

# New Innovation Agenda for Europe

Success in its implementation measures

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# About the trainer

# The trainer

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## **Dr Apostolos Dimitriadis**

- PhD in Theoretical Physics (Dunelm 2004)
- Active in Technology Transfer, Innovation Support and EU funding programmes since 2007
- National Contact Point for FP7, H2020 & Horizon Europe
- National Expert in the H2020 NMPB Programme Committee
- Attracted ~€50M of competitive funding since 2009.
  - 25 project proposals, 10 as Coordinator - (FP7, H2020, CIP, COSME, SMP, ΕΣΠΑ, ΕΛΙΔΕΚ, private funds).

- Founded in 1983
- 10 Institutes, 155 Research Groups, 567 Active Projects, 1551 People, 37 ERC Grants, 172 Marie-Curie Grants, 203 Active EU Grants.
- Ranks 1<sup>st</sup> among the Research Centres in Greece, in all comparative evaluations conducted by international committees



<http://www.ics.forth.gr>

## OUR VISION:

Providing immediate and effective care where needed

## OUR MISSION:

The development of innovative, user-friendly, personalized digital tools to support effective and sustainable health services for all



# A New Innovation Agenda for Europe

# New European Innovation Agenda

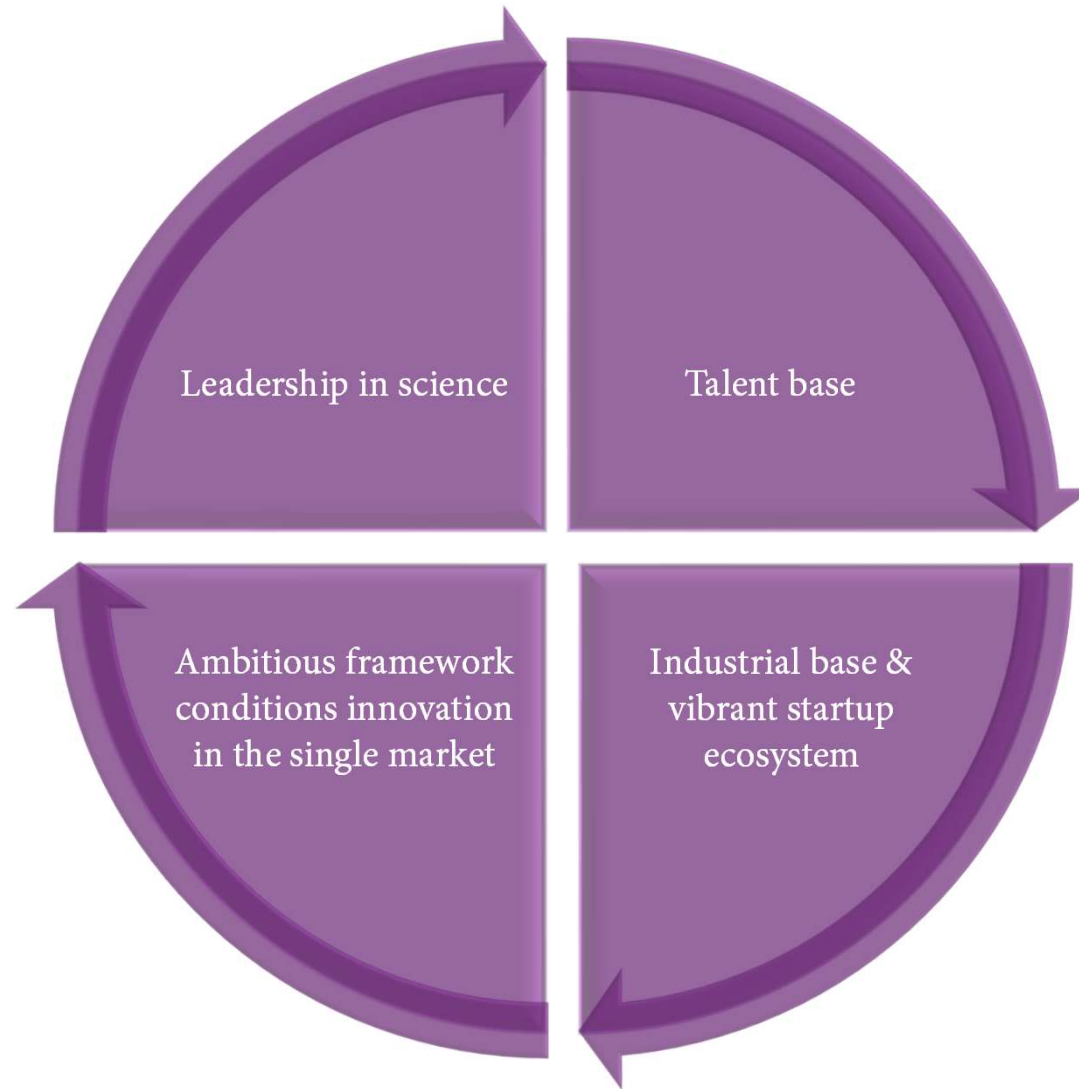
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- Adopted on 5 July 2022
- Aims to position Europe at the forefront of the new wave of deep tech innovation and start-ups.
- It will help Europe to develop new technologies to address the most pressing societal challenges, and to bring them on the market.
- Europe wants to be the place where the best talent work hand in hand with the best companies and where deep tech innovation thrives and creates breakthrough innovative solutions across the continent.



# Europe leader of deep tech Innovation

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# Five key areas for innovation

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Access to Finance for Deep Tech Scale ups

Fragmentation, limited investments and incentives

Framework Conditions for Innovation

Need for agile and experimental approaches to regulation

Innovation Ecosystems across the EU

Innovation division and limited interregional collaborations

Deep Tech Talents

Unbalanced Circulation and skills mismatches

Data Informed Policy and Policy support

Need for more effective innovation policies at European and national levels

Source: [Staff working document](#)

# Flagships

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**1. Funding for deep tech scale ups**

**2. Enabling deep tech innovation through experimentation spaces and public procurement**

**3. Accelerating and strengthening innovation in European Innovation Ecosystems across the EU and addressing the innovation divide**

**4. Fostering, attracting and retaining deep tech talent**

**5. Improving policy making tools**

# Flagship 2

Enabling deep tech innovation through experimentation spaces and public procurement

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- Framework conditions including regulations can drive or thwart the development and uptake of innovative new products and processes.
- Focuses on **facilitating innovation through improved framework conditions**
- including **experimental approaches to regulation**, through so-called regulatory sandboxes, as well as test beds, living labs and innovation procurement.

# Some definitions

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- **Regulatory sandbox:**

- schemes that enable firms to test innovations in a controlled real-world environment, under a specific plan developed and monitored by a competent authority.
- ([Better regulation: guidelines and toolbox](#) | European Commission (europa.eu) - tool #69 on emerging policies such as regulatory sandboxes.)
- Example: Bank of Greece Regulatory Sandbox for Fintechs:  
<https://www.bankofgreece.gr/en/main-tasks/supervision/regulatory-sandbox>

- **Testbeds:**

- Infrastructure and equipment to provide testing and experimentation services for products and services, in either physical or virtual space.
- Example: Testbed Gothenburg  
<https://www.investingothenburg.com/advantage-gothenburg/testbeds>

# Some definitions

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- **Living Labs:**

- Open innovation ecosystems in real-life environments using iterative feedback processes throughout a lifecycle approach of an innovation to create sustainable impact.
- They focus on co-creation, rapid prototyping & testing and scaling-up innovations & businesses, providing (different types of) joint-value to the involved stakeholders.
- In this context, living labs operate as intermediaries/orchestrators among citizens, research organisations, companies and government agencies/levels.
- (ENoLL: <https://enoll.org/>)
- Example: Başakşehir Living Lab  
<https://basaksehir-livinglab.com/BLL/anasayfa/>

# Some definitions

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- **Innovation procurement**

- the development of innovative solutions through the procurement of research and development services
- the procurement of innovative solutions that are not yet available or do not exist on the market
- the procurement of innovative solutions that do exist, but are not yet widely available on the market
- Example: Competence Center for Innovative Procurement - Association for Supply Chain Management, Procurement and Logistics e.V. (BME) on behalf of the Federal Ministry for Economic Affairs and Climate Action (BMWK).  
<https://www.koinno-bmwk.de/en/>

# Flagship 2 Roadmap

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Guidance document on Regulatory Sandboxes

Stimulating Experimentation Practices

Innovation-Friendly Regulations Advisory Group

Open innovation test bed in renewable Hydrogen

Innovation Procurement Specialist Advisory Service

EU wide benchmarking on innovation procurement



# Stimulating Experimentation Practices

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- The Commission will support innovators to identify areas and establish an experimentation space, such as regulatory sandboxes, living labs or test beds, which could facilitate the deployment of disruptive technologies.
- Will be implemented through the European Innovation Ecosystems Work Programme relevant topic
- HORIZON-EIE-2023-CONNECT-02-01: Stimulating Experimentation Practices:
  - Opening of Applications: 08.06.2023
  - Deadline for submissions: 21.09.2023
  - Announcement of results: Q1 2024
  - Signing of GA with beneficiaries: June/July 2024.

# Innovation Procurement Specialist Advisory Service

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- The Commission will support the formation of an innovation procurement specialist advisory service that will act as an intermediary between public procurers and innovative suppliers.
- Will be implemented through the European Innovation Ecosystems Work Programme relevant topic
- HORIZON-EIE-2023-CONNECT-02-01: Stimulating Experimentation Practices:
  - Opening of Applications: 08.06.2023
  - Deadline for submissions: 21.09.2023
  - Announcement of results: Q1 2024
  - Signing of GA with beneficiaries: June/July 2024.

# Flagship 3

## Accelerating and strengthening innovation in European Innovation Ecosystems across the EU and addressing the innovation divide

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- This flagship aims to accelerate innovation and unlock excellence across the EU through various tools.
- It focuses on creating the basis for the emergence of connected regional innovation valleys across the EU, notably involving regions with a lower innovation performance.
- Building on strategic areas of regional strength and specialisation, in support of key EU priorities.

# Flagship 3 Roadmap

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Fostering connected regional deep-tech innovation valleys across the EU

Synergies between cohesion policy programmes and Horizon Europe

Domain specific ecosystems

Innospace

# Fostering connected regional deep-tech innovation valleys across the EU

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- **Regional Innovation Valleys (RIVs)** will bring together less and more innovative regions with a view to addressing the most burning challenges facing the EU, namely **reducing the reliance on fossil fuels**, increasing global **food security**, mastering the **digital transformation** (including cybersecurity), improving **healthcare** and achieving **circularity**.
- The Commission intends to identify up to 100 regions who are committed to enhance the coordination and directionality of their R&I investment and policies, at regional level.
- With an overall commitment of € 170 million for the Regional Innovation Valleys initiative:
  - first calls worth € 60 million Horizon Europe and
  - € 62 million from the Interregional Innovation Investments (I3) instrument under the European Regional Development Fund (ERDF).

# RIV Expression of interest

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- Enable regions to **express their interest to become regional innovation valleys** and work together based but not limited on their smart specialisation strategies, meeting specific local challenges and needs, whilst contributing to the Union's strategic priorities.
- Regions are invited to indicate in which **innovation domain** (food security, renewable energy, circular economy, digital transition, healthcare system, other) they would like to strengthen their R&I investments and policies and **engage in interregional cooperation**.
- Help interested regions to **identify potentially relevant partners**, by facilitating matchmaking and interconnections among those regions who are committed towards the same objectives. Together, these regions could join up to prepare joint innovation plans to constitute connected regional innovation valleys.
- The call for expression of interest will remain open until 18 September 2023.

# RIV – EIE & I3 calls

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- HORIZON-EIE-2023-CONNECT-03-01: Implementing co-funded action plans for connected regional innovation valleys
  - Opening of Applications: 17.05.2023
  - Deadline for submissions: 17.10.2023
  - Announcement of results: Q1 2024
  - Signing of GA with beneficiaries: June/July 2024.
- I3-2023-INV1: Interregional Innovation Investments Strand 1
- I3-2023-INV2a: Interregional Innovation Investments Strand 2a
  - Opening of Applications: 17.05.2023
  - Deadline for submissions: 17.10.2023
  - Announcement of results: Q1 2024
  - Signing of GA with beneficiaries: June/July 2024.

**Only for Member States**

# References

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1. New European Innovation Agenda

[https://research-and-innovation.ec.europa.eu/document/download/d31f3f18-d831-49de-9126-8b0542faa6fd\\_en](https://research-and-innovation.ec.europa.eu/document/download/d31f3f18-d831-49de-9126-8b0542faa6fd_en)

2. Commission Staff Working Document

<https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A52022SC0187>

3. The New European Innovation Agenda website

[https://research-and-innovation.ec.europa.eu/strategy/support-policy-making/shaping-eu-research-and-innovation-policy/new-european-innovation-agenda\\_en](https://research-and-innovation.ec.europa.eu/strategy/support-policy-making/shaping-eu-research-and-innovation-policy/new-european-innovation-agenda_en)

4. The New European Innovation Agenda factsheets

- Scaling up of deep tech innovations

[https://research-and-innovation.ec.europa.eu/document/download/090fb9c3-39e8-409c-a18d-90f1484c6a25\\_en](https://research-and-innovation.ec.europa.eu/document/download/090fb9c3-39e8-409c-a18d-90f1484c6a25_en)

- Enabling innovation through innovation procurement

[https://research-and-innovation.ec.europa.eu/document/download/da587823-615b-4864-b679-40a48546851b\\_en](https://research-and-innovation.ec.europa.eu/document/download/da587823-615b-4864-b679-40a48546851b_en)

- Connected innovation ecosystems

[https://research-and-innovation.ec.europa.eu/document/download/04721486-cd46-4ac6-9c10-103a5bd85180\\_en](https://research-and-innovation.ec.europa.eu/document/download/04721486-cd46-4ac6-9c10-103a5bd85180_en)



# HORIZON-EIE-2023- CONNECT-03-01

Implementing co-funded action plans for connected regional innovation valleys

# Basic information

|   |                                  |
|---|----------------------------------|
| <b>Type of Action</b>                       | COFUND (50% EU funding)          |
| <b>Call opening date</b>                    | 17 <sup>th</sup> of May 2023     |
| <b>Deadline for submissions</b>             | 17 <sup>th</sup> of October 2023 |
| <b>Time to inform applicants</b>            | By end March 2024                |
| <b>Time to grant</b>                        | By end June 2024                 |
| <b>Total indicative EU Budget</b>           | € 60M                            |
| <b>Expected EU contribution per project</b> | € 8-12 M                         |
| <b>Expected grants to be signed</b>         | 6                                |
| <b>Estimated projects duration</b>          | 3-5 years                        |

# Objectives

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- Strong innovation ecosystems across the EU,
- By accelerating the development & deployment of innovation including deep tech
- To address the most burning challenges facing the EU

This action is intended to create connected **REGIONAL INNOVATION VALLEYS** across EU, involving regions with lower innovation performances and building on strategic areas of regional strength and specialization (in support of key EU priorities).

