



#HorizonEU

THE EU RESEARCH & INNOVATION PROGRAMME

2021 – 2027

HE CL4 SPACE TIPS FOR PROPOSERS

NCP Training – ONLINE

6 December 2022

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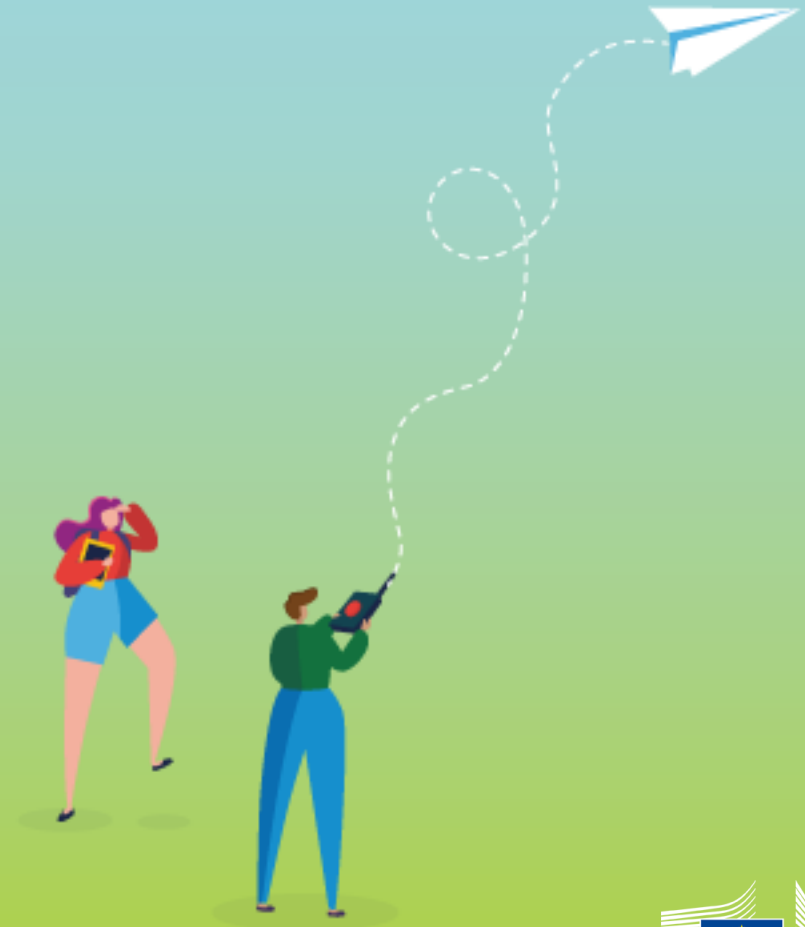
HaDEA Space Research

Research and
Innovation

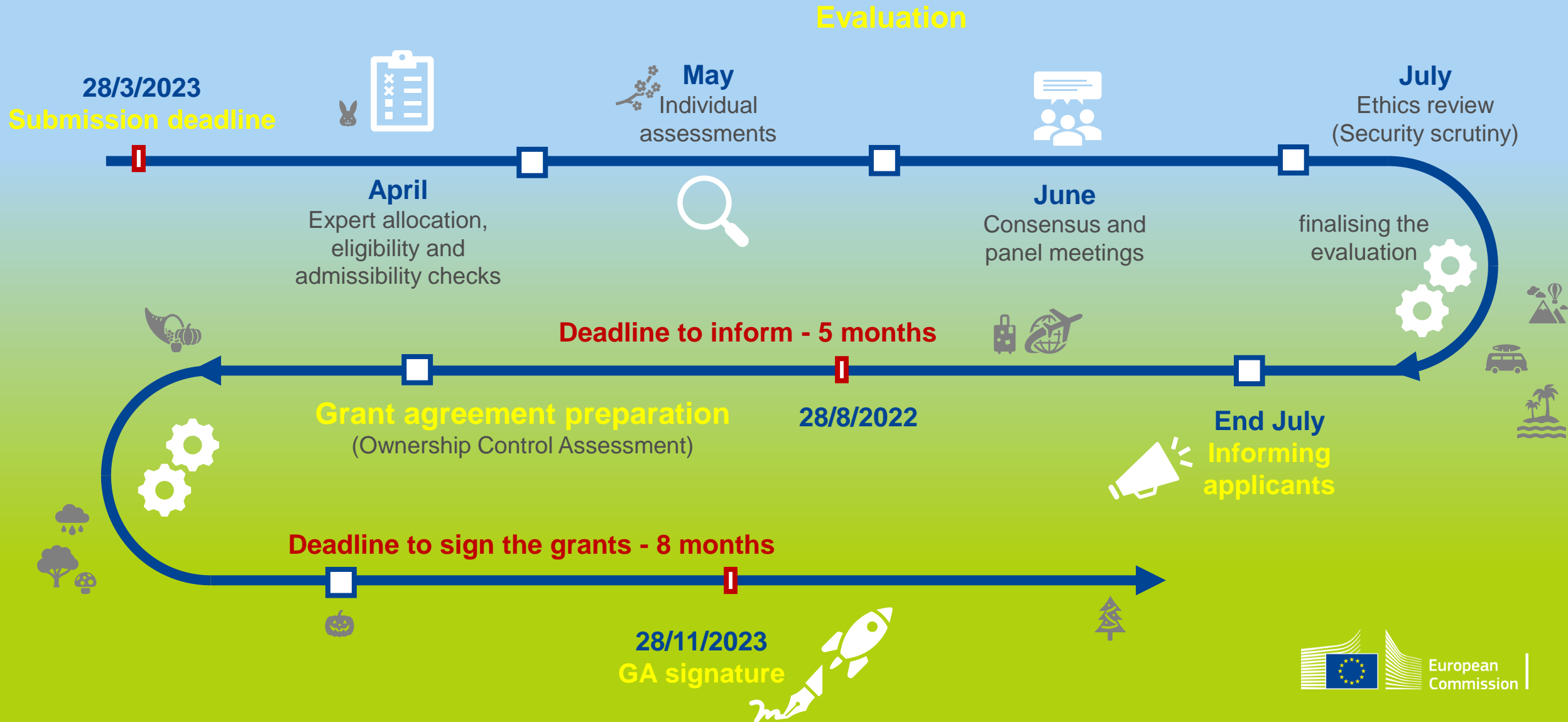
Scope

HORIZON-CL4-2023-SPACE-01

- Timeline
- Where to find information
- How to build a high-quality proposal
- How to submit a proposal
- Special features of the 2023 Space call



