



### Horizon Europe Programme

## HORIZON-EIC-2021-STARTUPEU-01 call: Enhancing synergies between the EIC and Startup Europe

Guidance document

Version 1.0 12 July 2021

HISTORY OF CHANGES		
Version	Publication date	Changes
1.0	12.07.2021	Initial version

### **Table of Contents**

1	CONTE	EXT AND CONCEPTS	3
	1.1	STARTUP EUROPE	
	1.2	STARTUP EUROPE H2020 PROJECTS	3
	1.3	ENHANCING SYNERGIES BETWEEN THE EIC AND STARTUP EUROPE	
2	KEY	CONSIDERATIONS FOR THE PREPARATION OF APPLICATIONS	5
	2.1	CONSORTIUM COMPOSITION	5
	2.2	DURATION OF PROJECTS	5
	2.3	PROPOSAL PAGE LIMIT	
	2.4	MONITORING AND EVALUATION	
	2.5	PROPOSAL CHECKLIST	7
3	FIN	ANCIAL SUPPORT TO THIRD PARTIES	8
	3.1	DEFINITION AND ROLE OF THE 'BENEFICIARIES'	
	3.2	CONSORTIUM PARTNER(S) CANNOT ACT AS SERVICE PROVIDERS IN THE CONTEXT OF VOUCHER SCHEMES	
	3.3	DEFINITION OF "THIRD PARTIES"	
	3.4	COSTS FOR PROVIDING FINANCIAL SUPPORT TO THIRD PARTIES	
	3.5	POSSIBILITIES FOR STARTUPS APPLYING TO DIFFERENT SUB-CALLS FOR FINANCIAL SUPPORT TO THIRD PARTIE	
		EIVE SEVERAL VOUCHERS UNDER ONE OR MORE STARTUP EUROPE PROJECT(S)	
	3.6	PAYMENT ARRANGEMENTS FOR THIRD PARTY FINANCING SCHEMES.	
	3.7	LEVEL OF DETAILS FOR FORMS OF FINANCIAL SUPPORT TO STARTUPS PROVIDED AT THE TIME OF THE PROPOSA 11	٩L
	3.8	LEVEL OF CONTROL BY EISMEA / THE COMMISSION / ON THE SELECTION PROCEDURES FOR THIRD PARTIES TO	0
		'LEVEL OF CONTROL BY EISWIEA / THE COMMISSION / ON THE SELECTION PROCEDURES FOR THIRD PARTIES IN /E FINANCIAL SUPPORT	
4		DITIONAL DETAILS ON THE SELECTION OF THIRD PARTIES WHICH MAY RECEIVE FINANCIA	
S	UPPOR	T FROM BENEFICIARIES IN HORIZON EUROPE	
	4.1	INTRODUCTION	
	4.2	PREPARATION ACTIVITIES FOR THE CALL(S) PUBLISHED BY THE SELECTED PROJECTS	
	4.3	PUBLICATION OF YOUR CALL	
	4.4	PROPOSAL RECEPTION	
	4.5	PROPOSAL EVALUATION AND SELECTION	
	4.6	REPORTING	
5	EXA	MPLE OF FSTP PROJECT IMPLEMENTED UNDER HORIZON EUROPE	20
A	NNEX 1	I – CALL ANNOUNCEMENT FORMAT	22
A	NNEX 2	2 - ACKNOWLEDGMENT OF RECEIPT	23
A	NNEX 3	3 – EVALUATION FORM	24
		4 – CONFIDENTIALITY AND CONFLICT OF INTEREST DECLARATION	
A	NNEX 5	5 – DIFFERENCE WITH OTHER PARTIES	27

### Guidance for applicants on HORIZON-EIC-2021-STARTUPEU-01 call: Enhancing synergies between the EIC and Startup Europe

The present document provides background information and guidance to potential applicants for coordination and support actions under the call *HORIZON-EIC-2021-STARTUPEU-01: Enhancing synergies between the EIC and Startup Europe*, as announced in the European Innovation Council (EIC) Work Programme 2021. It explains some of the key concepts and the main elements of the projects framed by the cooperation between the EIC and Startup Europe.