*Successful applicant regions get the label.*

# Expected outcomes

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- **Open, inclusive, efficient, connected innovation ecosystems**, for joint definition of visions/strategies
- **Synergies, complementarities, collaboration** notably in thematic / technological areas (+ deep-tech) **critical for EU value chains** while tackling **challenges of EU interest**
- **Increased innovation capabilities** in MS/AC, allowing innovators to **bring their ideas into the market**, and innovations to be scaled up at EU level
- Better **links** between **territories** and **actors**
- **More innovation co-investments**, fostering other funding leverages (COFUND).

# Scope

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- **Authorities** in charge of public national, regional or local innovation policies & programmes,
- in cooperation with **private** and **Research & Innovation actors**
- to **implement multi-annual joint activities** (action plans) towards innovation deployment / development,
- aimed at tackling **challenges** at EU, national, regional and local level.

# Proposals should

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- Present **joint strategic visions**, their commitment and **agreed innovation action plans** (+details in annual work plans)
- Explain the **need** and the **reasons** for the selection of:
  - the action plan; should be scalable, strong EU added value
  - a strategic thematic/technological area of cooperation;  
(potential for growth/competitiveness; contribution to Joint or EU priorities and HE missions)
- Highlight how cooperation will improve the **EIE efficiency /performance**

# Proposals should

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- Describe the **activities, process and R&I assets** and ensure:
  - a. inclusiveness & diversity (actors + territories)
  - b. participation of private actors (implementation + co-funding)
  - c. complementarity and synergies with funds, policies/strategies, programmes
- **How** the consortium will implement these activities, clear **targets** (+indicators), long term **commitment** (LoI)

# Action Plan

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**CORE  
COLLABORATIVE  
ACTIVITIES**



**JOINT  
INTERREGIONAL  
PROJECTS  
(FSTP)**



# Core collaborative activities

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- Coordination and support actions (CSA-type) - Horizontal actions
  - *structures/tools for networking and coordination*
  - *sharing/access to best practices, services, resources*
  - *join knowledge assets (methods/data/processes)*
  - *interconnection of innovation hubs*
  - *market analysis – access to new markets/finance*
  - *training/skills development*
  - *open infrastructures' interconnection*
  - *supportive activities for scaleup of innovative solutions*
  - *joint public procurement*
  - *social innovators / civil society integration*
- Final agreement on joint action plan
- Preparation of setting up joint calls

# Joint Interregional Projects

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## Joint open calls:

- **AT LEAST 50% of the total budget**
- At least 3 multi-beneficiary projects
- Similar to HE Innovation Action (IA) – type (TRL 6-8)
- Collaboration of R&I actors of participating regions
- Specific thematic/technological area (+deep-tech)
  - Reducing reliance on fossil fuels
  - Increasing global food security
  - Mastering the digital transformation (+ cybersecurity)
  - Improving healthcare
  - Achieving circularity
- Concrete / tangible outcomes by end of project
- Managed in a coordinated manner (portfolio / links)

# Financial Support to Third Parties (FSTP)

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|                                      |   |
|--------------------------------------|---|
| <b>Provisions/modalities of call</b> | Described in the proposal / Beneficiaries responsible to set call conditions  |
| <b>What form</b>                     | Grants  |
| <b>Who can participate</b>           | <ul style="list-style-type: none"><li>• Multi-beneficiary projects.</li><li>• Recipients: R&amp;I actors established in participating regions.</li></ul>                                  |
| <b>How much</b>                      | Max € 600K per FSTP recipient and per grant (This refers to the total participation of the individual third party in <b>all</b> interregional innovation projects of a proposal (grant)). |

*No double funding of same cost item!*

# Financial support to third parties legal base

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## General Annexes to the Horizon Europe WP 2023- 2024 (B. Eligibility):

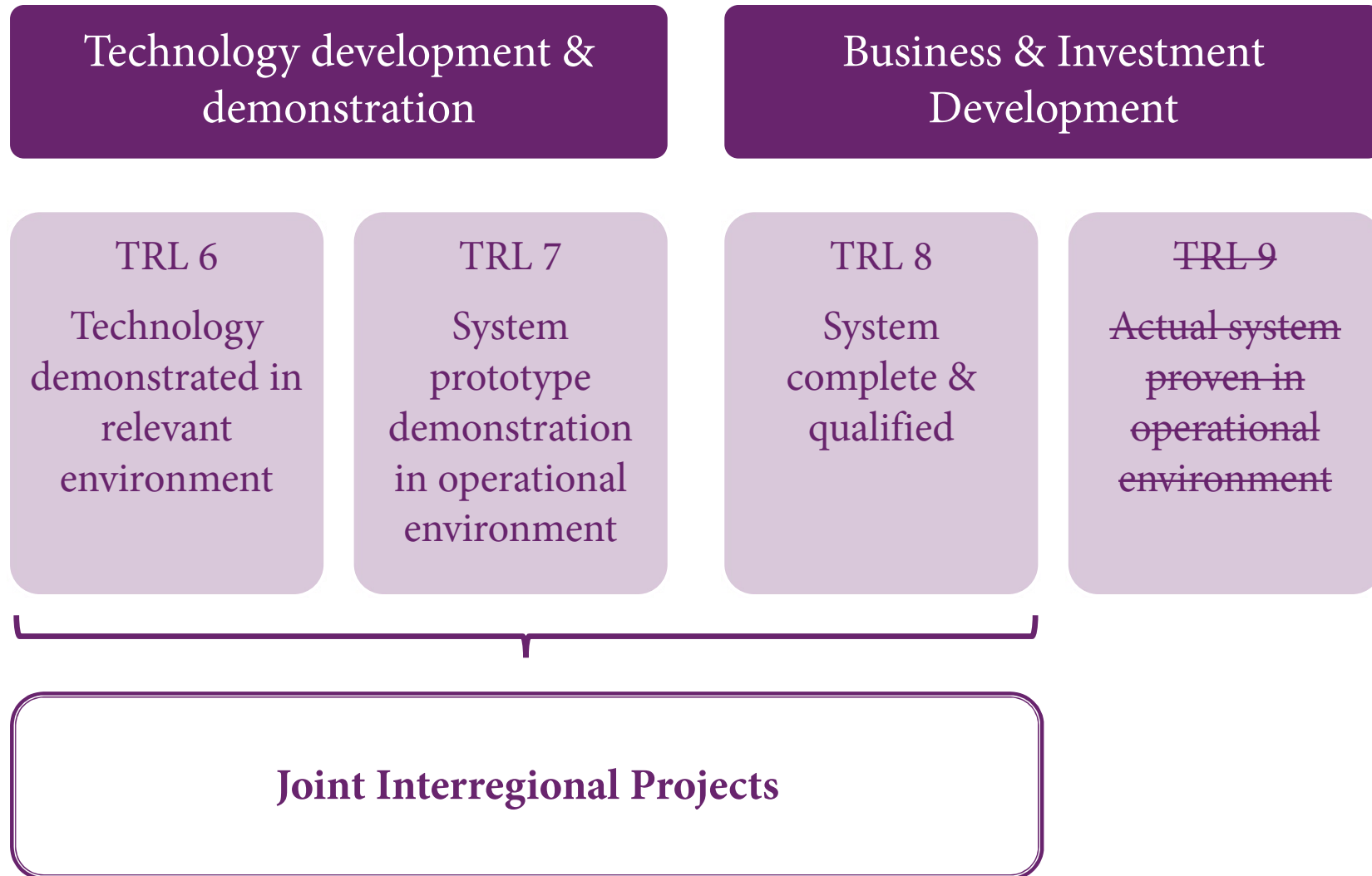
- Applicants must clearly describe the objectives and the expected results, including the elements listed in the application template.
- The following **conditions must also be fulfilled**:
  - projects **must publish their open calls widely** and **adhere to EU standards** of transparency, equal treatment, conflict of interest and confidentiality;
  - all calls for third parties and all calls that are implemented by third parties **must be published on the Funding & Tenders Portal**, and on the **beneficiaries' websites**;
  - the calls must remain **open for at least 2 months**;
  - if submission deadlines are changed, this must immediately be announced and registered applicants must be informed of the change;
  - projects must **publish the outcome of the calls** without delay, including a description of third-party projects, the date of the award, the duration, and the legal name and country;
  - the calls must have a **clear European dimension**.

# Financial support to third parties legal base

## Horizon Europe Model Grand Agreement

- **(Art.6.2.D.1)** The proposal must include the implementation conditions of the support and ensure objective and transparent selection procedures and include at least the following elements:
  1. the **maximum amount** to be granted to each third party (max EUR 600,000)
  2. the **criteria** for determining the exact amount.
  3. a closed **list of the different types of activities** that qualify for financial support
  4. the **persons or categories of persons** that will be supported
  5. the **criteria and procedures** for giving financial support
  6. the **measures to avoid potential conflicts of interest or unequal treatment** of applicants
- **(Art.9.4)** The beneficiaries must ensure that:
  - that their contractual obligations under Articles 12 (conflict of interest), 13 (confidentiality and security), 14 (ethics), 17.2 (visibility), 18 (specific rules for carrying out action), 19 (information) and 20 (record-keeping) also apply to the third parties receiving the support (recipients)
  - the bodies mentioned in Article 25 (e.g. granting authority, OLAF, Court of Auditors (ECA), etc.) can exercise their rights also towards the recipients

# TRL levels for Joint Interregional Projects



Ref: [HE General Annexes \(Annex B\)](#)

# Characteristics of recipients of FSTP

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1. They do not sign the Grant Agreement (and are therefore not beneficiaries).
2. They do not perform action tasks, but the financial support given to them is part of an action task specified in the description of the action.
3. They receive financial support from the grant (sub-grant), to be declared as financial support to a third parties cost, by a beneficiary.
4. The beneficiary remains responsible for the granting authority for the proper use of the funding by the recipients. They must, moreover, ensure that they comply with certain obligations specified in the grant agreement.

# Consortium synthesis



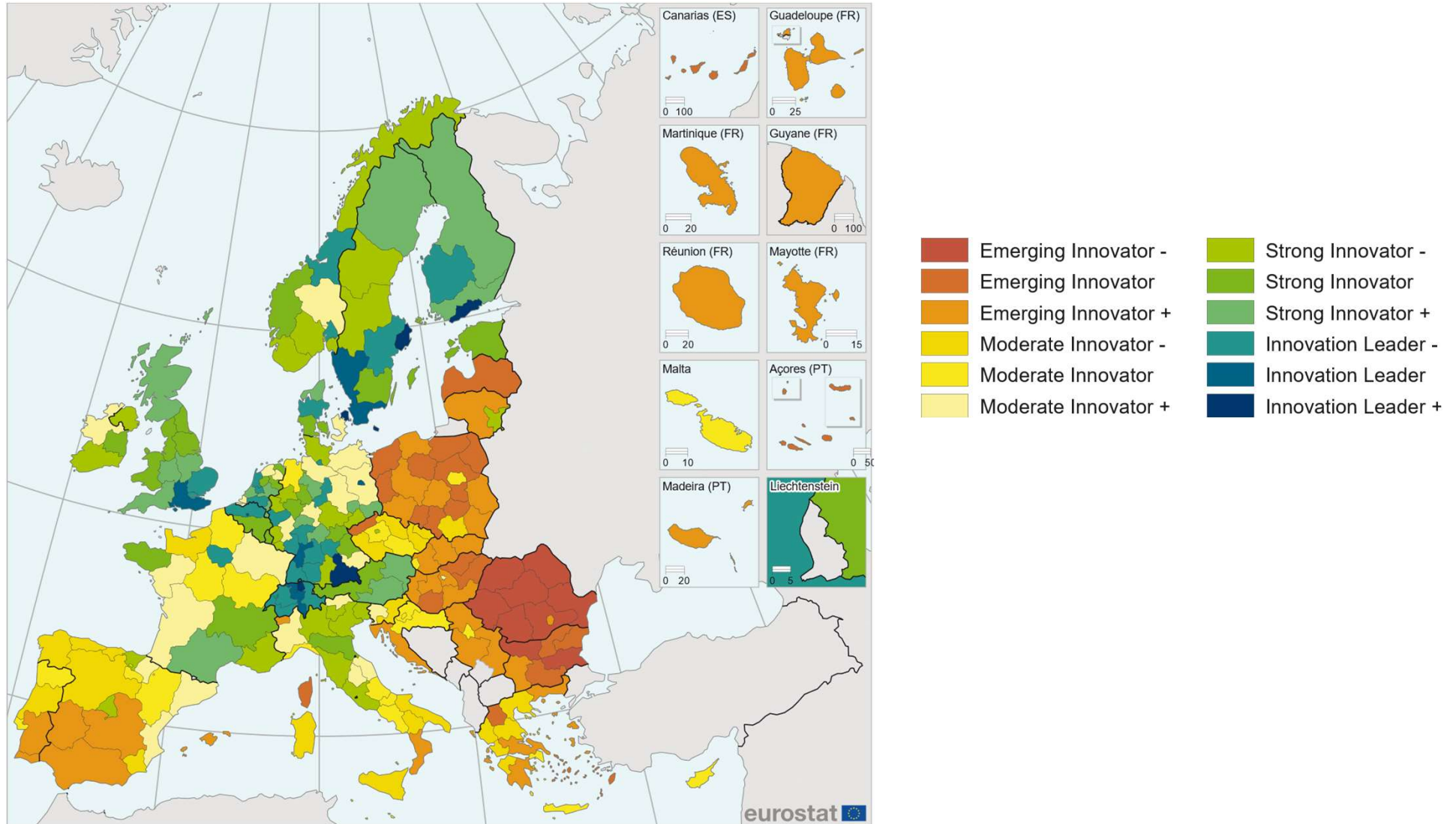
# Who can apply - Eligibility conditions

