



**Horizon Europe Programme**

**IHI JU Application Form**

**Short proposal  
(RIA and IA)**

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

**Version 4.0**

**2 May 2024**

**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.

Note: The Horizon Europe Proposal Template Part B has been adapted to reflect the IHI JU specificities.

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

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

HISTORY OF CHANGES		
Version	Publication date	Changes
1.0	01.06.2022	Initial version
2.0	02.12.2022	Added instructions on Artificial intelligence so to comply with updated corporate HE RIA full proposals template
3.0	12.12.2023	Minor changes Section on Annexes to proposal Part B <ul style="list-style-type: none"><li>- Informative paragraph with link to Call documents page: annexes and guidance documents.</li></ul>
4.0	02.05.2024	Guidance on the use of AI for the preparation of the proposal added



## Proposal template Part B: technical description

*(for short proposals: first stage of a two-stage submission procedure)*

This template is to be used in a first stage of a two-stage submission procedure.

The structure of this template must be followed when preparing your proposal. It has been designed to ensure that the important aspects of your planned work are presented in a way that will enable the experts to make an effective assessment against the evaluation criteria. Sections 1, 2 and 3 each correspond to an evaluation criterion for a first stage proposal in a two-stage submission procedure.

Please be aware that proposals will be evaluated as they were submitted, rather than on their potential if certain changes were to be made. This means that only proposals that successfully address all the required aspects will have a chance of being funded. There will be no possibility for significant changes to content, budget and consortium composition during grant preparation.

**⚠ Page limit:** The page limit is 20 pages. The number of pages included in each section of this template is only indicative.

The page limit will be applied automatically. **At the end of this document you can see the structure of the actual proposal that you need to submit, please remove all instruction pages that are watermarked.**

If you attempt to upload a proposal longer than the specified limit before the deadline, you will receive an automatic warning and will be advised to shorten and re-upload the proposal. After the deadline, excess pages (in over-long proposals/applications) will be automatically made invisible, and will not be taken into consideration by the experts. The proposal is a self-contained document. Experts will be instructed to ignore hyperlinks to information that is specifically designed to expand the proposal, thus circumventing the page limit.

Please, do not consider the page limit as a target! It is in your interest to keep your text as concise as possible, since experts rarely view unnecessarily long proposals in a positive light.

**⚠** The following formatting conditions apply.

The reference font for the body text of proposals is Times New Roman (Windows platforms), Times/Times New Roman (Apple platforms) or Nimbus Roman No. 9 L (Linux distributions).

The use of a different font for the body text is not advised and is subject to the cumulative conditions that the font is legible and that its use does not significantly shorten the representation of the proposal in number of pages compared to using the reference font (for example with a view to bypass the page limit).

The minimum font size allowed is 11 points. Standard character spacing and a minimum of single line spacing is to be used. This applies to the body text, including text in tables.

Text elements other than the body text, such as headers, foot/end notes, captions, formula's, may deviate, but must be legible.

