may view this section only. Read-only parts are marked in blue.

Topic	Type of action
Call	Type of Model Grant Agreement
Acronym	HEI CBI Acronym is mandatory
Proposal title	EIT HEI Initiative - Innovation Capacity Building for Higher Education 2023-2025 Max 200 characters (with spaces). Must be understandable for non-specialists in your field. Note that for technical reasons, the following characters are not accepted in the Proposal Title and will be removed: < > " &
Duration in months	36 Estimated duration of the project in full months.
Fixed keyword	
Fixed keyword	European Institute of Innovation and Technology (EIT)
Free keywords	Key words based on the KIC SA priorities Enter any words you think give extra detail of the scope of your proposal (max 200 characters with spaces).

Abstract

The abstract should provide the reader with a clear understanding of the objectives of the proposal, how they will be achieved, and their relevance to the Work Programme. This summary will be used as the short description of the proposal in the evaluation process and in communications to the programme management committees and other interested parties. It must therefore be short and precise and should not contain confidential information. Use plain typed text, avoiding formulas and other special characters. If the proposal is written in a language other than English, please include an English version of this abstract in the Part B (technical description) of the proposal. .

Executive summary on how the EIT HEI Initiative - Innovation Capacity Building for Higher Education 2023-2025 covers the expected outcome, objectives, scope and expected impact as described in the EIT Call text.

Has this proposal (or a very similar one) been submitted in the past 2 years in response to a call for proposals under any EU programme, including the current call? A 'similar' proposal or contract is one that differs from the current one in minor ways, and in which some of the present consortium members are involved.	<input type="radio"/> Yes	<input type="radio"/> No
Please give the proposal reference or contract number	XXXXX-X	

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Declarations

These declarations can be filled in by any coordinator contact(s). All declarations are mandatory.

1) We declare to have the explicit consent of all applicants on their participation and on the content of this proposal.	<input type="checkbox"/>
2) We confirm that the information contained in this proposal is correct and complete and that none of the project activities have started before the proposal was submitted (unless explicitly authorised in the call conditions).	<input type="checkbox"/>
3) We declare: <ul style="list-style-type: none"> – to be fully compliant with the eligibility criteria set out in the call – not to be subject to any exclusion grounds under the EU Financial Regulation 2018/1046 – to have the financial and operational capacity to carry out the proposed project. 	<input type="checkbox"/>
4) We acknowledge that all communication will be made through the Funding & Tenders Portal electronic exchange system and that access and use of this system is subject to the Funding & Tenders Portal Terms & Conditions .	<input type="checkbox"/>
5) We have read, understood and accepted the Funding & Tenders Portal Terms & Conditions and Privacy Statement that set out the conditions of use of the Portal and the scope, purposes, retention periods, etc. for the processing of personal data of all data subjects whose data we communicate for the purpose of the application, evaluation, award and subsequent management of our grant, prizes and contracts (including financial transactions and audits).	<input type="checkbox"/>
6) We declare that the proposal complies with ethical principles (including the highest standards of research integrity as set out in the ALLEA European Code of Conduct for Research Integrity , as well as applicable international and national law, including the Charter of Fundamental Rights of the European Union and the European Convention on Human Rights and its Supplementary Protocols. Appropriate procedures, policies and structures are in place to foster responsible research practices, to prevent questionable research practices and research misconduct, and to handle allegations of breaches of the principles and standards in the Code of Conduct.	<input type="checkbox"/>
7) We declare that the proposal has an exclusive focus on civil applications (activities intended to be used in military application or aiming to serve military purposes cannot be funded). If the project involves dual-use items in the sense of Regulation 428/2009 , or other items for which authorisation is required, we confirm that we will comply with the applicable regulatory framework (e.g. obtain export/import licences before these items are used).	<input type="checkbox"/>
8) We confirm that the activities proposed do not <ul style="list-style-type: none"> – aim at human cloning for reproductive purposes; – intend to modify the genetic heritage of human beings which could make such changes heritable (with the exception of research relating to cancer treatment of the gonads, which may be financed), or – intend to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer. – lead to the destruction of human embryos (for example, for obtaining stem cells) <p>These activities are excluded from funding.</p>	<input type="checkbox"/>
9) We confirm that for activities carried out outside the Union, the same activities would have been allowed in at least one EU Member State.	<input type="checkbox"/>
10) <i>[Additional option for LUMP SUM Grants: For Lump Sum Grants with a detailed budget table: We understand and accept that the EU lump sum grants must be reliable proxies for the actual costs of a project and confirm that the detailed budget for the proposal has been established in accordance with our usual cost accounting practices and in compliance with the basic eligibility conditions for EU actual cost grants (see AGA — Annotated Grant Agreement, art 6) and exclude costs that are ineligible under the Programme. Purchases and subcontracting costs must be done taking into account best value for money and must be free of conflict of interest.]</i>	<input type="checkbox"/>

The coordinator is only responsible for the information relating to their own organisation. Each applicant remains responsible for the information declared for their organisation. If the proposal is retained for EU funding, they will all be required to sign a declaration of honour.

False statements or incorrect information may lead to administrative sanctions under the EU Financial Regulation.

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This proposal version was submitted by [Name, FAMILY NAME] on [dd/mm/yyyy HH:mm:ss] Brussels Local Time. Issued by the Funding and Tenders Portal Submission Service.

2 – Participants

List of participating organisations

#	Participating Organisation Legal Name	Country
1		
2		
3		

See EIT Call text (Entities eligible for funding)

Coordinator contacts have the rights to:

- add, delete, edit and re-order partners in the consortium
- add, delete, edit and re-order contact points for those organisations
- edit all sections of the administrative forms
- upload, delete, view and download Part B and Annexes (when required for the call)
- submit the proposal

Participant contacts may:

- view all the information in this screen, but not edit it
- edit only the section for their organisation in the administrative forms (including budget)
- view the entire administrative forms
- view/download the Part B and other Annexes

You can manage the list of organisations and access rights of persons at Step 4 of the submission process. You may identify and give access to as many contact persons of the selected organisations as you wish. The identification is based upon the e-mail address of the person. When you add a contact person, you will be prompted to supply the contact details: name, e-mail, phone.

Person in charge of the proposal (main contact person): Each organisation needs to have one main contact person identified; the main contact person will have to fill in full contact details in the administrative form. The 'Main Contact Person' for the coordinating organisation (Participant no. 1) will become the primary contact person for the Services. Other contact persons may also be identified and may receive read-only or full access rights. Contact persons with full access rights of the coordinator (Participant no. 1) will be called 'Coordinator contacts' in the Funding & Tenders Portal, while for the other participants 'Participant Contacts'; contact persons with read-only rights will be called 'Team Members'. Other contact persons are listed with basic details in the administrative form.

Access rights: The main contact person and contact persons of the coordinator with full access rights have the same level of rights: they can manage the list of participants and contacts, edit any part of the administrative part of the proposal and upload any attachments (eg. Part B - technical description), and submit the proposal. Contact persons with read-only rights can only view/download the information. Participant contacts with full access rights can only edit their section of the administrative form and view all proposal data.

Access rights can be revoked by the Coordinating Organisation contacts. The person who created the proposal cannot be deleted.

Invitation: All contacts will receive an e-mail and a notification to the Portal about the invitation to the proposal upon saving the data at Step 4 of the submission process.

Organisation data

The section shows the administrative data of the participating organisation as registered and/or validated in the central registry of organisations of the European Commission, linked to the given PIC number. Data in blue is read-only, modification is not possible in the proposal forms. For more information on how to modify this information, please visit the [online manual](#) on the participant register.