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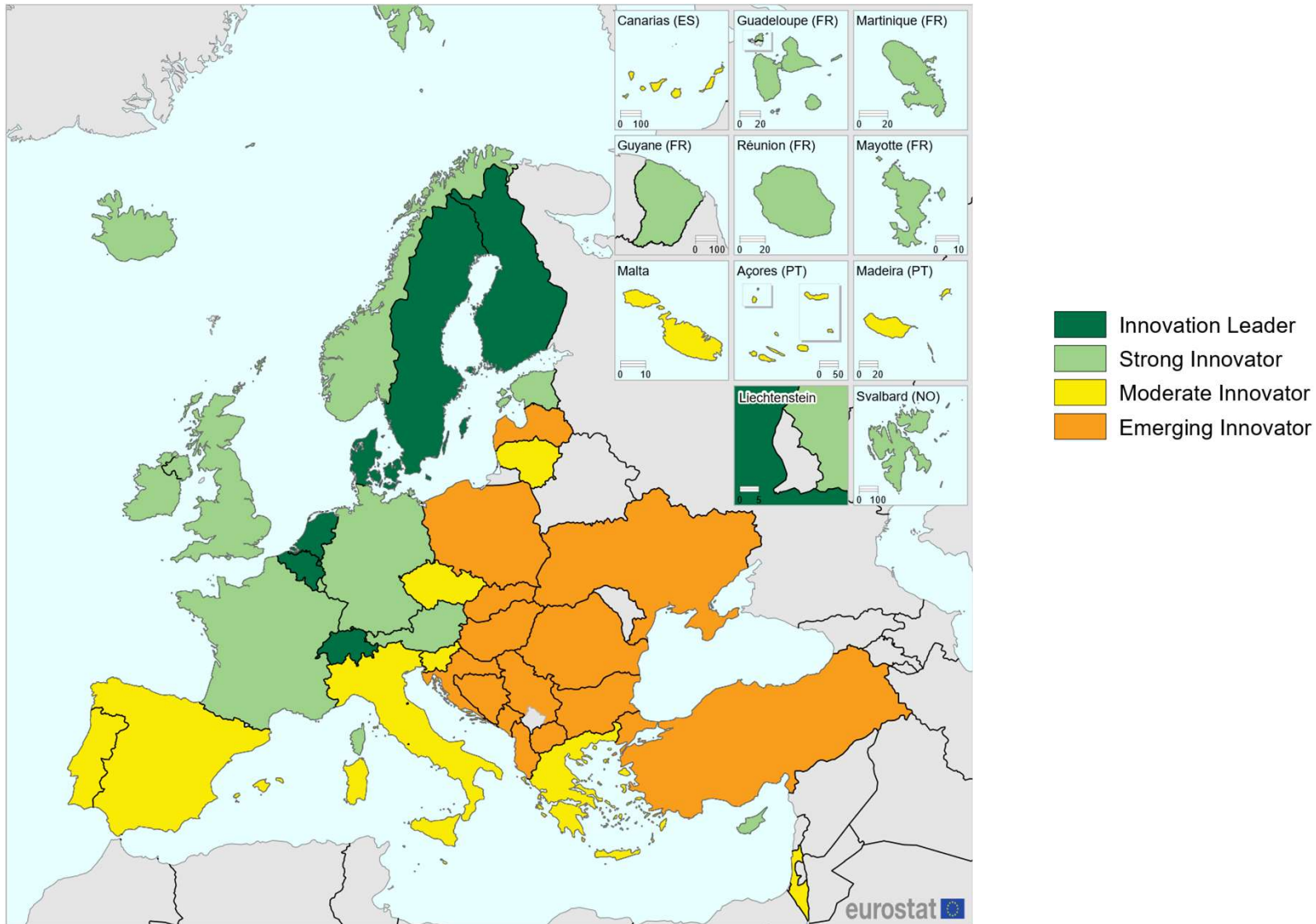
Participation, as beneficiaries of:

- At least five (5) national or regional authorities from at least five (5) different Member States or Associated Countries, of which
  - at least two (2) are representing a 'moderate' or 'emerging' innovator region and
  - at least one (1) is representing a 'strong' or 'innovation leader' innovator region

# Regional Innovation Scoreboard 2021



# European Innovation Scoreboard 2022



# Who can apply

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## Target group (indicative)

- National and/or regional innovation authorities (**min eligibility requirement**)  
*shape innovation policies/programmes and able to provide 50% co-funding*
- Other relevant entities:  
*research institutions, universities, companies, clusters, innovation intermediaries, etc.*
  - as beneficiaries (able to provide 50% co-funding) - for HE eligible countries
  - as associated partners - for HE non-eligible countries

# A proper mix of partners

| Type of partner                     | Role  |
|-------------------------------------|---|
| National or regional authorities    | Shape innovation policies/programmes and able to provide 50% co-funding   |
| Research & Technology Organisations | Provide research infrastructure eg. as testbeds   |
| Universities                        | Assist in upskilling & reskilling, provide research infrastructures   |
| Clusters                            | Provide updated SME business & technology needs to AWP designers<br>Facilitate the participation of SMEs / members in the calls.<br>Provide business and innovation management support to interregional projects. |
| Innovation intermediaries           | Facilitate the creation of consortia of interregional projects.<br>Provide business and innovation management support to interregional projects.<br>Assist in D&E efforts of interregional projects               |
| Industry Associations               | Provide industry needs<br>Facilitate and increase uptake by industry (where relevant)   |

**50% rate applies to all beneficiaries and activities**

# Helpful documents & policies

# Helpful policy documents / websites

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- New European Innovation Agenda

[https://research-and-innovation.ec.europa.eu/document/download/d31f3f18-d831-49de-9126-8b0542faa6fd\\_en](https://research-and-innovation.ec.europa.eu/document/download/d31f3f18-d831-49de-9126-8b0542faa6fd_en)

[https://research-and-innovation.ec.europa.eu/strategy/support-policy-making/shaping-eu-research-and-innovation-policy/new-european-innovation-agenda\\_en](https://research-and-innovation.ec.europa.eu/strategy/support-policy-making/shaping-eu-research-and-innovation-policy/new-european-innovation-agenda_en)

Commission Staff Working Document <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A52022SC0187>

- Horizon Europe European Innovation Ecosystems

[https://research-and-innovation.ec.europa.eu/funding/funding-opportunities/funding-programmes-and-open-calls/horizon-europe/european-innovation-ecosystems\\_en](https://research-and-innovation.ec.europa.eu/funding/funding-opportunities/funding-programmes-and-open-calls/horizon-europe/european-innovation-ecosystems_en)

Work programme (2023-24) - [https://research-and-innovation.ec.europa.eu/document/download/198cd4de-dadf-45b0-83b8-c25864a4d44c\\_en](https://research-and-innovation.ec.europa.eu/document/download/198cd4de-dadf-45b0-83b8-c25864a4d44c_en)

- European Innovation Ecosystems Data Hub (<https://easme-web.eu>) Will include all the relevant information on the projects under the European Innovation Ecosystems Work Programme.

# Helpful policy documents / websites

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- On European Partnerships

- European Partnerships in Horizon Europe

[https://research-and-innovation.ec.europa.eu/funding/funding-opportunities/funding-programmes-and-open-calls/horizon-europe/european-partnerships-horizon-europe\\_en](https://research-and-innovation.ec.europa.eu/funding/funding-opportunities/funding-programmes-and-open-calls/horizon-europe/european-partnerships-horizon-europe_en)

- Performance of European Partnerships

<https://op.europa.eu/en/web/eu-law-and-publications/publication-detail/-/publication/a6cbe152-d19e-11ec-a95f-01aa75ed71a1>

- Results from INNOSUP projects:

- Study on the effectiveness of public innovation support for SMEs in Europe

<https://op.europa.eu/en/publication-detail/-/publication/d031aa03-9295-11eb-b85c-01aa75ed71a1/language-en>

- Horizon 2020, INNOSUP-1 cluster facilitated projects for new industrial value chains

<https://op.europa.eu/en/publication-detail/-/publication/cb83a867-3a24-11ed-9c68-01aa75ed71a1/language-en>



# Helpful docs

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- Annotated Grant Agreement

[https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/aga\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/aga_en.pdf)

- Article 6.2.D.X > Financial support to third parties
- 9.4 Recipients of financial support to third parties
- Annex 5: Specific rules for Co-funded Partnerships

- Guidelines for applicants

[https://eisma.ec.europa.eu/system/files/2023-05/Guidelines\\_applicants\\_HORIZON-EIE-2023-CONNECT-03-01\\_Regional\\_Innovation\\_Valleys\\_EIE.pdf](https://eisma.ec.europa.eu/system/files/2023-05/Guidelines_applicants_HORIZON-EIE-2023-CONNECT-03-01_Regional_Innovation_Valleys_EIE.pdf)

- Online Info Session “Regional Innovation Valleys - calls for proposal” 25 May 2023

[https://eisma.ec.europa.eu/events/online-info-session-regional-innovation-valleys-calls-proposal-25-may-2023-2023-05-25\\_en](https://eisma.ec.europa.eu/events/online-info-session-regional-innovation-valleys-calls-proposal-25-may-2023-2023-05-25_en)

# ERA-LEARN

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- ERA-LEARN supports research funding organisations, policy makers and researchers with general information and services on research and innovation partnership initiatives.
- On behalf of the European Commission, ERA-LEARN manages a database with information about partnership initiatives as well as their calls and funded projects.
- Most importantly provides documentation for Support for Partnerships

<https://www.era-learn.eu/support-for-partnerships>

# Existing specific projects

# Notable COFUND projects

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## **ERA4Health Partnership**

- <https://era4health.eu/>
- Cofund action to increase European transnational collaborative research funding by creating a funding body for joint programming in priority areas addressing European public health needs.
- Consortium: Ministries, national and regional funding agencies, not-for-profit intergovernmental organisations and foundations.

## **European Partnership on transforming health and care systems (THCS)**

- <https://www.thcspartnership.eu/>
- Cofund action designed to support coordinated national and regional research and innovation programmes along with capacity building, networking, dissemination and other key activities to support health and care systems transformation.
- Consortium: Ministries, R&I Funding Organisations & Research Performing Organisations.

# Co-funding sources

# Co-funding sources

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- National or regional budget or both
- Cohesion Policy funds – ERDF
- Leveraged public & private funding

# Cohesion Policy funds – ERDF

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- By combining Horizon Europe and Cohesion policy funds for the co-funding of the projects
- ERDF programmes may cover (part of) the national contribution for participation in such European Partnerships. A decision to contribute to a partnership must result from a selection process that has complied with cohesion policy rules.
- ERDF contribution must fall within the scope of the applicable enabling condition (i.e. S3) and must be consistent with the corresponding programme-specific objectives and scope.
- The contribution to a European Partnership can also be identified early on, in the relevant S3, as a measure to enhance cooperation in priority areas with partners from outside a given Member State.

# Cohesion Policy funds – ERDF

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- Complies with the Common Provisions Regulation (CPR) 2021-2027
- Covered by the new legislation 2021-2027, Common Provisions Regulation (CPR) and Horizon Europe (HE).
- The relevant articles are CPR Article 73(2)(4), HE Article 15, also General Block Exception Regulation (GBER) Article 25c.
- Synergies EC notice

[https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52022XC1104\(02\)](https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52022XC1104(02))



# Maximise impact – leverage extra funding

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## Partner regions (beneficiaries) may mobilise further:

- **public funding**
  - by launching open calls targeting additional regions (not only those participating in the proposal);
  - By launching open calls with own funding
- **private funding** by lowering the FSTP funding rate

# Elements of the proposal

# Proposal Templates

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## Applicants should submit:

- Part A - Forms & budget

[https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/af/af\\_he-cofund\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/af/af_he-cofund_en.pdf)

- Part B - Technical info (main proposal – max 70 pages for COFUND)

- Annexes:

- Annual Work plan (for 1st year of project)
- Financial Support to Third Parties (FSTP) info
- Letter of intent (coordinator on behalf of beneficiaries)
- Additional information – beneficiaries (xls. file - for policy and statistical purposes)

# Proposal templates – Annex: Letter of intent (LoI)

*filled in and duly signed and dated by coordinator on behalf of beneficiaries*

## LETTER OF INTENT

I the coordinator, on behalf of the beneficiaries of the project \_\_\_\_\_, **confirm our commitment** to support the **proposal** submitted in response to the Horizon Europe call HORIZON-EIE-2023-CONNECT-03 and all its relevant requirements (including the 50% co-funding).

To confirm our commitment, we agree in case the proposal is successful to submit to the granting authority (EISME) at the time of the grant preparation **letters of commitment** of the remaining co-fund budget provided by the relevant beneficiaries (national/regional funds or private funds) covering the **first two (2) years** of implementation of the project.

The absence of such letter will impede/block the signature of the grant agreement.

### Additional information (*mandatory*):

*[Insert short text (per beneficiary)]:*

- a) The role of the beneficiary in the project;
- b) How the beneficiary ensures its commitment to the project, including the 50% co-funding.  
Please **indicate the source of the required 50% of complementary funding** (e.g. national and/or regional, EU funding or private funding).

# Proposal templates - Additional information – beneficiaries

| Project Acronym<br><i>(repeat several times as the beneficiaries number)</i> | Project Number<br><i>(repeat several times as the beneficiaries number)</i> | Thematic area of the proposal<br><i>(drop down list)</i> | If other, please specify | Beneficiary full name<br><i>(1 row per beneficiary)</i> | Is the beneficiary a NATIONAL or REGIONAL AUTHORITY from a Member State or Associated Country? | If the beneficiary is a REGION, has it participated to the Call for Expression of Interest to become a REGIONAL INNOVATION VALLEY? |
|--|---|--|--------------------------|---|--|--|
|  |   |  |                          |   | YES/NO   | YES/NO   |

*Please refer with free text on the area, e.g., "Achieving Circularity – Water", "reducing the reliance on fossil fuels – Hydrogen"*

1. Reduce reliance on fossil fuels  
2. Increasing global food security  
3. Mastering the digital transformation (+ cybersecurity)  
4. Improving healthcare  
5. Achieving circularity

Regions, Call for Eol

| Data on beneficiaries' regions' (1 row per beneficiary) |                                   |                                  |                          |   |   |  |   |   |
|---|-----------------------------------|----------------------------------|--------------------------|---|---|--|---|---|
| Country code<br><i>(drop down list)</i>                 | NUTS 1<br><i>(drop down list)</i> | NUTS2<br><i>(drop down list)</i> | If other, please specify | Are you already a coordinator or a member of I3 instrument? | Is your consortium/your member planning to apply/has already applied for I3 call in 2023? | Please indicate members of consortium who make part of I3 instrument | Cohesion policy status<br><a href="#">Check the status of your region here</a><br><i>(drop down list)</i> | Eligibility criterion<br><i>See call text.</i><br><i>Categorisation based on on Regional Innovation Scoreboard or European Innovation Scoreboard (for national authorities, Associated Countries).</i><br><i>(drop down list)</i> |
|   |                                   |                                  |                          | YES/NO  | YES/NO  |  | More developed/<br>transition/<br>less developed  | Moderate/emerging innovator<br>Strong / innovation leader   |

Links with Cohesion policy and I3

# Annual Work Programme (AWP)

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- For Cofund calls, project participants **must add this document to the application** and **upload it as separate annex** to proposal part B in the Submission System.
- The 1<sup>st</sup> work programme is a key part of the proposal; the work programmes for subsequent years are regular deliverables for the implementation of the project. **They provide a detailed description of activities for the initial and each successive twelve-month period** of the project, as the action develops in line with the objectives and description of work provided in part B of the proposal.
- Include both activities that are planned to be carried out and completed and activities that are simply initiated during the relevant twelve-month period.
- *Depending on the detail of part B of the proposal, it is not excluded that sections of this annex may overlap with part B.*

# AWP contents

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1. Coherence with part B of the proposal
2. Annual Work Programme (AWP) objectives
  - Describe the specific objectives for the programmed activities, which should be clear, measurable and realistic. Objectives should also reflect the bigger picture, consistent with the exploitation and impact of the co-funded projects over the longer term.
3. Expected impacts
  - Describe specifically how the AWP will contribute to the expected impacts as set out in the work programme and part B of the proposal.
  - The above description should be specific to the objectives pursued under the programmed set of activities. Quantified indicators and targets should be included where possible.

