RIA IA
Annotated Template

Funded by
the European Union

This annotated version is intended to support the writing of a project proposal for Cluster 6 'Food, Bioeconomy, Natural Resources, Agriculture and Environment' in pillar II (Global Challenges) of Horizon Europe.

This version accompanies the full stage RIA/IA template and is a product from the National Contact Points (NCPs) project of CARE4BIO in Horizon Europe. It contains the following parts:

- Part A: Application form
- Part B: Project proposal - Technical description

Do you have questions or suggestions? Please contact CARE4BIO by e-mail: contact@care4bio.eu

On our CARE4BIO website you will also find additional information on participation in Horizon Europe and an overview of all the services that NCPs can offer you.

Date of finalisation: 14.08.2023

Grant agreement number: 101059839

Horizon Europe Programme

Standard Application Form (HE RIA, IA)

Application form (Part A)
Project proposal – Technical description (Part B)

Version 6.0
15 November 2022

DISCLAIMER

Our comments in this annotated proposal template of the EU Commission only offer you tips and recommendations. It is essential that you refer to all the requirements set out by the Commission throughout the entire submission.

No rights can be derived from the information put forward in this document. Interim changes to the template occur and the templates are not the same for all topics. When submitting your proposal, always use the official template and information from the European Commission. You can find the most up to date template under the submission button of each topic when logging in into the Funding and Tenders Portal.

Application form (Part A)

Horizon Europe Programme

Standard Application Form (HE RIA, IA)

Application form (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

Tips for Lump Sum Accounting:

Check which billing type is intended for your topic. We have highlighted tips that only concern lump sum billing in orange and marked them with . You will receive basic information on this type of billing in this webinar of the EU Commission from 09.02.2023: Lump Sum Funding in Horizon Europe: How does it work? How to write a proposal?

Application Forms

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

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 *Acronym is mandatory*

Your acronym should be meaningful and relate to the content of the project. It is advisable to check whether the acronym has been used before. Use CORDIS for this.

Proposal title *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 *Estimated duration of the project in full months.*

Fixed keyword

Fixed keyword

Up to 6 predefined keyword fields can be selected (one term per field; e.g. circular economy, food packaging, waste recycling, etc.).

Free keywords *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.

You have 2000 characters (including spaces) for the abstract.

Please note that the abstract from Part A is the 'elevator pitch' of your project. Make sure the evaluator gets excited when reading the abstract. If the evaluator is not well-disposed and curious after reading the abstract, the chances are that the evaluator will be looking for reasons to reject the proposal.

The abstract is part of the documentation for the *Panel Review*. It will also be used in the communications to the Programme Committees and other interested parties. Furthermore, it will also appear on CORDIS in the Commission's project database after the Grant Agreement has been signed.

The intention is to give the evaluator a good idea of the project and an incentive to read further. Be concise and express the essentials without getting lost in the detail.

Questions to consider when writing an abstract:

- What are the main concepts and goals?
- What is new about your approach and what is the added value?
- What are the most important expected results in terms of impact?
- Who are the stakeholders affected by the challenges specified in the topic description?
- Why is this proposal the winning solution/contribution (and the winning team) to solve that specific challenge?

Please note that for topics with several sub-topics / options (a, b, c, etc.), it must be mentioned in the abstract to which sub-topic / option the project relates.

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	

If you click YES, this will not disadvantage your submission and evaluation.

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. We recommend that the project coordinator obtains a written commitment (informal) from each applicant.	☐
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).	☐

3) 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 – to have the financial and operational capacity to carry out the proposed project.	☐
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.	☐
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).	☐
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.	☐
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 2021/821, 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).	☐
8) 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.	☐
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	☐
10) *[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. *]*	☐ 💰 €

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

For full proposals (i.e. in the single-stage proposals and in the second stage of the two-stage proposals), the List of Participants is automatically generated at this point from the online submission system (SEP). See Participants in the User Guide of the Submission System (p. 19-30).

List of participating organisations

#	Participating Organisation Legal Name	Country
1		
2		

At this point, the list is automatically generated from the online submission system. When creating the consortium partners in the online submission system (SEP), we recommend that the coordinating organisation first lists all partner organisations (beneficiaries), followed by the associated partners. As a rule, organisations from Third countries not eligible for funding participate as so-called Associated partners to Art. 9.1 AGA.

Only in exceptional cases can organisations from non-eligible countries be beneficiaries and receive EU funding, e.g. if the respective organisation is considered essential for the success of the project, or if a topic explicitly allows the participation of organisations from such countries as beneficiaries.

When the proposal is automatically processed by the SEP, you have to enter your further personal / organisational data (as information for partner organisations): The coordinating organisation has already entered your PIC, institution, name & email address in this step), click on *My Proposal(s)* > in the row of your proposal click on *Action* > *Edit Draft* after ECAS login. This will take you to another page: In the middle under PART B Annexes there is a button *Back to Participants List*. If you click here, you will get to the participants' profile that the coordinating organisation has already created for the partner organisations. Here you can enter additional project staff or Affiliated Entities, among other things.

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***

Short name

Information will be inserted automatically as soon as you have entered the PIC (*Participant Identification Code*) of the partner institution online in the submission system. Nevertheless, please check whether the information is correct.
PIC search and registration in the Beneficiary Register
Overview of registration in the Online Manual of EC F&T Portal
Guidance to register in EC F&T Portal

Address of the organisation

Street

Town

Postcode

Country

Webpage

After the ECAS login, click on *My Proposal(s)* > in the row of your proposal click on *Action* > *Edit Draft*. This will take you to another page:

- For Administrative Forms > click on Edit Forms > this will open a browser tab eForms.
- For Participants > click on Show: For your listed organisation, click on Show Participant's Details > this will take you to the parts shown here in the template, which you must fill in accordingly.

Specific legal statuses

Read more about legal statuses.

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.

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

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

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]	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).

Researchers, according to the definition used here, 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. Therefore, researchers not only exist in academic institutions, i.e. universities, universities of applied sciences or research organisations, but also, for example, in companies or in all organisations involved in the project. Researchers do not necessarily have to be involved in every participating organisations (e.g. public authorities, NGOs, agricultural cooperatives, etc.).
If no researchers are involved in the project, the table remains empty.

The Commission is only interested in the identity of the researchers (see definitions of researchers in the footnotes). Researchers who, for example, only perform administrative or coordination tasks in the project should not be listed. The European Commission intends to use this information to better track the *scientific impact* of Horizon Europe with the indicator *Strengthening Human Capital in R&I*. The definitions of researchers' career stages used in footnote 1 should not be seen in purely academic terms (doctoral candidate, post-doc, working group leader, professor), but can also be applied to companies.

Please note that this table is not part of the evaluation.

Role of participating organisation in the project *Applicants may select more than one option.*		*Definitions*
Project management	☐	*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	☐	*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	☐	*Click if your organisation is providing a research facility or research equipment.*
Co-definition of research and market needs	☐	*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	☐	*Click if your organisation belongs to civil society (NGO, association, organisation, consumer group, community group, charity, etc.).*
Policy maker or regulator, incl. standardisation body	☐	*Click if your organisation is a policy maker (local, regional, national, European level), regulator or a standardisation body.*
Research performer	☐	*Click if your organisation is in charge of performing the research during the project.*
Technology developer	☐	*Click if your organisation is in charge of developing the technology during or after the project.*
Testing/validation of approaches and ideas	☐	*Click if your organisation is in charge of testing/validating the approach and ideas.*
Prototyping and demonstration	☐	*Click if your organisation is in charge of developing the prototypes and performing demonstrations.*
IPR management incl. technology transfer	☐	*Click if your organisation is in charge of IPR management including technology transfer at the end of the grant.*
Public procurer of results	☐	*Click if your organisation (public authority, hospital, university, local government, etc) will be using the results afterwards.*
Private buyer of results	☐	*Click if your organisation (from the private sector) will be using the results afterwards.*
Finance provider (public or private)	☐	*Click if your organisation will be providing the financing for the exploitation during or after the end of the project.*
Education and training	☐	*Click if your organisation is in charge of educating and training researchers.*
Contributions from the social sciences or/and the humanities	☐	*Click if your organisation is in charge of contributing to the social sciences or/and the humanities dimension to the research projec.t*
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*]*	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'.  Please note that the number of characters for the explanation is limited to 500 characters per *achievement*; thus, no in-depth *qualitative assessment* is possible. Relevant patents held by project partners can also be mentioned here.

*[*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**

Gender equality plan

All public organisations must have a **Gender Equality Plan (GEP)** in place by the time the Grant Agreement is signed at the latest.

Useful links:
- GEP FAQ on F&T Portal
- General Annexes for Horizon Europe (slide 15-16)
- EC Guidance on GEP

Examples of GEP:
- SUPERA Project
- GEARING ROLES Project
- EQUAL-IST Project
- EIGE GEP Toolkit

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: o work-life balance and organisational culture; o gender balance in leadership and decision-making; o gender equality in recruitment and career progression; o integration of the gender dimension into research and teaching content; o measures against gender-based violence including sexual harassment.	○ Yes	○ No

3 – Budget for the proposal

			Estimated expenditure								Estimated income					
											Requested EU contribution			Revenues	Other sources of financing		
			Estimated eligible costs								EU contribution to eligible costs						
No	Participant name	Country	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)	Income generated by the action (o)	Financial contributions (q)	Own resources (r)	Total estimated income (s)=(n)+(o)+(p)+(q) + (r)
					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															
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 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												

The draft Annotated Grant Agreement (AGA) includes, among other things, explanations on the calculation of staff costs using daily rates and the redefinition of the roles of third parties in the project.