PIC	Legal name
<p><i>Short name</i></p>	
<p><i>Address of the organisation</i></p> <p>Street</p> <p>Town</p> <p>Postcode</p> <p>Country</p> <p>Webpage</p>	
<p><i>Specific legal statuses</i></p> <p>Read more about legal statuses.</p>	
Public unknown	Legal person unknown
Non-profit unknown	
International organisation..... unknown	
International organisation of European interest..... unknown	
Secondary or higher education establishment unknown	
Research organisation unknown	
<p><i>SME status</i></p> <p>The enterprise data of the organisation is taken from the Participant Register. Changes to the self-declared or self-assessed SME data can be performed by the self-registrant or by the LEAR (Legal Entity Appointed Representative) in the Participant Register.</p>	
SME self-declaration status unknown	
SME self-assessment unknown	
SME validation unknown	
<p>Based on the above details of the Participant Registry the organisation is not an SME (small- and medium-sized enterprise) for the call.</p>	

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Acronym XXXXXXXX

Participant short name: XXXX

Departments carrying out the proposed work

The information serves mainly statistical purposes. For determining the eligibility of the proposal, the official address of the organisation is taken into account.

Department 1

Department name

☐ not applicable

☐ Same as organisation address

Street

Please enter street name and number

Town

Postcode

Country

Links with other participants

Please indicate if there are dependencies with other participants of the proposal.

Two participants (legal entities) are dependent on each other where there is a controlling relationship between them:

* A legal entity is under the same direct or indirect control as another legal entity; or

* A legal entity directly or indirectly controls another legal entity; or

* A legal entity is directly or indirectly controlled by another legal entity.

Control:

Legal entity A controls legal entity B if:

* A, directly or indirectly, holds more than 50% of the nominal value of the issued share capital or a majority of the voting rights of the shareholders or associates of B, or

* A, directly or indirectly, holds in fact or in law the decision-making powers in B.

The following relationships between legal entities shall not in themselves be deemed to constitute controlling relationships:

(a) the same public investment corporation, institutional investor or venture-capital company has a direct or indirect holding of more than 50 % of the nominal value of the issued share capital or a majority of voting rights of the shareholders or associates;

(b) the legal entities concerned are owned or supervised by the same public body.

Type of link	Participant	
[Same group]	Select one participant from the list of participants	
[Controls]		
[Is controlled by]		

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Proposal ID XXXXXXXXX

Acronym XXXXXXXX

Participant short name: XXXX

Main contact person

This will be the person the EU services will contact concerning this proposal (e.g. for additional information, invitation to hearings, sending of evaluation results, convocation to start grant preparation). The data in blue is read-only. Details (name, first name and e-mail) of Main Contact persons should be edited in step 'Participants' of the submission wizard.

Title

Gender

☐

Woman

☐

Man

☐

Non binary

First name

Last name

E-mail

Position in org.

Please indicate the position of the person

Department

☐ Same as organisation

☐ Same as organisation address

Street

Town

Post code

Country

Website

Phone 1

Phone 2

Other contact persons

First name	Last name	e-mail	Phone

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Proposal ID XXXXXXXXX

Acronym XXXXXXXX

Participant short name: XXXX

Researchers involved in the proposal **NOT APPLICABLE TO EIT/KICS**

It needs instructions that we only need names of researchers and add a link with definition of researcher.

Include also person in charge of the proposal if a researcher

The table shows the data of the researchers as registered in the person profile of the portal. Data is read-only; modification is not possible in the proposal forms. For more information on how to modify this information, please visit the [online manual](#) on the participant registry.

Title	First Name	Last Name	Gender	Nationality	E-mail	Career stage ¹	Role of researcher (in the project)	Reference Identifier	Type of identifier
			[Woman] [Man] [Non-binary]			[Category A – Top grade researcher] [Category B – Senior researcher] [Category C – Recognised researcher] [Category D – First stage researcher]	[Leading] [Team member]		[ORCID] [Researcher Id] [Other - specify]

¹ Career stages as defined in Frascati 2015 manual:

Category A – Top grade researcher: the single highest grade/post at which research is normally conducted. Example: ‘Full professor’ or ‘Director of research’.

Category B – Senior researcher: Researchers working in positions not as senior as top position but more senior than newly qualified doctoral graduates (ISCED level 8). Examples: ‘associate professor’ or ‘senior researcher’ or ‘principal investigator’.

Category C – Recognised researcher: the first grade/post into which a newly qualified doctoral graduate would normally be recruited. Examples: ‘assistant professor’, ‘investigator’ or ‘post-doctoral fellow’.

Category D – First stage researcher: Either doctoral students at the ISCED level 8 who are engaged as researchers, or researchers working in posts that do not normally require a doctorate degree. Examples: ‘PhD students’ or ‘junior researchers’ (without a PhD).

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This proposal version was submitted by [Name, FAMILY NAME] on [dd/mm/yyyy HH:mm:ss] Brussels Local Time. Issued by the Funding and Tenders Portal Submission Service.

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Role of participating organisation in the project <i>Applicants may select more than one option.</i> <i>For guidance on the different options, please go to the online manual on the Funding & Tenders Portal.</i>		Definitions
Project management	<input type="checkbox"/>	Click if your organisation will do project management activities (i.e. assigning the tasks, reporting and interface with the EC). These tasks are normally carried out by the coordinator, but other participants can also contribute.
Communication, dissemination and engagement	<input type="checkbox"/>	Click if your organisation will be in charge of communication, dissemination and engagement. This can be centralised by one partner or split across the partners.
Provision of research and technology infrastructure	<input type="checkbox"/>	Click if your organisation is providing a research facility or research equipment.
Co-definition of research and market needs	<input type="checkbox"/>	Click if your organisation will be involved in the co-defining the research and market needs. Usually, it is a company that intends to later use the research results, or a NGO that will use the solution. This will help the project further tailor its results to respond to specific needs of the end user.
Civil society representative	<input type="checkbox"/>	Click if your organisation belongs to civil society (NGO, association, organisation, consumer group, community group, charity, etc.).
Policy maker or regulator, incl. standardisation body	<input type="checkbox"/>	Click if your organisation is a policy maker (local, regional, national, European level), regulator or a standardisation body.
Research performer	<input type="checkbox"/>	Click if your organisation is in charge of performing the research during the project.
Technology developer	<input type="checkbox"/>	Click if your organisation is in charge of developing the technology during or after the project.
Testing/validation of approaches and ideas	<input type="checkbox"/>	Click if your organisation is in charge of testing/validating the approach and ideas.
Prototyping and demonstration	<input type="checkbox"/>	Click if your organisation is in charge of developing the prototypes and performing demonstrations.
IPR management incl. technology transfer	<input type="checkbox"/>	Click if your organisation is in charge of IPR management including technology transfer at the end of the grant.
Public procurer of results	<input type="checkbox"/>	Click if your organisation (public authority, hospital, university, local government, etc) will be using the results afterwards.
Private buyer of results	<input type="checkbox"/>	Click if your organisation (from the private sector) will be using the results afterwards.
Finance provider (public or private)	<input type="checkbox"/>	Click if your organisation will be providing the financing for the exploitation during or after the end of the project.
Education and training	<input type="checkbox"/>	Click if your organisation is in charge of educating and training researchers.
Contributions from the social sciences or/and the humanities	<input type="checkbox"/>	Click if your organisation is in charge of contributing to the social sciences or/and the humanities dimension to the research project.

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Other Specify (50 character limit):	<input type="checkbox"/>	
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*List of up to 5 publications, widely-used datasets, software, goods, services, or any other achievements relevant to the call content. **NOT APPLICABLE TO EIT/KICs***

Type of achievement	Short description
[Publication]	Key elements of the achievement, including a short qualitative assessment of its impact and (where available) its digital object identifier (DOI) or other type of persistent identifier (PID). Publications, in particular journal articles, are expected to be open access. Datasets are expected to be FAIR and 'as open as possible, as closed as necessary'.
[Dataset]	
[Software]	
[Good]	
[Service]	
[Other achievement]	

List of up to 5 most relevant previous projects or activities, connected to the subject of this proposal

Name of Project or Activity	Short description

Description of any significant infrastructure and/or any major items of technical equipment, relevant to the proposed work

Name of infrastructure or equipment	Short description

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Proposal ID XXXXXXXXX	Acronym XXXXXXXX	Participant short name: XXXX

Gender equality plan

Aligned with PA Art 6.1. c the KICs must have a Gender Mainstreaming Policy in place.