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#### 4. Correspondence with part B of the proposal

- Explain the relevance of the AWP to the specific challenge and scope of the project, as set out in part B of the proposal. In particular, describe and explain how the proposed activities implement the Work Packages constituting the action.
- Describe and explain the approach, distinguishing as appropriate activities requested in the relevant section of Part B of the proposal.



# Structure of Part B

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*The title, list of participants and sections 1, 2 and 3, together,  
should not be longer than 70 pages*

1. Excellence
  1. Objectives and ambition
  2. Methodology
2. Impact
  1. Project's pathways towards impact
  2. Measures to maximise impact - Dissemination, exploitation and communication
  3. Summary
3. Quality and efficiency of the implementation
  1. Work plan and resources
  2. Capacity of participants and consortium as a whole

# Before everything else

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- First impressions matter
- Invest 1 whole page after the title page with a pitching for the project.
- Sell it to the evaluators:
  - The problem you are solving is very important.
  - Current and normal solutions do not solve it.
  - Your solution is ambitious and solves it in an amazing way.
  - Your team is experienced in the field, reliable and effective – the best for the job!
- Give this task to a professional graphic designer.

# 1. Excellence

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## 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.

# 1.1 Objectives & ambition

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- Describe links with EU and national/regional policies and strategies, (New European Innovation Agenda, EU priorities, the regions' smart specialisation strategies).
- Explain the engagement between regions at different levels of development and/or innovation performance by including regions with lower innovation performance.
- Outline the common vision and ambition of the project.
- Describe the general, specific and operational objectives of the project, based on a clear intervention logic.
- Describe links and/or collaboration opportunities identified at this stage with other Union programmes
- Include a clear and realistic exit-strategy and measures for phasing-out from the Framework Programme funding.

# Advice

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- Use evidence:
  - Refer to information and qualitative and quantitative data from socio-economic, environmental and industrial/technological studies, recent research results, policies and strategies, as well as data on identifiable business/investment plans, as appropriate.
- In establishing the objectives, link them to the broader EU policy objectives and other national, regional and/or local priorities, strategies and plans.
- SWOT analysis:
  - Use RIS3 documents for the information.
  - Conduct interviews with key stakeholders
  - Use to identify the needs for the intervention.

# Advice

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- Give the expected timeframe to achieve the specific objectives.
- Link the objectives of the project to the objectives of the work programme topic. Use a table to make it clear.
- Objectives should be clear, realistic, measurable, achievable and verifiable. Link them to WP activities and with KPIs
- Provide a sense of continuity and complementarity: links with other EU initiatives, projects, for example if co-financing of the project by other programmes, or upstream use of other programmes is planned.
- Sustainability: Provide realistic scenarios for continuation after the end of the project.

## 1.2 Methodology

---

- Describe and explain the overall methodology, including the concepts, models and assumptions that underpin your work.
- Indicate how the specific thematic area(s) will benefit from the long-term programme of activities (action plans) among participants at EU, national and/or regional level.
- Describe any national, regional or local innovation programme, initiatives or activities whose results will feed into the project, and how that link will be established. If too many use a table.
- Explain how expertise and methods from different disciplines, actors and territories will be brought together and integrated in pursuit of your objectives

# Methodology

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- Describe how the gender dimension (i.e. sex and/or gender analysis) is taken into account in the project's research and innovation content. The description should include the content of cascading calls applying Horizon Europe award criteria.
- Describe how appropriate open science practices are implemented as an integral part of the proposed methodology.
- 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)



# Advice

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- Provide a narrative of the project methodology.
- Describe the main concepts and assumptions in the beginning of the narrative. They are the guiding principles.
- Give a thorough description in how the thematic areas will benefit at EU/national/regional level. Targeted activities that will increase TRL from 6 to 8.
- Describe important challenges you may have identified in the chosen methodology and how you intend to address them.

# Advice

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- Describe the level of ambition in the collaboration and commitment of the participants in co-funding the proposed activities. What do you want to achieve? How many resources are you planning to invest?
- Describe in detail the activities and link with objectives and WPs & Tasks.
  - Use process diagrams, pictures, tables to assist the reader understand quickly.

# Advice

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- Be creative & think thoroughly needed activities, eg.:
  - Call preparation (describe the process for identifying needs, finalizing topics description)
  - Call announcement & promotion
  - Collection and evaluation of proposals
  - Monitoring of interregional projects

# Advice

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- Describe also the coordination actions, that will also increase impact eg.
  - Matchmaking & project creation activities
  - structures/tools for networking and coordination
  - sharing/access to best practices, services, resources
  - join knowledge assets (methods/data/processes)
  - interconnection of innovation hubs
  - market analysis – access to new markets/finance
  - training/skills development
  - open infrastructures' interconnection
  - supportive activities for scaleup of innovative solutions
  - joint public procurement
  - social innovators / civil society integration
  - Innovation management support
  - etc.

## 2. Impact

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### **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.

## 2.1 Project's pathways towards impact

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- 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:
  - 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.
  - 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.
  - 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.
  - Demonstrate how the proposed project is expected to trigger relevant transformational changes in the broader research and innovation ecosystem (qualitative impacts) at national and/or sectorial level.

# Advice

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- 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 be:
  - 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. enhancing inclusion of innovation ecosystems players, improving policies and decision making, raising consumer awareness.

# Advice

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- Provide a narrative
- For each impact stated in the WP (table)
  - Impact analysis
  - How exactly the project contributes
  - How is progress assessed – which are the KPIs
  - Baseline and targets
  - Which activities (WPs and/or specific tasks) contribute to reach the target.
- Explain what the impact will be for the various stakeholders, incl. the project partners:
  - Short-term (duration of the project)
  - Mid-term (towards the end and a bit after the end of the current Programming Period)
  - Long term (well beyond the end of the Programming Period)



| Project [title]   |     | Monitoring and evaluation framework, draft 1, [date]  |  |  |                     |
|---|-----|---|--|--|---------------------|
| <b>Overall vision:</b> [max 500 characters]                       |     |   |  |  |                     |
| Objectives  |     | What is a measure of success?<br>Please use quantitative (Key Performance) and qualitative indicators, and link them to a point in time | Which is the data source and methodology used<br>[project data, study, ....] | Who is responsible for monitoring and providing the data / information<br>When will it be collected? | Baseline and target |
| <b>General objectives</b> (linked to impact indicators)           | GO1 |   |  |  |                     |
|   | GO2 |   |  |  |                     |
|   | GO3 |   |  |  |                     |
| <b>Specific objectives*</b> (linked to outcome/result indicators) | SO1 |   |  |  |                     |
|   | SO2 |   |  |  |                     |
|   | SO3 |   |  |  |                     |
|   | SO4 |   |  |  |                     |
| <b>Operational objectives*</b> (linked to output indicators)      | OO1 |   |  |  |                     |
|   | OO2 |   |  |  |                     |
|   | OO3 |   |  |  |                     |
|   | OO4 |   |  |  |                     |

\*Add more lines, as needed.

If you have any **additional** comments/ issues, please address them in this box.

Please provide your intervention logic [linking expected impacts and objectives to activities, outputs and KPIs] as a one-pager graphic.

## 2.2 Measures to maximise impact - Dissemination, exploitation and communication

---

- 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).
- 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.
  - This is not a research project, so limited IPR are expected. Nevertheless the Interregional projects will have IPR assets. It should be described how they will be handled.

# Advice

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- A WP should be dedicated to Communication / Dissemination / Exploitation
- A 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. It should be updated regularly.
- 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

# Advice

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- Communication 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

# Advice

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- Describe the measures for a plausible path to commercialise the innovations produced by the interregional projects.
- Describe possible feedback to policy measures generated by the project that will contribute to designing, monitoring, reviewing and rectifying (if necessary) existing policy and programmatic measures or shaping and supporting the implementation of new policy initiatives and decisions.

## 2.3 Summary

### KEY ELEMENT OF THE IMPACT SECTION

| SPECIFIC NEEDS  | EXPECTED RESULTS   | D & E & C MEASURES  |
|---|--|---|
| <p><i>What are the specific needs that triggered this project?</i></p> <p><b>Example 1</b></p> <p>Some territories across Europe identified a joint challenge, particularly in the areas of reducing reliance on the fossil fuels, increasing global food security, mastering the digital transformation (including cybersecurity), improving healthcare, and achieving circularity supporting their innovators via joint action plans. The territories were not efficiently connected and the fragmentation of innovation ecosystems was eliminating the potential of the innovators to grow and scale up.</p> | <p><i>What do you expect to generate by the end of the project?</i></p> <p><b>Example</b></p> <p>10 regions have developed long term strategies on interregional cooperation, support of innovation deployment and connectedness of innovation actors, information and knowledge.</p> <p>200 startups received a guidance and support in identification of specific market needs.</p> <p>50 start-ups/innovative SMEs promoted their innovations to public buyers.</p> <p>100 startups were connected with investors for further support, 20 entered in negotiations, 5 have reached a deal.</p> | <p><i>What dissemination, exploitation and communication measures will you apply to the results?</i></p> <p><b>Example</b></p> <p><b>Dissemination towards the innovation ecosystems community:</b><br/>Participating and organising conferences and events; Developing a joint communication tools Participation at EC, national and regional and local meetings and co-creation events to disseminate the results as part of a group and maximise the visibility vis-à-vis companies.</p> |

## 2.3 Summary

| TARGET GROUPS  | OUTCOMES  | IMPACTS  |
|--|---|--|
| <p><i>Who will use or further up-take the results of the project? Who will benefit from the results of the project?</i></p> <p><b>Example</b></p> <p><b>Public authorities</b> (national, regional and local)</p> <p><b>Private actors: start-ups, SMEs</b></p> <p><b>Innovation community</b> (various stakeholders, including national/regional innovation authorities, private actors, civil society, etc.)</p> | <p><i>What change do you expect to see after successful dissemination and exploitation of project results to the target group(s)?</i></p> <p><b>Example</b></p> <p>Robust, inclusive and interconnected innovation ecosystems across Europe, developed joint visions and strategies with input from across the quadruple helix actors.</p> <p>Increased innovation capacities in Member States and Associated Countries and regions, particularly in “emerging” and “moderate” innovation regions, allowing innovators to bring their ideas into the market and enable innovations to be scaled up at EU level, and facilitating the link with the private sector.</p> <p>More innovation co-investments, fostering other funding leverages, including national or regional public funds and/or other private funds.</p> <p>Better links between innovation leaders and strong innovators with emerging and moderate innovators across the EU and Associated Countries.</p> | <p><i>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?</i></p> <p><b>Example</b></p> <p>Interconnected, inclusive and more efficient innovation ecosystems across Europe that draws on the existing strengths of European, national, regional and local ecosystems and pulls in new, less well-represented stakeholders and less advanced in innovation territories, to set, undertake, and achieve collective ambitions towards challenges for the benefit of the society, including green, digital, and social transitions.</p> <p><b>Economic/Technological:</b> A new markets for innovators in relation to one or more thematic area(s).</p> <p><b>Societal:</b> better integration of social innovators into the innovation ecosystem; citizens involved and their needs and met.</p> |

# 3. Quality and efficiency of the implementation

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## **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

---

- Brief presentation of the overall structure of the work plan.
- Include a more detailed annual work plan for the first year of activities in an annex to proposal part B following the template shown in annex.
  - It provides a detailed description of activities to be undertaken during the first 12 months of the project and is a key part of the proposal.
  - Subsequent Annual Work Plans must be included as regular deliverables of the project which need to be submitted on a 12 months rolling basis.
- 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);

## 3.1 Work plan and resources

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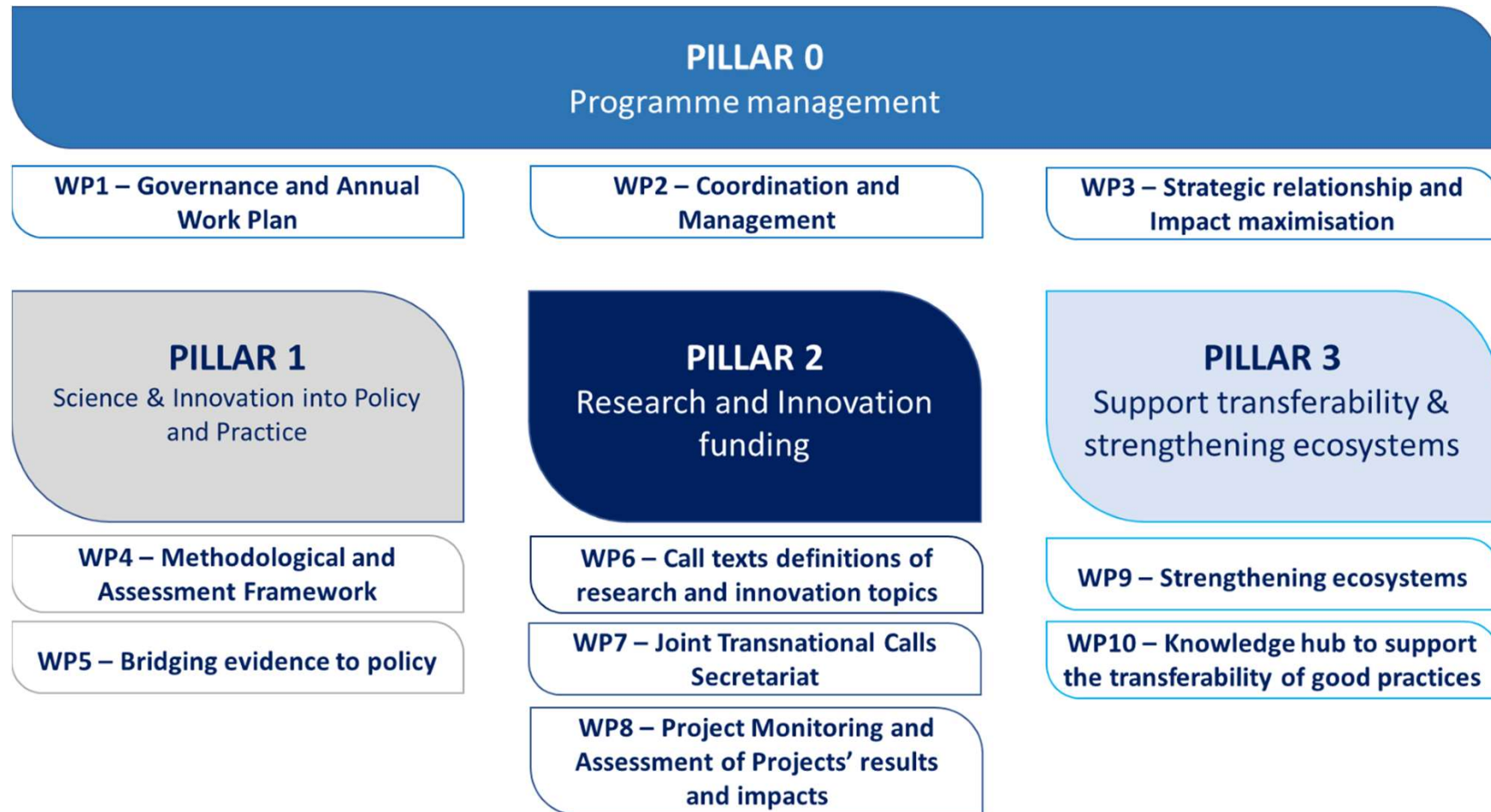
- a list of milestones (table 3.1d);
- a list of critical risks, relating to project implementation, that the stated project's objectives may not be achieved. (table 3.1e);
- a table showing number of person months required (table 3.1f);
- a table showing description and justification of subcontracting 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)