For full proposals (one-stage and 2nd stage of two-stage proposals): organisations from non-eligible third countries participate as so-called *Associated Partners* (in Horizon 2020: *International Partners*) according to Art. 9.1 AGA. *Associated partners* do not receive funding from the EU and do not sign the grant agreement with the Commission. The budget of these associated partners should nevertheless be indicated in the table. However, only the fields *Revenues* and *Other Sources of Financing* can be filled in here.

Funding granted to the *Associated Partner* by a funding body from the Third Country for the project must be entered in the *Financial Contributions* field. If the relevant organisation contributes additionally via own resources (e.g. personnel), the corresponding countervalue is entered in the *Own Resources* field. Eligible project partners (organisations, country types) are listed in the General Annexes, Annex B under *Eligibility* (from p. 6). A list of countries and international organisation types can be found in the HE Programme Guide (p. 11-14).

€ For **Lump Sum applications**, only the total budget must be indicated here. Please note that you must also include a detailed budget breakdown (Excel spreadsheets) as an annex. These spreadsheets are available for download in the *submission system* together with the template for Part B under the button *Part B proposal templates*.

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'.

In the HE Programme Guide > Ethics (p. 21-26) there are many useful *reference documents* with links.

The guide How to Complete your Ethics Self-Assessment is particularly helpful when filling in the information below.

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 nonmedical 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 (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.		○ Yes ○ 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.		○ Yes ○ No	
If **YES**:	Specify material and countries involved:		
Does this activity involves low and/or lower-middle income countries? (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 the activity (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 based systems? (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'. ☐

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 E U / 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

The *Security Issues Table* must be completed by ALL project consortia.

In the HE Programme Guide > *Security* chapter (p. 26-29) there are many useful *reference documents* with links. At the end of Part B of the proposal template, there is the following note: In the case of 3. CALLS FLAGGED AS SECURITY SENSITIVE, no further information is required in Part A, whereas in Part B, a further annex with security information is necessary.

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 security issue can be found, and*
- *provide additional information on this security issue in the Security self-assessment section below.*

For more information on potential security issues and how to address them, see the guidance How to handle security-sensitive projects and the programme-specific guidelines Classification of information in Horizon Europe projects.

1. EU classified information (EUCI)[2]			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] information?	○ Yes ○ No	
	Is the activity going to generate EU classified foreground[4] information as results?	○ Yes ○ No	
Does this activity involve participants from non-EU countries which need to have access to EUCI?		○ Yes ○ No	
If **YES**:	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)			

[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.

SECURITY SELF-ASSESSMENT

If you have answered YES for one or more of the questions indicated above, describe the measures you intend to take to solve/avoid them. For more information, see the guidelines Classification of information in Horizon Europe projects, Classification of information in Digital Europe projects, Classification of information in EDF projects.

Please specify *(Maximum number of characters allowed: 5000)*

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*

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

Clinical study means, for the purpose of this document, any systematic prospective or retrospective collection and analysis of health data obtained from individual patients or healthy persons in order to address scientific questions related to the understanding, prevention, diagnosis, monitoring or treatment of a disease, mental illness, or physical condition. It includes but it is not limited to clinical studies as defined by Regulation 536/2014 (on medicinal products), clinical investigation and clinical evaluation as defined by Regulation 2017/745 (on medical devices), performance study and performance evaluation as defined by Regulation 2017/746 (on in vitro diagnostic medical devices.

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

Please note, if you click *YES* here, you will actually be asked to upload the *clinical trials template*. Currently, the use of the *clinical trial template* is only provided in some topics within the framework of Cluster 6.

If you are conducting clinical trials within the scope of the project, but the use of the *clinical trial template* is not possible under your topic, you should at least include the most important points from the *clinical trial template* in the application (Part B) at the appropriate places (e.g. in Chapter 1.2 or in the relevant work packages) and provide information on this.

For more information on *clinical trials,* please see this Health NCP NET annotated template developed by National Contact Points from Cluster 1 (Health).

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	Add / Remove

]

Projects that either collect or in any way process data related to human health or health status must place even greater emphasis on the ethical aspects of research and on responsible research and innovation.

Please note the Commission's definition of a *clinical studies* [green, above]. The collection or analysis of such data in Cluster 6 could for example be in some topics related to food and nutrition. For example, if you want to investigate the effects of certain foods or food additives on humans, then according to the Commission's definition on clinical studies you should indicate *"Yes"* here. This requires that an additional Annex *Essential Information for Clinical Studies / Trials / Investigations* must be submitted with your application. You can find a template for this here.

Please note, this part of the template was initially designed by the Commission only for projects in the field of health research & innovation (Cluster 1). It is only mandatory for certain topics (all outside of Cluster 6). Nevertheless, it is recommended to prepare and keep an adapted explanation of any planned clinical studies - based on the above linked template - (possibly for the *Grant Agreement* phase). The requirements for a nutritional study will usually be less extensive than for medical or pharmacological studies.

Project proposal – Technical description (Part B)

Horizon Europe Programme

Standard Application Form (HE RIA and IA)

Project proposal – Technical description (Part B)

Version 3.2
15 November 2022

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

HISTORY OF CHANGES		
Version	**Publication date**	**Changes**
1.0	10.03.2021	▪ Initial version
1.1	19.04.2021	▪ Formatting and alignment ▪ Clarification of the indicative number of pages in section 2.2 is for sections 2.2 and 2.3 ▪ Added the name of the award criterion in section 3
1.2	25.05.2021	▪ Addition of a table in section 3.1 about in-kind contributions
2.0	21.01.2022	▪ Changes in tables on section 3 avoiding duplication of information ▪ Reorder of points in 'Impact' section
3.0	11.07.2022	▪ Consolidation, formatting and layout changes. Tags added
3.1	08.09.2022	▪ Added instructions on Artificial intelligence
3.2	15.11.2022	▪ Added page limit for topics using lump sum funding

Proposal template Part B: technical description

(for full proposals: single stage submission procedure and 2nd stage of a two-stage submission procedure)

This template is to be used in a single-stage submission procedure or at the 2nd stage of a two-stage submission procedure.

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 title, list of participants and sections 1, 2 and 3, together, should not be longer than 45 pages. For topics using lump sum funding, the limit is 50 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).

This document is tagged. Be careful not to delete the tags; they are needed for processing.

General tips

- Keep in mind that the evaluators reading your proposal are experts, but may not be knowledgeable in your specific (sub)discipline. Make sure your proposal is easy to read and can be appreciated by someone who is a little further away from the subject.
- The purpose of a good proposal is to make it as easy as possible for the evaluators to be convinced by the project. Do not simply state something is excellent or complex; convince evaluators of the excellence and complexity through examples, issues and barriers.
- Provide a proposal that is inviting to read: e.g. make use of figures, images, tables, lists and (sub-) paragraphs to make the story visually attractive, avoid excessive use of abbreviations, provide consistency in terminology, numbering and titles.
- Your proposal is a convincing exercise, not a scientific paper! Only cite crucial references, e.g. to substantiate important data. Literature references are part of the page limit. Focus on 'need-to-know' information.
- Be ambitious, but also realistic. Promises that cannot be delivered within the chosen timeframe, budget
- or approach erode credibility.

Practical tips

- Do not use (too) long sentences. For good readability, 25-30 words in a sentence is the maximum. It is better to have two short sentences than one long one.
- Avoid language and grammar errors.
- DO NOT EXCEED the page limit of **45** (unless stated otherwise in the topic text); Excess pages will be automatically made invisible, and will not be taken into consideration by the evaluators. The page limit is a limit, not a goal.
- Do not change the structure or order of the template proposal.
- Answer to all the points that are requested in the template proposal.
- It is possible to emphasise important messages in bold, but don't overdo it.
- Do not wait until the final moment to submit. It is highly recommended to submit your proposals as early as possible and at least 48 hours before the deadline. This will avoid technical problems (system requirements, local configuration settings, system congestion, etc.). Note that you can submit the proposal as many times as you want. Every submitted version will replace the previous one.
- The European Commission discourages applicants to include Letters of Support.

Evaluation criteria

There are three assessment criteria: I) Excellence, II) Impact and III) Quality & Efficiency of the Implementation. A link to the evaluation form that will be used by evaluators can be found here. The scoring threshold for the three assessment criteria is as follows (unless indicated otherwise):

Criteria	Threshold
Excellence	3/5
Impact	3/5
Quality & Efficiency of the Implementation	3/5
TOTAL	10/15

For a Research and Innovation Action, all criteria are weighted equally. Note that for Innovation Actions, the impact section is weighted 1.5 in the evaluation. Proposals that pass the individual threshold **and** the overall threshold will be considered for funding, within the limits of the available topic budget. Other proposals will be rejected.

If project proposals are evaluated with identical total scores, the evaluators will then order them according to the so called **priority order**. For more information on the criteria used in the priority order, please see Annex F of the General Annexes.

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). 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. 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 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.*

[This document is tagged. Do not delete the tags; they are needed for processing.] #@APP-FORM-HERIAIA@#

List of participants *[e.g. 1 page]*

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.

The List of Participants contains the participating organisations (not individuals). Even though it is not mandatory, it may be useful to add a fourth column with the type of organisation (e.g. Public Bodies (PUB), Research Organisations (REC), Private for Profit entities (PRC), Higher or Secondary Education Establishments (HES), Other (OTH)). The evaluator then has a quick idea of the composition of the consortium.

1. Excellence #@REL-EVA-RE@#

Excellence – aspects to be taken into account.

- Clarity and pertinence of the project's objectives, and the extent to which the proposed work is ambitious, and goes beyond the state of the art.
- Soundness of the proposed methodology, including the underlying concepts, models, assumptions, interdisciplinary approaches, appropriate consideration of the gender dimension in research and innovation content, and the quality of open science practices, including sharing and management of research outputs and engagement of citizens, civil society and end users where appropriate.