<p><i>Having a gender equality plan is an eligibility criterion for Public bodies, Higher education establishments and Research organisations from Member States and Associated Countries. Be aware that if the proposal is selected, having a Gender Equality Plan will be necessary before the grant agreement signature (applicable on calls with deadlines in 2022 and beyond).</i></p> <p>Does the organisation have a Gender Equality Plan (GEP) covering the elements listed below?</p> <p>Minimum process-related requirements (building blocks) for a GEP</p> <ul style="list-style-type: none"> – Publication: formal document published on the institution’s website and signed by the top management – Dedicated resources: commitment of human resources and gender expertise to implement it. – Data collection and monitoring: sex/gender disaggregated data on personnel (and students for establishments concerned) and annual reporting based on indicators. – Training: Awareness raising/trainings on gender equality and unconscious gender biases for staff and decision-makers. <p>Content-wise, recommended areas to be covered and addressed via concrete measures and targets are:</p> <ul style="list-style-type: none"> ○ work-life balance and organisational culture; ○ gender balance in leadership and decision-making; ○ gender equality in recruitment and career progression; ○ integration of the gender dimension into research and teaching content; ○ measures against gender-based violence including sexual harassment. 	<input type="radio"/> Yes	<input type="radio"/> No
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3 – Budget for the proposal

			Estimated expenditure								Estimated income						
											Requested EU contribution			Revenues	Other sources of financing		Total estimated income (s)=(n) +(o)+(p)+ (q) + (r)
			Estimated eligible costs								EU contribution to eligible costs			Income generated by the action (o)	Financial contributions (q)	Own resources (r)	
											A. Personnel costs/€ (a1)	B. Subcontracting costs/€ (b)	C. Purchase costs				
No	Participant name	Country			C.1 Travel and subsistence/€ (c1)	C.2 Equipment/€ (c2)	C.3 Other goods, works and services /€ (c3)										
1	Participant 1	NL															
2	Participant 2	LB															
	Affiliated Entity	LB															
3	Participant 3	DE															
	Associated Partner	AR															
Total																	

Possible 'Other cost categories' for Horizon Europe

Application Forms

Proposal ID XXXXXXXXX

Acronym XXXXXXXX

Estimated project expenditure													
Estimated eligible costs													
D. Other cost categories													
No	Participant name	Country	D.1 Financial support to third parties (Actual costs) (d1)	D.2 Internally invoiced goods and services (Unit costs - usual accounting practices) (d2)	D.3 Transnational access to research infrastructures (Unit costs) (d3)	D.4 Virtual access to research infrastructures (Unit costs) (d4)	D.5 PCP/PPI procurement costs (Actual costs) (d5)	D.6 Euratom Cofund staff mobility costs (Unit costs) (d6)	D.7 ERC additional funding (Actual costs) (d7)	D.8 ERC additional funding (subcontracting, FSTP and internally invoiced goods and services) (Actual costs) (d8)			
1	Participant 1	NL											
2	Participant 2	LB											
	Affiliated Entity	LB											
3	Participant 3	DE											
	Associated Partner	AR											
Total													

4 – Ethics and Security

Ethics issues table

This table should be completed as an essential part of your proposal. Please go through the table and indicate which elements concern your proposal by answering 'Yes' or 'No'. If you answer 'Yes' to any of the questions,

- *indicate in the adjacent box at which page in your full proposal further information relating to that ethics issue can be found, and*
- *provide additional information on that ethics issue in the Ethics Self-Assessment section.*

For more information on each of the ethics issues and how to address them, including detailed legal references, see the guidelines '[How to Complete your Ethics Self-Assessment](#)'.

1. HUMAN EMBRYONIC STEM CELLS AND HUMAN EMBRYOS			Page
Does this activity involve Human Embryonic Stem Cells (hESCs)?		<input type="radio"/> Yes <input type="radio"/> No	
If YES :	Will they be directly derived from embryos within this project?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they previously established cells lines?	<input type="radio"/> Yes <input type="radio"/> No	
	Are the cell lines registered in the European registry for human embryonic stem cell lines?	<input type="radio"/> Yes <input type="radio"/> No	
Does this activity involve the use of human embryos?		<input type="radio"/> Yes <input type="radio"/> No	
If YES :	Will the activity lead to their destruction?	<input type="radio"/> Yes <input type="radio"/> No	
2. HUMANS			Page
Does this activity involve human participants?		<input type="radio"/> Yes <input type="radio"/> No	
If YES :	Are they volunteers for nonmedical studies (e.g. social or human sciences research)?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they healthy volunteers for medical studies?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they patients for medical studies?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they potentially vulnerable individuals or groups?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they children/minors?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they other persons unable to give informed consent?	<input type="radio"/> Yes <input type="radio"/> No	
Does this activity involve interventions (physical also including imaging technology, behavioural treatments, etc.) on the study participants?		<input type="radio"/> Yes <input type="radio"/> No	
If YES :	Does it involve invasive techniques?	<input type="radio"/> Yes <input type="radio"/> No	
	Does it involve collection of biological samples?	<input type="radio"/> Yes <input type="radio"/> No	

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Does this activity involve conducting a clinical study as defined by the Clinical Trial Regulation (EU 536/2014)? (using pharmaceuticals, biologicals, radiopharmaceuticals, or advanced therapy medicinal products)		<input type="radio"/> Yes <input type="radio"/> No	
If YES :	Is it a clinical trial?	<input type="radio"/> Yes <input type="radio"/> No	
	Is it a low-intervention clinical trial?	<input type="radio"/> Yes <input type="radio"/> No	
3. HUMAN CELLS / TISSUES (not covered by section 1)			Page
Does this activity involve the use of human cells or tissues?		<input type="radio"/> Yes <input type="radio"/> No	
If YES :	Are they human embryonic or foetal cells or tissues?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they available commercially?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they obtained within this project?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they obtained from another project, laboratory or institution?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they obtained from biobank?	<input type="radio"/> Yes <input type="radio"/> No	
4. PERSONAL DATA			Page
Does this activity involve processing of personal data?		<input type="radio"/> Yes <input type="radio"/> No	
If YES :	Does it involve the processing of special categories of personal data (e.g.: sexual lifestyle, ethnicity, genetic, biometric and health data, political opinion, religious or philosophical beliefs)?	<input type="radio"/> Yes <input type="radio"/> No	
	If YES :	Does it involve processing of genetic, biometric or health data?	<input type="radio"/> Yes <input type="radio"/> No
	Does it involve profiling, systematic monitoring of individuals, or processing of large scale of special categories of data or intrusive methods of data processing (such as, surveillance, geolocation tracking etc.)?		<input type="radio"/> Yes <input type="radio"/> No
Does this activity involve further processing of previously collected personal data (including use of preexisting data sets or sources, merging existing data sets)?		<input type="radio"/> Yes <input type="radio"/> No	
Is it planned to export personal data from the EU to non-EU countries?		<input type="radio"/> Yes <input type="radio"/> No	
If YES :	Specify the type of personal data and countries involved:		
Is it planned to import personal data from non-EU countries into the EU or from a non-EU country to another non-EU country?		<input type="radio"/> Yes <input type="radio"/> No	
If YES :	Specify the type of personal data and countries involved		