# Advice

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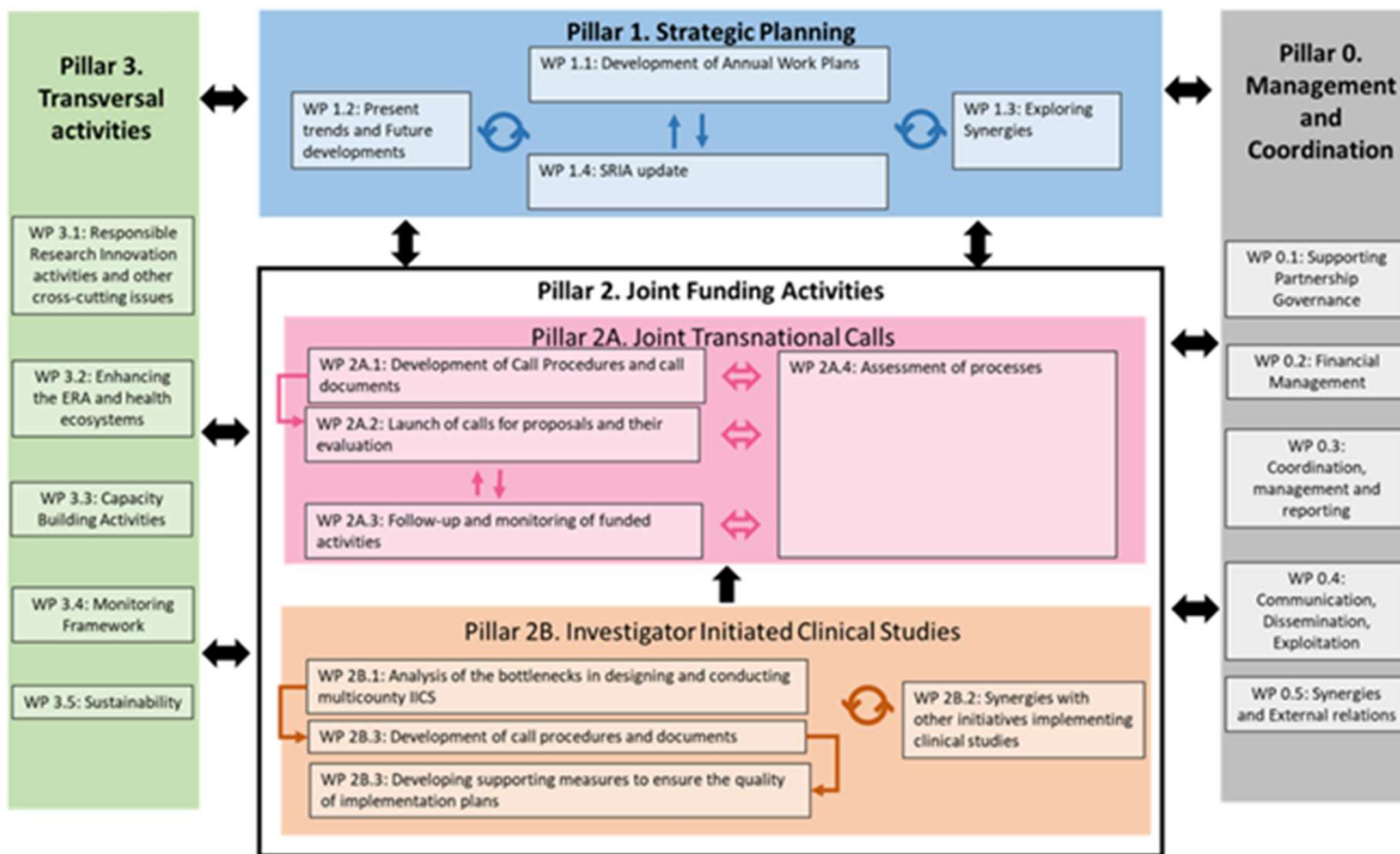
- Give full details. Base your account on the logical structure of the project and the stages in which it is to be carried out. The number of work packages should be proportionate to the scale and complexity of the project.
- Demonstrate how the project will ensure coherence and synergies in relation to major national (sectorial) policies, programmes and activities.
- Please specify which types and levels of contributions from partners are necessary to achieve the objectives and impacts (financial contributions, in-kind contributions, activities/resources linked to market, regulatory, societal or policy uptake, broader investments) and provide qualitative and quantitative information on these. Explain how reaching these objectives could be monitored throughout the programme.

# Example I of Pert diagrams



Source: European Partnership on transforming health and care systems (THCS)  
<https://www.thcspartnership.eu/thcs/thcs-at-a-glance.kl>

# Example II of Pert diagram



Source: Era4Health Partnership: Fostering a European Research Area for Health Research. <https://era4health.eu/objectives/>

# Example Gantt chart

| Work packages/Tasks                             | Duration       | Duration                        |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
|---|----------------|---------------------------------|---|---|---|---|---|---|---|---|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|
|   |                | Months                          |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
|   |                | 1                               | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 | 26 | 27 | 28 | 29 | 30 |
| <b>WP1 Project Management</b>                   | <b>M01-M30</b> | [Gantt bar from month 1 to 30]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T1.1 Administrative and financial coordination  | M01-M30        | [Gantt bar from month 1 to 30]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T1.2 Technical coordination                     | M01-M30        | [Gantt bar from month 1 to 30]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T1.3 Risk Management- Quality Assurance         | M01-M30        | [Gantt bar from month 1 to 30]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| <b>WP2 Crowdfunding</b>                         | <b>M01-M30</b> | [Gantt bar from month 1 to 30]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T2.1  | M01-M18        | [Gantt bar from month 1 to 18]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T2.2  | M01-M30        | [Gantt bar from month 1 to 30]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| <b>WP3 Large scale demonstrators</b>            | <b>M01-M30</b> | [Gantt bar from month 1 to 30]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T3.1  | M01-M09        | [Gantt bar from month 1 to 9]   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T3.2  | M01-M09        | [Gantt bar from month 1 to 9]   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T3.3  | M01-M09        | [Gantt bar from month 1 to 9]   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T3.4  | M10-M30        | [Gantt bar from month 10 to 30] |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| <b>WP4 Open Call Management</b>                 | <b>M01-M30</b> | [Gantt bar from month 1 to 30]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T4.1  | M01-M03        | [Gantt bar from month 1 to 3]   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T4.2  | M01-M03        | [Gantt bar from month 1 to 3]   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T4.3  | M03-M30        | [Gantt bar from month 3 to 30]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| <b>WP5 Supporting Services to beneficiaries</b> | <b>M06-M30</b> | [Gantt bar from month 6 to 30]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T5.1  | M06-M15        | [Gantt bar from month 6 to 15]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T5.2  | M06-M15        | [Gantt bar from month 6 to 15]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T5.3  | M12-M30        | [Gantt bar from month 12 to 30] |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T5.4  | M18-M30        | [Gantt bar from month 18 to 30] |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T5.5  | M18-M30        | [Gantt bar from month 18 to 30] |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| <b>WP6 Technology watch and future trends</b>   | <b>M01-M24</b> | [Gantt bar from month 1 to 24]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T6.1  | M01-M08        | [Gantt bar from month 1 to 8]   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T6.2  | M08-M12        | [Gantt bar from month 8 to 12]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T6.3  | M12-M18        | [Gantt bar from month 12 to 18] |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T6.4  | M18-M24        | [Gantt bar from month 18 to 24] |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| <b>WP7 Dissemination and sustainability</b>     | <b>M01-M30</b> | [Gantt bar from month 1 to 30]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T7.1  | M01-M30        | [Gantt bar from month 1 to 30]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T7.2  | M01-M30        | [Gantt bar from month 1 to 30]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T7.3  | M01-M30        | [Gantt bar from month 1 to 30]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |
| T7.4  | M01-M30        | [Gantt bar from month 1 to 30]  |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |

# Advice

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- Specify which other investments or framework conditions are envisaged / relevant for the deployment.
- 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.
- Include a distinct work package on ‘project management’, and to ‘data management’ ‘dissemination and exploitation’ and ‘communication activities’.

# Advice

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- Give extra care to check that numbers match (costs, person months etc) in the various tables.
- Not too many details & explanations in the descriptions of the WPs (table 3.1b).
  - Work plan has to be clean - just the description of the tasks.
  - All the explanations, justifications etc. were in §1.2-Methodology
- Objectives of each WP should be related with the Specific & Operational Objectives of the project. Should already be mentioned in §1.2-Methodology



# Advice

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- Milestones:
  - Milestones are control points in the project that help to chart progress.
  - Use them only for major outputs in complicated projects.
  - Otherwise leave the section on milestones empty.
  - Means of verification are how you intend to prove that a milestone has been reached. If appropriate, you can also refer to indicators.
- Deliverables are project outputs which are submitted to show project progress.
  - Keep them to a minimum for effectiveness & efficiency
  - Do not forget the obligatory ones:
    - D&E Plan at M6
    - AWP every 12 months.

# Advice

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- Risks (table 3.1e)
  - Describe critical risks, uncertainties or difficulties related to the implementation of your project, and your measures/strategy for addressing them. Indicate for each risk (in the description) the impact and the likelihood that the risk will materialise (high, medium, low), even after taking account the mitigating measures.
  - In the “Proposed risk-mitigation measures” describe:
    - **Proactive measures:** How have you planned through activities / management & decision processes, etc. to minimise the risk.
    - **Reactive measures:** How you are planning to minimise the negative impact and react in case the risk is materialised.

## 3.2 Capacity of participants and consortium as a whole

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- Describe the consortium. How does it match the project's objectives and bring together the necessary disciplinary and inter-disciplinary knowledge.
- Demonstrate how the consortium will develop a cooperation extending well beyond transnational joint calls and R&I projects, thus ensuring that structural and societal impacts contributing to the overarching policy objectives can be achieved.
- Demonstrate how the consortium will establish a meaningful collaboration and interregional projects among Member States /Associated Countries and their relevant national/regional authorities and their respective commitments in order to develop and deploy technologies and innovation (e.g. by identifying and connecting with relevant national activities and programmes that allow addressing common challenges more effectively).

## 3.2 Capacity of participants and consortium as a whole

---

- Describe how the consortium will build upon, strengthen and/or expand collaboration networks and initiatives that are currently existing at the EU level, including where appropriate in Associated Countries.
- Justify the type and composition of partners (public, private, investors, buyers, foundations etc.) considered necessary for this project and describe the ambition to include, in accordance with the call needs, stakeholders and territories currently missing or underrepresented), and to ensure the necessary diversity and geographical coverage to meet the objectives.
- 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.

## 3.2 Capacity of participants and consortium as a whole

---

- 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).
- Outline the governance and management of the project, including advisory structures and mechanism to be established. Demonstrate how the governance and management of the projects helps to achieve the defined vision and objectives. Describe how it will contribute to ensuring coherence and synergies with the EU research and innovation landscape and demonstrate, as well as transparency and openness during the project as regards the identification of its objectives, priorities, vision and joint activities.
- Describe the mechanisms for defining and defending the EU public interest in the framework of the project.
- Describe from where the remaining co-fund contribution is coming from and whether it is already earmarked.

## 3.2 Capacity of participants and consortium as a whole

---

- Demonstrate that the project will be established in a transparent way with no unjustified restriction in participation and with a broad, open and transparent approach towards different sectors and geographical areas including international partners when relevant. Justify any restrictions for the openness of the project. Explain how the project plans to attract private stakeholders.
- Describe the strategies and plans throughout the lifetime of the project to ensure easy and non-discriminatory access to information about the initiative and dissemination of and access to results (in line with Horizon Europe provisions) , and to stimulate the participation of new partners and actors in the definition of common priorities and their participation in the project itself or its activities (including eligibility for funding).

## 3.2 Capacity of participants and consortium as a whole

---

- Describe the process for establishing annual work programmes and define measures to ensure an open and transparent methodology for consulting all constituent entities and relevant stakeholders for the identification of its priorities and the design of its activities. Describe how the project considers regular revision process of the Annual Work programmes due to the changing economic and political environment.