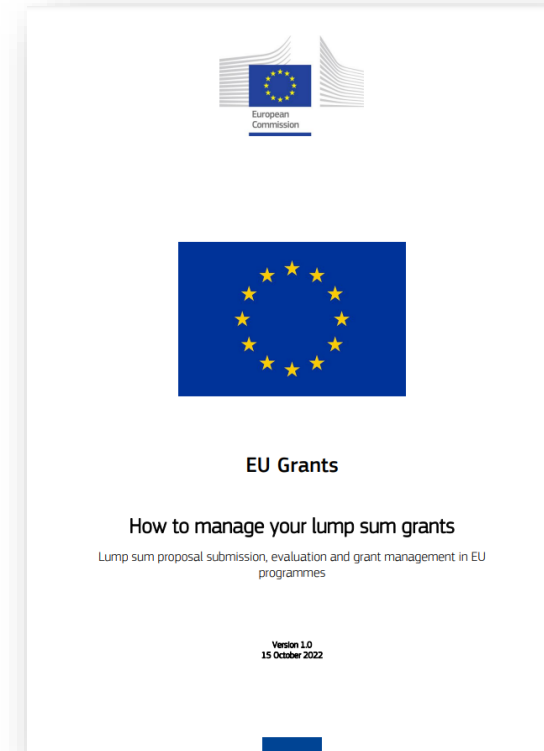
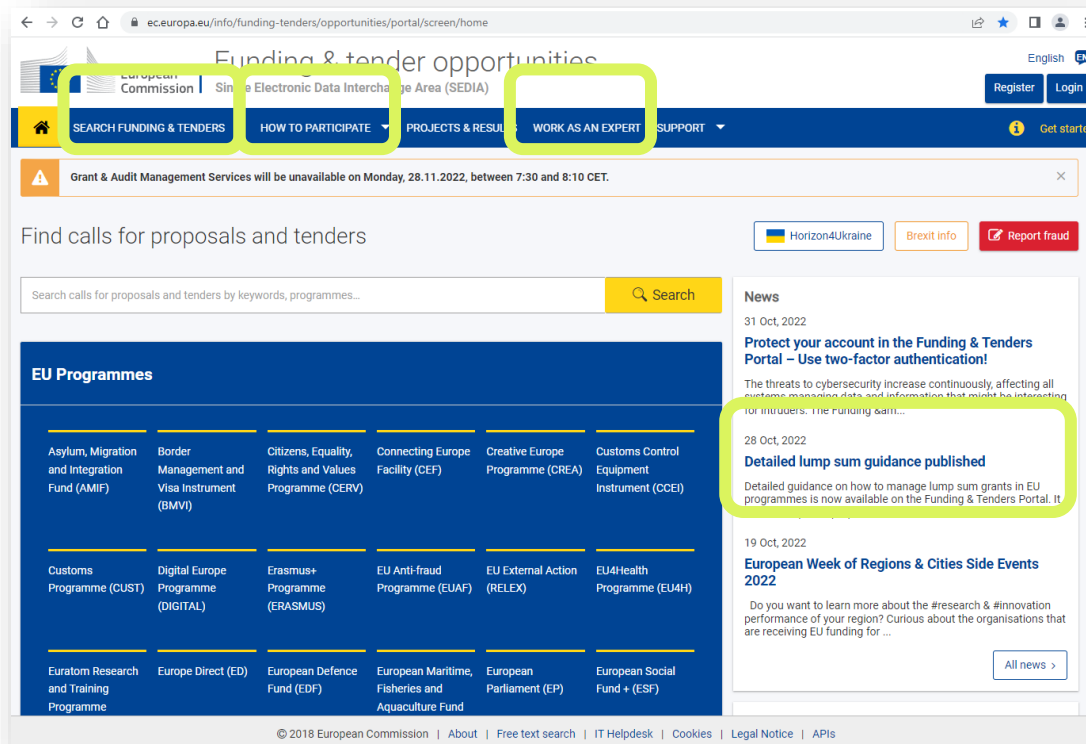
Timeline HORIZON-CL4-SPACE-2023-01



Where to find information





- Funding & Tender Portal


- including a dedicated page on lump sums - with e.g.:





Funding & Tenders portal

■ Online manual


 [SEARCH FUNDING & TENDERS](#)  [HOW TO PARTICIPATE](#)  [PROJECTS & RESULTS](#) [WORK AS AN EXPERT](#) [SUPPORT](#) 


 Due to a system maintenance Submission of tenders services applications will be unavailable Wednesday, 16/11/2022 from 17:00 until 18:00 (Brussels time). We apologize for the inconvenience caused.


 Due to technical maintenance, Funding and Tenders Portal services may not be available on **Wednesday 16th of November 2022 from 19:00 to 23:55**. We apologize for the inconvenience caused.


 **The document repository system will be under maintenance** and all operations on documents will not be possible on **Wednesday 16.11.2022, between 19:00 and 23:55 CET**. Please refrain from launching any document-related process, since these will not work and will have to be restored by the Serv


Guidance & Manuals

 Support overview

 **Guidance & Manuals**

 FAQs

 Helpdesk & Support Services

 Support videos

Grants | **Tenders**

Reference documents
The page reference documents of the programmes managed on the EU Funding & Tenders Portal including legal documents, work programmes, model grant agreements and guides for specific actions.

Online Manual
Step-by-step online guide through the Portal processes from proposal preparation and submission to reporting on your on-going project. Valid for all 2021-2027 programmes.