#### 1 Context and concepts

#### **1.1 Startup Europe**

Startup Europe is an initiative of the European Commission to connect high tech startups, scaleups, investors, accelerators, corporate networks, universities and the media. It is supported by a portfolio of <u>EU funded projects</u> and policy actions, such as the EU Startup Nation Standard, the Innovation Radar and the Digital Innovation and Scale-up Initiative (DISC). The initiative is fully aligned with the <u>small and medium-sized enterprise (SME) strategy</u> of the European Commission.

#### **1.2 Startup Europe H2020 projects**

Startup Europe has both an entrepreneurship policy dimension and R&I policy dimension, following the Digital Agenda Flagship initiative and Entrepreneurship 2020, both part of the Europe 2020 strategy. The shaping of the Startup Europe initiative was an incremental process, meant to respond, in an agile manner, to evolving identified policy needs. The Startup Europe Initiative (SE) was launched in 2014 and has been implemented via three calls for proposals, launched in 2014, 2017 and 2019. Each call for proposals had a budget of approximately EUR 10 million. In total, 22 projects were selected; nine in the 2014 call, seven in the 2017 call and six in the 2019 call for proposals. The projects typically have a duration of two years. Each of these projects was/is implemented via a consortium representing 4 to 5 startup ecosystem builders. The number of partners in the consortia varied between 4 and 10.

The common aim of the H2020 calls was to help web entrepreneurs and then deep tech entrepreneurs (following the evolving EU digital policy, including the Digital Single Market priorities) to achieve market success by focusing on the dimension of networking innovators, expertise and resources. The approach followed such evolution, so that the 2014 call had the objective to connect existing local web entrepreneurship ecosystems and hubs with a view to provide new services for web entrepreneurs. The 2017 call had the goal to reinforce ICT ecosystems for high growth tech startups by interconnecting and creating new synergies between startup hubs across Europe, and the 2019 call had the objective to increase connectedness among members of deep-tech startup ecosystems, for the benefit of scaleups, to stimulate European investments in deep-tech digital sectors, contributing to increase the number of cross-border investments.

More information on the ongoing Startup Europe projects, activities and types of services can be found at https://startupeuropeclub.eu/

#### **1.3** Enhancing synergies between the EIC and Startup Europe

To support scaling up of companies in Europe, the EIC is seeking to build synergies with the startup ecosystems in the EU through the Startup Europe initiative. The current call for a coordination and support action (CSA) shall help European startups in developing and delivering market-ready applications and technology solutions that can contribute to the competitiveness and strategic autonomy of EU industry in key technology areas and value chains.

The selected projects should reinforce the activities of the European Innovation Council (EIC) by targeting digital and deep tech startups willing to scale up in Europe, including startups that have already received private investment or EU funding1 (e.g. under Horizon Europe<sup>2</sup> or the Digital Europe Programme<sup>3</sup>). Projects should raise the awareness of startups to the opportunities offered by Commission programmes, in particular the EIC. Projects should contribute to the scale up of startups proposing digital applications that foster climate-neutrality, circular economy, clean industry and user-centric technology development, while also encouraging inclusiveness, and incorporating European social and ethical values.

The selected projects will have access to the Startup Europe one-stop-shop and the EIC

<sup>&</sup>lt;sup>1</sup><u>Reference Documents (europa.eu)</u>.

<sup>&</sup>lt;sup>2</sup> Regulation (EU) 2021/695 of the European Parliament and of the Council of 28 April 2021 establishing Horizon Europe – the Framework Programme for Research and Innovation, laying down its rules for participation and dissemination, and repealing Regulations (EU) No 1290/2013 and (EU) No 1291/2013 (*OJ L 170, 12.5.2021, p. 1–68*).

<sup>&</sup>lt;sup>3</sup> Regulation (EU) 2021/694 of the European Parliament and of the Council of 29 April 2021 establishing the Digital Europe Programme and repealing Decision (EU) 2015/2240 (*OJ L 166, 11.5.2021, p. 1–34*).

Community, in order to raise support for startups and generate knowledge to contribute to EIC Business Acceleration Services and the general activities of the EIC Forum.

#### 2 Key considerations for the preparation of applications

#### 2.1 Consortium composition

Unless otherwise provided for in the specific call conditions, legal entities forming a consortium are eligible to participate in actions under Horizon Europe.

Applications for 'Coordination and support' actions (CSA) may be submitted by one or more legal entities, which may be established in a Member State, Associated Country or, in exceptional cases and if provided for in the specific call conditions, in another third country.

