Horizon Europe Programme

Standard Proposal Template (RIA, IA)

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

Version 1.0
10 March 2021

Stellen Sie sicher, dass Sie die Einreichung im Funding &
Tender Portal vom richtigen Topic aus gestartet haben - diesen
Schritt können Sie im Nachhinein nicht mehr korrigieren!

Diese Ausfüllhilfe bezieht sich auf den Part A, die Tabellen in
den elektronischen Formblättern des Submission Systems. Sie
erreichen die Eingabemaske für die Tabellen über
"Administrative Forms" -> "Edit Forms"

Im Submission System laden Sie sich auch das verbindliche
Antrags-Template für die Antragsstrukltur Part B herunter ->
"Download Part B Templates"

Structure of the Proposal

The proposal contains two parts:

- **Part A** of the proposal **is generated by the IT system. It is based on the information entered by the participants through the submission system in the Funding & Tenders Portal.** The participants can update the information in the submission system at any time before final submission.

- **Part B** of the proposal is the narrative part that includes three sections that each correspond to an evaluation criterion. Part B needs to be uploaded as a PDF document following the templates downloaded by the applicants in the submission system for the specific call or topic. The templates for a specific call may slightly differ from the example provided in this document.

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

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

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

HISTORY OF CHANGES		
Version	**Publication date**	**Changes**
1.0	10.03.2021	▪ Initial version
		▪

Please check our <u>wiki</u> for help on navigating the form.

Horizon Europe

Application forms (Part A)

Topic:

Type of action:

Type of Model Grant Agreement:

Proposal number:

Proposal acronym:

Table of contents

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

The forms must be filled in for each proposal using the templates available in the Submission System. Some data fields in the forms are pre-filled based on the previous steps in the Submission wizard.

1 –

Section 1 pro...   ...nts may view this section only. Read-only parts are ma...

Topic	
Call	Type of Model Grant Agreement

> Diese Seite ist vom Koordinator beim ersten Aufsetzen des Antragssystems vor-auszufüllen. Alle Angaben können im Nachhinein noch geändert werden!

Acronym	

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

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

Duration in months	*Estimated duration of the project in full months.*

Fixed keyword	

Fixed keyword	

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

Abstract

The abstract should provide the ...   ...how they will be achieved, and their relevance to the Work Programme. This summ...   ...uation process and in communications to the programme management commi...   ...ecise and should not contain confidential information. Use plain typed text,...   ...ritten in a language other than English, please include an English version of this...

> Der Abstract kann später eingefügt werden. Die Keywords und der Abstract dienen dem Officer zur Auswahl der Gutachter. Stellen Sie sicher, dass alle relevanten Aspekte als "Schlagwörter" vorkommen.

> Hier geben Sie an, ob es sich bei dem Antrag um einen überarbeiteten, früher bereits abgelehnten Antrag handelt. Die EU behält sich vor, Software zu Überprüfung von Antragstexten zu nutzen, um Plagiate auszuschließen.

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

Declarations

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

1) We declare to have the explicit consent of all applicants on their participation and on the content of this proposal.	☐
2) We confirm that the information contained in this proposal is correct and complete and that none of the project activities have started before the proposal was submitted (unless explicitly authorised in the call conditions).	☐
3) We declare: – to be fully compliant with the eligibility criteria set out in the call – not to be subject to any exclusion grounds under the EU Financial Regulation 2018/1046 – to have the financial and operational capacity to carry out the proposed project.	☐
4) We acknowledge that all communication will be made through the Funding & Tenders Portal electronic exchange system and that access and use of this system is subject to the Funding & Tenders Portal Terms & Conditions.	☐
5) We have read, understood and accepted the Funding & Tenders Portal Terms & Conditions and Privacy Statement that set out the conditions of use of the Portal and the scope, purposes, retention periods, etc. for the processing of personal data of all data subjects whose data we communicate for the purpose of the application, evaluation, award and subsequent management of our grant, prizes and contracts (including financial transactions and audits).	☐
6) We declare that the proposal complies with ethical principles (including the highest standards of res… as well as a… Eur… App… to p… bre…	☐
7) We … use… inv… req… exp…	☐
8) We … These a…	☐
9) We … have bee…	☐
10) *[Additional option for LUMP SUM Grants:* For Lump Sum Grants with a detailed budget table: We understand and accept that the EU lump sum grants must be reliable proxies for the actual costs of a project and confirm that the detailed budget for the proposal has been established in accordance with our usual cost accounting practices and in compliance with the basic eligibility conditions for EU actual cost grants (see *AGA — Annotated Grant Agreement, art 6*) and exclude costs that are	☐