Application Forms	
Proposal ID XXXXXXXXXX	Acronym XXXXXXX

Does this activity involve the processing of personal data related to criminal convictions or offences?		<input type="radio"/> Yes <input type="radio"/> No	
5. ANIMALS			Page
Does this activity involve animals?		<input type="radio"/> Yes <input type="radio"/> No	
If YES :	Are they vertebrates?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they non-human primates (NHP)?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they genetically modified?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they cloned farm animals?	<input type="radio"/> Yes <input type="radio"/> No	
	Are they endangered species?	<input type="radio"/> Yes <input type="radio"/> No	
6. NON-EU COUNTRIES			Page
Will some of the activities be carried out in non-EU countries?		<input type="radio"/> Yes <input type="radio"/> No	
If YES :	Specify the countries:		
In case non-EU countries are involved, do the activities undertaken in these countries raise potential ethics issues?		<input type="radio"/> Yes <input type="radio"/> No	
If YES :	Specify the countries:		
Is it planned to use local resources (e.g. animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples, etc.)?		<input type="radio"/> Yes <input type="radio"/> No	
Is it planned to import any material (other than data) from non-EU countries into the EU or from a non-EU country to another non-EU country? For data imports, see section 4.		<input type="radio"/> Yes <input type="radio"/> No	
If YES :	Specify material and countries involved:		
Is it planned to export any material (other than data) from the EU to non-EU countries? For data exports, see section 4.		<input type="radio"/> Yes <input type="radio"/> No	
If YES :	Specify material and countries involved:		
Does this activity involve low and/or lower-middle income countries ? (if yes, detail the benefit-sharing actions planned in the self-assessment)		<input type="radio"/> Yes <input type="radio"/> No	
Could the situation in the country put the individuals taking part in the activity at risk?		<input type="radio"/> Yes <input type="radio"/> No	
7. ENVIRONMENT, HEALTH and SAFETY			Page
Does this activity involve the use of substances or processes that may cause harm to the environment, to animals or plants (during the implementation of the activity or further to the use of the results, as a possible impact)?		<input type="radio"/> Yes <input type="radio"/> No	

Does this activity deal with endangered fauna and/or flora / protected areas?	<input type="radio"/> Yes <input type="radio"/> No	
Does this activity involve the use of substances or processes that may cause harm to humans, including those performing the activity (during the implementation of the activity or further to the use of the results, as a possible impact)?	<input type="radio"/> Yes <input type="radio"/> No	
8. ARTIFICIAL INTELLIGENCE		Page
Does this activity involve the development, deployment and/or use of Artificial Intelligence? (if yes, detail in the self-assessment whether that could raise ethical concerns related to human rights and values and detail how this will be addressed).	<input type="radio"/> Yes <input type="radio"/> No	
9. OTHER ETHICS ISSUES		Page
Are there any other ethics issues that should be taken into consideration?	<input type="radio"/> Yes <input type="radio"/> No	
<i>Please specify: (Maximum number of characters allowed: 1000)</i>		

I confirm that I have taken into account all ethics issues above and that, if any ethics issues apply, I will complete the ethics self-assessment as described in the guidelines '[How to Complete your Ethics Self-Assessment](#)'. ☐

ETHICS SELF-ASSESSMENT

If you have entered any issues in the ethics issue table, you must perform an ethics self-assessment in accordance with the guidelines [‘How to Complete your Ethics Self-Assessment’](#) and complete the table below

Ethical dimension of the objectives, methodology and likely impact

Explain in detail the identified issues in relation to:

- objectives of the activities (e.g. study of vulnerable populations, etc.)
- methodology (e.g. clinical trials, involvement of children, protection of personal data, etc.)
- the potential impact of the activities (e.g. environmental damage, stigmatisation of particular social groups, political or financial adverse consequences, misuse, etc.)

Compliance with ethical principles and relevant legislations

Describe how the issue(s) identified in the ethics issues table above will be addressed in order to adhere to the ethical principles and what will be done to ensure that the activities are compliant with the EU / national legal and ethical requirements of the country or countries where the tasks are to be carried out. It is reminded that for **activities performed in a non-EU countries**, they should also be allowed in at least one EU Member State.

Application Forms	
Proposal ID XXXXXXXXX	Acronym XXXXXXXX

Security issues table

Please indicate, by answering Yes or No to all of the questions in the below table, if the proposed activity will use and/or generate information which might raise security concerns. If an answer is Yes, then indicate in the adjacent box at which page in your full proposal further information relating to that issue can be found.

1. EU classified information (EUCI) ²			Page
Does this activity involve information and/or materials requiring protection against unauthorised disclosure (EUCI)?		<input type="radio"/> Yes <input type="radio"/> No	
If YES:	Is the activity going to use classified information as background ³ information?	<input type="radio"/> Yes <input type="radio"/> No	
	Is the activity going to generate EU classified foreground ⁴ information as results?	<input type="radio"/> Yes <input type="radio"/> No	
Does this activity involve non-EU countries?		<input type="radio"/> Yes <input type="radio"/> No	
If YES:	Do participants from non-EU countries need to have access to EUCI?	<input type="radio"/> Yes <input type="radio"/> No	
	Do the non-EU countries concerned have a security of information agreement with the EU	<input type="radio"/> Yes <input type="radio"/> No	
2. MISUSE			Page
Does this activity have the potential for misuse of results?		<input type="radio"/> Yes <input type="radio"/> No	
If YES:	Does the activity provide knowledge, materials and technologies that could be channelled into crime and/or terrorism?	<input type="radio"/> Yes <input type="radio"/> No	
	Could the activity result in the development of chemical, biological, radiological or nuclear (CBRN) weapons and the means for their delivery?	<input type="radio"/> Yes <input type="radio"/> No	
3. OTHER SECURITY ISSUES			Page
Does this activity involve information and/or materials subject to national security restrictions?		<input type="radio"/> Yes <input type="radio"/> No	
If yes, please specify: (Maximum number of characters allowed: 1000)			
Are there any other security issues that should be taken into consideration?		<input type="radio"/> Yes <input type="radio"/> No	
If yes, please specify: (Maximum number of characters allowed: 1000)			

² According to the Commission Decision (EU, Euratom) 2015/444 of 13 March 2015 on the security rules for protecting EU classified information, "European Union classified information (EUCI) means any information or material designated by an EU security classification, the unauthorised disclosure of which could cause varying degrees of prejudice to the interests of the European Union or of one or more of the Member States".

³ Classified background information is information that is already classified by a country and/or international organisation and/or the EU and is going to be used by the project. In this case, the project must have in advance the authorisation from the originator of the classified information, which is the entity (EU institution, EU Member State, third state or international organisation) under whose authority the classified information has been generated.

⁴ EU classified foreground information is information (documents/deliverables/materials) planned to be generated by the project and that needs to be protected from unauthorised disclosure. The originator of the EUCI generated by the project is the European Commission.

5 – Other questions

Two-stage calls **NOT APPLICABLE TO EIT/KICs**

The full stage-2 proposal must be consistent with the short outline proposal submitted to the stage 1 – in particular with respect to the proposal characteristics addressing the concepts of excellence and impact.

Are there substantial differences compared to the stage-1 proposal?	<input type="radio"/> Yes	<input type="radio"/> No
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Questions showed only in answer is Yes:
Please list the substantial differences, and indicate the reasons

<input type="checkbox"/>	Partnership	<i>List the substantial differences and indicate the reasons</i>
<input type="checkbox"/>	Budget	<i>List the substantial differences and indicate the reasons</i>
<input type="checkbox"/>	Approach	<i>List the substantial differences and indicate the reasons</i>

[Additional modular extension for Calls with clinical trials: Essential information to be provided for proposals including clinical trials / studies / investigations

A ‘clinical study’ is defined as any clinical research involving a substantial amount of work related to the observation of, data collection from, or diagnostic or therapeutic intervention on multiple or individual patients. It includes but is not limited to clinical studies defined by the Clinical trials regulation ([REGULATION \(EU\) No 536/2014](#)).