# Advice – Consortium

- Explain the role of each partner in the project and how they all fit together
- Show the complementarities
- Include roles & connexions with other initiatives relevant to the project

| Complementarities                                       | Partner 1 | Partner 2 | Partner 3 | Partner 4 | Partner 5 | Partner 6 | Partner 7 | Partner 8 | Partner 9 | Partner 10 |
|---|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|------------|
| EU Programmes National Contact Point                    | ✓         | ✓         |           |           |           |           |           |           |           |            |
| University  |           |           |           |           | ✓         | ✓         | ✓         |           |           | ✓          |
| RTO   | ✓         | ✓         | ✓         | ✓         |           |           |           |           |           |            |
| Industrial Association                                  |           |           |           |           |           |           |           | ✓         |           |            |
| Large Company   |           |           |           |           |           |           |           |           | ✓         |            |
| EEN   | ✓         |           |           |           |           |           |           | ✓         |           |            |
| Europe Direct   | ✓         |           |           |           |           |           |           |           |           |            |
| European Resource Efficiency Knowledge Support provider | ✓         |           |           |           |           |           |           |           |           |            |
| Advanced Technologies for Industry Technology Centres   | ✓         |           |           |           |           |           |           |           |           |            |
| Competence Centre                                       | ✓         | ✓         | ✓         |           |           |           |           |           |           |            |
| Copernicus Relay  | ✓         |           |           |           |           |           |           |           |           |            |
| Digital Innovation Hub                                  | ✓         | ✓         | ✓         | ✓         |           |           |           |           |           |            |
| Cluster Facilitators                                    | ✓         | ✓         | ✓         | ✓         |           |           | ✓         |           | ✓         |            |
| EU IPR Helpdesk Ambassador                              | ✓         |           |           |           |           |           |           |           |           |            |
| Participation in relevant FP and H2020 projects         | ✓         | ✓         | ✓         | ✓         | ✓         | ✓         | ✓         | ✓         | ✓         | ✓          |
| EIT   | ✓         |           |           | ✓         |           |           |           |           |           |            |
| Technology Transfer Office                              | ✓         | ✓         | ✓         | ✓         | ✓         | ✓         |           |           |           | ✓          |
| Technology Park / Incubator                             | ✓         | ✓         | ✓         |           |           |           |           |           |           |            |
| Participation in Regional Councils for R&I              | ✓         | ✓         | ✓         | ✓         | ✓         | ✓         | ✓         | ✓         |           | ✓          |

- Show how it includes expertise in social sciences and humanities, open science practices, and gender aspects of R&I, as appropriate.
- Explain how these will be exploited in the project (links with activities)



# A General Model Governance Functions

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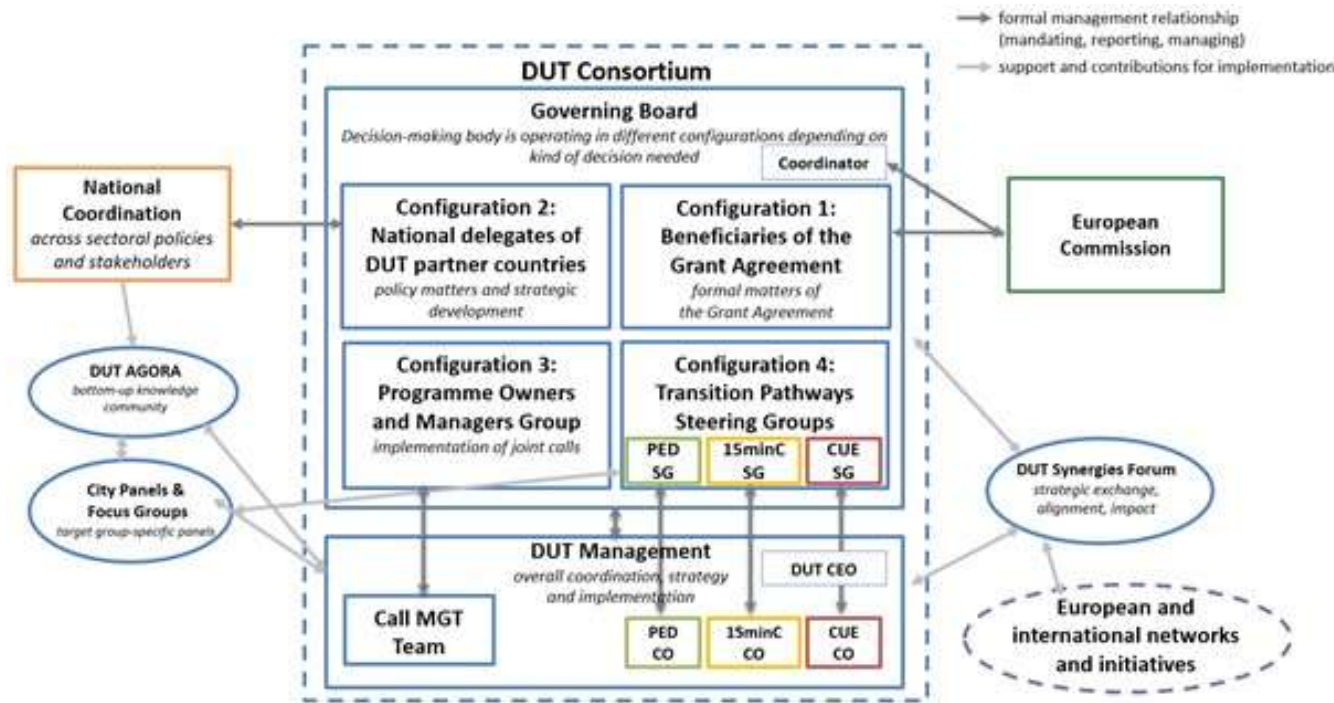
- The core governance functions relate to the predominantly internal governance arrangements of the European Partnerships. It also includes functions relating to the need to receive input from independent bodies for better steering the strategic programming and operation of the European Partnerships. Core governance functions include:
  - Strategic planning and decision making
  - Consortium coordination and management
  - Call management
  - Cooperation with responsible EC unit and executive agency
  - Alignment with national and regional activities
  - Partnership impact monitoring
  - Stakeholder advice
  - Compliance

Source: <https://www.era-learn.eu/>

- 
- II) The collaboration governance functions relate to the essential need to actively engage with parties that are relevant for the operations of the European Partnership. The collaboration governance functions comprise:
    - Stakeholder engagement
    - EC involvement (strategic and policy)
    - Coordination with other European partnerships, missions, and R&I initiatives
    - International cooperation: Cooperation with international programmes and funders

Source: <https://www.era-learn.eu/>

# An example of relevant governance model



Source: DUT governance model

# HORIZON-EIE-2023- CONNECT-02-01

Stimulating Experimentation Practices

# Basic information

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|   |                                    |
|---|------------------------------------|
| <b>Type of Action</b>                       | CSA Action (100%)                  |
| <b>Call opening date</b>                    | 8 <sup>th</sup> of June 2023       |
| <b>Deadline for submissions</b>             | 21 <sup>st</sup> of September 2023 |
| <b>Time to inform applicants</b>            | November 2023                      |
| <b>Time to grant</b>                        | February-March 2023                |
| <b>Total indicative EU Budget</b>           | € 4M                               |
| <b>Expected EU contribution per project</b> | € 1 M                              |
| <b>Expected grants to be signed</b>         | 4                                  |
| <b>Estimated projects duration</b>          | Not specified                      |

# Expected outcomes

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- Increase knowledge on **experimentation frameworks** for testing innovations;
- Provide **services for testing innovative solutions** leading to technology upscaling, reducing cost, accelerating time to the market, and reducing investment risks;
- Enhance **knowledge sharing and development of best practices** between stakeholders that have been actively engaged in testing and experimentation processes;

- 
- Facilitate the deployment and potential commercialisation of new innovative solutions;
  - Identify areas where the multi-sectoral and/or emerging nature of some innovations requires coordinated action by innovators and regulators;
  - Identify legal, regulatory, fiscal, technical, and operational pre-requisites or barriers for different use-cases which hamper the development of innovation;
  - Explore areas where the European supervisory authority exists, and pan-European testing might be desirable.

# Scope

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- This action is expected to **support policy makers** in their aim
- to **enable, promote and support** transformative innovation
- by **utilising the different experimentation frameworks/spaces** (such as regulatory sandboxes, living labs, and test beds),
- and **recognise** what could be **implemented** or not.



# Proposals should

---

- Identify **an area** where Innovative solutions emerge
  - Innovation areas which are hampered by existing regulation
  - Or Innovation areas which are unregulated
- Areas in which **there is a need for testing** before deployment to market (including smart specialisation)
- Propose an **action plan** for setting up an experimentation space
- **Implement** the experimentation space
- **Identify** potential legal, regulatory, fiscal, technical and operational pre-requisites or barriers for helping policy makers to foster further innovation

# Activities

---

- **Identification of areas** where experimentation could facilitate the deployment of disruptive technologies by establishing a regulatory Sandbox, living lab or test bed.
- **Awareness raising** and enhanced knowledge on the **existing** experimentation frameworks for testing innovation
- Identify and scale up **best practice examples** of regulatory sandboxes, living labs and test beds
- **Connect** innovators with organisations that practice experimentation
- Creation or use of **networking and coordination structures and tools** (EIT KICs listed as example)
- **Establishment of an experimentation space** or cooperation with existing services
- Address the question of **intellectual property** right related to disruptive technologies

# Consortium synthesis

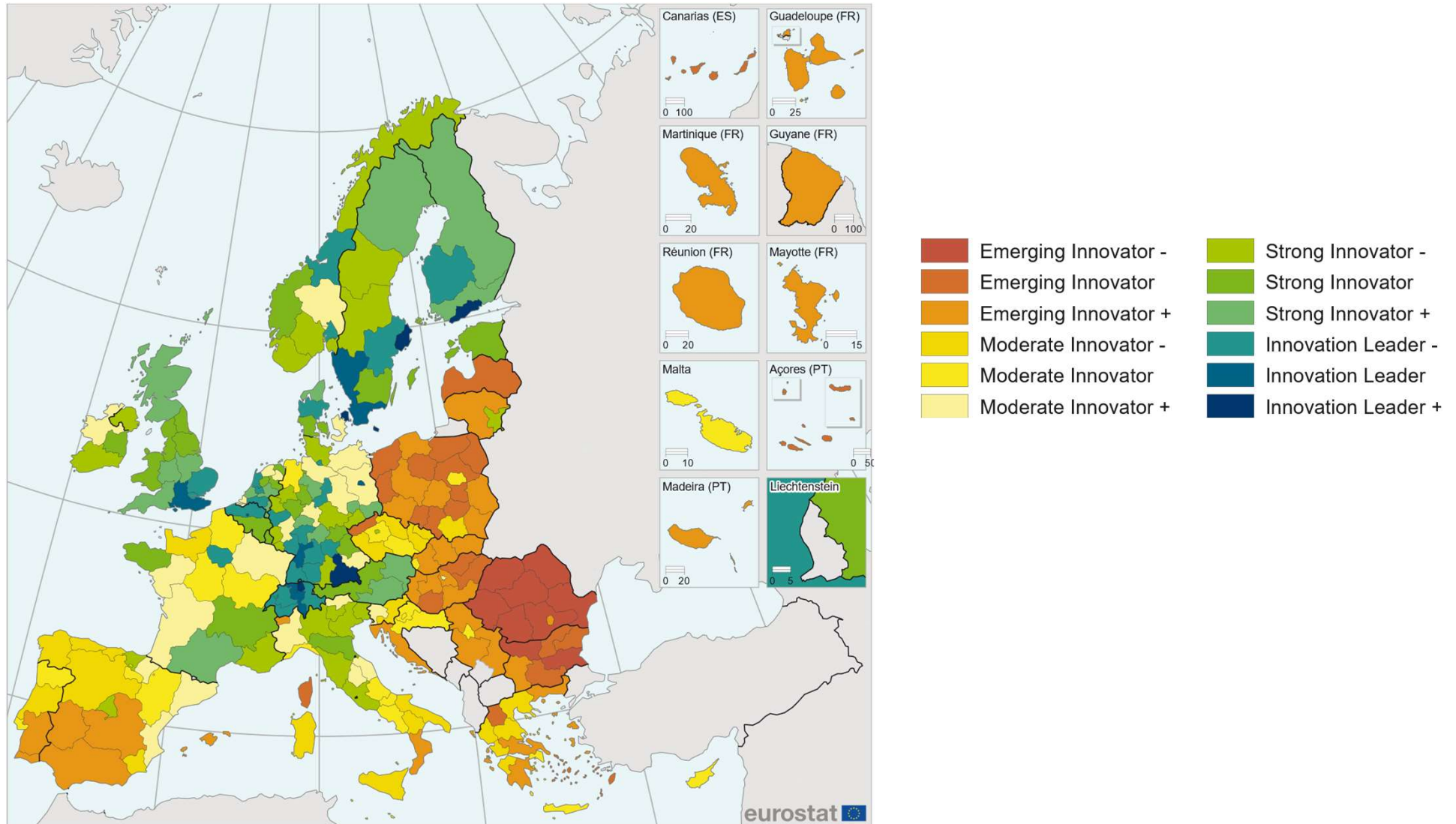
# Who can apply - Eligibility conditions

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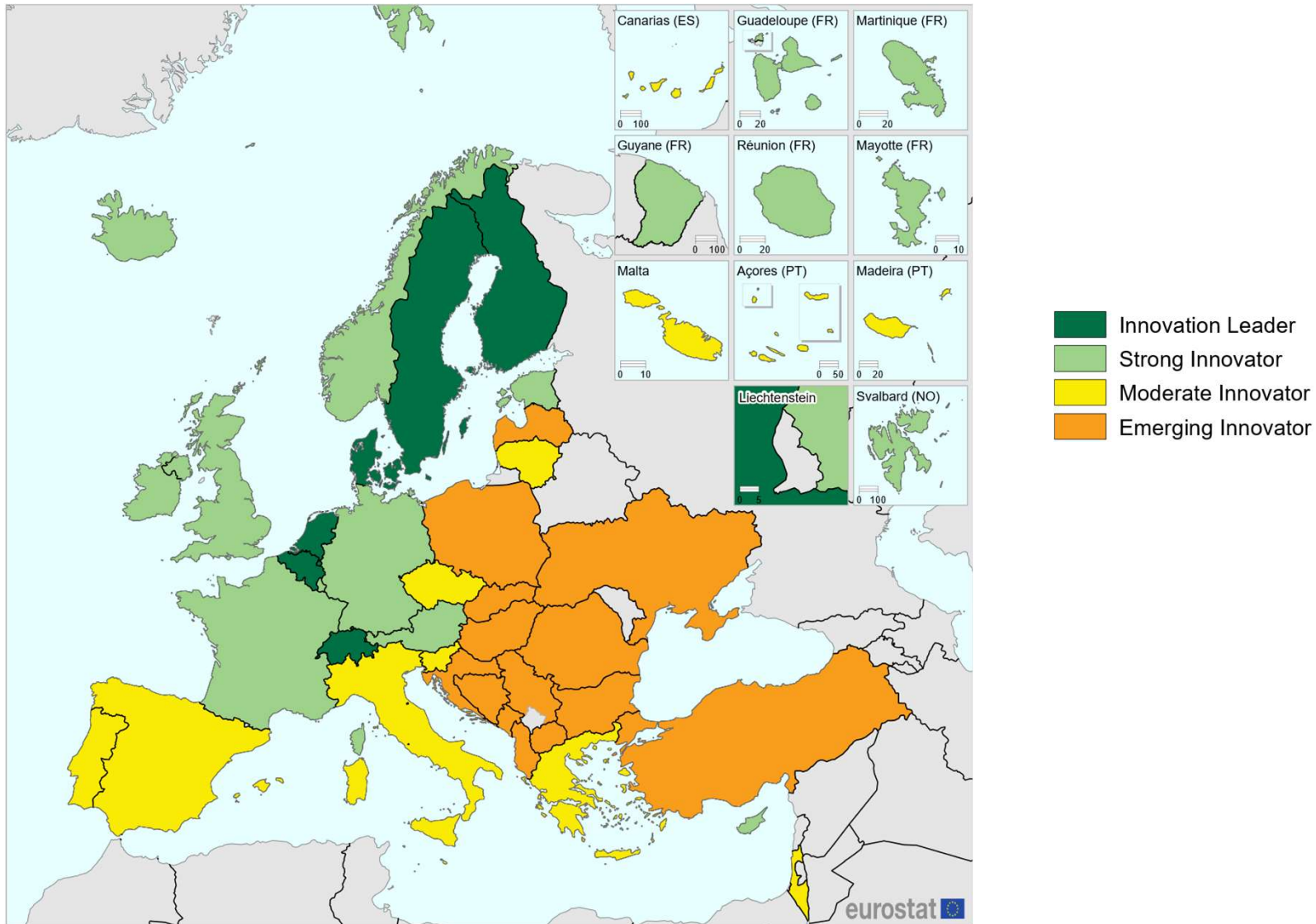
Participation, as beneficiaries of:

- At least three (3) legal entities from at least three (3) different Member States or Associated Countries, of which
  - at least one (1) is representing a 'moderate' or 'emerging' innovator region and
  - at least one (1) is representing a 'strong' or 'innovation leader' innovator region

# Regional Innovation Scoreboard 2021



# European Innovation Scoreboard 2022



# Who can apply

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## Target group (indicative)

- Innovators,
- Research and technological organisations,
- National and regional authorities,
- European Institute of Innovation and Technology Knowledge and Innovation Communities (EIT KICs),
- Small and Medium-sized Enterprises (SMEs),
- Start-ups,
- Regulators and other government bodies,
- Non-government organisations (NGOs), and other civil society organisations.