⚠ *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.*

Making a solid first impression is crucial when submitting a proposal. To capture the evaluator's attention, begin by clearly describing the problem your proposal aims to solve and its urgency. Also, explain how your project will enhance or build upon existing knowledge.

Identify the stakeholders affected by your proposal's challenges, and explain why your team is the best equipped to tackle this specific challenge with your winning solution. Use this section as an elevator pitch to highlight the unique selling points of your proposal and encourage the evaluator to read on.

1.1 Objectives and ambition #@PRJ-OBJ-PO@# *[e.g. 4 pages]*

- Briefly describe the objectives of your proposed work. Why are they pertinent to the work programme topic? Are they measurable and verifiable? Are they realistically achievable?

When formulating objectives for a project, it is essential to ensure that they are consistent with the topic description in the work programme and cover all **expected outcomes**. Note that some topic descriptions do not require addressing all expected outcomes.

To start writing out the objectives of the project it is recommended first to establish the motivations, rationale, and vision of the project, as this will naturally lead to defining the goals.
It is essential to consider the goals to be achieved and formulate overarching and corresponding subordinate objectives.

Avoid confusing project objectives with project activities.
Objectives should be SMART, meaning they should be specific, measurable, acceptable, realistic, and time-bound.
Specific: What are the objectives? What are you going to achieve?
Measurable: Does the objective produce a concrete result (a model, a theory, a technology)? When will the objective be achieved? Are there key figures or quantifiable parameters for achieving the goal?
Acceptable: Does the objective effect a change? Why is this important? Also, A for Achievable: Does the accuracy fit in the scope of the topic, and is it possible to accomplish?
Realistic: Is the objective achievable in the allocated timeframe? Also, R for Relevant: Does the objective make sense in the frame of expertise in the consortium? By when should the goal be achieved?
Time-bound: When will you get the objective done, and what intermediate steps are needed to do this (in time)?

Questions to consider when formulating objectives:

- What is your vision for the project? What do you want to achieve concretely?
- What is the problem/challenge to be addressed by the call for proposals?
- What are the primary, superordinate or subordinate goals of the project? Does this also address the topic goals? What must be achieved in the project to serve the scope, achieve the expected outcome and (later) address the expected impact (destination / strategic plan)?
- Which target groups need to be addressed to realise this impact?
- What do the target groups need to realise the impact?
- What is missing? What results do you need to deliver in the project?
- Why will you be able to solve the problems, while other projects apparently failed or did not fully achieve the final goal?

- Describe how your project goes beyond the state-of-the-art, and the extent the proposed work is ambitious. Indicate any exceptional ground-breaking R&I, novel concepts and approaches, new products, services or business and organisational models. Where relevant, illustrate the advance by referring to products and services already available on the market. Refer to any patent or publication search carried out.

When writing about the ambition of your project, you should focus on conveying your proposal's unique value and specialism, emphasizing the new importance that your results or approaches will bring. Emphasise where your project will really make a difference. Clearly explain the innovative potential of your project in terms of breakthroughs, new products, services, business, organisational models, or anything else in this context.

It is important to note that ambition differs from objectives or concepts and is distinct from impact, which concerns your project's long-term effects and influence.

When describing the *State of the Art*, focus on expressing the novelty that your project will bring. Describe the current situation, including innovative technologies and models, and emphasise your project's steps to advance current knowledge and address real-world problems.

The emphasis of this section varies depending on the project type:

- *Research & Innovation Action*: new scientific insights, technological possibilities, proof that a technique or approach works for a particular application or sector.
- *Innovation Action*: first adoption/application or large-scale demonstration of an innovation or systemic transformation, innovation for existing products in the market.

Questions to consider when formulating the ambition of the project:

- How is your project's solution compared to the current state of science and/or technology, existing solutions, products/services, or business models?
- What is the added value or advantage of your solution?
- Why will your solution be used? Why is your target group explicitly waiting for this solution?
- Where will current knowledge/methodology be particularly enhanced? Are you developing new methods?
- What is particularly challenging: technological or societal challenges?
- Are unique resources being used?
- Where has something like this already been implemented? What is this project doing differently and what is unique about this approach?
- Where is the (economic) innovation potential?
- What does the market look like, including the need for a new scientific solution for the scientific community?
- Have you conducted a patent search?
- Who else can benefit from your solution, such as policy makers, certain social groups, research, or standards and regulatory authorities?

- Describe where the proposed work is positioned in terms of R&I maturity (i.e. where it is situated in the spectrum from 'idea to application', or from 'lab to market'). Where applicable, provide an indication of the Technology Readiness Level, if possible distinguishing the start and by the end of the project.

⚠ *Please bear in mind that advances beyond the state of the art must be interpreted in the light of the positioning of the project. Expectations will not be the same for RIAs at lower TRL, compared with Innovation Actions at high TRLs.*

Positioning in a project refers to the maturity level of the technology or product involved. Therefore, identifying where the concept and planned products lie on the spectrum between an idea and practical application is essential. While a statement on the positioning is always required, only projects in Cluster 6 need to reference Technology Readiness Levels (TRL), but only if it is explicitly requested or mentioned in the specific conditions of the topic.

The *TRL scale* comprises nine technology readiness levels (TRL 1 to TRL 9), with TRL 1 indicating a basic idea and TRL 9 indicating full implementation. Consider whether your project is a Research and Innovation Action or an Innovation Action. Research and Innovation Action are expected to achieve TRL 5 by the end of the project, while Innovation Actions are usually between 4-7, and in some cases, up to 8. Some topic descriptions explicitly state where the project should start and end regarding TRLs.

Questions to consider when determining the TRL of your project:

- What is the current state of knowledge and technology in the field?
- How "mature" is your idea? More basic research? More application-oriented research? Validation / Prototyping / Demonstration?
- How far will you get in the project?
- Is the solution still completely untested or has a similar approach - or parts of it - already been implemented earlier?
- Are the results from the project ready for practical use after the end of the project or will further development steps first be

#§PRJ-OBJ-PO§#

1.2 Methodology #@CON-MET-CM@# #@COM-PLE-CP@# *[e.g. 14 pages]*

- Describe and explain 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. Refer to any important challenges you may have identified in the chosen methodology and how you intend to overcome them. *[e.g. 10 pages]*

  ⚠ *This section should be presented as a narrative. 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.*

  ⚠ *If you plan to use, develop and/or deploy artificial intellingence (AI) based systems and/or techniques you must demonstrate their technical robustness. AI-based systems or techniques should be, or be developed to become:*

- *technically robust, accurate and reproducible, and able to deal with and inform about possible failures, inaccuracies and errors, proportionate to the assessed risk they pose*
- *socially robust, in that they duly consider the context and environment in which they operate*
- *reliable and function as intended, minimizing unintentional and unexpected harm, preventing unacceptable harm and safeguarding the physical and mental integrity of humans*
- *able to provide a suitable explanation of their decision-making processes, whenever they can have a significant impact on people's lives.*

The methodology refers to the approach used in a project to achieve specific objectives and overall goals. It is crucial to explain the concepts and fundamental assumptions, the models used and why they were chosen to reach the stated goals. Be specific about the methods, techniques, approaches, and theories used and consider using a visual of your central concept, summarizing the novel methods, techniques and strategies. Consider using a flow chart showing the phases of your project and the interconnection between them. If you have a patent, reference it and explain where and what it covers.

The Horizon Europe program has added a new *Do No Significant Harm principle (DSNH)*. This principle ensures that proposed solutions and pathways do not negatively affect the environment. Applicants can refer to the DNSH principle when presenting their research methodology and the expected impacts of the project to show that their project will not carry out activities that cause a significant harm to any of the six environmental objectives established by the EU Taxonomy Regulation.

Questions to consider when formulating the methodology:

- What is the central concept behind the proposal?
- What are the hypotheses/assumptions underlying the project, and what is the rationale for this approach?
- What approach will be used to achieve the objectives, fill the gaps, satisfy the needs, or solve the problems?
- What distinguishes your approach, and why is it best to solve the problems with this approach?
- What significant challenges have been identified in your method, and how do you plan to address them?
- Who will benefit from the outcomes?

Useful links/documents:

HE Programme Guide under Eligibility (p.36)
Ethics By Design and Ethics of Use Approaches for Artificial Intelligence
Shaping Europe's digital future

- Describe any national or international research and innovation activities whose results will feed into the project, and how that link will be established; *[e.g. 1 page]*

When writing a proposal to impress evaluators, providing an overview of national and international projects related to your proposed project is essential. You should also mention relevant projects from other research programs and indicate which partners are or have been involved in these projects. Explain how your project builds on the results of these projects and creates synergies with them if they are still running.

Also indicate which partners are or have been involved in these projects. This will demonstrate your ability to build on the knowledge gained from these projects efficiently. This information can be referenced in your ambition section, where you explain how your proposed project goes beyond what is already known or done. This information is only relevant for part A of the proposal, where a list of up to five of the most pertinent previous projects or activities connected to the subject of this proposal should be provided.

Questions to consider:

- Are research activities or results from other projects included in or taken further in this project?
- Which recent and ongoing activities, such as those from Horizon 2020 and other research programs, are thematically related to your project and pursue similar goals or apply comparable methods?
- What existing national, EU-wide, and international projects exist from other institutions?
- Do you have contacts with these initiatives or projects, such as through partners in the project?
- Which findings, experiences, and results from these projects do you want to take up in your project? Are there synergies?
- Can you use the findings or data generated from these projects, and how do you access them?
- How do you ensure exchanges with these initiatives and/or projects are made?