Are clinical studies / trials / investigations included in the work plan of this project?	<input type="radio"/> Yes	<input type="radio"/> No
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Please upload the dedicated annex ‘Essential information for clinical studies / trials / investigations’ (a Word template is provided under ‘download templates’ in the up-load section for Part B and Annexes).

This document should include the relevant information of each clinical study / trial / investigation included in the work plan of this project.

Please give a short title, an acronym or a unique identifier to each clinical study / trial / investigation, to be used as a reference / identifier in the other parts of the proposal	<div style="border: 1px solid #ccc; margin-bottom: 5px; padding: 2px 5px; background-color: #d3d3d3;">Add</div> <div style="border: 1px solid #ccc; padding: 2px 5px; background-color: #d3d3d3;">Remove</div>
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A body of the European Union



Horizon Europe Programme

Application Form (EIT)

Annotated Project proposal – Technical description (Part B)

Version 2.0
21 January 2022

Disclaimer

This document is aimed at informing potential applicants for Horizon Europe funding. It serves only as an example. The actual Web forms and templates, provided in the online submission system under the Funding and Tenders Portal, might differ from this example.



Proposal template Part B: technical description

The structure of this template must be followed when preparing your proposal. It has been designed in line with the Key principles and concepts of the EIT KIC model (see Annex 1 in the Invitation to submit proposals for EIT HEI Initiative - Innovation Capacity Building for Higher Education 2023-2025) to ensure that the important aspects of your planned work are presented in a way that will enable the experts to make an effective assessment against the evaluation criteria. Sections 1, 2 and 3 each correspond to an evaluation criterion.

Please be aware that proposals will be evaluated as they were submitted, rather than on their potential if certain changes were to be made. This means that only proposals that successfully address all the required aspects will have a chance of being funded. There will be no possibility for significant changes to content, budget and consortium composition during grant preparation.

⚠ Page limit: The title, list of participants and sections 1, 2 and 3, together, should not be longer than 45 pages. All tables, figures, references and any other element pertaining to these sections must be included as an integral part of these sections and are thus counted against this page limit. The number of pages included in each section of this template is only **indicative**.

The page limit will be applied automatically. **At the end of this document you can see the structure of the actual proposal that you need to submit, please remove all instruction pages that are watermarked.**

If you attempt to upload a proposal longer than the specified limit before the deadline, you will receive an automatic warning and will be advised to shorten and re-upload the proposal. After the deadline, excess pages (in over-long proposals/applications) will be automatically made invisible, and will not be taken into consideration by the experts. The proposal is a self-contained document. Experts will be instructed to ignore hyperlinks to information that is specifically designed to expand the proposal, thus circumventing the page limit.

Please, do not consider the page limit as a target! It is in your interest to keep your text as concise as possible, since experts rarely view unnecessarily long proposals in a positive light.

⚠ The following formatting conditions apply.

The reference font for the body text of proposals is Times New Roman (Windows platforms), Times/Times New Roman (Apple platforms) or Nimbus Roman No. 9 L (Linux distributions).

The use of a different font for the body text is not advised and is subject to the cumulative conditions that the font is legible and that its use does not significantly shorten the representation of the proposal in number of pages compared to using the reference font (for example with a view to bypass the page limit).


The minimum font size allowed is 11 points. Standard character spacing and a minimum of single line spacing is to be used. This applies to the body text, including text in tables.

Text elements other than the body text, such as headers, foot/end notes, captions, formula's, may deviate, but must be legible.


The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

DEFINITIONS	
Critical risk	<p>A critical risk is a plausible event or issue that could have a high adverse impact on the ability of the project to achieve its objectives.</p> <p>Level of likelihood to occur (Low/medium/high): The likelihood is the estimated probability that the risk will materialise even after taking account of the mitigating measures put in place.</p> <p>Level of severity (Low/medium/high): The relative seriousness of the risk and the significance of its effect.</p>
Deliverable	A report that is sent to the Commission or Agency providing information to ensure effective monitoring of the project. There are different types of deliverables (e.g. a report on specific activities or results, data management plans, ethics or security requirements).
Impacts	Wider long term effects on society (including the environment), the economy and science, enabled by the outcomes of R&I investments (long term). It refers to the specific contribution of the project to the work programme expected impacts described in the destination. Impacts generally occur some time after the end of the project.
Milestone	Control points in the project that help to chart progress. Milestones may correspond to the achievement of a key result, allowing the next phase of the work to begin. They may also be needed at intermediary points so that, if problems have arisen, corrective measures can be taken. A milestone may be a critical decision point in the project where, for example, the consortium must decide which of several technologies to adopt for further development. The achievement of a milestone should be verifiable.
Objectives	The goals of the work performed within the project, in terms of its research and innovation content. This will be translated into the project's results. These may range from tackling specific research questions, demonstrating the feasibility of an innovation, sharing knowledge among stakeholders on specific issues. The nature of the objectives will depend on the type of action, and the scope of the topic.
Outcomes	The expected effects, over the medium term, of projects supported under a given topic. The results of a project should contribute to these outcomes, fostered in particular by the dissemination and exploitation measures. This may include the uptake, diffusion, deployment, and/or use of the project's results by direct target groups. Outcomes generally occur shortly after the end of the project.
Pathway to impact	Logical steps towards the achievement of the expected impacts of the project over time, in particular beyond the duration of a project. A pathway begins with the projects' results, to their dissemination, exploitation and communication, contributing to the expected outcomes in the work programme topic, and ultimately to the wider scientific, economic and societal impacts of the work programme destination.
Research output	Results generated by the action to which access can be given in the form of scientific publications, data or other engineered outcomes and processes such as software, algorithms, protocols and electronic notebooks.
Results	What is generated during the project implementation. This may include, for example, know-how, innovative solutions, algorithms, proof of feasibility, new business models, policy recommendations, guidelines, prototypes, demonstrators, databases and datasets, trained researchers, new infrastructures, networks, etc. Most project results (inventions, scientific works, etc.) are 'Intellectual Property', which may, if appropriate, be protected by formal Intellectual

	Property Rights.
Technology Readiness Level	See Work Programme General Annexes B

 *Fill in the title of your proposal below.*

TITLE OF THE PROPOSAL

 *The consortium members are listed in part A of the proposal (application forms). A summary list should also be provided in the table below.*

List of participants

Participant No. *	Participant organisation name	Country
1 (Coordinator)		
2		
3		

* Please use the same participant numbering and name as that used in the administrative proposal forms.

Excellence – aspects to be taken into account.

- Clarity pertinence and relevance of the proposal's objectives
- Credibility of the financial model and contribution to KIC financial sustainability.
- Quality of the proposed coordination and/or support measures including soundness of methodology.
- Quality of synergies and links with existing initiatives at EU, national and regional level.

1. Excellence [e.g. 12 pages]

- *The following aspects will be taken into account only to the extent that the proposed work is within the scope of the work programme topic.*
- *Disclaimer: Please take note that the proposal for all elements of activities taking place beyond year 2023 are subject to the EIT Interim assessment of the pilot stage of the initiative (2021-2023), as foreseen in the EIT SIA 2021-2027, and could go ahead only if as a result of this interim evaluation the EIT Governing Board will decide on continuation of the initiative beyond 2023.*

1.1 Objectives and ambition [e.g. 3 pages]

- Briefly describe the long terms objectives/ mission and the specific objectives for the proposed work. The objectives should be formulated according to the SMART methodology (Specific, Measurable, Achievable, Relevant, and Time-bound). Why are they pertinent to the strategic objectives of the initiative (as specified in the EIT Strategic Innovation Agenda 2021-2027)?
- For each objective, define appropriate indicators for measuring achievement in line with the KPIs in the EIT Impact Framework (including a unit of measurement, baseline value – if relevant and target value).
- How does the proposal demonstrates ambition to contribute to strengthening the European Higher Education Institutions' (HEIs') capacity through innovative and new models compared to what is already done?
- Briefly describe the alignment of the objectives to the participating KICs' Multiannual Strategic Agendas. How is the proposal relevant and appropriate for implementation of the KICs' multiannual strategies? How is the Knowledge Triangle Integration (KTI) covered? How does the proposal contribute to achieving the future high-level results and impacts included in the EIT Impact Framework?
- What are the key success factors, main lessons learnt and how these lessons were taken on board when preparing the proposal?