For more information please refer to the <u>General Annexes</u> of Horizon Europe Work Programme 2021-2022<sup>4</sup>.

Considering the third party financing scheme, applicants should know that the service provider should not be part of the consortium.

#### 2.2 Duration of projects

On the basis of the experience of similar previous initiatives, the typical project duration under this call is 24 months. It is important to note that any means of financial support shall be fully paid out before the end of the project. Otherwise, these costs will not be eligible as incurring after the project period.

#### 2.3 Proposal page limit

The structure of the CSA 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.

<sup>&</sup>lt;sup>4</sup> See <u>General Annexes Horizon Europe Work programme 2021-2022 (europa.eu).</u>

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 is no possibility for significant changes to content, budget and consortium composition during grant agreement preparation.

<u>The title, list of participants and sections 1, 2 and 3, together, should not be longer than 30 pages.</u> All tables, figures, references and any other element pertaining to these sections must be included as an integral part of these sections and are thus counted against this page limit. The number of pages included in each section of the template available on the call platform is only indicative.

The page limit will be applied automatically. At the end of the template 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.

#### 2.4 Monitoring and evaluation

To facilitate the monitoring and evaluation undertaken by EISMEA, on behalf of the European Commission, successful applicants will be asked to put in place, from the outset, **appropriate mechanisms for the on-going monitoring and evaluation of the project, notably with regards to the financial support to allow startups to benefit from the services described**. This is important in order:

• to enable EISMEA/ the Commission and the consortium partners to assess project progress with a view to ensuring efficient project implementation and the continued relevance of the planned activities, i.e. that the project is 'on track', and to continuously optimise the development processes; and

• to assess, in an on-going way, the progress the project makes in relation to the objectives defined in the proposal and to benchmark the results in order to provide

information that can be mainstreamed into Horizon Europe.

Such monitoring and evaluation is distinct from the on-going and ex-post evaluation processes carried out by EISMEA / the Commission.

On-going monitoring and evaluation require that qualitative and quantitative indicators are linked to each key point, action and event of the project. The system of indicators needs to take into account the objectives set, the actions put in place and the available sources of information.

**Quantitative indicators** refer to the collection and comparison of facts and figures. Key performance indicators could include, for example, the number of cross-sectoral activities supported, the total number of startups reached out to, the numberof startups that receive financial support through vouchers, prizes, grants that allow access to cross-border acceleration services (e.g. coaching, mentoring, matchmaking activities, B2B services etc.). Moreover, it should report on the number of new or significantly improved connections, processes, new funding rounds.

**Qualitative indicators** are criteria used to assess the changes made by the project activities to the situation (baseline conditions) at the start of the project. These indicators should provide transferable evidence in terms of qualitative information about the effectiveness of the project, such as on the contribution to policy objectives of the Commission.

#### 2.5 Proposal checklist

Check if your proposal clearly highlights the following:

- Composition of the consortium: to what extent is/are the eligible entity/ties involved in the proposals? If any, is the complementarity clear enough?
- How are the cross-border requirements fulfilled?
- What digital and deep technologies is the proposal addressing?
- What are the main activities of the proposal?
- How will the third parties be identified and selected?
- What type of financial support will be offered to enable the cross-border acceleration services for the third parties? To how many third parties? What are the selection and award criteria?
- What is the amount of the financial support to third parties? How is it calculated?

- Are synergies with the EIC emphasized?
- What makes the project successful in achieving the expected outcome and impact?

#### **3** Financial support to third parties

#### 3.1 Definition and role of the 'beneficiaries'

The beneficiaries define the consortium composition and design the project, including the acceleration services to be delivered to startups. According to the scope of the present call for proposals, the connection of different eco-systems and the cross border dimension of the proposed services are both important elements. In the case of financial support to third parties, the beneficiaries are responsible for the management of grants allocated to startups, from the publication of a call for proposals addressed to startups to the final payment of each grant (details are provided below).

In case the project opts for a voucher scheme, it is the responsibility of the beneficiaries to identify potential service providers, either via a service level agreement (or similar) or procurement.

In line with the call text, specific attention should be given to the including of ecosystems in Widening countries.

# **3.2** Consortium partner(s) cannot act as service providers in the context of voucher schemes

Financial support to third parties falls under the provisions outlined in the <u>General Annexes</u> to the Horizon Europe Work Programme (Annex B).