The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

DEFINITIONS	
<b>Critical risk</b>	<p>A critical risk is a plausible event or issue that could have a high adverse impact on the ability of the project to achieve its objectives.</p> <p>Level of likelihood to occur (Low/medium/high): The likelihood is the estimated probability that the risk will materialise even after taking account of the mitigating measures put in place.</p> <p>Level of severity (Low/medium/high): The relative seriousness of the risk and the significance of its effect.</p>
<b>Deliverable</b>	A report that is sent to the Commission or Agency providing information to ensure effective monitoring of the project. There are different types of deliverables (e.g. a report on specific activities or results, data management plans, ethics or security requirements).
<b>Impacts</b>	Wider long-term effects on society (including the environment), the economy and science, enabled by the outcomes of R&I investments (long term). It refers to the specific contribution of the project to the work programme expected impacts described in the topic text. Impacts generally occur some time after the end of the project.
<b>Milestone</b>	Control points in the project that help to chart progress. Milestones may correspond to the achievement of a key result, allowing the next phase of the work to begin. They may also be needed at intermediary points so that, if problems have arisen, corrective measures can be taken. A milestone may be a critical decision point in the project where, for example, the consortium must decide which of several technologies to adopt for further development. The achievement of a milestone should be verifiable.
<b>Objectives</b>	The goals of the work performed within the project, in terms of its research and innovation content. This will be translated into the project's results. These may range from tackling specific research questions, demonstrating the feasibility of an innovation, sharing knowledge among stakeholders on specific issues. The nature of the objectives will depend on the type of action, and the scope of the topic.
<b>Outcomes</b>	The expected effects, over the medium term, of projects supported under a given topic. The results of a project should contribute to these outcomes, fostered in particular by the dissemination and exploitation measures. This may include the uptake, diffusion, deployment, and/or use of the project's results by direct target groups. Outcomes generally occur during or shortly after the end of the project.
<b>Pathway to impact</b>	Logical steps towards the achievement of the expected impacts of the project over time, in particular beyond the duration of a project. A pathway begins with the projects' results, to their dissemination, exploitation and communication, contributing to the expected outcomes in the work programme topic, and ultimately to the wider scientific, economic and societal impacts of the JU's work programme.
<b>Research output</b>	Results generated by the action to which access can be given in the form of scientific publications, data or other engineered outcomes and processes such as software, algorithms, protocols and electronic notebooks.
<b>Results</b>	What is generated during the project implementation. This may include, for example, know-how, innovative solutions, algorithms, proof of feasibility, new business models, policy recommendations, guidelines, prototypes, demonstrators, databases and datasets, trained researchers, new infrastructures, networks, etc. Most project results (inventions, scientific works, etc.) are 'Intellectual Property', which may, if appropriate, be protected by formal 'Intellectual


	Property Rights’.
<b>Technology Readiness Level</b>	See Work Programme General Annexes B
<b>In-kind contributions to operational activities (IKOP)</b>	Contributions by IHI private members, their constituent and affiliated entities if any, and by contributing partners, consisting of the eligible costs incurred by them in implementing the IHI projects.
<b>Non-EU IKOP</b>  *Only IKOP can be non-EU	<p>Costs for IKOP incurred outside of the EU Member States and countries associated with Horizon Europe provided by private members, their constituent, or the affiliated entities and by contributing partners.</p> <p>Non-EU contribution shall not exceed 20 % of the overall IKOP at Programme level. In justified cases the IHI JU work programme may set out specific limits for IKOP incurred in third countries, other than countries associated with Horizon Europe.</p>
<b>In-kind contributions to additional activities (IKAA)</b>	<p>Contributions incurred by IHI JU private members, their constituent or affiliated entities, consisting of costs for implementing additional activities less any contribution to those costs from the Union or the IHI JU.</p> <p>Only IHI private members may report IKAA. Contributing partners cannot report IKAA. They may only contribute IKOP and Financial Contribution (FC).</p> <p>IKAA consists of additional activities carried out in the Union or in countries associated with Horizon Europe.</p> <p>IKAA can be:</p> <ul style="list-style-type: none"> <li>• Programme specific: additional activities contributing to the uptake of results from IHI JU, IMI2 JU, IMI JU projects or that have a significant added value for the Union.</li> <li>• Project specific: additional activities contributing towards the achievement of objectives of IHI JU funded projects, or the dissemination, sustainability or exploitation of IHI JU project results, but are not project tasks (i.e. not IKOP).</li> </ul>
<b>Financial Contribution (FC)</b>	<p>Financial Contributions (cash contributions) by private members, their constituent or affiliated entities to:</p> <ul style="list-style-type: none"> <li>• the JU directly; or</li> <li>• project beneficiary(ies) supporting the eligible costs incurred in implementing the IHI projects.</li> </ul> <p>Contributing Partners' financial contributions are made only to operational activities.</p> <p>Project beneficiaries that are recipients of FC must be eligible for JU funding.</p>

**Guidance on the use of generative AI tools for the preparation of the proposal**


When considering the use of generative artificial intelligence (AI) tools for the preparation of the proposal, it is imperative to exercise caution and careful consideration. The AI-generated content should be thoroughly reviewed and validated by the applicants to ensure its appropriateness and accuracy, as well as its compliance with intellectual property regulations. Applicants are fully responsible for the content of the proposal (even those parts produced by the AI tool) and must be transparent in disclosing which AI tools were used and how they were utilized.