# A proper mix of partners

| Type of partner                        | Role  |
|--|---|
| Regulators and other government bodies | Provide the area(s) for regulation testing, exploit outcomes of experimentation exercises   |
| Research & Technology Organisations    | Provide experimentation space eg. as testbeds   |
| Universities                           | Provide experimentation space, assist in proposition of action plan, suggestions to the drafts of new regulations/policies etc.                   |
| Clusters                               | Provide updated SME business & technology needs<br>Facilitate the participation of SMEs / members in the activities.<br>Assist in D&E activities. |
| Participants of KICs                   | EIT KICs in the area of innovation testing  |
| SMEs / start-ups                       | Provide input from the field on areas unregulated or hampered by existing regulation  |
| Living Labs                            | Existing living labs to provide expertise/infrastructure etc.   |



# Helpful documents, policies & projects

- 
- Example of regulatory sandbox: European Blockchain Regulatory Sandbox  
<https://ec.europa.eu/digital-building-blocks/wikis/display/EBSI/Sandbox+Project>
  - World Bank: How to Build a Regulatory Sandbox A Practical Guide for Policy Makers  
<https://documents1.worldbank.org/curated/en/126281625136122935/pdf/How-to-Build-a-Regulatory-Sandbox-A-Practical-Guide-for-Policy-Makers.pdf>
  - The handbook for regulatory sandboxes - BMWK  
[https://www.bmwk.de/Redaktion/EN/Publikationen/Digitale-Welt/handbook-regulatory-sandboxes.pdf?\\_\\_blob=publicationFile&v=2](https://www.bmwk.de/Redaktion/EN/Publikationen/Digitale-Welt/handbook-regulatory-sandboxes.pdf?__blob=publicationFile&v=2)
  - European Network of Living Labs (ENoLL)  
<https://enoll.org/>

# Existing specific projects

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- Open Innovation Testbeds (EU funded projects):  
<https://cordis.europa.eu/article/id/436434-open-innovation-test-beds-to-accelerate-european-innovation>  
[https://publications.europa.eu/resource/ellar/fb403a4e-0673-11ee-b12e-01aa75ed71a1.0001.01/DOC\\_1](https://publications.europa.eu/resource/ellar/fb403a4e-0673-11ee-b12e-01aa75ed71a1.0001.01/DOC_1)
- EIT Manufacturing Digitalised Testbeds:  
<https://www.eitmanufacturing.eu/what-we-do/cross-kic-transversal-activities/digitalised-testbeds/>
- EIT Community Testbeds  
<https://testbeds.eitcommunity.eu/>
- EIT FOOD selected Testbeds  
<https://www.eitfood.eu/projects/end-to-end-digitised-production-test-beds/selected-testbeds>

# HORIZON-EIE-2023- CONNECT-02-02

Specialist Advisory Services to build capacities on innovation procurement

# Basic information

|   |                                    |
|---|------------------------------------|
| <b>Type of Action</b>                       | CSA Action (100%)                  |
| <b>Call opening date</b>                    | 8 <sup>th</sup> of June 2023       |
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| <b>Expected grants to be signed</b>         | 4                                  |
| <b>Estimated projects duration</b>          | Not specified                      |

# Expected outcomes

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- Promote opportunities that innovation procurement opens for public procurers;
- Enhance public buyers' familiarity with innovation procurement processes which could lead to the establishment of long-term and sustainable innovation procurement strategies;
- Further engagement of the public procurers' communities with Small and Medium-sized Enterprises (SMEs), start-ups, incubators, accelerators, and research institutions in driving innovation demand and detecting innovative solutions;

- 
- Contribute to a **cultural change** in public buyers' perception for adopting risk-averse innovative solutions;
  - **Stimulate SME's response** to public buyers' needs and challenges aiming at decreasing potential uncertainties;
  - Improve **the procurers' capacity** to **communicate** their **needs** and identify innovative suppliers who could effectively address them;
  - Deploy **public and private partners' collaboration** in **co-design processes** to match their needs and identify existing technologies that could result in procurement of innovation.

# Scope

---

- This action will support innovation procurement specialist advisory services
- that will act as the intermediary between public procurers and innovative suppliers,
- bridging those gaps that hamper the progress in the integration of innovative solutions in the public sector.
- With these innovation procurement specialist advisory services, it is expected
- to overcome the fragmentation and dispersion of public procurement across the EU,
- enhancing the coordination on procuring innovative solutions within Member States and Associated Countries.



# Proposals should

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Expected from specialist advisory service providers:

- Specialised knowledge on one or more market sector(s) and a good awareness of the national, regional, or local innovative start-ups and SMEs which are active in their sector(s) of specialisation;
- Strong awareness of market opportunities that exist in their sectors of expertise
- Good understanding of both public procurers needs and possible solutions from suppliers
- Good technical background on their sectors
- Thorough knowledge of relevant procurement procedures
- Strong knowledge of and good connections to innovative SMEs and the start-up environment, including the European Innovation Council (EIC) and the EIT, as well as other EU and national networks (Enterprise Europe Network, Startup Europe, etc.).

# Activities

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- Awareness-raising and enhanced knowledge on innovation procurement legal frameworks for public procurers;
- Enhanced innovation knowledge and skills in procurers, raising awareness about co-design processes between SMEs and procurers (public and private) that may help to discover the most up-to-date innovative technological solutions, and assist in their development and further acquisition;
- Scale up examples of best practice on the definition of needs and design of procedures and long-term strategies in the field of innovation procurement;
- Create more structured cooperation between the ecosystems of procurers and financial investors for innovation procurements (incl. the setting up new expert networks by sharing best practices among them).

# Consortium synthesis

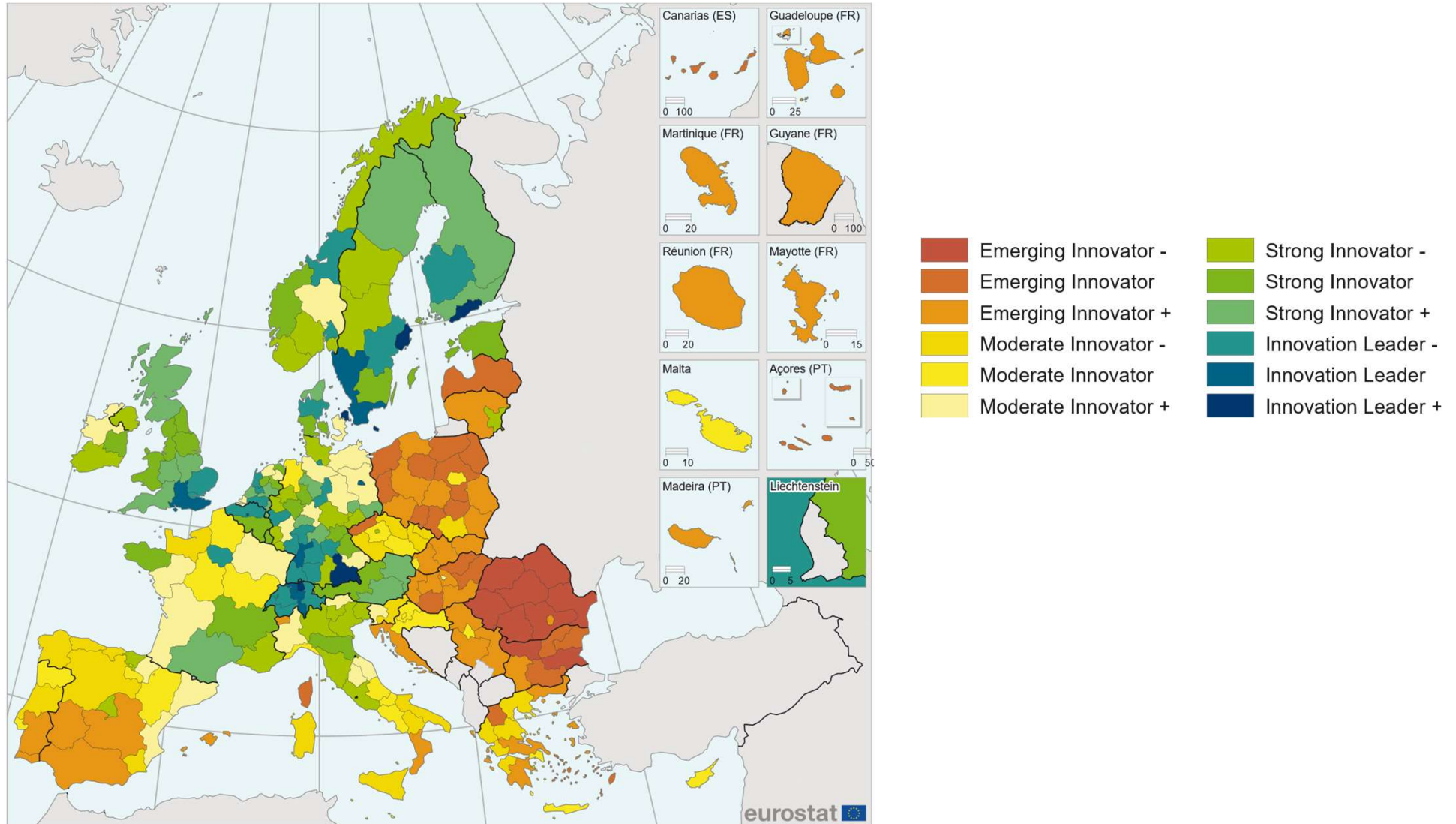
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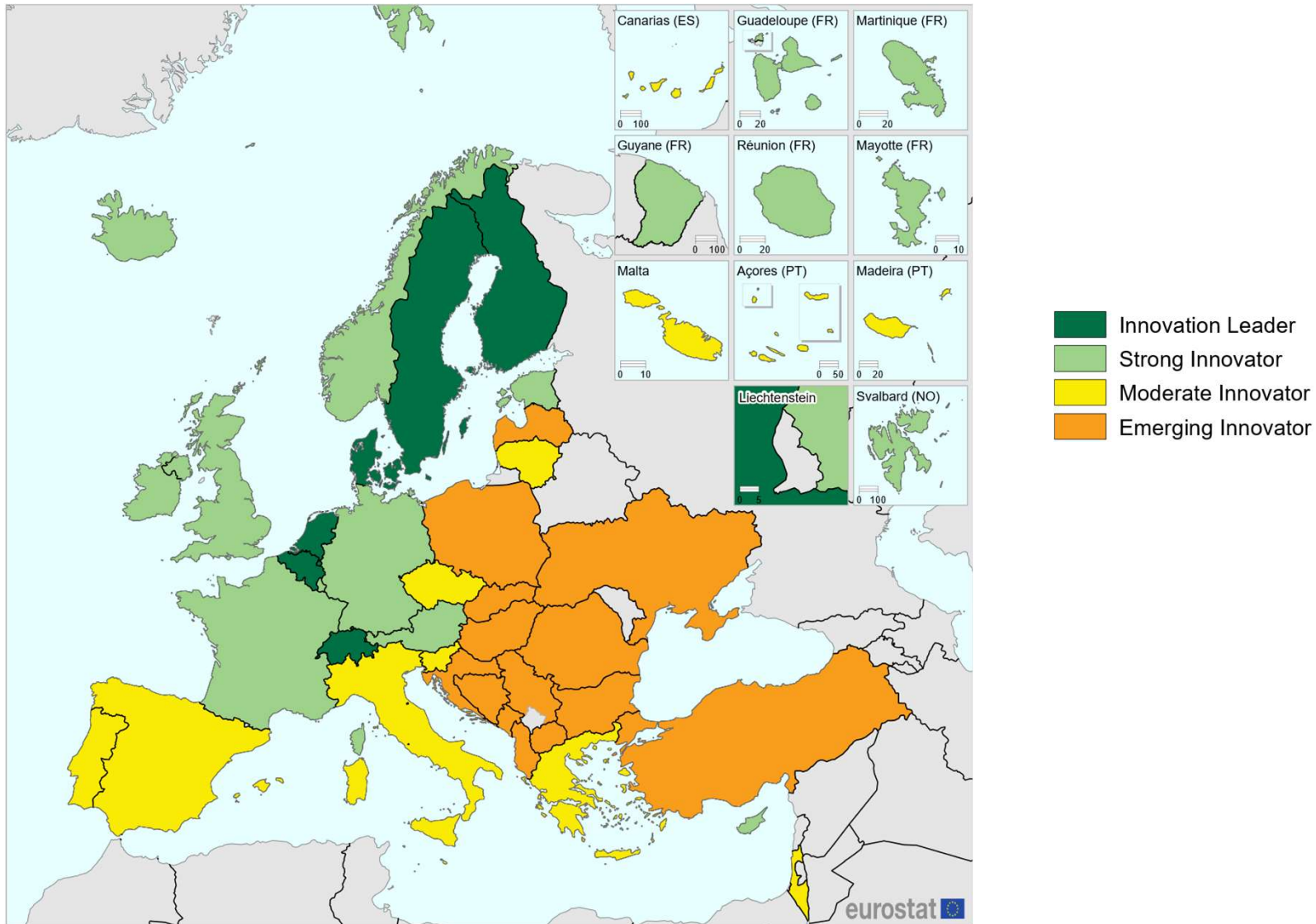
Participation, as beneficiaries of:

- At least three (3) legal entities from at least three (3) different Member States or Associated Countries, of which
  - at least one (1) is representing a 'moderate' or 'emerging' innovator region and
  - at least one (1) is representing a 'strong' or 'innovation leader' innovator region