1.2 Financial model and financial sustainability approach [e.g. 2 pages]


- Credibility of the financial model. Please describe briefly the financial model in narrative (the detail budget and costs are described below under different section). Please explain how the financial commitment from HEIs participating in the activities will be ensured.
- Please provide explanation how the projects are expected to become sustainable beyond the EIT funding and potentially how the activity will contribute to the participating KICs' financial sustainability/ efficiency gains. Please present planned commercialisation strategy of the project outputs, indicating

close cooperation with the clients/citizens, potential financial returns from the project and potential contribution of the project towards achieving the participating KICs' financial sustainability, where relevant.


1.3 Coordination and/or support measures and methodology [e.g. 5 pages]


- Describe and explain the coordination and/or support measures and the overall methodology, including the concepts, models and assumptions that underpin your work. Explain how this will enable you to deliver your project's objectives. Please explain how the openness and transparency will be ensured and provide explain how the open calls will be conducted to select the particular activities. .

 *This section should be presented as a narrative (and visuals). The detailed tasks and work packages are described below under 'Implementation'.*

 *Where relevant, include how the project methodology complies with the 'do no significant harm' principle as per Article 17 of [Regulation \(EU\) No 2020/852 on the establishment of a framework to facilitate sustainable investment \(i.e. the so-called 'EU Taxonomy Regulation'\)](#). This means that the methodology is designed in a way it is not significantly harming any of the six environmental objectives of the EU Taxonomy Regulation.*

- Present how you will monitor the activity's implementation. Please describe how the checkpoints and different phases / stages of the selected projects implementation are structured and evaluated. Refer to any challenges you may have identified in the chosen methodology and how you intend to overcome them.
- Explain how the proposal will enable the participating KICs to deliver their strategic objectives in the context of this initiative. Refer to the main challenges you may have identified and how you intend to overcome them.
- Describe mechanisms supporting integration of partners and their activities across the knowledge triangle and how existing know-how, past results and experience will be used to contribute to the objectives of the initiative. Please explain how these approaches are contributing to the Knowledge Triangle Integration.
- Describe (if relevant) how appropriate open science practices are implemented as an integral part of the proposed methodology. Show how the choice of practices and their implementation are adapted to the nature of your work, in a way that will increase the chances of the project delivering on its objectives. If you believe that none of these practices are appropriate for your proposal, please provide a justification here.

 *Open science is an approach based on open cooperative work and systematic sharing of knowledge and tools as early and widely as possible in the process. Open science practices include early and open sharing of research (for example through preregistration, registered reports, pre-prints, or crowd-sourcing); research output management; measures to ensure reproducibility of research outputs; providing open access to research outputs (such as publications, data, software, models, algorithms, and workflows); participation in open peer-review; and involving all relevant knowledge actors including citizens, civil society and end users in the co-creation of R&I agendas and contents (such as citizen science).*

 *Please note that this question does not refer to outreach actions that may be planned as part of communication, dissemination and exploitation activities. These aspects should instead be described below under 'Impact'.*

- Research **data management and management of other research outputs**: Applicants generating/collecting data and/or other research outputs (except for publications) during the implementation must provide maximum 1/2 page on how the data/research outputs will be managed in line with the FAIR principles (Findable, Accessible, Interoperable, Reusable).

⚠ *For guidance on open science practices and research data management, please refer to the relevant section of the [HE Programme Guide](#) on the Funding & Tenders Portal.*

1.4 Quality of synergies and links with existing initiatives at EU, national and regional level. [e.g. 2 pages]

- Describe how the synergies with the relevant initiatives at the EU, national and regional level will be created and exploited. Provide more details specifically on the following connections, tools and synergies: European University Initiative, HEInnovate, Smart Specialization, Regional Innovation Impact Assessment (RIIA) Framework, etc.

2. Impact [e.g. 13 pages]

Impact – aspects to be taken into account.

- Credibility of the pathways to achieve the expected outcomes and impacts specified in the EIT SIA 2021-2027, participating KICs' Strategic Agendas and in the EIT Impact Framework, and the likely scale and significance of the contributions due to the proposal.
- Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan, including communication activities.

The results of your proposal should make a contribution to the expected outcomes set out in the EIT SIA 2021-2027, participating KICs' Strategic Agendas over the medium term, and to the wider expected impacts (and respective targets) over the longer term.

In this section you should show how your project could contribute to the outcomes and impacts described in the EIT SIA 2021-2027 and the KPIs in the EIT Impact Framework (and the core EIT KPIs in particular), the likely scale and significance of this contribution, and the measures to maximise these impacts. Please note that your project must contribute to at least one core EIT KPI.⁵

2.1 Pathways towards impact [e.g. 7 pages]

- Provide a **narrative** explaining how the results foreseen in the proposal are expected to make a difference in terms of impact, beyond the immediate scope and duration of the project. The narrative should include the components below, tailored to your proposal.
 - Describe the unique contribution your results would make towards (1) the **outcomes** specified in this initiative, and (2) the **wider impacts**, in the longer term, specified in the EIT SIA 2021-2027, participating KICs' Strategic Agendas and in the EIT Impact Framework (with particular reference to the EIT core KPIs).

⁵ The EIT core KPIs are provided in red in the EIT Impact Framework: <https://eit.europa.eu/library/eit-simplified-impact-framework>. These KPIs are taken into account for funding allocation decisions.

- *Be specific, referring to the effects of your proposal..*
- *State the target groups that would benefit, if relevant.*

Only include such outcomes and impacts where your project would make a significant and direct contribution measured through the KPIs in the EIT Impact Framework. Avoid describing very tenuous links to wider impacts. However, include any potential negative environmental outcome or impact of the project. Where relevant, explain how the potential harm can be managed.


(b) KPIs Tables - The Key Performance Indicators (KPIs)

Table 2.1. List of EIT Core KPIs**Year 2023, 2024 and 2025**

EIT area	KPI Code	EIT KPI	Target	Indicate WP(s)
Innovation	[EITHE02.4]	Innovations launched on the market with a sales revenue of at least 10 000 EUR documented		
Business Creation	[EITHE04.4]	Start-ups created having a financial transaction of at least 10 000 EUR for a service/product (result of the KIC KAVA) sold to customers		
	[EITHE05.1]	Start-ups created by students enrolled and graduates from EIT-labelled programmes		
	[EITHE06.1]	Investment attracted by KIC-supported start-ups and scale-ups		
Education	[EITHE07.1]	Graduates from EIT-labelled programmes		
Leveraging investments in R&I	[EITHE11.2]	Financial sustainability coefficient - Total non-EIT financing generated by the KIC Legal Entity		
Horizontal outputs	[EITHE18.1]	% of less represented gender in top governance and management positions combined		

*** Disclaimer: Please take note that the proposal for all elements of activities taking place beyond year 2023 are subject to the EIT Interim assessment of the pilot stage of the initiative (2021-2023), as foreseen in the EIT SIA 2021-2027, and could go ahead only if as a result of this interim evaluation the EIT Governing Board will decide on continuation of the initiative beyond 2023.**

- (c) Give an indication of the scale and significance of the contribution to the expected outcomes and impacts, should the proposal be successful. Provide quantified estimates where possible and meaningful.