Specifically, applicants are required to:

- Verify the accuracy, validity, and appropriateness of the content and any citations generated by the AI tool and correct any errors or inconsistencies.
- Provide a list of sources used to generate content and citations, including those generated by the AI tool. Double-check citations to ensure they are accurate and properly referenced.
- Be conscious of the potential for plagiarism where the AI tool may have reproduced substantial text from other sources. Check the original sources to be sure you are not plagiarizing someone else's work.
- Acknowledge the limitations of the AI tool in the proposal preparation, including the potential for bias, errors, and gaps in knowledge.

 *Fill in the title of your proposal below.*

## TITLE OF THE PROPOSAL

 *The consortium members are listed in part A of the proposal (application forms). Do not repeat the information here.*

### 1. Excellence


#### ***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 overall methodology.

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


#### 1.1 Objectives and ambition [e.g. 3 pages]


- Briefly describe the objectives of your proposed work. Explain how they are pertinent to and address all of the objectives listed in the topic text. Are they measurable and verifiable? Are they realistically achievable?
- Describe how your proposed work 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.*




#### 1.2 Methodology [e.g. 8 pages]

- Describe and explain the overall methodology, referring briefly to the following aspects that underpin your work: the concepts, models, assumptions and approach for a successful partnership with the pre-identified industry consortium and contributing partners indicated in the topic text.
- Explain how the methodology and proposed plan to design and conduct the research will enable you to deliver your project's objectives.

 *The stage 1 applicant consortium is expected, when developing their methodology and proposed activities, to take into account the expected contribution from the pre-identified industry consortium and contributing partners, if any, which will join at stage 2 to form the full consortium.*

 *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*
- When relevant for your project, refer briefly to the aspects below:
  - Any national or international research and innovation activities whose results will feed into the project, and how that link will be established.
  - How knowledge and methods from different disciplines and relevant healthcare stakeholders<sup>1</sup> will be brought together and integrated in pursuit of your objectives and complement the proposed contribution from the pre-identified industry consortium and contributing partners. As relevant, describe how the different healthcare stakeholders' perspectives have been incorporated into the proposed methodology.
    - *Please consider how this knowledge will complement the proposed contribution from the pre-identified industry consortium and contributing partners.*
  - As relevant, describe the approach to engage with regulatory authorities to ensure translation of results into regulatory practice. Similarly, describe the approach to interact with any other relevant entities such health technology assessment bodies and/or payers.
  - For topics that indicate 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.
  - How the gender dimension (i.e. sex and/or gender analysis) is taken into account in the project's research and innovation content.
    -  *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](https://ec.europa.eu/info/news/gendered-innovations-2-2020-nov-24_en)*
- How appropriate open science practices are implemented as an integral part of the proposed methodology.

<sup>1</sup> Healthcare stakeholders include patients, carers, health care providers, health care professionals, industry, HTA bodies, regulators, policy makers and payers



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. 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'.*

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

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

**Access to existing data:** Where existing data is to be accessed during the project, convincing evidence that the consortium has/will have access to these data and that data is shareable (e.g. adequate informed patient consent is available) must be provided.

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

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

**Interoperability of data/research outputs:** Which standards, formats and vocabularies for data and metadata will be used.

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

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

⚠ *The proposal selected for stage 2 will need to develop a detailed data management plan (DMP) for making their data/research outputs findable, accessible, interoperable and reusable (FAIR) as a deliverable by project month 6 and revised towards the end of the project's lifetime.*

⚠ *For guidance on open science practices and research data management, please refer to the [HE Programme Guide](#) on the Funding & Tenders Portal.*

## 2. Impact

**Impact – aspects to be taken into account.**

- Credibility of the pathways to achieve the expected outcomes and impacts specified in the work programme, and the likely scale and significance of the contributions due to the project.

*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 of the JU 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 [e.g. 4 pages]**

- Provide a **narrative** explaining how the project's results are expected to make a difference in terms of impact, beyond the immediate scope and duration of the project. The narrative should include the components below, tailored to your project.


- (a) Describe the unique contribution your project results would make towards (1) all of the **outcomes** specified in this topic, and (2) the **wider impacts**, in the longer term, aligned with the topic text. Outline the relevant target groups that would benefit from your results and explain how you intend to engage with each of them.