Useful links/documents:
CORDIS to explore ongoing and past winning project ideas

- Explain how expertise and methods from different disciplines will be brought together and integrated in pursuit of your objectives. If you consider that an inter-disciplinary approach is unnecessary in the context of the proposed work, please provide a justification. *[e.g. 1/2 page]*

The *multi-actor approach* is critical in Cluster 6, which covers many topics. Given the diverse content of the topics, *interdisciplinary* and often *transdisciplinary approaches* are necessary for most projects. It is essential to demonstrate that the different disciplines involved in the project collaborate and work together towards common goals rather than operating separately.

To describe how elements and expertise from different disciplines will be used in the project, you should illustrate why these combined disciplines and their collaboration are fitting and necessary for achieving the objectives.
In this section, you should refer mainly to the expertise associated with each discipline rather than its executive role.
If you think the interdisciplinary approach is unnecessary for your proposed project, explain why.

Questions to consider:

- What scientific disciplines are involved in the project, and what are their connections?
- How do scientists from different fields collaborate to achieve common results?
- Where is the project's link between science and practice, business, administration/politics, or society?
- Are there any non-academic interest groups (stakeholders) that should be involved?
- Does the consortium have the necessary expertise to implement the project successfully?

Useful links/documents:
Cluster 6 Work Programme under Eligibility (p.21-23)

- For topics where the work programme indicates the need for the integration of social sciences and humanities, show the role of these disciplines in the project or provide a justification if you consider that these disciplines are not relevant to your proposed project. *[e.g. 1/2 page]*

Cluster 6 calls often require the integration of social sciences, economics, and humanities (SSH) in its topics, both explicitly and implicitly.

Relevant fields include spatial studies, ethics, interpretation, human geography and demography, economics, business administration and marketing, communication, education, political science and public administration, law, psychology, and sociology.

The proposal should clearly state the required actions, participants, and disciplines involved and the added value of SSH contributions. The involvement of SSH disciplines should be given a significant role in the project and consortium, and a specific task within the work plan is recommended. A proposal with sufficient SSH research and competencies integration will receive a higher evaluation score and increase the project's likelihood of delivering more impact.

If SSH is irrelevant to the project, a solid argument should be provided for why this is the case. Similarly, if social innovation is relevant to the project, it should be considered as a way to meet the objectives. This is because social innovation helps answer societal and environmental challenges, connecting society with innovation.

Questions to consider when integrating SSH:

- Which social sciences, economics, and humanities disciplines are needed to address the topic's scope, expected outcomes, and expected impact?
- Are the required disciplines represented in the project?
- Do you have the necessary SSH expertise in the consortium?
- Will a multidisciplinary review panel be convinced that the experts within the consortium will address the project's SSH elements? (not only the natural scientists or engineers working on the project)

Useful links/documents:
SSH Opportunities Document
HE Programme Guide (p. 20-21)
Success stories

- Describe how the gender dimension (i.e. sex and/or gender analysis) is taken into account in the project's research and innovation content *[e.g. 1 page]. If* you do not consider such a gender dimension to be relevant in your project, please provide a justification._

⚠ *Note: This section is mandatory except for topics which have been identified in the work programme as not requiring the integration of the gender dimension into R&I content.*

⚠ *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* https://ec.europa.eu/info/news/gendered-innovations-2-2020-nov-24_en

In most cases, applicants must provide a statement on integrating the gender dimension in their research and innovation (R&I) project. However, some topics explicitly state that gender integration is not required.

It's important to note that the gender dimension refers to **the scientific or technical aspects of the project** rather than the gender balance in the consortium. The gender dimensions includes sex (biological level) and gender (social and cultural level) diversities. To properly integrate the gender dimensions into the project, applicants should consider how gender-related biological or cultural diversities will impact the project concept and all project activities. This includes understanding how the project will affect women and men differently and making ethical generalizations about the results.

Properly managing the gender dimension will increase the scientific quality and societal relevance of the produced knowledge, technology, and innovation. **Solutions** will be relevant, useful, safe, suitable, usable, and acceptable for a wider group of persons. If gender aspects are not relevant, justify the application.

Questions to consider when addressing the gender dimension:

- Is biological sex relevant to the project?
- Has the gender aspect been considered in project planning, objectives, research approaches, and experiments?
- Does the solution take into consideration differences between men and women (from a biological and/or cultural point of view)?
- Is it known (or not) that men and women may have different reactions within a specific context or culture? Will these differences and diversities influence the project results, and how?
- Could the research results be different for women than men? How will the project deal with these differences?

Useful links/documents:

HE Programme Guide (p. 14-19)

Gendered innovations 2 -How inclusive analysis contributes to research and innovation : policy review

COM page on Gender Equality in Research and Innovation

- Describe 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 *[e.g. 1 page]*. If you believe that none of these practices are appropriate for your project, 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'.*

The European Commission's Pillar 2 of Horizon Europe aims to create transformative change in the European economy and society through research that involves collaboration between researchers and potential beneficiaries.

Open Science principles mandates that knowledge, data, and results be available to relevant target groups free of charge whenever possible, with publications as a vital tool for dissemination and following the Open Access principle.

Questions to considering when describing open sciences practices:

- What measures are you taking regarding early Open Access to research results, knowledge, and methods/tools - especially among relevant stakeholders or beneficiaries of the project's results?
- What measures are planned for the management of the project results?
- What measures will be taken to ensure the reproducibility of the results?
- Which available open-access options do you apply for publications, data, software, models, algorithms, and workflows?
- Is participation in an open peer review of the project results foreseen?
- How are all relevant stakeholders, including citizens, society, and consumers, involved in the project? Co-creation of Research & Innovation agendas and content (e.g. Citizen Science).

Useful links/documents:
Open Science in HE

- Research **data management and management of other research outputs:** Applicants generating/collecting data and/or other research outputs (except for publications) during the project must provide maximum 1 page on how the data/ research outputs will be managed in line with the FAIR principles (Findable, Accessible, Interoperable, Reusable), addressing the following (the description should be specific to your project): *[1 page]*

  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.*

  ⚠ *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.*

Proposals that generate or reuse research data must provide a one-page *Data Management Plan (DMP)* outlining how their research outputs will be managed per FAIR principles.

This includes findability, accessibility, interoperability, and reusability of the research outputs, as well as the way they will be stored and their cost. DMPs should be updated as the project progresses and develops into a detailed plan by month 6 for submission as a mandatory deliverable.

Questions to consider when addressing data management and other research outputs:

- What data will be collected or used in the project? Will the data be generated within the project or obtained from other sources?
- What data can be made publicly available, and what cannot?
- Will other project outputs, such as software, tools, models, or apps, be available?
- With whom will the data and products be shared, and how?

Useful links/documents:

Data Management Plan Template

2. Impact #@IMP-ACT-IA@#

In this chapter you have to convincingly present the potential effects and impacts of your project results and your project as a whole. You need to describe the contributions of your project to the (political, societal and economic) objectives of the European Commission and the measures you envisage to secure and maximise these contributions. The impact does not have to be merely economic (e.g. valorisation of results through new marketed products, creation of jobs): it can also be societal (e.g. use of results by policy maker, environmental educational), academic/scientific (e.g. new methodologies, technical advances) etc. Important policy goals, strategies and priorities at the European level to which your project is expected to contribute are e.g. the UN Sustainable Development Goals (SDGs), the Paris Climate Agreement, the European Green Deal, the Biodiversity Strategy, the Farm-to-Fork Strategy, etc. (and all mentioned in the topic text).

The aim is to show what results will be achieved during the project duration, but also how a longer-term impact for business, science and / or society will be achieved beyond the duration of the project through the dissemination and use of the project results. This concept is the **Pathway to Impact** (see definition in glossary at the beginning of Part B), which must be well developed and described for the application. The impact can be broken down to short / medium / long term impact. In the context of Horizon Europe, short and medium term impacts are designates as **Expected Outcomes** (which are specified / defined in the topic text).

Your project should be based on the descriptions given in the work programme of Cluster 6. Both the *topic text* (for Expected Outcomes and Scope) and the introduction of the *destination* (Expected Impact) in which the topic you are addressing is located are important here - thus it is not enough to read only the topic text:
a) *Topic text*: Here, the short to medium-term impacts expected from the project are described in detail under the heading **Expected Outcomes**. The Expected Outcomes are the changes your project will bring about during or shortly after the end of the project (see also definition in the glossary). Your proposal should explain what you will do, which results you expect and how your project will achieve this (to 'pave the way').
b) *Destination text*: Here, the effects to be achieved in the longer term by the entirety of the projects (including yours) under this destination are defined under **Expected Impact**. You should therefore describe the specific contribution(s) of your project to the Expected Impacts. More explanation on the above terms is given in *Annex 1*.

In *section 2.1a* you need to describe the unique contributions of the project to the expected outcomes and expected impacts.

Impact – aspects to be taken into account.

- Credibility of the pathways to achieve the expected outcomes and impacts specified in the work programme, and the likely scale and significance of the contributions due to the project.
- 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 project should make a contribution to the expected outcomes set out for the work programme topic over the medium term, and to the wider expected impacts set out in the 'destination' over the longer term.

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.

It is recommended that you start writing the impact chapter with section 2.3. Here, all relevant aspects that you have to describe in chapter 2 should be briefly summarised, clearly arranged and meaningfully linked with each other. Once you have the overall picture/concept, you can start writing the texts for parts 2.1 and 2.2.

We highly recommend that you set up your entire project proposal based on 'Impact', that means to **think of your project as a whole "from back to front" and start with the impact**. Write a proposal that is convincing by showing that your solution will benefit the whole of the European Union. After reading this chapter evaluators should be convinced that the project results will be used in practice and will bring major (and realistic) positive change.