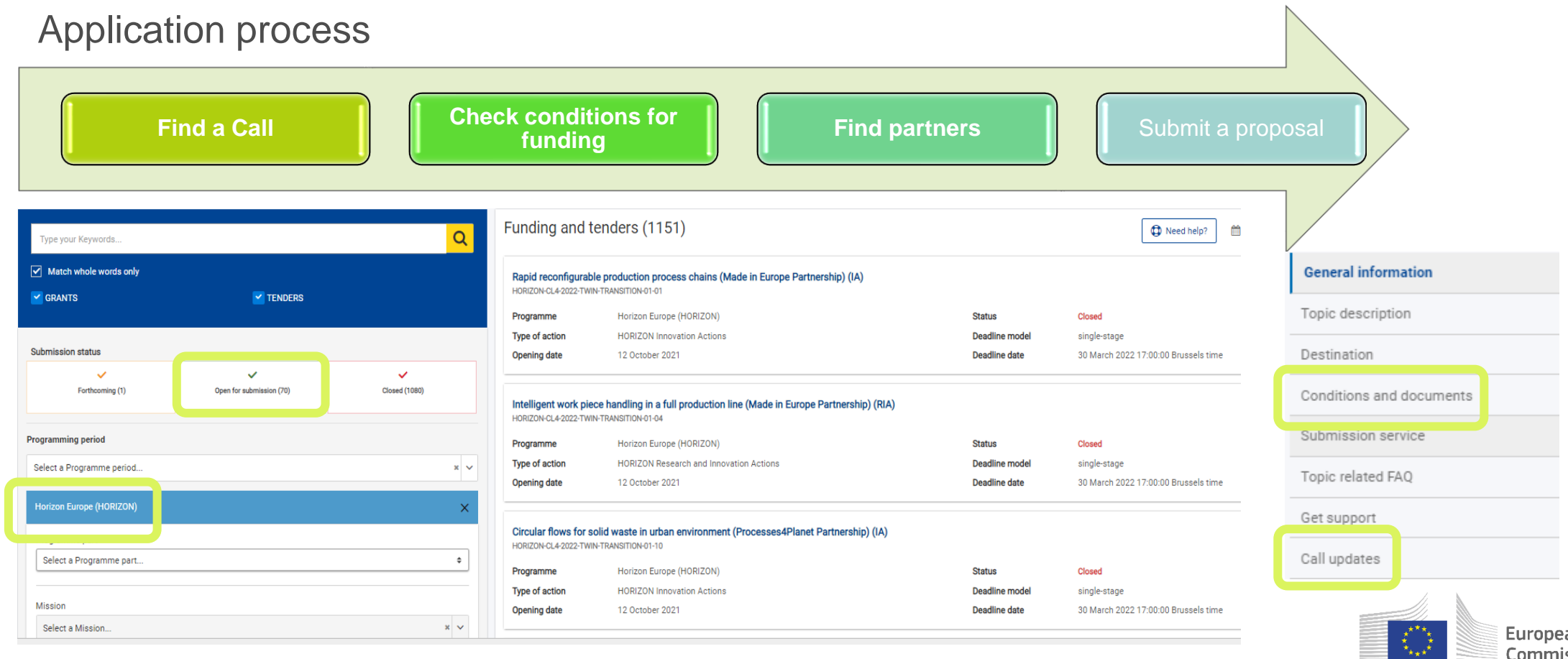
H2020 Online Manual
Step-by-step online guide through the Portal processes from proposal preparation and submission to reporting on your on-going project. Only valid for Horizon 2020.

IT How to
IT support guide with step-by-step walkthroughs and videos.

Glossary
A list of funding and tender definitions.

Funding & Tenders portal

- All participants applying for EU funding must register their organization in the [Participant Register](#) on the Funding & Tenders Portal
- Application process



Work Programme

Call - STRATEGIC AUTONOMY IN DEVELOPING, DEPLOYING AND USING GLOBAL SPACE-BASED INFRASTRUCTURES, SERVICES, APPLICATIONS AND DATA 2023

HORIZON-CL4-2023-SPACE-01

Conditions for the Call

Indicative budget(s)²⁷⁷

Topics	Type of Action	Budgets (EUR million)	Expected EU contribution per project (EUR million) ²⁷⁸	Indicative number of projects expected to be funded
		2023		
Opening: 22 Dec 2022 Deadline(s): 28 Mar 2023				
HORIZON-CL4-2023-SPACE-01-11	IA	10.10 ²⁷⁹	1.00 to 2.50	5
HORIZON-CL4-2023-SPACE-01-12	RIA	15.00 ²⁸⁰	0.50 to 2.50	7
HORIZON-CL4-2023-SPACE-01-13	CSA	2.00	Around 2.00	1
HORIZON-CL4-2023-SPACE-01-21	RIA	20.00 ²⁸¹	Around 20.00	1
HORIZON-CL4-2023-SPACE-01-22	RIA	23.10 ²⁸²	4.00 to 10.00	4
HORIZON-CL4-2023-SPACE-01-23	RIA	10.00 ²⁸³	2.00 to 5.00	3
HORIZON-CL4-2023-SPACE-01-31	RIA	8.60 ²⁸⁴	2.00 to 3.00	3

²⁷⁷ The Director-General responsible for the call may decide to open the call up to one month prior to or after the envisaged date(s) of opening.
The Director-General responsible may delay the deadline(s) by up to two months.
All deadlines are at 17:00:00 Brussels local time.

The budget amounts are subject to the availability of the appropriations provided for in the general budget of the Union for years 2023 and 2024.

²⁷⁸ Nonetheless, this does not preclude submission and selection of a proposal requesting different amounts.

²⁷⁹ Of which EUR 5.00 million from the NGEU Fund Source.

²⁸⁰ Of which EUR 7.50 million from the NGEU Fund Source.

²⁸¹ Of which EUR 8.00 million from the NGEU Fund Source.

²⁸² Of which EUR 9.00 million from the NGEU Fund Source.

²⁸³ Of which EUR 4.00 million from the NGEU Fund Source.

²⁸⁴ Of which EUR 4.00 million from the NGEU Fund Source.