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


 *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. decreasing CO<sub>2</sub> emissions, decreasing avoidable mortality, improving policies and decision making, raising consumer awareness.*

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

 *Reminder: A first version of your 'plan for the dissemination and exploitation including communication activities' will be requested at stage 2*

- (b) Give an indication of the scale and significance of the project's contribution to the expected outcomes and impacts, should the project be successful. Provide quantified and meaningful estimates where possible, explaining your assumptions.

 *'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.*

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

*Note that this does not include the critical risks inherent to the management of the project itself, which should be described in the full proposal submitted at the stage 2 of the procedure under ‘Implementation’.*

### 3. Quality and efficiency of the implementation

#### **Quality and efficiency of the implementation – aspects to be taken into account**

- *Quality and effectiveness of the outline of the work plan*
- *Capacity of each participant, and extent to which the consortium as a whole brings together the necessary expertise.*

#### 3.1 Outline of the work plan [e.g. 3 pages]

- *The stage 1 applicant consortium is expected, when developing their proposed outline, to take into account the expected contribution from the pre-identified industry consortium and contributing partners, if any, which will join at stage 2 to form the full consortium. The full consortium will develop in partnership the final structure of the work plan and allocation of resources in line with the Full Proposal template.*

Please provide the following:

- A graphical presentation of the overall structure of the work plan showing how the different work packages inter-relate (Pert chart or similar).
- A graphic presentation showing the timing of the proposed work packages and their components (Gantt chart or similar).
- A table of the proposed work packages (Table 3.1a), specifying for each, the objective(s) and a brief description of the work:


⚠ *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.*

⚠ *Please remember that the list of deliverables, milestones, and indication of the lead partner and participants for each work package as well as the staff effort will be requested in the full proposal at Stage 2 to be prepared in collaboration with the pre-identified industry consortium and contributing partners (if any).*


⚠ *You are advised to include a distinct work package on ‘project management’, and a distinct work package on ‘dissemination, exploitation and communication activities’. Also, give due visibility in the work plan to ‘data management’, either with distinct tasks or distinct work*

packages.

### 3.2 Capacity of participants and consortium as a whole [e.g. 3 pages]


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

- Describe the consortium. How does it match the project's objectives and brings together the necessary disciplinary and inter-disciplinary expertise. Show how the consortium includes expertise in social sciences and humanities, open science practices, and gender aspects of R&I, as appropriate.
- Outline how the partners will have access to critical infrastructure needed to carry out the project work.
- Considering what is mentioned in the call topic text, explain how your consortium as a whole will complement the pre-identified industry consortium and contributing partners (if any), in order to successfully work together as a public-private partnership.

 **Other countries and international organisations:** *If one or more of the participants requesting EU funding is based in a country or is an international organisation that is not automatically eligible for such funding (entities from Member States of the EU, from Associated Countries and from one of the countries in the exhaustive list included in the Work Programme General Annexes B are automatically eligible for EU funding), please be aware that you will need to explain why the participation of the entity in question is essential to successfully carry out the project if the short proposal is selected to submit the full proposal at the stage 2*

#### Table for section 3.1

**Table 3.1a: List of Work Packages**

 *Use plain text for the table in section 3.1. Proposals invited to start Grant Agreement preparation, will encode these tables in the grant management IT tool, where no graphics or special formats are supported.*

Work package No	Work Package Title	Objectives and Brief description of the work
		Objective(s):  Brief description of the work:

#### ANNEXES TO PROPOSAL PART B

The template for the following annex and guidance document can be found on the Call documents page of the [IHI website](#) and on the topic specific pages in the Funding and Tenders Portal.

#### Annex: Type of Participants

The “*type of participants*” is an IHI specific annex.

*This is a compulsory annex and it must be uploaded as separate document in the submission system.*

*This annex is applicable to single-stage and two-stage calls.*

Instructions, please remove

# Proposal template Part B: technical description

<b>TITLE OF THE PROPOSAL</b>
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**1. Excellence**

**1.1 Objectives and ambition**

Insert here text for your proposal

**1.2 Methodology**

Insert here text for your proposal

**2. Impact**

**2.1 Project’s pathways towards impact**

Insert here text for your proposal

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

**3.1 Outline of project work plan**

Insert here text for your proposal

**3.2 Capacity of participants and consortium as a whole**

Insert here text for your proposal

**Table for section 3.1**

**Table 3.1a: List of Work Packages**

Work package No	Work Package Title	Objectives and brief description of the work