In case of financial support given to third parties, including via vouchers, the **beneficiaries of the grant agreement** (i.e. the consortium partners and their linked third parties) **are not eligible to act as service providers**,

Likewise, please be aware that the beneficiaries of the grant agreement may also not be beneficiaries of this voucher scheme.

#### 3.3 Definition of "third parties"

For the purpose of this call<sup>5</sup>, the target group or the third parties receiving the financial support from the beneficiaries (or their linked third parties) of the grant agreement of the present action are:

- the "digital and deep tech startups that have received support from the EIC for supporting their scaleup process in Europe and/or
- deep tech startups not yet supported by the EIC, including startups that have already received private investment or EU funding (e.g. under Horizon Europe or the Digital Europe Programme).

<u>A third party is an entity that is not part of the grant agreement</u> (contrary to a beneficiary, i.e.a partner in your consortium) and <u>is the final recipient of the EU funds</u>, meaning the one receiving <u>the financial support</u> from the beneficiaries of the grant agreement.

The third party financial support may take one of the following forms: grants, prizes or vouchers for services, either with or without identified service providers.

Without any limitation to the other types of options mentioned above, and based on previous Startup Up Europe projects, the voucher possibility seems to suit best to the projects' purpose. In the case of a voucher scheme, different approaches are possible:

- a) Either the project partner (beneficiary) will provide the financial support directly to the startups, which will have to use the financial support for receiving the cross-border acceleration activity covered by the voucher. The proposal shall define if the startups (third parties) can use the voucher freely or with pre-identified service providers.
  - b) or the financial support is directly granted to an identified service provider outside the consortium for the support to the startup (see above in consortium composition).

In any case supporting documents of compliance of the conditions laid down in the Model Grant Agreement are needed (see Articles 6.2.D.1 and 9.4).

Additional details about the difference with other parties can be found in Annex 5 of this document.

<sup>&</sup>lt;sup>5</sup> <u>Funding & tenders (europa.eu)</u>

#### 3.4 Costs for providing financial support to third parties

Costs for providing financial support to third parties (in the form of grants, prizes or similar forms of support such as vouchers) are eligible. In addition, related costs such as the staff required for procurement or putting in place specific arrangements, the time needed for organizing a third party call(s) and its evaluation, bank fees, etc. are covered within the remaining share based on actual costs. These expenditures are calculated on the basis of the costs actually incurred and the support is implemented in accordance with the conditions set out in Annex 1 of the Grant Agreement.

IMPORTANT: The part of the budget aimed at providing financial support to third parties (the amount "cashed out") will not be taken into account for the indirect Horizon Europe cost flat-rate of 25%. Other costs incurred by the project partner(s) for the preparation of the provision of financial support to third parties are taken into account for the indirect cost flat rate. These other costs fall into the category related to actual costs (these are the remaining 25% of the budget, 75% of the grant having to be provided to third parties, in a specific cost category).

These conditions set out in the proposal for providing financial support to third parties must ensure objective and transparent selection procedures and include at least the following:

a) for grants (or similar):

(i) Even tough not obligatory, the recommended amount of financial support for each third party ('recipient'), which can be between EUR 30 000 and 60 000(ii) the criteria for calculating the exact amount of the financial support(iii) the different types of activity that qualify for financial support(iv) the legal entities that will be supported and

- $\left(v\right)$  the criteria and procedures for allocating financial support
  - b) Specific information about vouchers (assimilated to grants):

The financial support to third parties (e.g. startups) expected to be delivered by the project. It could be in the form of vouchers that provide access to business acceleration services in view of connecting local digital and deep tech startup ecosystems, as well as to achieve the expected outcomes and impact.

- c) for prizes (or similar):
- (i) the eligibility and award criteria
- (ii) the amount of the prize and
- (iii) the payment arrangements

Applicants must allocate at least 75% of the total proposed budget to financial support to third parties.

# **3.5** Possibilities for startups applying to different sub-calls for financial support to third parties to receive several vouchers under one or more Startup Europe project(s)

As long as the scope of the third party scheme is different and different activities are supported (no double funding), a startup working on one or more Startup Europe projects can receive services from different projects and their calls.