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Horizon Europe - Work Programme 2023-2024
Digital, Industry and Space

HORIZON-CL4-2023-SPACE-01-32	RIA	3.00 ²⁸⁵	Around 3.00	1
HORIZON-CL4-2023-SPACE-01-33	RIA	2.00 ²⁸⁶	Around 2.00	1
HORIZON-CL4-2023-SPACE-01-34	RIA	5.00 ²⁸⁷	Around 5.00	1
HORIZON-CL4-2023-SPACE-01-62	RIA	5.00 ²⁸⁸	2.00 to 2.50	2
HORIZON-CL4-2023-SPACE-01-63	RIA	3.00 ²⁸⁹	1.00 to 1.50	2
HORIZON-CL4-2023-SPACE-01-71	RIA	10.70	1.00 to 1.50	8
HORIZON-CL4-2023-SPACE-01-72	RIA	20.00 ²⁹⁰	2.00 to 3.00	7
Overall indicative budget		137.50		

General conditions relating to this call

Admissibility conditions	The conditions are described in General Annex A.
Eligibility conditions	The conditions are described in General Annex B.
Financial and operational capacity and exclusion	The criteria are described in General Annex C.
Award criteria	The criteria are described in General Annex D.
Documents	The documents are described in General Annex E.
Procedure	The procedure is described in General Annex F.
Legal and financial set-up of the Grant Agreements	The rules are described in General Annex G.

²⁸⁵ Of which EUR 1.00 million from the NGEU Fund Source.

²⁸⁶ Of which EUR 1.00 million from the NGEU Fund Source.

²⁸⁷ Of which EUR 2.50 million from the NGEU Fund Source.

²⁸⁸ Of which EUR 2.00 million from the NGEU Fund Source.

²⁸⁹ Of which EUR 1.00 million from the NGEU Fund Source.

²⁹⁰ Of which EUR 10.00 million from the NGEU Fund Source.

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Conditions at call and at topic level

Expected outcome of the topic

Scope of the topic

Compliance and quality of proposals to meet all these elements will be checked partly in the evaluation process, partly during grant agreement preparation.

Read carefully the reference or guidance documents as indicated!

Specific conditions	
Expected EU contribution per project	The Commission estimates that an EU contribution of between EUR 2.00 and 2.50 million would allow these outcomes to be addressed appropriately. Nonetheless, this does not preclude submission and selection of a proposal requesting different amounts.
Indicative budget	The total indicative budget for the topic is EUR 5.00 million.
Type of Action	Research and Innovation Actions
Eligibility conditions	<p>The conditions are described in General Annex B. The following exceptions apply:</p> <p>If projects use satellite-based earth observation, positioning, navigation and/or related timing data and services, beneficiaries must make use of Copernicus and/or Galileo/EGNOS (other data and services may additionally be used).</p> <p>In order to achieve the expected outcomes, and safeguard the Union's strategic assets, interests, autonomy, and security, it is important to avoid a situation of technological dependency on a non-EU source, in a global context that requires the EU to take action to build on its strengths, and to carefully assess and address any strategic weaknesses, attainment of its ambitions. For this reason, participation is limited to legal entities established in Member States, Norway, Iceland and the United Kingdom. The eligibility of entities established in the United Kingdom to participate is conditional upon the following: (i) the United Kingdom is associated to Horizon Europe, and (ii) the United Kingdom's equivalent space calls are published and open to the EU entities on a reciprocal basis." Both conditions must be fulfilled on the date of the opening of this topic for submission.</p> <p>For the duly justified and exceptional reasons listed in the paragraph</p> <p>the Union and its Member States, entities established in an eligible country listed above, but which are directly or indirectly controlled by a non-eligible country or by a non-eligible country entity, may not participate in the action unless it can be demonstrated, by means of guarantees provided by their eligible country of establishment, that their participation to the action would not negatively impact the Union's strategic assets, interests, autonomy, or security. The guarantees shall include, in particular, substantiate that, for the purpose of the action, measures are in place to ensure that:</p> <p>a) control over the applicant legal entity is not exercised in a manner that restrains or restricts its ability to carry out the action and to deliver results, that imposes restrictions concerning its infrastructure, facilities, assets, resources, intellectual property or know-how needed for the purpose of the action, or that undermines its capabilities and standards necessary to carry out the action;</p> <p>b) access by a non-eligible country or by a non-eligible country entity to sensitive information relating to the action is prevented, and the employees or other persons involved in the action have a national security clearance issued by an eligible country, where appropriate;</p> <p>c) ownership of the intellectual property arising from, and the results of, the action remain within the recipient during and after completion of the action, are not subject to control or restrictions by non-eligible countries or non-eligible country entity, and are not exported outside the eligible countries, nor is access to them from outside the eligible countries granted, without the approval of the eligible country in which the legal entity is established.</p>
Technology Readiness Level	Activities are expected to achieve TRL 5-6 by the end of the project – The reference TRL definition is the ISO 16290:2013 applicable to the space sector.
Legal and financial set-up of the Grant Agreements	<p>The rules are described in General Annex G. The following exceptions apply:</p> <p>Eligible costs will take the form of a lump sum as defined in the Decision of July 2021 concerning the use of lump sum contributions under the Horizon Europe Programme – the Framework Programme for Research and Innovation (2021-2027) – and in actions under the Research and Training Programme of the European Atomic Energy Community (2021-2025).³⁰²</p>
Security Sensitive Topics	background and/or producing of security sensitive results (EUCI and SEN). Please refer to the related provisions in section B Security – EU CLASSIFICATION AND SENSITIVE INFORMATION OF THE ORIGINAL AUTHOR.



Admissibility, eligibility and additional requirements

Admissibility requirements

- Applications must be **complete** and contain all parts and mandatory annexes and supporting documents.
- Applications must be **readable, accessible and printable**.
- Applications must include a **plan for the exploitation and dissemination of results including communication activities** (n/a for applications at the first stage of two-stage procedures or unless otherwise provided in the specific call conditions).
- Specific **page limits** per type of action normally apply (specified in the topic conditions and controlled by IT tool).

Eligibility requirements

- **Eligible activities** are the ones described in the call conditions.
- **Minimum number of partners** as set out in the call conditions (at least one independent legal entity established in a MS, and, at least two other independent legal entities established either in a MS or AC).
- For calls with deadlines in 2022 and onwards participants that are public bodies, research organisations or higher education establishments from Member States and Associated countries must have a **gender equality plan** in place.
- **Other criteria may apply on a call-by-call basis** as set out in the call conditions. In few cases, the call conditions in the topic can modify the interpretation of criteria.



Activities eligible for funding

Eligible activities are the ones described in the call and topic conditions. The types of action include different activities eligible for funding.

