**Horizon Europe Programme**

**Proposal Template for call:**

**HORIZON-EIC-2021-TRANSITIONOPEN-01  
HORIZON-EIC-2021-TRANSITIONCHALLENGE-01**

**Application forms (Part A)**

**Project proposal – Technical description (Part B)**

**Version 1.0**

**15 April 2021**

**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 | 15.04.2021 | * Initial version |
|  |  |  |

Application Forms

*Please check our* [*wiki*](https://webgate.ec.europa.eu/fpfis/wikis/x/kr21D) *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 using the templates available in the Submission System. Some data fields in the forms are pre-filled based on the previous steps in the Submission wizard.*

#### 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 is mandatory*

Acronym

*Max 200 characters (with spaces). Must be understandable for non-specialists in your field.*

Proposal title

*Note that for technical reasons, the following characters are not accepted in the Proposal Title and will be removed: < > " &*

Duration in

*Estimated duration of the project in full months.*

months

Fixed keywords

*Note that for this call, applicants have to select minimum 3 and maximum 6 fixed keywords.*

*Enter any words you think give extra detail of the scope of your proposal (max 200 characters with spaces).*

Free keywords

*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. .*

|  |  |  |
| --- | --- | --- |
| 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.* | Yes | No |
| Please give the proposal reference or contract number | XXXXX-X | |

*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. | ⬜ |
| 1. 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). | ⬜ |
| 1. We declare:    * 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](https://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX:32018R1046&qid=1535046024012)    * to have the financial and operational capacity to carry out the proposed project. | ⬜ |
| 1. 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](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/ftp/tc_en.pdf). | ⬜ |
| 1. We have read, understood and accepted the [Funding & Tenders Portal Terms & Conditions](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/ftp/tc_en.pdf) and [Privacy Statement](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/ftp/privacy-statement_en.pdf) 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). | ⬜ |
| 1. 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](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/european-code-of-conduct-for-research-integrity_horizon_en.pdf), 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](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/guideline-for-promoting-research-integrity-in-research-performing-organisations_horizon_en.pdf) 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. | ⬜ |
| 1. 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](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex%3A32009R0428), 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). | ⬜ |
| 1. We confirm that the activities proposed do not    * 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)   These activities are excluded from funding. | ⬜ |
| 1. We confirm that for activities carried out outside the Union, the same activities would have been allowed in at least one EU Member State. | ⬜ |
| 1. *[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*](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/aga_en.pdf)) 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. *]* | ⬜ |

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.

#### 2 – Participants

List of participating organisations

|  |  |  |
| --- | --- | --- |
| # | Participating Organisation Legal Name | Country |
| 1 |  |  |
| 2 |  |  |
| 3 |  |  |

*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*](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/om_en.pdf) *on the participant register.*

***PIC Legal name***

*Short name*

*Address of the organisation*

Street

Town

Postcode

Country

Webpage

*Specific legal statuses*

*Read more about* [*legal statuses*](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/applying-for-funding/register-an-organisation_en.htm)*.*

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

*SME status*

*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.*

SME self declared status unknown

SME self-assessment unknown

SME validation sme unknown

**Based on the above details of the Participant Registry the organisation is not an SME (small- and medium-sized enterprise) for the call.**

Gender equality plan

|  |  |  |
| --- | --- | --- |
| *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).*  Does the organisation have a Gender Equality Plan (GEP) covering the elements listed below?  **Minimum process-related requirements (building blocks) for a GEP**   * **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.   **Content-wise, recommended areas** to be **covered** and addressed via concrete measures and targets are:   * + 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. | Yes | No |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| *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*]*  *[*Controls*]*  *[*Is controlled by*]* | | *Select one participant from the list of participants* | | |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| *Main contact person*  *It is the main scientist or team leader in charge of the proposal for the participant. For participant number 1 (the coordinator), 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 agreement preparation). The data in blue is read-only. Details (name, first name and e-mail) of Main Contact persons should be edited in Step 4 of the Submission wizard.* | | | | | | | | | | | | | |
| Title | |  | | Gender | | | | Woman | Man | | | | Non binary |
|  | | | | | | | | | | | | | |
| First name  E-mail | | | | | | Last name | | | | | | | |
|  | | | | | | | | | | | | | |
| 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** | |
|  | |  | | | | |  | | | | |  | |
|  | |  | | | | |  | | | | |  | |