> **Diese Erklärungen muss der Koordinator abgeben.**
>
> Da u.a. ein explizites Einverständnis aller Partner zur Teilnahme an diesem Antrag erforderlich ist, werden vor der Einreichung i.d.R. LoI aller Partner eingefordert. Kontaktieren Sie bitte die EU-Förderberatung
> Dr. Heike Schröder, Tel. 72-7752
> heike.schroeder@tu-clausthal.de
>
> Sie finden einen Muster-LoI für Koordinatoren der TU Clausthal unter:
>
> https://www.sft.tu-clausthal.de/forschungsservice/forschungsfoerderung/arbeitshilfen
>
> Bei weiterem Regelungsbedarf, z.B. zur Geheimhaltung wenden sIe sich bitte an das Justiziariat

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ineligible under the Programme. Purchases and subcontracting costs must be done taking into account best value for money and must be free of conflict of interest. *]*	

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

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

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2 − Participants

List of participating organisations

#	Participating Organisation Legal Name	Country
1		
2		
3		

view/download the Part B and oth

You can manage the list of organisation ... *s to as many contact persons of the selected o* ... *u add a contact person, you will be prompted to* ...

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

Access rights: The main contact person and contact persons of the coordinator with full access rights have the same level of rights: they can manage the list of participants and contacts, edit any part of the administrative part of the proposal and upload any attachments (eg. Part B - technical description), and submit the proposal. Contact persons with read-only rights can only view/download the information. Participant contacts with full access rights can only edit their section of the administrative form and view all proposal data.
Access rights can be revoked by the Coordinating Organisation contacts. The person who created the proposal cannot be deleted.

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

Diese Liste der Partner wird generiert, wenn der CO beim Aufsetzen des elektronischen Antragssystems im Schritt "Participants" die entsprechenden Organisationen mit der PIC-Nr. einrichtet.
Weitere Partner können im Laufe des Antragsprozesses eingefügt oder gelöscht werden, wenn SIe im Submission System unten auf der Seite auf "Back to Participants List" gehen und Partner löschen oder hinzufügen.

Stellen Sie sicher, dass alle Partner Ihnen ihre PIC-Nummern mitgeteilt haben und zumindest vorläufig registriert sind.
Das Antragssystem bietet auch eine PIC-Nummern-Suche an.

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Organisation data

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

PIC	Legal name

Short name

Address of the organisation

Street

Town

Postcode

Country

Webpage

Specific legal statuses

Read more about legal statuses.

Public ....
unknown

Non-profit ....

International organisation ....

International organisation of European interes...

Secondary or Higher education establishment .... unknown

Research organisation .... unknown

SME status

*The enterprise data of the organisation is taken from the Participant Reg...
performed by the self-registrant or by the LEAR (Legal Entity Appointed R...*

SME self declared status.. unknown

SME self-assessment.. unknown

SME validation sme... unknown

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

Organisation data

PIC	Legal name
999865913	*TECHNISCHE UNIVERSITAT CLAUSTHAL*

Short name: TUC

Address

Street	ADOLPH ROMER STRASSE 2A
Town	CLAUSTHAL ZELLERFELD
Postcode	38678
Country	Germany
Webpage	www.tu-clausthal.de

Specific Legal Statuses

Legal person ....
Public body ....
Non-profit ....
International organisation ....
Secondary or Higher education ....
Research organisation ....