Questions to consider when addressing impact:

- To which Expected Outcomes and Expected Impacts do you have to contribute (see topic text and introduction to the destination)?
- For each impact point: Which stakeholders are relevant to or influenced by the generation of impact?
- What input do the different stakeholders need to generate the impact(s)? => You should generate this required input as results in the project!
- Which partners do you need in the consortium to achieve this impact?
- Which project approach will lead to the requested impact(s)?
- When (in the short, medium, long term) do you expect your results to have an impact on the Expected Outcomes and Expected Impacts?
- Now compare the objectives formulated in 1.1 with these considerations: Do the objectives and expected results match the expected outcomes and expected impacts?

Useful links/documents:

How to prepare a successful proposal in Horizon Europe (24 March 2021) after min. 56:40
A successful proposal for Horizon Europe: Scientific-technical excellence is key, but don't forget the other aspects (21. April 2021) after min. 8:45
Dissemination & Exploitation in Horizon Europe (9. Juni 2021)

2.1 Project's pathways towards impact *[e.g. 4 pages]*

- Provide a **narrative** explaining how the project's results 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 project.

Here you should describe how you will achieve the Expected Outcomes described in the topic text and the Expected Impacts defined in the introduction to the destination (Pathway to Impact). In doing so, it is recommended to pay special attention to the following:

- Develop a logical and comprehensible "**narrative**" (please be aware that chapter 2.1 is not supposed to be separated into sub-sections a, b, c as mentioned in the instructions of the template. However, you need to integrate all aspects into a consistent synthesis). This starts with your project results and leads to short term (direct outcomes), then medium term (Expected Outcomes) to long term or future effects and impacts (Expected Impacts).
- Identify all areas and **target groups** (stakeholders) who will benefit from your project or the consequences of the transfer of your project results into practice or who will be influenced by the consequences.
- Explain how the **project results** will have an impact on the individual target groups and addressed thematic areas beyond the immediate scope and duration of the project. Make sure to think beyond the project as well.
- When describing the impact, do not stop at just listing your results. Describe which effects will occur when your results are available to and are applied by the corresponding target groups. Please also describe which intermediate steps are necessary.
- Be specific! Include the relevant **time horizons**. Assume that all project objectives (as set out in section 1.1) will be fully achieved.
- Be credible and comprehensible and do not make vague or far-fetched references that you cannot support with arguments.

(a) Describe the unique contribution your project results would make towards (1) the **outcomes** specified in this topic, and (2) the **wider impacts**, in the longer term, specified in the respective destinations in the work programme.

⚠ *Be specific, referring to the effects of your project, and not R&I in general in this field.*

⚠ *State the target groups that would benefit. Even if target groups are mentioned in general terms in the work programme, you should be specific here, breaking target groups into particular interest groups or segments of society relevant to this project.*

⚠ *The outcomes and impacts of your project may:*

- *Scientific, e.g. contributing to specific scientific advances, across and within disciplines, creating new knowledge, reinforcing scientific equipment and instruments, computing systems (i.e. research infrastructures);*
- *Economic/technological, e.g. bringing new products, services, business processes to the market, increasing efficiency, decreasing costs, increasing profits, contributing to standards' setting, etc.*
- *Societal , e.g. decreasing CO_2 emissions, decreasing avoidable mortality, improving policies and decision making, raising consumer awareness.*

Only include such outcomes and impacts where your project would make a significant and direct contribution. Avoid describing very tenuous links to wider impacts. However, include any potential negative environmental outcome or impact of the project including when expected results are brought at scale (such as at commercial level). Where relevant, explain how the potential harm can be managed.

Substantiate and quantify how this project contributes to the various **Expected Outcomes** listed under the topic descriptions. Place most emphasis on these. Also read through the **Expected Impacts** (wider impact goals) of the introduction to the respective destination and the cluster work programme. How can this project contribute to these overarching goals? Make clear how the project results will lead to impact (over time, i.e. during and after the end of the project).

Sometimes the topic text refers to European policies, strategies or initiatives you should take into account. In addition, **general benefits to Europe** from this project can be indicated; how can the project results contribute to increasing the scientific knowledge and its applications, strengthening the economy/business growth, contributing to a better environment, etc.

Questions to consider when addressing outcomes and wider impacts:

- What is the relationship of your project objectives to the Expected Outcomes and the Expected Impacts, i.e. why does Europe need your project, where is the European added value?
- What contributions does the project / the fulfilment of the project objectives make to the points mentioned in the topic text under Expected Outcome?
- What potential impacts will the project / the fulfilment of the project objectives have (via the Expected Outcomes) on one or more of the Expected Impacts listed under the Destination?

=> With regard to Expected Impacts, projects do not usually have to contribute to all of them listed under a Destination, but only to at least one. However, the more of these points you can address in a meaningful and credible way, the better.

- To what extent does the project support the mentioned EU policies, e.g. in the fields of research, innovation, environment, society?
- Who are the potential target/stakeholder groups (e.g. science, business, civil society, politics, citizens, end users, ...)? What are their needs? What problems do you solve for them? How do they benefit from your project, what are the effects and consequences of your project for them? If they are heterogeneous or larger groups: Which subgroups are particularly relevant to your project? What are their specific needs?
- What does society receive in return for the project funding in terms of return on investment: What are the scientific, economic and societal benefits, or in which areas do you expect which effects? Are there additional benefits in other areas (e.g. ecological)?
- To what extent does the project strengthen the competitiveness of Europe or of European companies (services, products, technologies)?

Useful links/documents:

European Commission's priority strategies. These are the 6 Commission priorities for 2019-2024
UN Sustainable Development Goals

(b) Give an indication of the scale and significance of the project's contribution to the expected outcomes and impacts, should the project 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. For example, number of additional healthy life years; efficiency savings in energy supply.*

⚠ *Explain your baselines, benchmarks and assumptions used for those estimates. Wherever possible, quantify your estimation of the effects that you expect from your project. Explain assumptions that you make, referring for example to any relevant studies or statistics. Where appropriate, try to use only one methodology for calculating your estimates: not different methodologies for each partner, region or country (the extrapolation should preferably be prepared by one partner).*

⚠ *Your estimate must relate to this project only - the effect of other initiatives should not be taken into account.*

When describing the Expected Impacts and Expected Outcomes it is essential to include the **expected scale and significance** of the project results. In order to meet these requirements in full, make sure to quantify as far as possible the expected changes and identify appropriate indicators.

Tangible impact indicators are e.g. jobs created, turnover, employment, market size, CO2 (equivalent) emissions reduced, energy saved etc. In your descriptions, assume that your project will achieve the anticipated results, which should also be quantifiable. Be specific, i.e. only refer to impacts that are directly attributable to your project.

Question to consider:

- What is your starting point (baseline) and what indicators do you use to demonstrate and quantify the changes brought about by your project? Make quantified estimates based on credible, reasonable and well-stated basic assumptions and indicators; estimates are perfectly adequate. Explain all assumptions which you make to come to these quantifications.
- Which studies / data / statistics support the baseline situation? What are your assumptions based on?
- Why are the chosen indicators relevant? What is your benchmark?
- How does the situation change over time (qualitatively and quantitatively)?
- To what extent and in which target groups / regions / sectors will the solution you have developed spread or be applied? How large is the system / target group that will be affected in the project and by the medium and long-term impact?
- After how many months / years will how much of the expected impact be achieved, what is the assumed development over time?
- How relevant is the impact, e.g. for the lives of those affected, the region, the addressed system?
- Where in the value chain does your project start and how does it generate added value?
- How will the addressed problem change in general in the future? How will it change as a result of your project results? And how much does it change?

To structure this section you could opt to visualise it in the form of a table. For example:

What is the contribution?	Which expected outcome does it contribute to?	Who benefits from the contribution?
Contribution 1	Expected outcome 1	Benefits 1
Contribution 2	Expected outcome 2	Benefits 2
Contribution n	Expected outcome n	Benefits n

(c) Describe any requirements and potential barriers - arising from factors beyond the scope and duration of the project - that may determine whether the desired outcomes and impacts are achieved. These may include, for example, other R&I work within and beyond Horizon Europe; regulatory environment; targeted markets; user behaviour. Indicate if these factors might evolve over time. Describe any mitigating measures you propose, within or beyond your project, 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'.*

Elaborate what **external risk factors** and framework conditions could **limit the success of the project**. This is about factors that you cannot influence yourself or can only influence to a limited extent. Applicants should be able to demonstrate that all potential external risks and barriers have been identified and evaluated. Furthermore, appropriate mitigation measures need to be included.

An example could be regulatory aspects such as standards and legislation (e.g. waste regulations for the use of certain material flows; approval of genetically modified organisms (GMOs)). You can turn such identified risks into a strength of your approach: e.g. **'***you could involve regulatory authorities in the project and achieve a change in the relevant regulations through project results provided by them'.*

Be realistic in your description. Do not hide obvious concerns, but address them pro-actively. If possible and reasonable, plan adequate remedial measures or even set a corresponding project goal. Conversely: Do not look for contrived counter-arguments against your project. If you are largely dependent on external factors that make it unlikely that your impact will be met, you should rethink your approach.

This section is **not** about project internal risks and hurdles that affect the management and implementation of your project (e.g. failure of a partner institution; necessary progress cannot be made; proposed approaches / experiments do not work etc.) You address these aspects in chapter 3 Implementation.

Questions to consider when describing requirements and potential barriers:

- Are there significant framework conditions (e.g. regulation, standards, legislation) or hurdles (e.g. public acceptance, consumer behaviour, financial requirements for necessary follow-up steps) on which it depends whether or to what extent the Expected Outcomes and the Expected Impact can be achieved?
- Are you dependent on results that would have to be achieved outside your project?
- Do you expect these conditions / hurdles to change over time (project duration or after the project)? In which direction?
- What measures do you suggest inside or outside your project to change certain conditions in your favour?

2.2 Measures to maximise impact - Dissemination, exploitation and communication #@COM-DIS-VIS-CDV@#

[e.g. 5 pages, including section 2.3]

This section discusses dissemination, communication, and exploitation. Dissemination and communication are very similar. Further explanation on this is given here by the European Commission. Also the explanations in the HE Programme Guide (p. 29 onwards) are helpful.