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| *Researchers involved in the proposal*  *Include only the researchers involved in the proposal, (see below definition of ‘researcher’). You do not need to include in the table the identity of other persons involved in the proposal who are not researchers.*  *‘Researchers are professionals engaged in the conception or creation of new knowledge. They conduct research and improve or develop concepts, theories, models, techniques instrumentation, software or operational methods. (Frascati Manual 2015)’*  *Include also person in charge of the proposal if a researcher* | | | | | | | | | |
| **Title** | **First Name** | **Last Name** | **Gender** | **Nationality** | **E-mail** | **Career stage[[1]](#footnote-2)** | **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*]* |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |

|  |  |
| --- | --- |
| *Role of participating organisation in the project*  *Applicants may select more than one option.* | |
| Project management | ⬜ |
| Communication, dissemination and engagement | ⬜ |
| Provision of research and technology infrastructure | ⬜ |
| Co-definition of research and market needs | ⬜ |
| Civil society representative | ⬜ |
| Policy maker or regulator, incl. standardisation body | ⬜ |
| Research performer | ⬜ |
| Technology developer | ⬜ |
| Testing/validation of approaches and ideas | ⬜ |
| Prototyping and demonstration | ⬜ |
| IPR management incl. technology transfer | ⬜ |
| Public procurer of results | ⬜ |
| Private buyer of results | ⬜ |
| Finance provider (public or private) | ⬜ |
| Education and training | ⬜ |
| Contributions from the social sciences or/and the humanities | ⬜ |
| Other  Specify (50 character limit): | ⬜ |

|  |  |
| --- | --- |
| *List of up to 5 publications, widely-used datasets, software, goods, services, or any other achievements relevant to the call content.* | |
| **Type of achievement** | **Short description** |
| *[*Publication*]*  *[*Dataset*]*  *[*Software*]*  *[*Good*]*  *[*Service*]*  *[*Other achievement*]* | 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’. |
|  |  |
|  |  |
|  |  |
|  |  |

|  |  |
| --- | --- |
| *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** |
|  |  |
|  |  |
|  |  |
|  |  |

#### 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 | | | D. Other cost categories | E. Indirect costs/€  (e) = 25% \* [(a1) + (c1) + (c2) + (c3) + (d7) )] | Total eligible costs  (h) = (a1) + (b) + (c1) + (c2) + (c3) + (d) + (e) | Funding rate  (U) | Maximum EU contribution to eligible costs  (l) = (U) \* (h) | Requested EU contribution to eligible costs/€  (Requested grant amount)  (m) (n) |
| No | Participant name | Country | C.1  Travel and subsistence/€  (c1) | C.2  Equipment/€  (c2) | C.3  Other goods, works and services/€  (c3) | D.X  [specific cost category] /€  (dx) |
| 1 | Participant 1 | NL |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 2 | Participant 2 | LB |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | Affiliated Entity | LB |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 3 | Participant 3 | DE |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | Associated Partner | AR |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 4 | Participant 4 (without funding) | US |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Total | | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

Possible ‘Other cost categories’ for Horizon Europe

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | | | 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 Transnation al 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 internal 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 |  |  |  |  |  |  |  |  |
| 4 | Participant 4 (without funding) | US |  |  |  |  |  |  |  |  |
| 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*](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment_en.pdf)*’.*