SME Data

Durch die Voreintragungen im EU-Portal werden die Angaben zur TU Clausthal automatisch voreingetragen, wenn die PIC beim Aufsetzen des Antrags eingegeben wird.

Die PIC der TU Clausthal lautet: 999 865 913

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Departments carrying out the proposed work

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

Hier tragen Sie das Institut / das Zentrum ein, an dem das EU-Projekt angesiedelt werden soll. Diese Angaben müssen mit den Angaben der vorläufigen Drittmittelanzeige übereinstimmen.

Department 1

Department name [   ] ☐ not applicable

☐ Same as organisation address

Street [*Please enter street name and number*]

Town [   ]

Postcode [   ]

Country [   ]

Links with other participants

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

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

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

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

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

Legal entity A controls legal entity B if:

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

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

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

(a) the same public investment corporation, institutional investor or venture-capital company has a direct or indirect holding of more than 50 %

of the nominal value of the issued share capital or a majority of voting rights of the shareholders or associates;

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

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

Main contact pers

This will be the person the
results, convocation to star
edited in step 'Participants'

Hier geben Sie bitte die verantwortliche Projektleitung (Professor*in, Arbeitsgruppenleitung etc) an. Die Angaben müssen mit den Angaben in der Drittmittelanzeige übereinstimmen.

Informationen zu Projektleitungen an der TU Clausthal entnehmen Sie bitte der Drittmittelrichtlinie!

o hearings, sending of evaluation
Main Contact persons should be

| First name | Last name |

E-mail

| Position in org. | *Please indicate the position of the person* |

| Department | | ☐ Same as organisation |

☐ Same as organisation address

| Street | |

| Town | | Post code | |

| Country | |

| Website | |

Phone 1 | | Phone 2 | |

Other contact persons

First name	**Last name**	**e-mail**	**Phone**

Unter "Other contact persons" können Sie weitere Mitarbeiter*innen des Instituts / der Einrichtung angeben, die über die Evaluationsergebnisse informiert werden sollen z.B. wissenschaftliche Mitarbeiter*innen oder die Geschäftsführung der Zentren.

Hier tragen Sie bitte auch die EU-Förderberatung ein, um bei Aufnahme der Vertragsverhandlungen einen schnellen Informationsfluss zu gewährleisten: Heike Schröder, heike.schroeder@tu-clausthal.de, +49-5323-72 7752

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Researchers involved in the proposal

Include only the researchers involved in the proposal, (see below definition of 'researcher'). You do not need to include in the table the identity of other persons involved in the proposal who are not researchers.

> *'Researchers are professionals engaged in the conception or creation of new knowledge. They conduct research and improve or develop concepts, theories, models, techniques instrumentation, software or operational methods. (Frascati Manual 2015)'*

Include also person in charge of the proposal if a researcher.

Title	First Name	Last Name	Gender	Nationality	E-mail	Career stage[1]	Role of	Reference	Type of

> Diese und die folgenden Tabellen ersetzen die frühere "Section 4" mit der Beschreibung der Expertise der Einrichtung.
>
> Hier tragen Sie alle Personen ein, die einen inhaltlichen Beitrag zum Projekt leisten werden.
> Enthalten sein muss die Projektleitung. Häufig werden weitere Personen aus der Arbeitsgruppe /dem akademischen Mittelbau aufgeführt.
>
> Hinweis: Die Liste dieser Personen muss nicht identisch mit den später abgerechneten Personen sein. Hier eingetragene Personen können später z.B. als Experten an Projekttreffen teilnehmen und die Reisekosten erstattet bekommen.

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[1] Career stages as defined in Frascati 2015 manual:

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

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

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

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

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Role of participating organisation in the project
Applicants may select more than one option.

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

Hier können mehrere Rollen angekreuzt werden und es müssen für ein Projekt nicht alle Rollen vergeben werden, wenn dies nicht sinnvoll erscheint. So muss z.B. in einem sehr grundlagenoriertierten Projekt keine Vertreter der Civil Society eingebunden sein.