In this section you describe the suitability and quality of the measures you intend to take to maximise the expected results and impacts. Looking at the outcomes that you want to achieve (i.e. the previous section 2.1), what do you need to ensure to make that happen?

- Describe the planned measures to maximise the impact of your project 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. scientific community, end users, financial actors, public at large).

  ⚠ *Please remember that this plan is an admissibility condition, unless the work programme topic explicitly states otherwise. In case your 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 project's progress.*

  ⚠ *Communication[1] 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, e.g. standardisation activities. Your plan should give due consideration to the possible follow-up of your project, once it is finished. In the justification, explain why each measure chosen is best suited to reach the target group addressed. Where relevant, and for innovation actions, in particular, describe the measures for a plausible path to commercialise the innovations.*

  ⚠ *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 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 anddecisions.*

Only the communication and dissemination of your results and their exploitation (i.e. application) make it possible for the expected / hoped-for effects and consequences (impacts) to occur to their full extent. In many cases it can be advised to have a dedicated partner that is involved in Communication, Dissemination and Exploitation. It is an expertise that can be valuable to add to your consortium. Dissemination and exploitation are described below:

- The **dissemination part** deals with how the **project results** will be disseminated **during the lifetime of the project**. Dissemination can be aimed at researchers from your own field, or at researchers from other fields. It can also be aimed at (societal) organisations who may have an interest in your research. Don't solely think about the usual scientific articles, but think more broadly than that. How will stakeholders be involved? Will the results be presented at conferences, through social media or on a website? Are other organisations involved in your project activities? Will the results be used in other projects or policies? How will you make visible what you are doing? In short: **what** do you want to communicate with **whom**, **how** will you do it and what will the **result** be? Each stakeholder will need to be approached in a different way (e.g. in a potential different language). Dissemination is, in general, stronger when many project partners are involved. Each partner has his own network and his own contacts with stakeholders who will work and use the project results.

- The **exploitation part** describes how the project partners will (commercially) use the project results. Exploitation can also take place outside the consortium, for example: software that is offered 'open source'. Describe the overall exploitation strategy and how individual partners will exploit the results. Bear in mind that exploitation should also be ensured after the end of the project. The more target or interest groups and potential users are informed about your results and their benefits or have access to them, the greater the potential effects. The effects described in section 2.1 can therefore only be achieved through the measures to be described here.

More explanation on dissemination and exploitation (and also communication) is given in Annex 2.

Questions to consider for measures to maximise impact:

- Which results do you want to disseminate or exploit and how (target group specific)?
- Is a commercialisation of results expected? Will the results be used for further scientific work or for standardisation?
- Are results expected to be used by society, by policy makers?
- Who owns the results? Which results are to be protected?
- How are companies involved in dissemination and exploitation (in relation to the structure of the consortium)?
- Who in the consortium is responsible for dissemination and who for exploitation?
- Where does the (main) exploitation of the results take place? In the EU or outside? If outside, what is the European added value?

If **commercialisation** of results is planned (e.g. for Innovation Actions, which are often close to the market/practice), it is advisable to include key points of a business plan in this part. The closer your project is to commercialisation, the more detailed the information should be. Use the expertise of the consortium partners who will exploit your results (i.e. companies). Be as specific as possible. Use quantifiable indicators.

Additional questions to take into consideration for projects aiming at commercialisation of results:

- What is your product and / or business model and how do you make revenue from it in the medium term?
- When can you expect to make a profit? Do you plan to hire employees?
- Is new equipment foreseen? If yes, how are user training and maintenance included?
- Do you already have partner institutions in the consortium that will use the products and/or services commercially during and/or after the end of the project? Do you have references in the field of management / founding a company?
- In which market and to which clientele will you sell?
- What is the competitive situation? Where is your business unique (Unique Selling Points)?

Useful links/documents:

Infographic Dissemination, Exploitation & Communication

The communication part is aimed primarily at involving the **general non-scientific public**. At different stages during the project it is interesting to communicate about the project. Again, consider which message is important to whom. In other words: what is your message and who is the target group? Describe in clear terms the communication plan and activities, always clearly indicating: **what** is the message, **who** is the target group, **how** (with which communication tools and language) are you going to reach them, **what** will be the impact? Again, be specific. Please note the difference between *internal* and *external* communication activities. Internal: how will the internal communication take place (between the consortium partners) (implementation). Externally: communication from key actors (essential for the innovation) and to target groups (who you generally want to reach) (to create impact).

Questions to consider for measures to maximise impact in terms of user / target groups:

- Who are the (potential) users of your results? (Link to target groups in 2.1)
- Which result is relevant for which target group?
- When should the intended measures be implemented?
- To which extent are the measures adapted to the needs of the respective target groups?
- Are relevant stakeholders involved in the project? If yes: How?

Outline your 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.

⚠ *If your project 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 project.*

⚠ *If your project is selected, you must indicate the owner(s) of the results (results ownership list) in the final periodic report.*

You have the obligation to protect your results and use them (see Art. 16 of the Annotated Grant Agreement)

Discuss how the project deals with open access, privacy and Intellectual Property Rights (IPR). Details will be specified in the consortium agreement, but you must at least explain the main features of your **Intellectual Property (IP) strategy** in the proposal. The use of a result by one partner institution must not be disadvantageous for others (e.g. publication vs. patent); appropriate agreements must also be included in the consortium agreement. See also Art. 16 of the Annotated Grant Agreement (AGA)

Providing **open access** to peer-reviewed publications is mandatory in Horizon Europe, when peer-reviewed publications are produced. Open access to generated research data is required under the premise 'as open as possible, as closed as necessary'. Do not forget to budget the associated costs.

You could consider appointing a dedicated IPR manager within the consortium or subcontract a respective company.

Questions to consider:

- Who owns the results?
- How do the partners deal with existing knowledge/IPR (such as patents)? Is there freedom to operate? In other words: are there no other patents that are disrupting the innovation? Refer to section 1.1, if the suggested 'beyond the state of project' table is included.
- How should the IP be protected (e.g. patents, copyright, licensing of IP rights and patents for use by third parties, etc.)?
- How will the IP be used or commercialised?
- How will consortium partners benefit from the exploitation / potential profits?
- How do you deal with possible conflicts between publication and patenting?
- How will these points be reflected in your consortium agreement? In the proposal you only have to address the most important points.

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

2.3 Summary

Provide a summary of this section by presenting in the canvas below the key elements of your project impact pathway and of the measures to maximise its impact.

KEY ELEMENT OF THE IMPACT SECTION

SPECIFIC NEEDS	EXPECTED RESULTS	D & E & C MEASURES
What are the specific needs that triggered this project? Example 1 Most airports use process flow-oriented models based on static mathematical values limiting the optimal management of passenger flow and hampering the accurate use of the available resources to the actual demand of passengers. Example 2 Electronic components need to get smaller and lighter to match the expectations of the end-users. At the same time there is a problem of sourcing of raw materials that has an environmental impact.	What do you expect to generate by the end of the project? Example 1 **Successful large-scale demonstrator:** Trial with 3 airports of an advanced forecasting system for proactive airport passenger flow management. **Algorithmic model:** Novel algorithmic model for proactive airport passenger flow management. Example 2 Publication of a **scientific discovery on transparent electronics.** **New product:** More sustainable electronic circuits. **Three PhD students trained.**	What dissemination, exploitation and communication measures will you apply to the results? Example 1 **Exploitation:** Patenting the algorithmic model. **Dissemination towards the scientific community and airports**: Scientific publication with the results of the large-scale demonstration. **Communication towards citizens:** An event in a shopping mall to show how the outcomes of the action are relevant to our everyday lives. Example 2 **Exploitation of the new product:** Patenting the new product; Licencing to major electronic companies. **Dissemination towards the scientific community and industry:** Participating at conferences; Developing a platform of material compositions for industry; Participation at EC project portfolios to disseminate the results as part of a group and maximise the visibility vis-à- vis companies.

TARGET GROUPS	OUTCOMES	IMPACTS
Who will use or further up-take the results of the project? Who will benefit from the results of the project? Example 1 **9 European airports**: Schiphol, Brussels airport, etc. **The European Union aviation safety agency.** **Air passengers (indirect).** Example 2 **End-users**: consumers of electronic devices. **Major electronic companies**: Samsung, Apple, etc. **Scientific community** (field of transparent electronics).	*What change do you expect to see after successful dissemination and exploitation of project results to the target group(s)?* Example 1 **Up-take by airports:** 9 European airports adopt the advanced forecasting system demonstrated during the project. Example 2 **High use of the scientific discovery published** (measured with the relative rate of citation index of project publications). A **major electronic company** (Samsung or Apple) **exploits/uses the new product** in their manufacturing.	*What are the expected wider scientific, economic and societal effects of the project contributing to the expected impacts outlined in the respective destination in the work programme?* Example 1 **Scientific:** New breakthrough scientific discovery on passenger forecast modelling. **Economic:** Increased airport efficiency Size: 15% increase of maximum passenger capacity in European airports, leading to a 28% reduction in infrastructure expansion costs. Example 2 **Scientific:** New breakthrough scientific discovery on transparent electronics. **Economic/Technological:** A new market for touch enabled electronic devices. **Societal:** Lower climate impact of electronics manufacturing (including through material sourcing and waste management).

In this final section of chapter 2 you need to **summarise** what you wrote in sections 2.1 and 2.2. This table helps the evaluator to grasp all the elements in a clearer format. You need to show how the research results will reach specific target groups and how your project results will contribute towards the Expected Outcomes and Expected Impacts. The summary should provide clarity of vision and substance to the proposal.