 *'Scale' refers to how widespread the outcomes and impacts are likely to be. For example, in terms of the size of the target group, or the proportion of that group, that should benefit over time; 'Significance' refers to the importance, or value, of those benefits*

- (d) Describe any requirements and potential barriers - arising from factors beyond the scope and duration of the proposal - that may determine whether the desired outcomes and impacts are achieved. Describe any mitigating measures you propose, within or beyond your proposal, that could be needed should your assumptions prove to be wrong, or to address identified barriers.

- *Note that this does not include the critical risks inherent to the management of the project itself, which should be described below under 'Implementation'.*

2.2 Dissemination, exploitation and communication *[e.g. 6 pages]*

- Describe the planned measures to maximise the impact of your proposal by providing a first version of your 'plan for the dissemination and exploitation including communication activities'. Describe the dissemination, exploitation and communication measures that are planned, and the target group(s) addressed (e.g. relevant stakeholders, end users, , public at large, etc.).
 - *This plan shall describe the **contribution to the development of the EIT Community brand identity** through all of the activities, including the consistent **visibility** of EU and EIT support and financing through all of the activities.*
 - *It shall also include overview of the planned **external communications of activities** and achievements across Europe including the general approach including annual objectives and targets, channels tools, and target audiences.*
 - *It shall provide an overview of the planned **dissemination of results, good practices and lessons learnt** from all of its activities including the general approach, including key objectives, indicators; target audiences and main stakeholders; dissemination tools and channels (internal and external); management and monitoring of dissemination activities; links to communication and exploitation*
 - *It shall also include an overview of the planned **stakeholder engagement priorities and activities**, including the annual identifying priority stakeholders, formats of engagement and general timeline.*
 - *Please remember that this plan is an admissibility condition. In case the proposal is selected for funding, a more detailed 'plan for dissemination and exploitation including communication activities' will need to be provided as a mandatory project deliverable within 6 months after signature date. This plan shall be periodically updated in alignment with the implementation progress.*

- *Communication⁶ measures should promote the initiative throughout the full lifespan of the activities. The aim is to inform and reach out to society and show the activities performed, and the use and the benefits the initiative and particular activities will have for citizens. Activities must be strategically planned, with clear objectives, start at the outset and continue through the lifetime of the initiative. The description of the communication activities needs to state the main messages as well as the tools and channels that will be used to reach out to each of the chosen target groups.*
- *Dissemination is related to sharing results and good practices with a view of facilitating their further exploitation by the European and global innovation community. Dissemination of results is mandatory for EU R&I beneficiaries to maximise the take-up of the new knowledge, both for commercial purposes and for policy making; and to boost research & innovation among participants in EU R&I programmes and others who could benefit from the activities taking place and to be accountable for expenditure and making sure that EU citizens benefit.*
- *Exploitation is the utilization of results in further research activities other than those covered by the action concerned, or in developing, creating and marketing a product or process, or in creating and providing a service, or in standardisation activities, or feeding back into policy making activities.*
- *Stakeholder Engagement refers to the process of engaging and interacting in a timely and targeted manner with relevant, influential stakeholders (e.g. key decision-makers, Knowledge Triangle stakeholders etc.). The main objective of the stakeholder engagement efforts should be to ensure the support of the stakeholder for the mission and activities of the initiative and the overall EIT Community, via awareness raising, effective consultation and involvement.*
- *All measures should be proportionate to the scale of the proposal, and should contain concrete actions to be implemented both during and after the end of the proposal, e.g. standardisation activities. Your plan should give due consideration to the possible follow-up of your proposal, once it is finished. In the justification, explain why each measure chosen is best suited to reach the target group addressed. Where relevant, describe the measures for a plausible path to commercialise the outcomes.*
- *If exploitation is expected primarily in non-associated third countries, justify by explaining how that exploitation is still in the Union's interest.*
- *Describe possible feedback to policy measures generated by the proposal that will contribute to designing, monitoring, reviewing and rectifying (if necessary) the initiative and programmatic measures or shaping and supporting the implementation of new policy initiatives and decisions.*
- *If relevant, outline your strategy for the management of intellectual property, foreseen protection measures, such as patents, design rights, copyrights, trade secrets, etc., and how these would be used to support exploitation.*
 - *If your proposal is selected, you will need an appropriate consortium agreement to manage (amongst other things) the ownership and access to key knowledge (IPR, research data etc.). Where relevant, these will allow you, collectively and individually, to pursue market opportunities arising from the activities.*
 - *If your proposal is selected, you must indicate the owner(s) of the results (results ownership list) in the final periodic report.*

⁶ For further guidance on communicating EU research and innovation for project participants, please refer to the Online Manual on the Funding & Tenders Portal

3. Quality and efficiency of the implementation [e.g. 20 pages]

Award criteria – aspects to be taken into account

- *Quality and effectiveness of the work plan, assessment of risks, and appropriateness of the effort assigned to work packages, and the resources overall.*
- *Capacity and role of each participant, and extent to which the consortium as a whole brings together the necessary expertise.*


3.1 Work plan and resources [e.g. 15 pages – *as shall be 2 pages max. per WP; the tables must be filled as part of the Part B template. They are not IT supported at proposal submission (once the proposal is selected, some of these tables are indeed IT supported in the grant agreement, but in any case these tables must be part of the Part B proposal template).*]

Please provide the following:

- brief presentation of the overall structure of the work plan; timing of the different work packages and their components (Gantt chart or similar);
- graphical presentation of the components showing how they inter-relate (Pert chart or similar).
- detailed work description, i.e.:
 - a list of work packages (table 3.1a);
 - a description of each work package (table 3.1b);
 - a list of deliverables (table 3.1c);
 - *Give full details. Base your account on the logical structure of the proposal and the stages in which it is to be carried out. The number of work packages should be proportionate to the scale and complexity of the proposal.*
 - *You should give enough detail in each work package to justify the proposed resources to be allocated and also quantified information so that progress can be monitored, including by the Commission*
 - *Resources assigned to work packages should be in line with their objectives and deliverables. You are advised to include a distinct work package on ‘project management’, and ‘dissemination, exploitation and communication activities’, and to give due visibility in the work plan to ‘data management’, either with distinct tasks or distinct work packages.*
 - *You will be required to update the ‘plan for the dissemination and exploitation of results including communication activities’, and a ‘data management plan’, (this does not apply to topics where a plan was not required.) This should include a record of activities related to dissemination and exploitation that have been undertaken and those still planned.*
 - *Please make sure the information in this section matches the costs as stated in the budget table in section 3 of the application forms, and the number of person months, shown in the detailed work package descriptions.*
- a list of milestones (table 3.1d);

- a list of critical risks, relating to implementation, that the stated objectives may not be achieved. Detail any risk mitigation measures. You will be able to update the list of critical risks and mitigation measures as the implementation progresses (table 3.1e);
- a table showing number of Full-time equivalent (FTE) per year required per Work Package (table 3.1f);
- a table showing description and justification of subcontracting costs for each participant (table 3.1g)
- a table showing justifications for 'purchase costs' (table 3.1h) for participants where those costs exceed 15% of the personnel costs (according to the budget table in proposal part A);
- if applicable, a table showing justifications for 'other costs categories' (table 3.1i).