Die Eintragungen in diese Tabelle sollten unbedingt im Konsortium abgestimmt werden, damit alle erforderlichen Rollen abgedeckt sind und die Arbeitsteilung klar kommuniziert wird.

List of up to 5 publications, widely-used datasets, software, goods, services, relevant to the call content.

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

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

Name of Project or Activity	Short description

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

Name of infrastructure or equipment	Short description

Gender equality plan

> Hier geben Sie bitte "yes" an. Der Gleichstellungplan der TU Clausthal erfüllt die Kriterien.

Having a gender equality plan is an eligibility criteria for Public bodies, Higher e[...] organisations. Be aware that if the proposal is selected, having a Gender Equality Plan will be necessary before the grant signature (applicable on calls published from 2022 on).

Does the organisation have a Gender Equality Plan (GEP) covering the elements listed below?	○ Yes ○ No

Minimum requirements (building blocks) for a GEP

Public GEP: formal document published on the institution's website and signed by the top management, addressing the following issues:

– **Dedicated resources:** commitment of human resources and gender expertise to implement it.

– **Data collection and monitoring:** sex/gender disaggregated data on personnel and students and annual reporting based on indicators.

– **Training:** Awareness raising/trainings on gender equality and unconscious gender biases for staff and decision-makers.

– **Minimum areas** to be **covered** and addressed via concrete measures and targets:

   o   work-life balance and organisational culture;

   o   gender balance in leadership and decision-making;

   o   gender equality in recruitment and career progression;

   o   integration of the gender dimension into research and teaching content;

   o   measures against gender-based violence including sexual harassment.

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Für die Budgetkalkulation kontaktieren Sie bitte die EU-Förderberatung. Wir stellen Ihnen Kalkulationshilfen in Excel zur Verfügung und beraten Sie zur Budgeterstellung! Beachten Sie auch die Hinweise zur Budgetkalkulation: https://www.sft.tu-clausthal.de/fileadmin/SFT/documents/Forschungsf%C3%B6rderung/Antragstellung/Hinweise_zur_Kostenkalkulation_im_Horizon_Europe.pdf

Dr. Heike Schröder EU Förderberatung heike.schroeder@tu-clausthal.de Tel. 72-7752

Tragen Sie unbedingt die "Requested Contribution" händisch in die Tabelle ein!

No	Participant	Country	Personnel costs/€ (a1)	Subcontracting costs/€ (b)	1 Travel and subsistence/€ (c1)	Equipment/€ (c2)	Other goods, works and /€ (c3)	[specific cost category] /€ (dx)	E. Indirect costs/€ (e) = 25% * [(a1) + (c1)]	Total eligible costs (h) = (a1) + (c1) + (c2) + (c3) + (d) + (e)	Funding rate (U)	Maximum EU contribution to eligible costs (l) = (U) * (h)	Requested EU contribution to eligible costs (Requested amount) (m)	Income	Financial	Own resources (r)	Total estimated income (s)=(n) +(o)+(p)+ (q) + (r)
3	Participant 3	DE														
	Associated Partner	AR														
4	Participant 4 (without funding)	US														
	Total															

Die Kalkulation muss vor der Einreichung von der Drittmittelabteilung freigegeben werden. Reichen Sie eine vorläufige Drittmittelanzeige spätestens 10 Tage vor Abgabe in der Drittmittelabteilung ein!

Possible 'Other cost categories' for Horizon Europe

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Proposal ID **XXXXXXXXX**   *Acronym* **XXXXXXX**

No	Participant name	Country	Estimated project expenditure — Estimated eligible costs — D. Other cost categories									
			D.1 Financial support to third parties (Actual costs) (d1)	D.2 Internally invoiced goods and services (Unit costs - usual accounting practices) (d2)	/D.3 Transnational access to research infrastructures (Unit costs) (d3)]	/D.4 Virtual access to research infrastructures (Unit costs) (d4)]	/D.5 PCP/PPI procurement costs (Actual costs) (d5)]	/D.6 Euratom Cofund staff mobility costs (Unit costs) (d6)]	/D.7 ERC additional funding (Actual costs) (d7)]	/D.8 ERC additional funding (subcontracting, FSTP and internally invoiced goods and services) (Actual costs) (d8)]		
1	Participant 1	NL										
2	Participant 2	LB										
	Affiliated Entity	LB										
3	Participant 3	DE										
	Associated Partner	AR										
4	Participant 4 (without funding)	US										
Total												