Activities must **focus exclusively on civil applications** and **must not**:

- aim at human cloning for reproductive purposes;
- intend to modify the genetic heritage of human beings which could make such changes heritable (except for research relating to cancer treatment of the gonads, which may be financed);
- intend to create human embryos solely for the purpose of research, or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer;
- lead to the destruction of human embryos.



Who is eligible for funding?



EU COUNTRIES

- Member States (MS) including their outermost regions.
- The Overseas Countries and Territories (OCTs) linked to the MS.



NON-EU COUNTRIES

- Countries associated to Horizon Europe (AC).
- Low and middle income countries: See [HE Programme Guide](#).
- Other countries when announced in the call or exceptionally if their participation is essential.



SPECIFIC CASES

- Affiliated entities established in countries eligible for funding.
- EU bodies
- International organisations (IO):
 - International European research organisations are eligible for funding.
 - Other IO are not eligible (only exceptionally if participation is essential)
 - IO in a MS or AC are eligible for funding for Training and mobility actions and when announced in the call conditions.

Restrictions to the eligibility to participate

*Legal basis: HE **Article 22.5**, see also **Work Programme General Annex B***

- At the level of some work programme topics
- In non-dependence and strategic autonomy context, to guarantee the protection of the strategic interests of the Union and its Member States, **participation may be limited to legal entities established in Member States and a few listed other countries.**
- These entities **must not be directly or indirectly controlled by a non-eligible country or by a non-eligible country entity**
- If this is the case, there may be a possibility of **guarantees** provided by their eligible country of establishment, that their participation to the action would not negatively impact the Union's strategic, assets, interests, autonomy, or security.

→ see **Declaration on Ownership and Control**

Submission System - Create a proposal



- Proposals must be submitted electronically via the [Funding & Tenders Portal Electronic Submission System](#). Paper or e-mail submissions are NOT possible;
- Proposals must be **complete**, i.e. include all documents and annexes (if required), using the templates provided in the Submission System;

Download Part B templates

Download part B templates

Support & Helpdesk

Online Manual IT How To

IT Helpdesk FAQ

Service Desk:

EC-FUNDING-TENDER-SERVICE-DESK@ec.europa.eu

+32 2 29 92222

General information

Topic description

Destination

Conditions and documents

Submission service


Topic related FAQ

Get support

Call updates


Submission System – Add participants




- Add partners using the organisation name or PIC reference; 
- The requirements for a minimum number of participants are specific for each call. A message specifying the Consortium Eligibility requirements will be displayed;
- In most cases (RIA/IA), topics require at least two other independent legal entities established either in a MS or AC;

Buttons for adding partners and saving progress:

- Add Partner +
- Add Associated partner +
- SAVE
- SAVE AND GO TO NEXT STEP
- NEXT

 In this step, the coordinator can manage and review the participants.
Note: The changes will be applied only after you click the "Save Changes" button.

 Call requires at least 3 participant(s) from different EU member states and associated countries, currently you have 2.

Number of participants: 3 

Submission System - Application Form Part A



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

- Only one contact per organisation should make changes to the proposal at a time. Editing the form in 2 or more tabs/browsers in parallel will lead to data loss.

Submission System - Application Form Part A



- For Lump Sum Grants there is an additional declaration in General Information;

10) For Lump Sum Grants with a detailed budget table: We understand and accept that the EU lump sum grants must be reliable proxies for the actual costs of a project and confirm that the detailed budget for the proposal has been established in accordance with our usual cost accounting practices and in compliance with the basic eligibility conditions for EU actual cost grants (see [AGA - Annotated Grant Agreement, art 6](#)) and exclude costs that are ineligible under the Programme. Purchases and subcontracting costs must be done taking into account best value for money and must be free of conflict of interest. *



- For Lump Sum Grants the Budget table provides information only on the total requested grant amount per beneficiary;

No	Name of Beneficiary	Country	Role	Requested grant amount
	Total			

- Annex for Lump Sum Grants – Detailed budget table

Submission System - Application Form Part A



4- Ethics & Security

- Please go through the tables and indicate which elements concern your proposal by answering **Yes** or **No**. If you answer Yes to any of the questions, please provide additional information in the designated box;
- All reserve list and successful proposals undergo an ethics evaluation
- All successful proposals are security pre-screened and may go to security scrutiny

Ethics Issues Table

1. Human Embryonic Stem Cells and Human Embryos	Page
Does this activity involve Human Embryonic Stem Cells (hESCs)?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Does this activity involve the use of human embryos?	<input type="radio"/> Yes <input checked="" type="radio"/> No
2. Humans	Page
Does this activity involve human participants?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Does this activity involve interventions (physical also including imaging technology,	<input type="radio"/> Yes <input checked="" type="radio"/> No

Ethics Self-Assessment

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 ad

Security Issues table

1. EU Classified Information (EUCI) ²	Page
Does this activity involve information and/or materials requiring protection against unauthorised disclosure (EUCI)?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Does this activity involve non-EU countries?	<input type="radio"/> Yes <input checked="" type="radio"/> No
2. Misuse	Page
Does this activity have the potential for misuse of results?	<input type="radio"/> Yes <input checked="" type="radio"/> No
3. Other Security Issues	Page
Does this activity involve information and/or materials subject to national security restrictions? If yes, please specify: (Maximum number of characters allowed: 1000)	<input checked="" type="radio"/> Yes <input type="radio"/> No n/a

Application Template Part B instructions

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

Excellence – aspects to be taken into account.

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

⚠ The following aspects will be taken into account only to the extent that the proposed work is within the scope of the work programme topic.

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

- Briefly describe the objectives of your proposed work. Why are they pertinent to the work programme topic? Are they measurable and verifiable? Are they realistically achievable?
- Describe how your project goes beyond the state-of-the-art, and the extent the proposed work is ambitious. Indicate any exceptional ground-breaking R&I, novel concepts and approaches, new products, services or business and organisational models. Where relevant, illustrate the advance by referring to products and services already available on the market. Refer to any patent or publication search carried out.
- Describe where the proposed work is positioned in terms of R&I maturity (i.e. where it is situated in the spectrum from 'idea to application', or from 'lab to market'). Where applicable, provide an indication of the Technology Readiness Level, if possible distinguishing the start and by the end of the project.