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1. HUMAN EMBRYONIC STEM CELLS AND HUMAN EMBRYOS | | | |  | | | | | Page |
| Does this activity involve Human Embryonic Stem Cells (hESCs)? | | | | Yes | No | | | |  |
| If **YES**: | Will they be directly derived from embryos within this project? | | | Yes | No | | | |  |
| Are they previously established cells lines? | | | Yes | No | | | |  |
| Are the cell lines registered in the European registry for human embryonic stem cell lines? | | | Yes | No | | | |  |
| Does this activity involve the use of human embryos? | | | | Yes | No | | | |  |
| If **YES**: | Will the activity lead to their destruction? | | | Yes | No | | | |  |
| 2. HUMANS | | | |  | | | | | Page |
| Does this activity involve human participants? | | | | Yes | | | No | |  |
| If **YES**: | Are they volunteers for non medical studies (e.g. social or human sciences research)? | | | Yes | | | No | |  |
| Are they healthy volunteers for medical studies? | | | Yes | | | No | |  |
| Are they patients for medical studies? | | | Yes | | | No | |  |
| Are they potentially vulnerable individuals or groups? | | | Yes | | | No | |  |
| Are they children/minors? | | | Yes | | | No | |  |
| Are they other persons unable to give informed consent? | | | Yes | | | No | |  |
| Does this activity involve interventions (physical also including imaging technology, behavioural treatments, etc.) on the study participants? | | | | Yes | | | No | |  |
| If **YES**: | | Does it involve invasive techniques? | | Yes | | | No | |  |
| Does it involve collection of biological samples? | | Yes | | | No | |  |
| 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) | | | | Yes | | | No | |  |
| If **YES**: | | Is it a clinical trial? | | Yes | | | No | |  |
| Is it a low-intervention clinical trial? | | Yes | | | No | |  |
| 3. HUMAN CELLS / TISSUES (not covered by section 1) | | | |  | | | | | Page |
| Does this activity involve the use of human cells or tissues? | | | | Yes | | | No | |  |
| If **YES**: | Are they human embryonic or foetal cells or tissues? | | | Yes | | | No | |  |
| Are they available commercially? | | | Yes | | | No | |  |
| Are they obtained within this project? | | | Yes | | | No | |  |
| Are they obtained from another project, laboratory or institution? | | | Yes | | | No | |  |
| Are they obtained from biobank? | | | Yes | | | No | |  |
| 4. PERSONAL DATA | | | |  | | | | | Page |
| Does this activity involve processing of personal data? | | | | Yes | | 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)? | | Yes | | No | | |  |
| If **YES**: | Does it involve processing of genetic, biometric or health data? | Yes | | 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.)? | | Yes | | No | | |  |
| Does this activity involve further processing of previously collected personal data (including use of preexisting data sets or sources, merging existing data sets)? | | | | Yes | | | | No |  |
| Is it planned to export personal data from the EU to non-EU countries? | | | | Yes | | | | 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? | | | | Yes | | | | No |  |
| If **YES**: | | Specify the type of personal data and countries involved | |  | | | |  |  |
| Does this activity involve the processing of personal data related to criminal convictions or offences? | | | | Yes | | | | No |  |
| 5. ANIMALS | | | | | | | | | Page |
| Does this activity involve animals? | | | | Yes | | | No | |  |
| If **YES**: | | Are they vertebrates? | | Yes | | | No | |  |
| Are they non-human primates (NHP)? | | Yes | | | No | |  |
| Are they genetically modified? | | Yes | | | No | |  |
| Are they cloned farm animals? | | Yes | | | No | |  |
| Are they endangered species? | | Yes | | | No | |  |
| 6. NON-EU COUNTRIES | | | | | | | | | Page |
| Will some of the activities be carried out in non-EU countries? | | | | Yes | | | No | |  |
| If **YES**: | | Specify the countries: | |  | | |  | |  |
| In case non-EU countries are involved, do the activities undertaken in these countries raise potential ethics issues? | | | | Yes | | | 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.)? | | | | Yes | | | No | |  |
| Is it planned to import any material from non-EU countries into the EU or from a non-EU country to another non-EU country? For data imports, see section 4. | | | | Yes | | | No | |  |
| If **YES**: | | Specify material and countries involved: | |  | | |  | |  |
| Is it planned to export any material from the EU to non-EU countries? | | | | Yes | | | No | |  |
| If **YES**: | | Specify material and countries involved: | |  | | |  | |  |
| Does this activity involves [low and/or lower-middle income countries](https://datahelpdesk.worldbank.org/knowledgebase/articles/906519)? (if yes, detail the benefit-sharing actions planned in the self-assessment) | | | | Yes | | | No | |  |
| Could the situation in the country put the individuals taking part in the activity at risk? | | | | Yes | | | 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)? | | | | Yes | | | No | |  |
| Does this activity deal with endangered fauna and/or flora / protected areas? | | | | Yes | | | No | |  |
| Does this activity involve the use of substances or processes that may cause harm to humans, including those performing them (during the implementation of the activity or further to the use of the results, as a possible impact)? | | | | Yes | | | 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). | | | | Yes | | | No | |  |
| 9. OTHER ETHICS ISSUES | | | |  | | | | | Page |
| Are there any other ethics issues that should be taken into consideration? | | | | Yes | | | No | |  |
| *Please specify: (Maximum number of characters allowed: 1000)* | | | | | | |  | |  |