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4 – Ethics and Security

Ethics issues table

This table should be completed as an essential part of your proposal. Please go through the table and indicate which elements concern your proposal by answering 'Yes' or 'No'. If you answer 'Yes' to any of the questions,
- *indicate in the adjacent box at which page in your full proposal further information relating to that ethics issue can be found, and*
- *provide additional information on that ethics issue in the Ethics Self-Assessment section.*

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

1. HUMAN EMBRYONIC STEM CELLS AND HUMAN EMBRYOS			Page
Does this activity involve Human Embryonic Stem Cells (hESCs)?		○ Yes ○ No	
If **YES**:	Will they be directly derived from embryos within this project?	○ Yes ○ No	
	Are they previously established cells lines?	○ Yes ○ No	
	Are the cell lines registered in the European registry for human embryonic stem cell lines?	○ Yes ○ No	
Does this activity involve the use of human embryos?		○ Yes ○ No	
If **YES**:	Will the activity lead to their destruction?	○ Yes ○ No	
2. HUMANS			Page
Does this activity involve human participants?		○ Yes ○ No	
If **YES**:	Are they volunteers for nonmedical studies (e.g. social or human sciences research)?	○ Yes ○ No	
	Are they healthy volunteers for medical studies?	○ Yes ○ No	
	Are they patients for medical studies?	○ Yes ○ No	
	Are they potentially vulnerable individuals or groups?	○ Yes ○ No	
	Are they children/minors?	○ Yes ○ No	
	Are they other persons unable to give informed consent?	○ Yes ○ No	
Does this activity involve interventions (physical also including imaging technology, behavioural treatments, etc.) on the study participants?		○ Yes ○ No	
If **YES**:	Does it involve invasive techniques?	○ Yes ○ No	
	Does it involve collection of biological samples?	○ Yes ○ No	
Does this activity involve conducting a clinical study as defined by the Clinical Trial Regulation (EU 536/2014)? (using pharmaceuticals, biologicals, radiopharmaceuticals, or advanced therapy medicinal products)		○ Yes ○ No	

If **YES**:	Is it a clinical trial?		○ Yes ○ No	
	Is it a low-intervention clinical trial?		○ Yes ○ No	

3. HUMAN CELLS / TISSUES (not covered by section 1)				Page
Does this activity involve the use of human cells or tissues?			○ Yes ○ No	
If **YES**:	Are they human embryonic or foetal cells or tissues?		○ Yes ○ No	
	Are they available commercially?		○ Yes ○ No	
	Are they obtained within this project?		○ Yes ○ No	
	Are they obtained from another project, laboratory or institution?		○ Yes ○ No	
	Are they obtained from biobank?		○ Yes ○ No	

4. PERSONAL DATA				Page
Does this activity involve processing of personal data?			○ Yes ○ No	
If **YES**:	Does it involve the processing of special categories of personal data (e.g.: sexual lifestyle, ethnicity, genetic, biometric and health data, political opinion, religious or philosophical beliefs)?		○ Yes ○ No	
	If **YES**:	Does it involve processing of genetic, biometric or health data?	○ Yes ○ No	
	Does it involve profiling, systematic monitoring of individuals, or processing of large scale of special categories of data or intrusive methods of data processing (such as, surveillance, geolocation tracking etc.)?		○ Yes ○ No	
Does this activity involve further processing of previously collected personal data (including use of preexisting data sets or sources, merging existing data sets)?			○ Yes ○ No	
Is it planned to export personal data from the EU to non-EU countries?			○ Yes ○ No	
If **YES**:	Specify the type of personal data and countries involved:			
Is it planned to import personal data from non-EU countries into the EU or from a non-EU country to another non-EU country?			○ Yes ○ No	
If **YES**:	Specify the type of personal data and countries involved			
Does this activity involve the processing of personal data related to criminal convictions or offences?			○ Yes ○ No	