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

##PRJ-OBJ-PO##

1.2 Methodology @@CON-MET-DM@@ @@COM-PL-CP@@ [e.g. 14 pages]

- Describe and explain the overall methodology, including the concepts, models and assumptions that underpin your work. Explain how this will enable you to deliver your project's objectives. Refer to any important challenges you may have identified in the chosen methodology and how you intend to overcome them. [e.g. 10 pages]

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

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

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

- technically robust, accurate and reproducible, and able to deal with and inform about possible failures, inaccuracies and errors, proportionate to the assessed risk they pose
- socially robust, in that they duly consider the context and environment in which they operate
- reliable and function as intended, minimizing unintentional and unexpected harm, preventing unacceptable harm and safeguarding the physical and mental integrity of humans

- able to provide a suitable explanation of their decision-making processes, whenever they can have a significant impact on people's lives. Describe any national or international research and innovation activities whose results will feed into the project, and how that link will be established; [e.g. 1 page]

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

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

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

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

⚠ Remember that that this question relates to the content of the planned research and innovation activities, and not to gender balance in the teams in charge of carrying out the project.

⚠ Sex and gender analysis refers to biological characteristics and social/cultural factors respectively. For guidance on methods of sex / gender analysis and the issues to be taken into account, please refer to https://ec.europa.eu/info/news/gendered-innovations-2-2020-nov-24_en

- Describe how appropriate open science practices are implemented as an integral part of the proposed methodology. Show how the choice of practices and their implementation are adapted to the nature of your work, in a way that will increase the chances of the project delivering on its objectives [e.g. 1 page]. If you believe that none of these practices are appropriate for your project, please provide a justification here.

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

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

Quality of proposal

- Follow the instructions provided in Application Template Part B;
 - It is your responsibility to **demonstrate how your proposal addresses the award criteria** as indicated in the call text. The evaluation of your proposal is based on the content you provide in the application form; **be as specific and clear as possible.**
No assumptions or requests for additional information will be made.
- The proposed work corresponds to the description in the Work Programme;
- A **score** in the range from 0-5 will be given to each criterion based on how well the proposal corresponds to the award criteria. Maximum score for a proposal is 15.
- Scores must pass the **individual threshold of 3 AND the overall threshold of 10** if a proposal is to be considered for funding within the limits of the available call budget.



Quality of proposal - Evaluation (award) criteria

Three evaluation criteria – equally important!

‘**Excellence**’, ‘**Impact**’ and ‘**Quality and efficiency of the implementation**’.

- Evaluation criteria are **adapted** to each **type of action**, as specified in the WP;
- Each criterion includes the ‘**aspects to be taken into account**’. The same aspect is not included in different criteria, so it is not assessed twice;
 - ✓ Follow Application Template Part B instructions as well as the topic requirements!
 - ✓ See General Annexes section D - Award criteria!
- For **Innovation Actions**, the criterion **Impact** is given a **weight of 1.5** to determine the ranking.

DOs

- Read carefully the Work Programme
- Pay attention to Call/Topic Conditions
- Read evaluation criteria
- Read FAQs and check for topic updates on the F&T portal
- Mark your proposal as resubmission, if applicable
- Submit often and then update
- Add a meaningful title and an informative abstract as early as possible, to facilitate the organisation of the evaluation

DONTs

- Don't include activities not eligible for funding
- Proposed activities should have an exclusive focus on civil applications
- Do not “try” a proposal that does not match well with the topic
- Do not add information where it does not belong (e. g. in annexes) just to avoid the page limit. Misplaced information will be disregarded.
- Do not upload non-obligatory annexes (support letters etc)

- Don't wait until the last minute

Annex* - Information on security issues

- Does not count towards the page limit
- Provided by the proposal submission tool (programme/topic specific settings) and must be completed if the topic is flagged in the work programme or you wish to declare security issues
- **Annotated template** (do not delete any parts but mark as N/A if not relevant for your proposal):
 1. Sensitive information with security recommendation
 2. Classified information, Security Aspects Letter, Security Classification Guide
 3. Security staff, Project Security Officer, Security Advisory Board
 4. Other project specific security measures

Will be **screened** and may lead to **security scrutiny** process

EU Grants: Security issues information (Security section) (H4E); V2.1 - 15.06.2022

INFORMATION ON SECURITY ISSUES (SECURITY SECTION)

(If part of your Application Form, this section must be pre-filled already at proposal stage (not counted towards the page-limit). If not part of the Application Form, it will be provided to you during grant preparation. It will then become part of your Grant Agreement (In Annex 1, Description of Action) and will become binding.)

⚠ Do NOT delete any text. All the subsections should remain but marked as not applicable (N/A) if not relevant for your project.

⚠ In order to fill in the template, please consult first the guidance [How to handle security-sensitive projects](#) and [Classification of information in Horizon Europe projects](#).

Summary of the project security issues

Describe the security issues you identified in your project. Focus on the security subject matters and explain the potential misuse of the research results. Relate to the security-sensitive type of activities as explained in the guidance (see [How to handle security-sensitive projects](#)).

1. Sensitive information with security recommendation

If your project involves sensitive information requiring limited dissemination due to security reasons, fill in the 'Sensitive information with security recommendation' table below.

⚠ Please be aware:

- In principle, third parties, [i.e.](#) outside the consortium and the granting authority, should have no access to sensitive deliverables with security recommendation.
- However, when it is known in advance that a specific pre-identified group of recipients/recipients with an established need-to-know exists, you should insert them in the table.
- You should conduct an assessment of the recipients' need-to-know, which should [be made](#) available to the granting authority, if requested.
- The 'Sensitive information with security recommendation' table may be modified throughout the project duration. Any [modification can be done only with the prior formal written approval of the granting authority](#).
- The table below should not include information that is sensitive for non-security related reasons ([e.g.](#) intellectual property or commercial secrets, etc).