|  |  |
| --- | --- |
| 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’.](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment_en.pdf) | ⬜ |

*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*](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment_en.pdf)*" 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. |

#### 

*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]](#footnote-3) | | |  | | | Page |
| Does this activity involve information and/or materials requiring protection against unauthorised disclosure (EUCI)? | | | Yes | No | |  |
| If **YES**: | Is the activity going to use classified information as background[[3]](#footnote-4) information? | | Yes | No | |  |
| Is the activity going to generate EU classified foreground[[4]](#footnote-5) information as results? | | Yes | No | |  |
| Does this activity involve non-EU countries? | | | Yes | No | |  |
| If **YES**: | Do participants from non-EU countries need to have access to EUCI? | | Yes | No | |  |
| Do the non-EU countries concerned have a security of information agreement with the EU? | | Yes | No | |  |
| 2. MISUSE | | |  | | | Page |
| Does this activity have the potential for misuse of results? | | | Yes | | No |  |
| If **YES**: | | Does the activity provide knowledge, materials and technologies that could be channelled into crime and/or terrorism? | Yes | | No |  |
| Could the activity result in the development of chemical, biological, radiological or nuclear (CBRN) weapons and the means for their delivery? | Yes | | No |  |
| 3. OTHER SECURITY ISSUES | | |  | | | Page |
| Does this activity involve information and/or materials subject to national security restrictions? | | | Yes | | No |  |
| If yes, please specify: *(Maximum number of characters allowed: 1000)* | | | | | |  |
| Are there any other security issues that should be taken into consideration? | | | Yes | | No |  |
| *If yes, please specify: (Maximum number of characters allowed: 1000)* | | | | |  |  |

#### 5 – Other questions

*Two-stage calls*

*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? | Yes | No |

*Questions showed only in answer is Yes:*

Please list the substantial differences, and indicate the reasons

|  |  |  |
| --- | --- | --- |
| □ | Partnership | *List the substantial differences and indicate the reasons* |
| □ | Budget | *List the substantial differences and indicate the reasons* |
| □ | Approach | *List the substantial differences and indicate the reasons* |

*[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*](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32014R0536)*).*

|  |  |  |
| --- | --- | --- |
| Are clinical studies / trials / investigations included in the work plan of this project? | Yes | No |

*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 |  |

*]*



**Proposal template Part B: technical description**

The structure of this template must be followed when preparing your proposal. It has been designed 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 sections 1, 2 and 3, together, should not be longer than 25 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; therefore you must remove this instruction page before submitting. Remove also the table with the definition of terms and the help text added after each section.