5. ANIMALS				Page
Does this activity involve animals?			○ Yes ○ No	

If **YES**:	Are they vertebrates?	○ Yes ○ No	
	Are they non-human primates (NHP)?	○ Yes ○ No	
	Are they genetically modified?	○ Yes ○ No	
	Are they cloned farm animals?	○ Yes ○ No	
	Are they endangered species?	○ Yes ○ No	

6. NON-EU COUNTRIES			Page
Will some of the activities be carried out in non-EU countries?		○ Yes ○ No	
If **YES**:	Specify the countries:		
In case non-EU countries are involved, do the activities undertaken in these countries raise potential ethics issues?		○ Yes ○ No	
If **YES**:	Specify the countries:		
Is it planned to use local resources (e.g. animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples, etc.)?		○ Yes ○ No	
Is it planned to import any material (other than data) from non-EU countries into the EU or from a non-EU country to another non-EU country? For data imports, see section 4.		○ Yes ○ No	
If **YES**:	Specify material and countries involved:		
Is it planned to export any material (other than data) from the EU to non-EU countries? For data exports, see section 4.		○ Yes ○ No	
If **YES**:	Specify material and countries involved:		
Does this activity involves low and/or lower-middle income countries? (if yes, detail the benefit-sharing actions planned in the self-assessment)		○ Yes ○ No	
Could the situation in the country put the individuals taking part in the activity at risk?		○ Yes ○ No	

7. ENVIRONMENT, HEALTH and SAFETY		Page
Does this activity involve the use of substances or processes that may cause harm to the environment, to animals or plants (during the implementation of the activity or further to the use of the results, as a possible impact)?	○ Yes ○ No	
Does this activity deal with endangered fauna and/or flora / protected areas?	○ Yes ○ No	
Does this activity involve the use of substances or processes that may cause harm to humans, including those performing the activity (during the implementation of the activity or further to the use of the results, as a possible impact)?	○ Yes ○ No	

8. ARTIFICIAL INTELLIGENCE		Page

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

Does this activity involve the development, deployment and/or use of Artificial Intelligence? (if yes, detail in the self-assessment whether that could raise ethical concerns related to human rights and values and detail how this will be addressed).	⊙ Yes ⊙ No	
9. OTHER ETHICS ISSUES		**Page**
Are there any other ethics issues that should be taken into consideration?	⊙ Yes ⊙ No	
Please specify: (Maximum number of characters allowed: 1000)		

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

ETHICS SELF-ASSESSMENT

If you have entered any issues in the ethics issue table, you must perform an ethics self-assessment in accordance with the guidelines "How to Complete your Ethics Self-Assessment" and complete the table below.

Ethical dimension of the objectives, methodology and likely impact

Explain in detail the identified issues in relation to:

— objectives of the activities (e.g. study of vulnerable populations, etc.)

— methodology (e.g. clinical trials, involvement of children, protection of personal data, etc.)

— the potential impact of the activities (e.g. environmental damage, stigmatisation of particular social groups, political or financial adverse consequences, misuse, etc.)

Compliance with ethical principles and relevant legislations

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

Security issues table

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

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

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

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

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

5 – Other questions

Two-stage calls

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

Are there substantial differences compared to the stage-1 proposal?	◌ Yes	◌ No

Questions showed only in answer is Yes:
Please list the substantial differences, and indicate the reasons

☐	Partnership	*List the substantial differences and indicate the reasons*
☐	Budget	*List the substantial differences and indicate the reasons*
☐	Approach	*List the substan...*

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

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

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

Please upload the dedicated annex 'Essential information for clinical studies / trials / investigations' (a Word template is provided under 'download templates' in the up-load section for Part B and Annexes).

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

Please give a short title, an acronym or a unique identifier to each clinical study / trial / investigation, to be used as a reference / identifier in the other parts of the proposal	Add Remove

]