#### **3.6** Payment arrangements for third party financing schemes

Participants are free to choose the payment arrangements for their proposed financial support to third party schemes as long as they comply with the rules on financial support to third parties set out in the <u>General Annexes</u> to the Horizon Europe Work Programme (Annex B). For example, payment arrangements could include a pre-financing payment, interim payment(s) and final payment.

EISMEA / the Commission cannot suggest the mechanics of the third party scheme. The applicants must engineer the best scheme according to their own experience and specific project approach in compliance with the third party financing rules. The external evaluators will assess the proposed third-party financing scheme.

# **3.7** Level of details for forms of financial support to startups provided at the time of the proposal

In section 4 of the submission form, you are expected to provide information on how you will provide the financial support to third parties (e.g. vouchers, grants, prizes). In your proposal, you should make sure that the conditions for provision of the financial support to the third parties (e.g. startups) are defined in accordance with the <u>General Annexes</u> of Horizon Europe, <u>Financial Regulation</u> as well as the <u>related provisions of Model Grant Agreement (in particular Articles</u>

#### 6.2.D.1 and 9.4).

At the time of the submission, the applicant has to provide details regarding the elements as described in the Model Grant Agreement and in particular:

- why financial support to third parties is needed,
- the maximum amount per third party,
- the criteria for determining the exact amount of financial support,
- a clear and exhaustive list of the types of activities that qualify for financial support for third parties,
- the eligibility criteria for the third parties,
- the selection criteria for being awarded the financial support,
- how the activities will be managed.

The proposal must also clearly describe the results to be obtained.

In addition, financial support to third parties in the form of grants (or similar) awarded by consortia after their own open call(s) for proposals must comply with the following conditions:

- the calls must be open, published widely, including in the Funding and tender Opportunities portal, and conform to EU standards concerning transparency, equal treatment, conflict of interest and confidentiality,
- the calls must remain open for at least two months,
- the outcome of the call must be published on the projects' websites, including a description of the selected third parties (startups), award dates, duration of the support, and third party legal names and countries
- the calls must have a clear European dimension.

The proposal should make clear which acceleration services will be offered to the startups and not necessarily need to list the service providers possibly involved. The latter can be included in the proposal enabling the call evaluators to assess the credibility of the services proposed.

# **3.8** Level of control by EISMEA / the Commission / on the selection procedures for third parties to receive financial support

During the implementation of the action, the beneficiaries will have to comply with the conditions

for the financial support that will be set out in Annex 1 of the Grant Agreement. If they consider it necessary, they will have though the possibility to discuss some adjustments with their Project Officer at EISMEA about their third party call(s), provided that the content of the proposal is not changed and does not negatively impact the objectives of this action.

The consortium is however fully responsible for the management of the provision of the financial support to third parties. EISMEA / the Commission/ shall not be involved in the management of the project, including approving any decision from the consortium as regards the startups selected to receive the financial support. EISMEA / the Commission/ will only make sure that the consortium complies with its contractual obligations, as set out in the grant agreement and the third party call provisions.

It should be noted that the beneficiary of the EU grant must ensure that the recipients of the financial support allow the Commission, the European Anti-fraud Office (OLAF) and the Court of Auditors to exercise their powers of control on documents, information, even stored on electronic media, or on the final recipient's premises. This provision also applies to recipients of third party financing.

#### 4 Additional details on the selection of third parties which may receive financial support from beneficiaries in Horizon Europe

Projects must publish widely their open calls and adhere to Horizon Europe standards with respect to transparency, equal treatment, conflict of interest and confidentiality. All calls for third parties must be published on the Horizon Europe Funding and Tenders Portal and on the project's own web site. The calls must remain open for at least two months. If call deadlines, are changed this must immediately be published on the call page on the participant's portal and all registered applicants must be informed of the change.

The calls must have a clear European dimension, either by carrying out cross border experimentation or in other ways expanding the impact of local experiments to European scale.

It is the responsibility of the applicants to define in their proposals the rules for publishing the third party call, and for evaluating and selecting the third parties that may receive financial support.

Nevertheless, aiming to assist the beneficiaries in the definition of those rules, EISMEA provides the

following guidance. This guidance is not to be construed as biding obligations on the beneficiaries, which, ultimately, remain responsible for defining the rules and principles that they will apply for selecting third parties.