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** | 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. |
| **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). Impacts generally occur some time after the end of the project.  Example: *The deployment of the advanced forecasting system enables each airport to increase maximum passenger capacity by 15% and passenger average throughput by 10%, leading to a 28% reduction in infrastructure expansion costs.* |
| **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 during or shortly after the end of the project.  Example: *9 European airports adopt the advanced forecasting system demonstrated during 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’.  Example: *Successful large-scale demonstrator: trial with 3 airports of an advanced forecasting system for proactive airport passenger flow management.* |
| **Technology Readiness Level** | See [EIC Work Programme 2021](https://eic.ec.europa.eu/system/files/2021-03/EIC%20Work%20Programme%202021.pdf) under Glossary section. |

*Eligibility*

|  |  |  |
| --- | --- | --- |
| I confirm that this proposal builds on results (demonstrated proof of principle) achieved within  eligible project(s)[[5]](#footnote-6). | Yes | No |
| Provide the related eligible Project(s) Acronym(s): | | |
| Provide the related eligible Project(s) ID Number(s): | | |
| I confirm that the applicant(s) are the owner or have any necessary agreements with owners or  right holders of those results, as described in the proposal[[6]](#footnote-7). | Yes No | |

*Seal of Excellence (only for mono-beneficiary applications from* ***individual SMEs****)*

**If my application is evaluated as meeting all the criteria and thresholds for funding:**

I, Name-Surname, the coordinator of this proposal

☐ give my consent to the Commission to publish the name of my company.

☐ give my consent to the Commission to provide my name and contact details to other bodies who may be interested in funding or supporting my company.

**1.** **Excellence**

|  |
| --- |
| ***Excellence – aspects to be taken into account***   * Technological breakthrough: Does the technology have a high degree of novelty compared to other technologies available or in development; to what extent does this novelty create the potential for new applications and functionalities? * Technology feasibility: Do the results of the technology demonstration and validation so far indicate the potential for application? * Objectives: Have potential applications been identified and are they plausible? How appropriate are the objectives for the planned technology development and validation of the innovation in relevant application environments? |

* *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.*

**1.1 Technological breakthrough**

* Describe the degree of novelty compared to other technologies available or in development.
* Describe the competitive advantage of the innovation.
* Describe to what extent this innovation has the potential for new applications and functionalities foreseen in this proposal and beyond.

**1.2 Technology feasibility**

* Describe the results of the technology demonstration and validation so far achieved and their potential for application:
* Please describe the relevant milestones already achieved in the validation of the technology;
* Please describe the steps to be taken for validating the technology in relation to the applications targeted in this proposal.

**1.3 Objectives**

* *This section should be presented as a narrative. The detailed tasks and work packages, and the risks and the corresponding mitigation plan are described below under ‘Implementation’.*
* Describe the objectives of the project, which should be clear, plausible, measurable, verifiable and realistically achievable within the duration of the project:
* Have potential applications been identified and are they plausible?
* How appropriate are the objectives for the planned technology development and validation of the innovation in relevant application environments?
* Please describe how the specific operational objectives address the challenges and unknown to bring the innovation to the public.
* Describe and explain the approach and methodology including the concepts, models and assumptions that will enable you to deliver your project’s objectives. Explain why they are suitable to deal with the considerable technological and innovation uncertainties of the project’s objectives and how appropriate they are to enable alternative directions and options.
* *Note that methodological aspects should respect Open Science practices and research data/output management.*
* *Describe shortly how the gender dimension (i.e. sex and/or gender analysis) is taken into account in the project’s research and innovation content. If you do not consider such a gender dimension to be relevant in your project, please provide a justification. Remember that that this question relates to the content of the planned research and innovation activities, and not to gender balance in the teams in charge of carrying out the project. Sex and gender analysis refers to biological characteristics and social/cultural factors respectively. For guidance on methods of sex / gender analysis and the issues to be taken into account, please refer to* [*http://ec.europa.eu/research/swafs/gendered-innovations/index\_en.cfm?pg=home*](http://ec.europa.eu/research/swafs/gendered-innovations/index_en.cfm?pg=home) *.*
* *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*](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex:32020R0852) *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.*
* Explain how the choice of Open Science practices and their implementation are adapted to the nature of your work to increase the chances of the project delivering on its objectives. In case you believe that none of these practices are appropriate for your project, this is acceptable if you 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).*
* Researchdata management and management of other research outputs:Applicants generating/collecting data and/or other research outputs (except for publications) during the project must provide a very short description on how the data/research outputs will be managed:

**Types of data/research outputs** (e.g. experimental, observational, images, text, numerical) and their estimated size; if applicable, combination with, and provenance of, existing data.

**Findability of data/research outputs:** Types of persistent and unique identifiers (e.g. digital object identifiers) and trusted repositories that will be used.

**Accessibility of data/research outputs:** IPR considerations and timeline for open access (if open access not provided, explain why); provisions for access to restricted data for verification purposes.

**Interoperability of data/research outputs:** Standards, formats and vocabularies for data and metadata.

**Reusability of data/research outputs**:  Licenses for data sharing and re-use (e.g. Creative Commons, Open Data Commons); availability of tools/software/models for data generation and validation/interpretation /re-use.

**Curation and storage/preservation costs**; person/team responsible for data management and quality assurance.

* *Proposals selected for funding under Horizon Europe will need to develop a detailed data management plan (DMP) for making their data/research outputs findable, accessible, interoperable and reusable (FAIR) as a deliverable by month 6 and revised towards the end of a project’s lifetime. In Transition it is allowed not to publish any data, if this might harm the protection of the results or commercialisation strategy.*
* *For guidance on Open Science practices and research data management, please refer to the relevant section in the HE Programme Guide on the Funding & Tenders Portal.*

**2. Impact**

|  |
| --- |
| ***Impact – aspects to be taken into account***   * Business and market fit: How well do the activities propose to develop the business model and product features to address commercialisation and other relevant aspects (intellectual property rights, regulation, certification and standardisation)? How will potential users or customers be involved to test potential demand and acceptability? * Economic and/or societal benefits: How effectively can the proposed innovation and its related activities create substantial demand and new European or global markets? To what extent is the proposed innovation expected to generate other positive impacts (employment, societal, environmental, scientific, etc.)? * Entrepreneurship: how suitable are the proposed measures to build a strong and motivated entrepreneur-lead team with necessary competences in technology, product engineering, and business development to bring the innovation to the market? * Partnerships and investment-readiness: How effective are the proposed measures to become investment ready and develop plans to commercialise the project outcomes (including through IP management); have the participants identified key partners willing to be involved? |

* *In this section you should show how your project could contribute to the outcomes and impacts described in the work programme, the likely scale and significance of this contribution, and the measures to maximise these impacts.*

**2.1 Business and Market fit**

* Please describe how the activities proposed support the development of a business model and the product features.
* Please describe how the activities support the commercialisation and other relevant aspects (intellectual property rights, regulation, certification and standardisation).
* Specify the strategy for the management of intellectual property, foreseen protection measures, such as patents, design rights, copyright, trade secrets etc., and how these would be used to support exploitation.
* Please describe how will potential users or customers be involved to test potential demand and acceptability.
* Please describe if and how you intend to validate the problem / solution fit.
* Please describe if and how you intend to validate the product / market fit.

**2.2 Economic and/or societal benefits**

* Please describe qualitatively and quantitatively how the proposed innovation and its related activities can create substantial demand and new European or global markets.
* Please describe to what extent is the proposed innovation expected to generate other positive impacts (employment, societal, environmental, scientific, etc.).

**2.3 Entrepreneurship**

* Please describe the proposed measures to build a strong and motivated entrepreneur-lead team with necessary competences in technology, product engineering, and business development to bring the innovation to the market.