Sensitive information with security recommendation			
Number and name of the deliverable	Name of lead participant	Date of production	Name of entity authorised for access

Add as many rows as needed. ☐

0

* Note that some calls integrate this in the proposal template

Annex - Declaration on Ownership and Control

- Does not count towards the page limit
- Must be completed by all participants (*except entities already validated as public bodies by the EC Central Validation Services*) if requested by the proposal submission tool (programme/topic specific settings, Article 22.5)
- If selected for funding, participants may be contacted to provide evidence (not at proposal stage)
- Can become a complex and lengthy process and affect the consortium → be transparent early
- **Guidance document**
- **Annotated template**
 1. Declaration on Ownership and control
 2. If there is foreign ownership/control:
Guarantees and Measures-put-in-place

EU Grants: Ownership control declaration (DEFP, H6, YDP and CRP-010) V2.0 - 01.05.2022

OWNERSHIP CONTROL DECLARATION

(To be filled in by the project participants as part of the application. All declarations must be assembled by the coordinator and uploaded in a single file in the Portal Submission System.
All participants (beneficiaries, affiliated entities, subcontractors and associated partners) must fill out the form. Entities that are validated as public bodies by the Central Validation Service do not have to fill in the form but will automatically be considered as controlled by their country.
Supporting documents do not have to be provided at application stage, but will be requested later on. You will receive a task notification asking you to upload the documents to your PIC account in the Portal Participant Register.
⚠ The supporting documents should reflect the situation at the moment you sign this declaration. Please be aware that additional evidence may also be requested later on, in case there are open questions about your ownership/control status.
⚠ Please note that the information in this declaration may be reused in case you apply to other EU calls that have ownership/control restrictions.)

DECLARATION ON OWNERSHIP AND CONTROL

Participant

Legal name:

PIC:

Legal registration number:

Place of establishment: (country of registration; full address)

Headquarters

Location of global headquarters/head office: (full address)

Location of the executive management structure: (if different from the location of global headquarters/head office; full address)

Executive management structure means a body appointed in accordance with national law and whose assistance, reporting to the chief executive officer, which is empowered to establish the strategy, objectives and overall direction, and who oversees and monitors management decision-making.

Listed, subsidiary or controlled

Supporting documents: report/minutes of the last three shareholders meetings, for each of the

Are you listed on a stock exchange?	Yes/No
Are you a subsidiary of a listed company?	Yes/No
Are you controlled by a listed company?	Yes/No


If the reply is YES to any of these three questions, please provide:


Which stock exchange?

Legal name of the listed company:

Share of the float in the total outstanding shares:

Floating stock is the result of outstanding closely-held shares from the total number of listed shares. If answering the





Guidance on control restrictions in EU calls

Digital Europe, European Defense Fund and Horizon Europe

Version 1.0
01st Month 2021

Completeness of documents + Annexes

Documents	IA/RIA/CSA	IA/RIA/CSA Lump Sum
Application Form Part A — Structured data introduced online in the Submission System	✓	✓
Application Form Part B — Technical description of the project (Word document to be filled in and uploaded as pdf)	✓	✓
Annex - on Financial Support to Third Parties / Ownership Control / Security issues	(if foreseen in topic conditions)	(if foreseen in topic conditions)
Annex – Budget table for lump sums saved as .xls or .xlsx	N/A	✓
Annex – Ethics supporting documents	(if applicable)	(if applicable)

Submission System – Complete your proposal

The screenshot displays the 'Proposal forms' section of a submission system. At the top, a progress bar shows six steps: Login, Topic selection, Create proposal, Participants, Proposal Forms (current step), and Submit. The 'Proposal Forms' step is highlighted with a red location pin icon.

Proposal forms

Deadline
11 May 2021 17:00:00 Brussels Local Time
49 days left until closure

Call data:
Call: [redacted]
Topic: [redacted]
Type of action: [redacted]
Type of MGA: [redacted]

Proposal data:
Acronym: **Tester**
Draft ID: **SEP-210735354**

Download Part B templates
Download part B templates

Support & Helpdesk
Online Manual IT How To
IT Helpdesk FAQ

Administrative forms
In this step you can edit the Administrative Forms and upload the proposal itself.
Your proposal contains changes that have not yet been submitted.
Edit forms View history Print preview

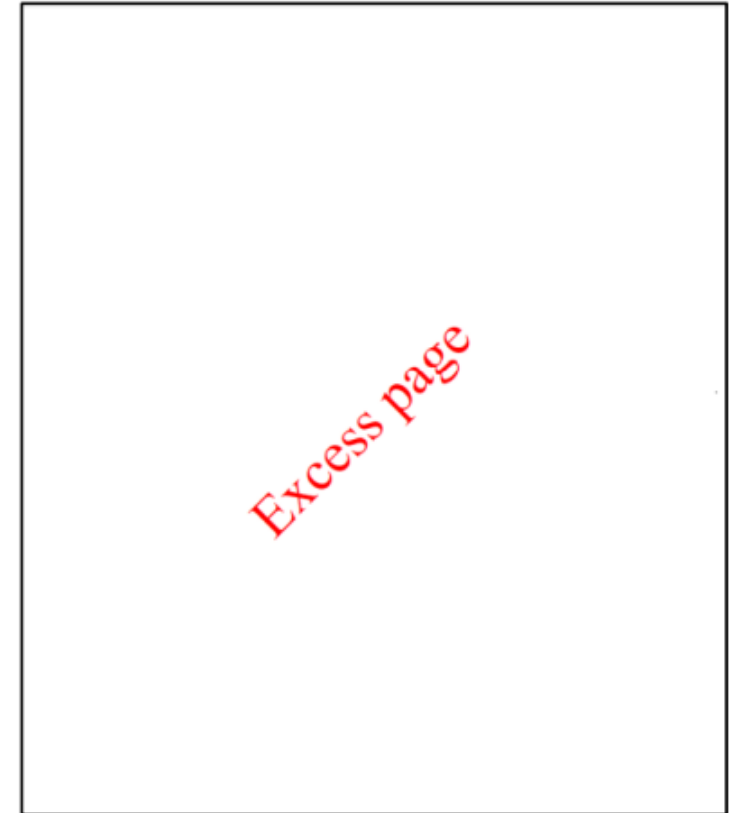
Part B and Annexes
In this section you may upload the technical annex of the proposal (in PDF format only) and any other requested documents.