As mentioned earlier, **it is recommended that you start writing the impact chapter with part 2.3. in a clearly arranged and meaningfully linked with each other.** Once the overall picture/concept is in place, you can start writing the texts for parts 2.1 and 2.2 based on this.

3. Quality and efficiency of the implementation #@QUA-LIT-QL@# #@WRK-PLA-WP@#

Quality and efficiency of the implementation – 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. 14 pages (19 pages for topics using lump sum funding) – including tables]*

The focus in this section is on the **quality and effectiveness of the work plan** that you will set out. For this, a Horizon Europe project is divided into several *work packages (WPs).*

Please include:

- An explanation of why this division of WPs was chosen and how the WPs are related (PERT*).
- An overview of the WPs and explain how the WPs relate to each other. The number of WPs should be proportional to the size of the project. A typical project has 6-8 WPs that are balanced in size (budget and person-months). For example: WP1. Management, WP2 - WPx 'content work packages' and a WP for Dissemination, Exploitation and Communication.
- Timeline of WPs: Use a Gantt chart to indicate chronologically what you will do when, for each WP and task within each WP.
- Collaboration within WPs: A WP has objectives, tasks and deliverables. To achieve an objective a task is defined, the deliverable is the way to show how a task will be completed.

€ Please note: For projects in Lump Sum accounting, reimbursement is made at the end of a reporting period based on the fully completed work packages. Your work package planning should be adapted to this. Usually more WPs are needed. Even the management WP can be split in 2 (or more). More information on Lump Sum funding in Horizon Europe can be found here.

Make sure that the results of each WP are well inter-related with, or feed into, other parts of the proposal. A clear explanation of the tasks and WPs makes life considerably easier during project execution!

Although the template does not ask for information about the management and organisation of the project, we advise to describe the project organisation and how decisions are made. Present the project organisation (or governance) in an organisational chart. The organisation and decision-making should be appropriate for the project size.

*PERT stands for Program Evaluation and Review Technique. This is a method to quickly understand the consistency of WPs. It is tempting to make everything interrelated, but the key is to depict the main flow of work so that an evaluator can quickly understand which main activities are being carried out.

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 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 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.*

A dissemination and exploitation plan should as far as possible indicate per beneficiary what they will do with the results. A company can for example indicate how it will incorporate the results into future products or services, knowledge institutions can indicate how it contributes to future research or education.

⚠ *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 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 3.1e);

Here describe risks (technical, economic, logistical,...) that are realistic and have a relation to the project, and therefore manageable for the project partners. Also describe how you will deal with the risks: what is the plan if things go wrong? Don't name generalities such as 'a partner can go bankrupt'.

- a table showing number of person months required (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);
- if applicable, a table showing in-kind contributions from third parties (table 3.1j)

Pay sufficient attention to the (financial) resources. Make sure you have a well worked out budget, so that no disagreements can arise during the project. Consult your financial department in time. Do not lose (half) points due to sloppiness.

A budget can be drawn up 'bottom up' or 'top down':

- *Bottom up*: Each partner specifies how many person months they need to carry out a task. Combined with the rates, this provides the budget per partner. This seems the "purest" method, but in practice it often leads to overestimating the hours needed for the various tasks.
- *Top down*: Given an available budget in the call and an estimate of the total project size, the partners make a prior allocation of the budget in proportion to the expected share in the project. This is then further developed into the person month per task and work package. Vocal partners will usually benefit more from this, and there is also the risk that the budget per partner will not be a true reflection of the tasks in the project.

In practice, a combination of both approaches will often be used. Provide explanations for special costs ((depreciation costs of) expensive equipment, high travel costs, etc.): why is this expense necessary, and how did you calculate the amount?

The 'Annotated Model Grant Agreement', downloadable from the Participant Portal, shows in detail how costs can be calculated in a Horizon Europe project.

3.2 Capacity of participants and consortium as a whole #@CON-SOR-CS@# #@PRJ-MGT-PM@# *[e.g. 3 pages]*

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

Ensure that all needed competencies **are present** within the consortium, and that all partners add value. If two partners can do almost the same thing, then this does not add much to the consortium. Examples of how to present this includes: listing each competence of each partner in the form of a table, accentuating the European cooperation on a map of Europe or emphasising cooperation in the value chain with a picture of the 'value chain' where all partners clearly have position.

Every partner that contributes to the core activities of the project should in principle become a member of the consortium. If there is overlap between activities/knowledge/ etc. of certain partners, indicate how each partner is unique or how mutual agreements are made regarding Intellectual property, for example in the consortium agreement.

Question to consider:

- Does the consortium have all the necessary competences to cover all or some the project outcomes mentioned in the topic text (also reflects on *Excellence* of the consortium, and if applicable on integration of Social Sciences and Humanities, multi-actor approach etc.).
- What cannot be achieved by the consortium itself (subcontracting)?
- Are third parties necessary (*Third Parties / Affiliated Entities / Associated Partners*)? What is their added value? *International Partners* from Horizon 2020 are *Associated Partners* in Horizon Europe, see Article 9.1 AGA).
- Is a geographical distribution of the partner organisations required in the topic?
- Why are these partner organisations necessary?

Further questions to consider:

- How many companies are involved, with what tasks, what status and with what budget(s)?
- Who is involved in the exploitation of the results? (Reference to section 2.2 of the proposal)
- Special case: Involvement of partner organisations from third countries (affiliated institutions or associated partners). For a list of eligible Third Countries, please refer to the *Horizon Europe General Annexes, Annex B*. A complete list of participating countries in Horizon Europe can be found in here. Why are or do these partners need to be involved to contribute to the success of the project? How will funding be secured for institutions from non-eligible countries?
- Does each partner organisation have an important role and do all partner organisations have the necessary resources in the project to fulfil this role?

- Describe the consortium. How does it match the project's objectives, and bring together the necessary disciplinary and inter-disciplinary knowledge? Show how this includes expertise in social sciences and humanities, open science practices, and gender aspects of R&I, as appropriate. Include in the description affiliated entities and associated partners, if any.

- Show how the partners will have access to critical infrastructure needed to carry out the project activities.

- Describe how the members complement one another (and cover the value chain, where appropriate)

- In what way does each of them 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 project 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 project (see section 2.2).

- **Other countries and international organisations**: If one or more of the participants 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.

Participants requesting EU funding based in a country that is not automatically eligible for funding are instructed by the template to explain why the participation of the entity in question is essential to successfully carry out the project. But even when such an explanation is included, only in exceptional cases funding to such entities will be approved. Keeping in mind this low approval chance, it is better to explore alternative funding opportunities for these participants. National funding programmes may be an outcome here, and this international cooperation page provides information per country.

Also check the Complementary Funding Mechanisms in Third Countries and Territories document for more information on the co-funding modalities for entities established in non-associated countries and territories participating or wishing to participate in actions under Horizon Europe.

#§CON-SOR-CS§# #§PRJ-MGT-PM§#

Tables for section 3.1

⚠ *Use plain text for the tables in section 3.1. If the proposal is invited to start Grant Agreement preparation, these tables will have to be encoded in the grant management IT tool, where no graphics or special formats are supported.*

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

It is recommended to create a separate work package for *project management* and for *dissemination/exploitation* (possibly including communication).

A person month (PM) = 1 month of full-time work on the project by 1 employee = x number of work hours. How many hours a person works in a month varies per organisation. Make sure the collaboration within the work packages (WPs) is visible by distributing the PMs evenly among different organisations. Tip: Use the same order of partners for each WP, this keeps it clear.

Table 3.1b: Work package description

Treat *Work Packages* as sub-projects in the project. Please note that in the tables 3.1b no work package lead and other contributing partner organisations (*task supporters*) are named, because the former are listed in Table 3.1a and the latter in Table 3.1f. This means that you have more space in the *work package descriptions*.

For each work package:

Work package number	
Work package title	

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. Deliverables linked to each WP are listed in table 3.1c (no need to repeat the information here).

What are the objectives of this particular work package? Formulate clear and realistic objectives briefly and concisely. It is recommended to have a *main objective* and appropriate *sub-objectives.* The objectives should be in line with the project objectives under section 1.1 *Objectives*.

Provide clear descriptions of the tasks that need to be carried out to achieve the project's objectives. Do this in a form that enables the review panel to assess the quality, quality and feasibility of the planned work.

Divide the work into tasks, each with a *task leader* and duration, for example:

- Task 1.1: overall management of the project and consortium, M1-M24 (coordinator)
- Notes....
- Task 1.2: internal communication, M1-M24 (taskleaders + contributors)
- Notes....
- Task 1.n ...

Table 3.1c: List of Deliverables[2]

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

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

Provide a list of *deliverables*. What will be delivered (result of the work package), the result should be tangible e.g. a report, product, website, software,... Also provide when it will be delivered. Number the *deliverables* and indicate which partner will be responsible.

Ensure consistent naming and numbering of *deliverables*. Do not define too many *deliverables* (typically 3-6), but preferably at least 1 *deliverable* per task. These *deliverables* will be checked by the Project Officer in Brussels during the execution of the project and thus add to your workload for your reporting duties. Each *deliverable* listed here must also be delivered at the specified time.

Think carefully about the month of delivery. It can be useful to deliver a number of *deliverables* at the same time (e.g. around a report to the European Commission), or to spread them out because of work pressure.

When filling in the **Dissemination Level column**, please note that the information you provide will affect project implementation. Periodic reports are not deliverables, but a contractually defined delivery services.
Make sure that they *dissemination level* is consistent with the communication and dissemination plan. For example: if you promise a lot of openness and indicate in this table that it is 'confidential', then that does not sound logical.

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)

[2] 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.