**2.4 Partnerships and investment-readiness**

* Please describe the proposed measures to become investment ready and develop plans to commercialise the project outcomes (including through IP management).
* Please describe the potential involvement of identified key partners willing to be involved.
* *In case your proposal is selected for funding, a tech-to-market transition plan[[7]](#footnote-8), and a more detailed ‘plan for dissemination and exploitation including communication activities’[[8]](#footnote-9) will need to be provided as a mandatory project deliverable within 6 months after the start of the project. This plan shall be periodically updated in alignment with the project’s progress.*
* *Communication[[9]](#footnote-10) measures should promote the project throughout the full lifespan of the project. The aim is to inform and reach out to society and show the activities performed, and the use and the benefits the project will have for citizens. Activities must be strategically planned, with clear objectives, start at the outset and continue through the lifetime of the project. 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.*
* *All measures should be proportionate to the scale of the project, and should contain concrete actions to be implemented both during and after the end of the project In the justification, explain why each measure chosen is best suited to reach the target group addressed.*
* *Describe possible feedback to policy measures generated by the project that will contribute to designing, monitoring, reviewing and rectifying (if necessary) existing policy and programmatic measures or shaping and supporting the implementation of new policy initiatives and decisions.*

1. **Quality and efficiency of the implementation**

|  |
| --- |
| ***Quality and efficiency of the implementation – aspects to be taken into account***   * Quality of the team: To what extent do the applicant(s) bring the necessary high-quality expertise, capabilities and motivation to move decisively towards innovation, create a unique commercial value from the emerging technology and develop an attractive business and investment proposition? * Milestones and Work plan: Is the pathway towards deployment clearly described? Are milestones adequately and clearly defined (measurable, timed, etc.) to track progress along the pathway and towards objectives? How coherent and effective are the work plan (work packages, tasks, deliverables, time-line, etc.), the innovation methods and the risk mitigation methods, in order to reach the milestones and to achieve the project objectives? * Allocation of resources: How appropriate and effective is the allocation of resources (person-months and equipment) to tasks and partners? |

**3.1 Quality of the team**

* Describe to what extent do the applicant(s) bring the necessary high-quality expertise, capabilities and motivation to move decisively towards innovation, create a unique commercial value from the emerging technology and develop an attractive business and investment proposition.

**3.2 Work plan and resources**

* Please describe the pathway towards deployment.
* Describe clearly the defined milestones (measurable, timed, etc.) to track progress along the pathway and towards objectives.

Please describe the work plan (work packages, tasks, deliverables, time-line, etc.):

* brief presentation of the overall structure of the work plan;
* timing of the different work packages and their components (Gantt chart or similar);
* *Please use the below table when planning Reporting Periods for your project:*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Project duration | Number of periods | RP1 duration | RP2 duration | RP3 duration | RP4 duration |
| 12 | 1 | 12 | - | - | - |
| 18 | 1 | 18 | - | - | - |
| 24 | 2 | 12 | 12 | - | - |
| 30 | 2 | 12 | 18 | - | - |
| 36 | 2 | 12 | 24 | - | - |

(After 36 months Reporting occurs every 12 months.)

* 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 3.2a);
  + a description of each work package (table 3.2b);
  + a list of deliverables (table 3.2c);
* *Give full details. Base your account on the logical structure of the project 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 project.*
* *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 (person-months) 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 to give due visibility in the work plan to ‘data management’ ‘dissemination and exploitation’ and ‘communication activities’, 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 3.2d);
* a list of critical risks, relating to project implementation, that the stated project's 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 project progresses (table 3.2e);
* a table showing number of person months required (table 3.2f);
* a table showing description and justification of subcontracting costs for each participant (table 3.2g);
* a table showing justifications for ‘purchase costs’ (table 3.2h) 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 3.2i).