Document	Upload
Part B - Project proposal	Upload
Detailed Budget table (annex 1)	Upload
CVs (annex 2)	Upload
Additional information (annex 3)	Upload
Information on representativeness and Legal entity (annex 4)	Upload
Identical text of Part B in English (annex 5)	Upload
Information on financial capacity	Upload
Audit report	Upload

Navigation: BACK TO PARTICIPANTS LIST VALIDATE SUBMIT

Submission System – Complete your proposal

- You must upload Application Form **Part B** - Technical description of the project - and **Annexes** as required in the call conditions;
- Limitations in document page number, font size, and page margins;
- The document to be converted into PDF must only contain the final, "**clean**" content;
- Check that your PDF conversion software has successfully converted all the pages of your original document;
- For Lump Sum Grants, upload as an Annex the detailed budget table as an excel (.xlsx format)
- Post-upload verification;



Lessons learnt from admissibility checks

- Missing parts in application form Part B – *check pdf file before and after uploading!*
- Inconsistencies in number of participants or budget in Part A (online) and Part B
- Missing annexes – *always check call text!*

Submission System – Validate your proposal

✓

Login

✓

Topic selection

✓

Create proposal

✓

Participants

📍

Proposal Forms

○

Submit

Proposal forms

📅

Deadline
11 May 2021 17:00:00 Brussels Local Time

49 days left until closure

Call data:

Call:

Topic:

Type of action:

Type of MGA:

⚠️

Topic and type of action can only be changed by creating a new proposal.

Proposal data:

Acronym: **Tester**

Draft ID: **SEP-210735354**

Download Part B templates

⬇️

Download part B templates

Support & Helpdesk

📖

Online Manual

📄

IT How To

✉️

IT Helpdesk

❓

FAQ

i

In this step you can edit the Administrative Forms and upload the proposal itself. ?

×

×

Your proposal contains changes that have not yet been submitted.

Administrative forms

Edit forms

View history

Print preview

?

Part B and Annexes

In this section you may upload the technical annex of the proposal (in PDF format only) and any other requested attachments. ?

Part B - Project proposal	<div></div>	<div>?</div> <div>Upload</div>
Detailed Budget table (annex 1)	<div></div>	<div>?</div> <div>Upload</div>
CVs (annex 2)	<div></div>	<div>?</div> <div>Upload</div>
Additional information (annex 3)	<div></div>	<div>?</div> <div>Upload</div>
Information on representativeness and Legal entity (annex 4)	<div></div>	<div>?</div> <div>Upload</div>
Identical text of Part B in English (annex 5)	<div></div>	<div>?</div> <div>Upload</div>
Information on financial capacity	<div></div>	<div>?</div> <div>Upload</div>
Audit report	<div></div>	<div>?</div> <div>Upload</div>

⬅️ BACK TO PARTICIPANTS LIST

VALIDATE

SUBMIT



European
Commission

Submission System – Edit Forms validation

- Before you exit, validate Part A Forms;
- Address any error detected and save;
- Validate again;
- Save & exit;

Validation result

Show Error The red 'Show Error' button indicates an error due to a missing or incorrect value related to the call eligibility criteria. The submission of the proposal **will be blocked** unless that specific field is corrected!



Show Warning The yellow 'Show Warning' button indicates a warning due to a missing or incorrect value related to the call eligibility criteria. The submission of the proposal **will not be blocked** (proposal will be submitted with the missing or incorrect value).

Section	Description	
General Information	Title - missing entry	Show Error
Declaration	Declaration acceptance is mandatory	Show Error
Declaration	Declaration acceptance missing	Show Error
Declaration	Declaration acceptance missing	Show Error
Declaration	Declaration acceptance missing	Show Error
Declaration	Declaration acceptance missing	Show Error
Baird Consulting SCS	This section has not been validated yet	Show Error
General Information	Duration - missing entry	Show Warning
General Information	Similar Proposal submitted - missing entry	Show Warning


Validate and submit your proposal

- Make sure that your application meets the call requirements;
- Run a validation of your draft proposal (this includes all fields in Part A, the uploaded files under Part B and Annexes);
- When the consortium has been modified after having edited the form Part A, you will get the following message. Click **Edit Form**, review the participants section and click on **Save and Close**. Then click on **Validate** again;
- Make sure you click on **“Submit”**;

Administrative forms (Part A)

[Edit forms](#)  [View history](#) [Print preview](#) 


Validations ×


 Your proposal cannot be submitted until the errors below are corrected

Eligibility errors

Part C form has not been updated

Part A Form

>  - 1 error(s)

 The following warnings will not block the submission of your proposal, but may affect its admissibility and eligibility during evaluation

Part A Form

> Budget - 3 warning(s)

> Declaration - 3 warning(s)

> General Information - 3 warning(s)

Validations ×

Changes have been made in Step Participants since the last save of the form in Step Proposal Forms. In order to be able to submit the proposal you have to open the administrative form ('edit forms' button), revise the changes, validate and, after making sure that there are no blocking errors, save the form.

[Edit form](#) [Close](#)

Submit your proposal

Login

Topic and ToA selection

Create draft

Participants

Fill in proposal

Submit

Deadline
28 February 2021 15:00:00 Brussels Local Time

18 days left until closure

Your proposal was submitted on: **09 February 2021 23:36:46 (Brussels Local Time)**

Your proposal is part of call [REDACTED]. The call deadline is 28 February 2021 15:00:00 (Brussels Local Time).

Your proposal ID is **100000699**. This number is important and will be used as future reference during the evaluation process.

Call data:

Call: [REDACTED]

Topic: [REDACTED]

Type of action: [REDACTED]

Type of MGA: [REDACTED]

Proposal data:

Acronym: **TEST**

Draft ID: [REDACTED]

Final ID: **100000699**

Revisit your proposal

You may edit your proposal and re-submit at any time before the deadline 28 February 2021 15:00:00 (Brussels Local Time) by clicking the "Update proposal" button.

You may download a digitally signed and time-stamped version of your submitted proposal.

You may withdraw your proposal at any time before call closure. When withdrawing, your proposal will not be considered in the evaluation stage.

Update proposal

Download

Withdraw proposal



Thank you!

HorizonEU

<http://ec.europa.eu/horizon-europe>
https://hadea.ec.europa.eu/index_en

Contact: HADEA-SPACE-CALLS@ec.europa.eu



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