3.2 Capacity of participants and consortium as a whole [e.g. 5 pages]

 *The individual members of the consortium are described in a separate section under Part A. There is no need to repeat that information here.*


- Describe the consortium and partnership between the participating KICs. How does it match the project's objectives, and bring together the necessary disciplinary and inter-disciplinary knowledge.
- Show (if applicable) how the participating KICs will have access to critical infrastructure needed to carry out the project activities.
- Describe how the participating KICs complement one another (and cover the value chain, where appropriate)
- In what way does each of the participating KICs contribute to the project? Show that each has a valid role, and adequate resources in the project to fulfil that role.
- If applicable, describe the industrial/commercial involvement in the proposal to ensure exploitation of the results and explain why this is consistent with and will help to achieve the specific measures which are proposed for exploitation of the results of the proposal (see section 2.2).
- **Other countries and international organisations:** If one or more of the participating KICs requesting EU funding is based in a country or is an international organisation that is not automatically eligible for such funding (entities from Member States of the EU, from Associated Countries and from one of the countries in the exhaustive list included in the Work Programme [General Annexes B](#) are automatically eligible for EU funding), explain why the participation of the entity in question is essential to successfully carry out the project
- HEI governing and executive bodies (in line with overall EIT approved governance of the initiative), organigramme and roles and responsibilities of the KIC LE executive staff.
- Anti-Fraud elements in line with the KIC policy.
- Audit control system, grant assurance and monitoring.

Tables for section 3.1**Table 3.1a: List of work packages**

Work package No	Work Package Title	Lead Participant No	Lead Participant Short Name	Person-Months	Start Month	End month
1	Management and Administration					
2	HEI CBI Call for Proposals					
3	HEI CBI Grant Management					
4	Innovation Vision Action Plan (IVAPs) Implementation					
5	HEI CBI Monitoring, Evaluation and Learning					
6	Communication and dissemination					
	...					
	...					

Table 3.1b: Work package description**For each work package:**

Work package number	
Work package title	i.e EDUCATION

 *Participants involved in each WP and their efforts are shown in table 3.1f. Lead participant and starting and end date of each WP are shown in table 3.1a.)*

Objectives**Description of work** (where appropriate, broken down into tasks), lead partner and role of participants

Provide detailed information of the WP Management and/or coordination, in particular regarding the way the FTE dedicated to HEI activities is controlled/monitored in regards other activities delivered in the KIC Business Plan in the same period.

Deliverables (brief description and month of delivery)

Mandatory deliverable: Quarterly status reports

Mandatory deliverable: Text of the call for activities proposed by HEI CBI Project management team,

Mandatory deliverable: Process and methodology for selection of the activities,

Mandatory deliverable: Mid-term evaluation of the particular projects and activities carried out by the HEI CBI Project management team (stage-gate assessment);

Table 3.1c: List of Deliverables⁷

Only include deliverables that you consider essential for effective project monitoring.

Deliverable (number)	Deliverable name	Short description	Work package number	Short name of lead participant	Type	Dissemination level	Delivery date (in months)

KEY

Deliverable numbers in order of delivery dates. Please use the numbering convention <WP number>.<number of deliverable within that WP>.

For example, deliverable 4.2 would be the second deliverable from work package 4.

Type:

Use one of the following codes:

- R: Document, report (excluding the periodic and final reports)
- DEM: Demonstrator, pilot, prototype, plan designs
- DEC: Websites, patents filing, press & media actions, videos, etc.
- DATA: Data sets, microdata, etc.
- DMP: Data management plan
- ETHICS: Deliverables related to ethics issues.
- SECURITY: Deliverables related to security issues
- OTHER: Software, technical diagram, algorithms, models, etc.

Dissemination level:

Use one of the following codes:

- PU – Public, fully open, e.g. web (Deliverables flagged as public will be automatically published in CORDIS project's page)
- SEN – Sensitive, limited under the conditions of the Grant Agreement
- Classified R-UE/EU-R – EU RESTRICTED under the Commission Decision No2015/444
- Classified C-UE/EU-C – EU CONFIDENTIAL under the Commission Decision No2015/444
- Classified S-UE/EU-S – EU SECRET under the Commission Decision No2015/444

Delivery date

Measured in months from the project start date (month 1)

⁷ You must include a data management plan (DMP) and a 'plan for dissemination and exploitation including communication activities as distinct deliverables within the first 6 months of the project. The DMP will evolve during the lifetime of the project in order to present the status of the project's reflections on data management. A template for such a plan is available in the [Online Manual](#) on the Funding & Tenders Portal.

Table 3.1d: List of milestones

Milestone number	Milestone name	Related work package(s)	Due date (in month)	Means of verification

KEY**Due date**

Measured in months from the project start date (month 1)

Means of verification

Show how you will confirm that the milestone has been attained. Refer to indicators if appropriate. For example: a laboratory prototype that is 'up and running'; software released and validated by a user group; field survey complete and data quality validated.

Table 3.1e: Critical risks for implementation

Description of risk (indicate level of (i) likelihood, and (ii) severity: Low/Medium/High)	Work package(s) involved	Proposed risk-mitigation measures

Definition critical risk:

A critical risk is a plausible event or issue that could have a high adverse impact on the ability of the project to achieve its objectives.

Level of likelihood to occur: Low/medium/high

The likelihood is the estimated probability that the risk will materialise even after taking account of the mitigating measures put in place.

Level of severity: Low/medium/high

The relative seriousness of the risk and the significance of its effect.

Table 3.1f: Summary of staff effort

Please indicate the number of person/months over the whole duration of the planned work, for each work package, for each participant. Identify the work-package leader for each WP by showing the relevant person-month figure in bold.

	WPn	WPn+1	WPn+2	Total Person-Months per Participant
Participant Number/Short Name				
Participant Number/Short Name				
Participant Number/Short Name				
Total Person Months				

Table 3.1g: ‘Subcontracting costs’ items

For each participant describe and justify the tasks to be subcontracted (please note that core tasks of the proposal; should not be sub-contracted).

Participant Number/Short Name		
	Cost (€)	Description of tasks and justification
Subcontracting		

Table 3.1h: ‘Purchase costs’ items (travel and subsistence, equipment and other goods, works and services)

Please complete the table below for each participant if the purchase costs (i.e. the sum of the costs for ‘travel and subsistence’, ‘equipment’, and ‘other goods, works and services’) exceeds 15% of the personnel costs for that participant (according to the budget table in proposal part A). The record must list cost items in order of costs and starting with the largest cost item, up to the level that the remaining, costs are below 15% of personnel costs.

Participant Number/Short Name		
	Cost (€)	Justification
Travel and subsistence		
Equipment		
Other goods, works and services		
Remaining purchase costs (<15% of pers. Costs)		
Total		

Table 3.1i: ‘Other costs categories’ items (e.g. internally invoiced goods and services)

Please complete the table below for each participants that would like to declare costs under other costs categories (e.g. internally invoiced goods and services), irrespective of the percentage of personnel costs.

Participant Number/Short Name		
	Cost (€)	Justification
Financial support to third parties		
Internally invoiced goods and services		

Table 3.1j: 'In-kind contributions' provided by third parties

Please complete the table below for each participants that will make use of in-kind contributions (non-financial resources made available free of charge by third parties). In kind contributions provided by third parties free of charge are declared by the participants as eligible direct costs in the corresponding cost category (e.g. personnel costs or purchase costs for equipment).

Participant Number/Short Name			
Third party name	Category	Cost (€)	Justification
	Select between Seconded personnel Travel and subsistence Equipment Other goods, works and services Internally invoiced goods and services		

ANNEXES TO PROPOSAL PART B

Some calls may ask to upload annexes to proposal part B. The annexes must be uploaded as separate documents in the submission system. The most common annexes to be uploaded in Horizon Europe are (standard templates are published in the Funding & Tenders portal):

- **CLINICAL TRIALS:** Annex with information on clinical trials
- **FINANCIAL SUPPORT TO THIRD PARTIES:** Annex with information on financial support to third parties.
- **CALLS FLAGGED AS SECURITY SENSITIVE:** Annex with information on security aspects.
- **ETHICS:** ethics self-assessment should be included in proposal part A. However, in calls where several serious ethics issues are expected, the character limited in this section of proposal part A may not be sufficient for participants to give all necessary information. In those cases, participants may include additional information in an annex to proposal part B.