# Regional Innovation Scoreboard 2021



# European Innovation Scoreboard 2022



# Who can apply

---

## Target group (indicative)

- Public and private procurers
- State-owned enterprises
- SMEs and start-ups
- Research and technological organisations
- Innovation agencies and other public bodies responsible for promoting innovation procurement
- European Institute of Innovation and Technology (EIT) and Knowledge and Innovation Communities (KICs)

# A proper mix of partners

| Type of partner  | Role   |
|--|--|
| Public and private procurers                                   | To share best practices or use.  |
| State-owned enterprises  | Provide information on demands and needs of public procurers<br>Assist with procurement framework & procedures         |
| Research & Technology Organisations                            | Provide assistance with the technical background and consultancy on technical solutions                                |
| Innovation agencies, clusters, other innovation intermediaries | Connexion with the SMEs and the startup environment. Could be a local Enterprise Europe Network node or an EIT KIC Hub |
| SMEs / consultants   | Specialised in public procurement to provide consulting services.  |
|  |  |



# Helpful documents, policies & projects

- 
- European Commission site on Innovation procurement

[https://single-market-economy.ec.europa.eu/single-market/public-procurement/strategic-procurement/innovation-procurement\\_en](https://single-market-economy.ec.europa.eu/single-market/public-procurement/strategic-procurement/innovation-procurement_en)

- COMMISSION NOTICE: Guidance on Innovation Procurement

<https://ec.europa.eu/docsroom/documents/45975>

- European Assistance For Innovation Procurement – EAFIP

<https://eafip.eu/>

- The Procure4Health project is a growing community of European Health organisations interested in procurement of innovation. Its 33 founding partners actively promote innovation procurement through knowledge sharing and capacity building; networking and matchmaking; identification of common needs and the launch of joint actions to address them as well as influencing policy on procurement of innovation. The community is open to new members to benefit from its value.
  - Ministry of Health of Türkiye.
- <https://procure4health.eu/>

# Proposal Templates

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## Applicants should submit:

- Part A - Forms & budget

[https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/af/af\\_he-cofund\\_en.pdf](https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/af/af_he-cofund_en.pdf)

- Part B - Technical info (main proposal – max 33 pages for CSA with lump sum)
- Annexes:
  - Detailed Budget

# Structure of Part B

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*The title, list of participants and sections 1, 2 and 3, together, should not be longer than 33 pages*

1. Excellence
  1. Objectives (1 page)
  2. Coordination and/or support measures and methodology (6 pages)
2. Impact
  1. Project's pathways towards impact (4 pages)
  2. Measures to maximise impact - Dissemination, exploitation and communication (3 pages)
  3. Summary (2 pages)
3. Quality and efficiency of the implementation
  1. Work plan and resources (13 pages)
  2. Capacity of participants and consortium as a whole (3 pages)

# 1. Excellence

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## **Aspects to be taken into account.**

- Clarity and pertinence of the project's objectives
- Quality of the proposed coordination and/or support measures including soundness of methodology.
- *Taken into account only to the extent that the proposed work is within the scope of the work programme topic*

# 1.1 Objectives (1 page)

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- Briefly describe the objectives of the proposed work.
- Justify the need for the project using hard data from studies, policy documents etc.
- Give the expected timeframe to achieve the specific objectives.
- Link the objectives of the project to the objectives of the work programme topic. Use a table to make it clear.
- Objectives should be clear, realistic, measurable, achievable and verifiable. Link them to WP activities and with KPIs

## 1.2 Coordination and/or support measures and methodology (10 pages)

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- Describe and explain the coordination and/or support measures and the overall methodology, including the concepts, models and assumptions that underpin your work. Explain how this will enable you to deliver your project's objectives. Refer to any challenges you may have identified in the chosen methodology and how you intend to overcome them.
  - [e.g. 4.5 pages]
- Provide a narrative of the project methodology.
- Describe the main concepts and assumptions in the beginning of the narrative. They are the guiding principles.
- Describe in detail the activities and link with objectives and WPs & Tasks.
  - Use process diagrams, pictures, tables to assist the reader understand quickly.



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- Describe how appropriate open science practices are implemented as an integral part of the proposed methodology.
    - [e.g. 1 page, including research data management].
  - 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 1/2 page on how the data/ research outputs will be managed in line with the FAIR principles (Findable, Accessible, Interoperable, Reusable)

## 2. Impact

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### 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.*

## 2.1 Project's pathways towards impact (4 pages)

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- 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.
  - 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.
  - 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.
  - 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.

# Advice

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- ‘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.

# Advice

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- Provide a narrative
- For each impact stated in the WP (table)
  - Impact analysis
  - How exactly the project contributes
  - How is progress assessed – which are the KPIs
  - Baseline and targets
  - Which activities (WPs and/or specific tasks) contribute to reach the target.
- Explain what the impact will be for the various stakeholders, incl. the project partners:
  - Short-term (duration of the project)
  - Mid-term (towards the end and a bit after the end of the current Programming Period)
  - Long term (well beyond the end of the Programming Period)

## 2.2 Measures to maximise impact - Dissemination, exploitation and communication (5 pages)

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- 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’
- Outline your strategy for the management of intellectual property, foreseen protection measures, , such as patents, design rights, copyrights, trade secrets, etc., and how these would be used to support exploitation.

# Advice

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- A WP should be dedicated to Communication / Dissemination / Exploitation
- A 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. It should be updated regularly.
- 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

# Advice

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- Communication 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
- Describe possible feedback to policy measures generated by the project that will contribute to designing, monitoring, reviewing and rectifying (if necessary) existing policy and programmatic measures or shaping and supporting the implementation of new policy initiatives and decisions.



## 2.3 Summary

### KEY ELEMENT OF THE IMPACT SECTION

| SPECIFIC NEEDS   | EXPECTED RESULTS  | D & E & C MEASURES  |
|--|---|---|
| <p><i>What are the specific needs that triggered this project?</i></p> <p><b>Example 1</b><br/>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.</p> <p><b>Example 2</b><br/>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.</p> | <p>What do you expect to generate by the end of the project?</p> <p><b>Example 1</b><br/><b>Successful large-scale demonstrator:</b><br/>Trial with 3 airports of an advanced forecasting system for proactive airport passenger flow management.</p> <p><b>Algorithmic model:</b><br/>Novel algorithmic model for proactive airport passenger flow management.</p> <p><b>Example 2</b><br/>Publication of a <b>scientific discovery on transparent electronics.</b></p> <p><b>New product:</b> More sustainable electronic circuits.</p> <p><b>Three PhD students trained.</b></p> | <p>What dissemination, exploitation and communication measures will you apply to the results?</p> <p><b>Example 1</b><br/><b>Exploitation:</b> Patenting the algorithmic model.</p> <p><b>Dissemination towards the scientific community and airports:</b> Scientific publication with the results of the large-scale demonstration.</p> <p><b>Communication towards citizens:</b> An event in a shopping mall to show how the outcomes of the action are relevant to our everyday lives.</p> <p><b>Example 2</b><br/><b>Exploitation of the new product:</b> Patenting the new product; Licencing to major electronic companies.</p> <p><b>Dissemination towards the scientific community and industry:</b> 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.</p> |

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

# 3. Quality and efficiency of the implementation

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## **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 (13 pages)

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- 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);

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- a list of milestones (table 3.1d);
  - a list of critical risks, (table 3.1e)
  - 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)

# Advice

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- 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.
- Specify which types and levels of contributions from partners are necessary to achieve the objectives and impacts (financial contributions, in-kind contributions, activities/resources linked to market, regulatory, societal or policy uptake, broader investments) and provide qualitative and quantitative information on these. Explain how reaching these objectives could be monitored throughout the programme.

# Advice

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- 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.
- Include a distinct work package on ‘project management’, and to ‘data management’ ‘dissemination and exploitation’ and ‘communication activities’.

# Advice

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- Give extra care to check that numbers match (costs, person months etc) in the various tables.
- Not too many details & explanations in the descriptions of the WPs (table 3.1b).
  - Work plan has to be clean - just the description of the tasks.
  - All the explanations, justifications etc. were in §1.2-Methodology
- Objectives of each WP should be related with the Specific & Operational Objectives of the project. Should already be mentioned in §1.2



# Advice

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- Milestones:
  - Milestones are control points in the project that help to chart progress.
  - Use them only for major outputs in complicated projects.
  - Otherwise leave the section on milestones empty.
  - Means of verification are how you intend to prove that a milestone has been reached. If appropriate, you can also refer to indicators.
- Deliverables are project outputs which are submitted to show project progress.
  - Keep them to a minimum for effectiveness & efficiency
  - Do not forget the obligatory ones:
    - D&E Plan at M6

# Advice

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- Risks (table 3.1e)
  - Describe critical risks, uncertainties or difficulties related to the implementation of your project, and your measures/strategy for addressing them. Indicate for each risk (in the description) the impact and the likelihood that the risk will materialise (high, medium, low), even after taking account the mitigating measures.
  - In the “Proposed risk-mitigation measures” describe:
    - **Proactive measures:** How have you planned through activities / management & decision processes, etc. to minimise the risk.
    - **Reactive measures:** How you are planning to minimise the negative impact and react in case the risk is materialised.

## 3.2 Capacity of participants and consortium as a whole (3 pages)

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- 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.

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- 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).

# Advice – Consortium

- Explain the role of each partner in the project and how they all fit together
- Show the complementarities
- Include roles & connexions with other initiatives relevant to the project

| Complementarities                                       | Partner 1 | Partner 2 | Partner 3 | Partner 4 | Partner 5 | Partner 6 | Partner 7 | Partner 8 | Partner 9 | Partner 10 |
|---|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|------------|
| EU Programmes National Contact Point                    | ✓         | ✓         |           |           |           |           |           |           |           |            |
| University  |           |           |           |           | ✓         | ✓         | ✓         |           |           | ✓          |
| RTO   | ✓         | ✓         | ✓         | ✓         |           |           |           |           |           |            |
| Industrial Association                                  |           |           |           |           |           |           |           | ✓         |           |            |
| Large Company   |           |           |           |           |           |           |           |           | ✓         |            |
| EEN   | ✓         |           |           |           |           |           |           | ✓         |           |            |
| Europe Direct   | ✓         |           |           |           |           |           |           |           |           |            |
| European Resource Efficiency Knowledge Support provider | ✓         |           |           |           |           |           |           |           |           |            |
| Advanced Technologies for Industry Technology Centres   | ✓         |           |           |           |           |           |           |           |           |            |
| Competence Centre                                       | ✓         | ✓         | ✓         |           |           |           |           |           |           |            |
| Copernicus Relay  | ✓         |           |           |           |           |           |           |           |           |            |
| Digital Innovation Hub                                  | ✓         | ✓         | ✓         | ✓         |           |           |           |           |           |            |
| Cluster Facilitators                                    | ✓         | ✓         | ✓         | ✓         |           |           | ✓         |           | ✓         |            |
| EU IPR Helpdesk Ambassador                              | ✓         |           |           |           |           |           |           |           |           |            |
| Participation in relevant FP and H2020 projects         | ✓         | ✓         | ✓         | ✓         | ✓         | ✓         | ✓         | ✓         | ✓         | ✓          |
| EIT   | ✓         |           |           | ✓         |           |           |           |           |           |            |
| Technology Transfer Office                              | ✓         | ✓         | ✓         | ✓         | ✓         | ✓         |           |           |           | ✓          |
| Technology Park / Incubator                             | ✓         | ✓         | ✓         |           |           |           |           |           |           |            |
| Participation in Regional Councils for R&I              | ✓         | ✓         | ✓         | ✓         | ✓         | ✓         | ✓         | ✓         |           | ✓          |

- Explain how these will be exploited in the project (links with activities)

# Lump Sum proposals

Lump Sum page in EC:

<https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/programmes/horizon/lump-sum>

# Basic principles

- Lump sum grants follow the standard approach as much as possible
- same: templates, evaluation criteria, payment scheme, technical reporting
- One lump sum share per work package and beneficiary
- Very simple financial reporting
- Lump sum shares paid upon completion of work packages

|               | WP1            | WP2            | WP3            | WP4            | WP5            | WP6            | WP7            | WP8            | Total            |
|---------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|------------------|
| Beneficiary A | 250.000        |                |                | 50.000         | 300.000        | 250.000        |                | 300.000        | 1.150.000        |
| Beneficiary B |                | 250.000        | 350.000        | 50.000         |                |                | 100.000        | 150.000        | 900.000          |
| Beneficiary C | 100.000        | 100.000        |                | 50.000         |                | 280.000        |                |                | 530.000          |
| Beneficiary D |                | 120.000        |                | 50.000         |                |                | 100.000        | 150.000        | 420.000          |
| <b>Total</b>  | <b>350.000</b> | <b>470.000</b> | <b>350.000</b> | <b>200.000</b> | <b>300.000</b> | <b>530.000</b> | <b>200.000</b> | <b>600.000</b> | <b>3.000.000</b> |

Shares of the lump sum per beneficiary

Share of the lump sum per WP

Lump sum = Maximum grant amount

# Writing a lump sum proposal

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- Must provide an additional Excel file with the budget
- Provide cost estimations for each cost category per beneficiary (and affiliated entity if any) and per work package.
- The cost estimations must be an approximation of their actual costs. They:
  - are subject to the same eligibility rules as in actual costs grants
  - must be in line with applicants' normal practices
  - must be reasonable / non-excessive
  - must be in line with and necessary for the proposed activities.
- The cost estimations are used to generate in the detailed budget table a breakdown of lump sum shares per work package and per participant.



# Evaluation of a lump sum proposal

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- Proposals will be evaluated by independent experts against the standard evaluation criteria: excellence, impact, and implementation.
- The cost estimations will be assessed against the proposed activities under the implementation criterion.
- Experts will:
  - Ensure that the cost estimations are reasonable and non-excessive
  - evaluate whether the proposed resources and the split of the lump sum allow completing the activities described in the proposal.
- If the experts find overestimated costs, they make concrete recommendations on the budget that are recorded in the Evaluation Summary Report. This will be reflected in a modified lump sum amount in the grant agreement.
- Cost estimations that are clearly overestimated or underestimated lead to a decreased score under the implementation criterion.

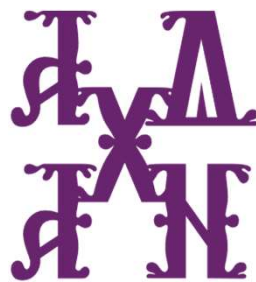
# A few final minor comments

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- Attention to the details
- Follow guidelines from template and give answer to all questions
- Use simple, easy to understand English:
  - One person to do the writing or assemble the final text, well versed in English
  - Ask someone to review
- Use appealing visuals.
  - Readable font (not Arial Narrow)
  - Uniform text formatting
  - Use tables, text boxes, colours
  - Ask the assistance of graphic designer

# Thank you very much!

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