**Tables for section 3.2**

**Table 3.2a: List of work packages**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Work package No** | **Work Package Title** | **Lead Participant No** | **Lead Participant Short Name** | **Person-Months** | **Start Month** | **End month** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  | Total person- months |  |  |

**Table 3.2b: Work package description**

**For each work package:**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Work package number** |  | | **Lead beneficiary** | | | | |  | |
| **Work package title** |  | | | | | | | | |
| **Participant number** |  |  | |  |  |  |  | |  |
| **Short name of participant** |  |  | |  |  |  |  | |  |
| **Person months per participant:** |  |  | |  |  |  |  | |  |
| **Start month** |  | | | | **End month** |  | | | |

|  |
| --- |
| **Objectives** |

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

|  |
| --- |
| **Deliverables** (brief description and month of delivery) |

**Table 3.2c: List of Deliverables[[10]](#footnote-11)**

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

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Deliverable (number)** | **Deliverable name** | **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)

**Table 3.2d: 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 3.2e: 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 3.2f: 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** |  |  |  |  |
| **ParticipantNumber/**  **Short Name** |  |  |  |  |
| **Participant Number/**  **Short Name** |  |  |  |  |
| **Total Person Months** |  |  |  |  |

**Table 3.2g: ‘Subcontracting costs’ items**

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

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

**Table 3.2h: ‘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 3.2i: ‘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** |
| **Internally invoiced goods and services** |  |  |
| **…** |  |  |

**STANDARD MODULAR EXTENSION OF PROPOSAL TEMPLATE:**

* + - 1. **CLINICAL TRIALS**
         * **PART A: Additional question**
         * **PART B: Add an additional annex with information on clinical trials**
      2. **CALLS FLAGGED AS SECURITY SENSITIVE**
         * **PART A: No additions**
         * **PART B: Add an additional annex with information on security**

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). [↑](#footnote-ref-2)
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”. [↑](#footnote-ref-3)
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. [↑](#footnote-ref-4)
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. [↑](#footnote-ref-5)
5. Eligible projects are those funded under the calls indicated in the [EIC Work Programme 2021](https://eic.ec.europa.eu/system/files/2021-03/EIC%20Work%20Programme%202021.pdf). [↑](#footnote-ref-6)
6. Your proposal must build on results (demonstrated proof of principle) achieved within an eligible project. You do not need to be a participant, Principle Investigator or result owner of the previous projects, on the contrary new participants are welcome and encouraged to apply. However, you must demonstrate that you are the Intellectual Property Rights (IPR) owner or holder, or have the necessary rights to commercialise the IPR of the linked Pathfinder, FET or ERC Proof of Concept project results to be further developed. You therefore must specify in your application the result and relevant IP to be developed, and include written evidence from the relevant owner(s) of the result(s), which confirms the existence of the necessary agreements with you, including on IPR. [↑](#footnote-ref-7)
7. For reference, please consider the recommendations provided in the report [Implementing the pro-active management of the EIC pathfinder for breakthrough technologies & innovations](https://ec.europa.eu/info/publications/implementing-pro-active-management-eic-pathfinder-breakthrough-technologies-innovations_en) (page 61 onwards for further details on transition plan at the project level). It also should speed-up, foster and support exchange of information for the purpose of portfolio activities, as described in Annex 7 - Section 2 of the [EIC Work Programme 2021](https://eic.ec.europa.eu/system/files/2021-03/EIC%20Work%20Programme%202021.pdf). [↑](#footnote-ref-8)
8. As described in Annex 7 - Section 3 of the [EIC Work Programme 2021](https://eic.ec.europa.eu/system/files/2021-03/EIC%20Work%20Programme%202021.pdf). [↑](#footnote-ref-9)
9. For further guidance on communicating EU research and innovation for project participants, please refer to the [Online Manual](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/om_en.pdf) on the Funding & Tenders Portal. [↑](#footnote-ref-10)
10. You must include a data management plan (DMP), a tech-to-market transition plan 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](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/om_en.pdf) on the Funding & Tenders Portal. [↑](#footnote-ref-11)