A *milestone* marks an important step in the project (after achieving a *milestone* you can continue with the next step or not). They are not deliverables, but define intermediate steps of a project.
Link the '*means of verification*' to a *deliverable* (Dx.y) where possible. It is recommended to include *milestones* in the Gantt chart.

Table 3.1e: Critical risks for implementation #@RSK-MGT-RM@#

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

Research and innovation are inherently risky. Show that you are aware of the risks in implementing the project. List the most important ones. Examples are:

- Risk1. Material X may not meet requirements. WP4. Alternatively we can switch to material Y.
- Risk2. Delay in demonstrator availability. WP7. To minimise delays, project planning tools will be used for strict planning.

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.

Make sure that the distribution of person-months between the partner organisations is adapted to the tasks. Evaluators assess *Value for Money*, i.e. project organisations involved & allocated personnel costs and budget must be appropriate.

	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 project should not be sub-contracted).

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

Subcontracts are contracts for goods, works or services. The decision to include a subcontractor in a project proposal should always be carefully considered. Subcontracting is subject to prior review by evaluators and the European Commission. Not every role in a project fits within subcontracting. For example, parties who play a substantial role in the project, or parties who themselves are interested in (and have a stake in) the results of the project will need to become consortium partners and should not be subcontractors. If the above is not the case and it only concerns a party that for example has a certain expertise that the consortium does not have, then subcontracting is permitted.

Typical tasks that you can 'subcontract' are tests performed by an external test location, analysis in an external lab, outsourced surveys, developing software and building a previously specified component for a prototype.

Core activities may **not** be subcontracted, but must be carried out by the consortium partners. see Art. 6.2B & 9.3 AGA.

Please be aware that you need to follow European procurement rules when opting for subcontracting. You cannot decide upfront in the proposal who will be subcontracted.

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 participant 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		
…		

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

Please complete the table below for each participant 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		

#§QUA-LIT-QL§# #§WRK-PLA-WP§#

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.

ANNEX 1: Explanation of terms - Results, Outputs and Impacts

In the application you need to distinguish between the following terms:

Results: outputs achieved during the project lifetime; these can be, for example, new knowledge, innovative solutions, algorithms, proofs of concept, new business models, policy recommendations, guidelines, prototypes, demonstrators, databases and datasets, trained researchers, new infrastructures, networks, etc. Some project outputs (such as inventions, scientific papers) are "intellectual property" (IP) that may be protected by formal "intellectual property rights" (IPR).

Research outputs: project results that can be made publicly available; publications, developed software, algorithms, data sets. Research outputs are thus part of the results described above.

Objectives: Goals that are to be achieved with the implementation of the project in terms of research and innovation (depending on the topic orientation, this can also refer to networking, dissemination of results, etc.).
Depending on the type of project, research questions are addressed, prototypes are developed, innovations are tested or knowledge is shared among R&I actors.
The objectives are the basis for developing the results and research outputs.
Corresponding measures for R&I are to be provided - depending on the project objective.

Expected Outcomes: The expected medium-term impact of the projects funded under a specific theme.
The results of your project should contribute directly or in the medium term to the Expected Outcomes, in particular through dissemination, exploitation and exploitation activities. This may include the adoption, dissemination, implementation and / or exploitation of the project results by the addressed target groups.
Expected Outcomes generally occur during the lifetime of the project or shortly after the end of the project. Thus, expected outcomes can either be direct project results or objectives, or they represent a medium-term impact that is achieved (even after the end of the project) through the fulfilment of the project objectives or to which the project results at least contribute substantially.

Impact: Impact describes the potential effect/significance or the (long-term) effect/influence of your results on relevant target groups, (end) users/consumers/society, environment, science, industries/sectors, value chains, markets and jobs, European competitiveness, policy areas, regulatory aspects, etc.
Please note: Impact is not synonymous with the mere execution of the work or the achievement of your project objectives, but it describes the consequences that result from the implementation and application of your results. In most cases, the impact is only achieved over time (possibly via intermediate steps) after the end of the project.

Expected Impact: Impacts defined in the individual destinations of the work programme to which the projects are expected to contribute under the corresponding destination. In the Expected Impacts, projects do not usually have to contribute to all the points listed under the destination, but only to at least one. However, the more of these points you can meaningfully address, the better.

Pathway to Impact: Logical steps to achieve the impact of the project, especially beyond the lifetime of a project. This pathway starts with the project results and leads through their dissemination, exploitation and communication to the expected outcomes and finally to the wider scientific, economic and societal impacts.

ANNEX 2: Definition - Dissemination, Exploitation and Communication

Dissemination means the publication / announcement of project results. You have the duty to make your results public. Of course, this does not apply if this would affect the interests of your consortium or individual consortium partners (e.g. trade secrets, patent-relevant knowledge / IPR). According to the Open Science principle, you should make knowledge, data and results available to the relevant target groups free of charge, if possible. Publications are an important instrument for dissemination and must be made available according to the Open Access Principle. In addition to scientists, there are other target groups, depending on the type of project, that you should address through appropriate dissemination measures. In general, these include all stakeholders who can learn from your results, e.g. public authorities, industry, policy makers and civil society. Typical dissemination activities are

- Publications in scientific journals
- Presentations at conferences
- Publication of data / results in (publicly accessible) databases

Dissemination takes place at any time during the project, as soon as results are available. The aim is to maximise the impact of the results. Other researchers can thereby take a step forward, the state of knowledge and technology is advanced and relevant target groups can use and apply your results.

Exploitation measures aim to ensure the use of results (either directly or indirectly, including through transfer or licensing). Exploitation may include:

- Use of the results, data, new methods, etc. in further research activities (outside the project).
- Development, creation or marketing of a product or process
- Creation and provision of a service
- Standardisation activities

Communication means everything that serves the public perception of the project, e.g. a press release at the start of the project, the creation of a project homepage, the production of a flyer, an information event for stakeholders, newsletters, field days, a trade fair appearance, perhaps a radio/newspaper interview of a partner institution - i.e. rather public relations for different target groups. Communication should take place during the whole project duration. The relevant activities should address several target groups (beyond your own community), including the media and the general public, in a way that can be understood by non-specialists.
They should highlight the objectives and outcomes of the action and include the intended policy perspective, e.g. by addressing aspects such as:

- Contribution to competitiveness and addressing societal challenges.
- Impact on daily life (e.g. job creation, development of new technologies, higher quality products, increased comfort, improved lifestyle, etc.)
- Actual or likely use of results by policy makers, industry and other communities.
- Transnational collaboration in a European consortium (i.e. how the collaboration has enabled more to be achieved than would otherwise have been possible).

The activities must:

- be effective, i.e. suitable to achieve the communication and dissemination objectives of the project
- Be appropriate to the scope of the project
- be strategic (ad hoc activities are not sufficient)
- Be coherent (avoid contradictory messages).

Please note that the term “use” does not refer to economic use. The use of your results, e.g. for further scientific activities or for setting new standards, also counts as exploitation/utilisation. So you do not necessarily have to develop a commercially viable product / service in every project (especially not in RIAs), and not only large companies or SMEs benefit from exploitation.

Starting here, the European Commision has listed the template again, but without instructions and without examples, i.e. to be filled.

Proposal template Part B: technical description

TITLE OF THE PROPOSAL

[This document is tagged. Do not delete the tags; they are needed for processing.] #@APP-FORM-HERIAIA@#

List of participants

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

1. Excellence #@REL-EVA-RE@#

1.1 Objectives and ambition #@PRJ-OBJ-PO@#

Insert here text for your **proposal**

#§PRJ-OBJ-PO§#

1.2 Methodology #@CON-MET-CM@# #@COM-PLE-CP@#

Insert here text for your proposal

#§CON-MET-CM§# #§COM-PLE-CP§# #§REL-EVA-RE§#

2. Impact #@IMP-ACT-IA@#

2.1 Project's pathways towards impact

Insert here text for your proposal

2.2 Measures to maximise impact - Dissemination, exploitation and communication #@COM-DIS-VIS-CDV@#

Insert here text for your proposal

#§COM-DIS-VIS-CDV§#

2.3 Summary

KEY ELEMENT OF THE IMPACT SECTION

SPECIFIC NEEDS	EXPECTED RESULTS	D & E & C MEASURES
What are the specific needs that triggered this project? Insert here text for your proposal	What do you expect to generate by the end of the project? Insert here text for your proposal	What dissemination, exploitation and communication measures will you apply to the results? Insert here text for your proposal

TARGET GROUPS

Who will use or further up-take the results of the project? Who will benefit from the results of the project?

Insert here text for your proposal

OUTCOMES

What change do you expect to see after successful dissemination and exploitation of project results to the target group(s)?

Insert here text for your proposal

IMPACTS

What are the expected wider scientific, economic and societal effects of the project contributing to the expected impacts outlined in the respective destination in the work programme?

Insert here text for your proposal

#§IMP-ACT-IA§#

3. Quality and efficiency of the implementation #@QUA-LIT-QL@# #@WRK-PLA-WP@#

3.1 Work plan and resources

Insert here text for your proposal

3.2 Capacity of participants and consortium as a whole #@CON-SOR-CS@# #@PRJ-MGT-PM@#

Insert here text for your proposal

#§CON-SOR-CS§# #§PRJ-MGT-PM§#

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

Table 3.1b: Work package description

For each work package:

Work package number	
Work package title	

Objectives

Description of work

Table 3.1c: List of Deliverables

Numbe r	Deliverable name	Short description	Work package number	Short name of lead participant	Type	Disse minati on level	Delivery date (in months)

Table 3.1d: List of milestones

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

Table 3.1e: Critical risks for implementation #@RSK-MGT-RM@#

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

#§RSK-MGT-RM§#

Table 3.1f: Summary of staff effort

	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

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)

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)

Participant Number/Short Name		
	Cost (€)	**Justification**
Internally invoiced goods and services		
…		

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

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		