#### 4.1 Introduction

The projects' call(s) should be carried out in the light of the same basic principles which govern Horizon Europe calls:

- i. **Excellence.** The proposal(s) selected for funding must demonstrate a high quality in the context of the topics and criteria set out in the call;
- ii. **Transparency**. Funding decisions must be based on clearly described rules and procedures, and all applicants should receive adequate feedback on the outcome of the evaluation of their proposals;
- iii. **Fairness and impartiality.** All proposals submitted to a call are treated equally. They are evaluated impartially on their merits, irrespective of their origin or the identity of the applicants;
- iv. **Confidentiality.** All proposals and related data, knowledge and documents are treated in confidence;
- v. **Efficiency and speed.** Evaluation of proposals and award of the financial support should be as rapid as possible, commensurate with maintaining the quality of the evaluation, and respecting the legal framework.

Your costs for managing the call(s) are limited to those which are actual, economic and necessary. These costs may be claimed under the relevant cost category of your grant agreement.

#### 4.2 Preparation activities for the call(s) published by the selected projects

#### **Your Call Announcement**

You will inform your Project Officer of your call at least 30 days prior to its expected date of publication by submitting a draft of your Call Announcement (see Annex 1 of this document). This is a brief announcement about the call which you will publish in the dedicated web page of the Horizon Europe Funding & Tenders Portal, and on the project's own website. It contains a reference to the section of your project's website where the full details are published.

#### The Full Call Details

You should prepare a dedicated section of your project's website, which will give proposers the full call details. Your call must contain:

- A clear and exhaustive list of the types of activities that you qualify for receiving financial support,
- Any restrictions on participation in any part of your call (e.g. only certain types of organisation are required, only organisations based in certain countries etc.),
- The criteria determining your award of the financial support,
- The criteria for determining the exact amount of your financial support and the form that the financial support may take (e.g. a lump sum or the reimbursement of actual costs incurred by the recipients when implementing the supported activities),
- The specific arrangements that the project may impose on the third parties such as specific reporting and feedback obligations from the third party towards the project in respect to the implementation of the supported activities, specific arrangements for providing the financial support including payment instalments, specific rights for the project partner(s) to access and use the results of the supported activities,
- The coordinates (email address and telephone number) of a help facility which you must offer to applicants to your call
- The email address or IT platform to which proposals have to be submitted and the call identifier which will be used on these emails or IT platform
- The deadline for proposal submission, clearly specifying the local time involved (normally this is local time at the website where the proposals are received).

A complete test version of the website must be available for your Project Officer to verify at least 5 days before the expected date of publication of your Call Announcement

All third parties that apply to your call(s) must receive fair and equal treatment. Information or facilities which you supply to any third party must be equally available to all.

#### 4.3 Publication of your call

Your Project Officer will arrange the publication of your call announcement on the dedicated web page of the Horizon Europe Funding & Tenders Portal.

Your call must remain open for the submission of proposals for a period of at least two months. If call deadlines are changed, the project officer must be immediately informed in order to publish this information on the call page on the Horizon Europe Funding & Tenders Portal and all registered applicants must be informed of the change.

#### 4.4 Proposal reception

You are recommended to close your call on a Wednesday, so that your help facility is available to interested third parties throughout the last three days of the call, and that there are two working days after your call deadline to deal with any unresolved problems. It is also recommended to close your call at 17h00 *local time*.

Third parties are asked to submit their proposals by email or via an IT platform. Whatever the communication means chosen, on receipt of each proposal an Acknowledgment of receipt shall be provided to your proposer(s) (see Annex 2).

You cannot accept late submissions; late submitters must receive by return email a "call closed" message from you.

You should evaluate the proposals as submitted: after the close of call, no additions or changes to received proposals should be taken into account.

#### 4.5 Proposal evaluation and selection

#### **Evaluation criteria**

The beneficiaries will evaluate proposals received in the light of the criteria laid down in the Full Call Details. You may use the attached form (see Annex 3).

The beneficiaries remain fully responsible for the evaluation towards the third parties, even though

they count with the assistance of external experts<sup>6</sup>.

If you engage experts for evaluating the proposals, you must ensure that they are independent of the organisations involved in the consortium and of any third party applying to the call(s). Possible conflicts of interest should be avoided.

The selected experts should sign with you a declaration of confidentiality concerning the contents of the proposals they read (see Annex 4). The form which they use in the evaluation also carries a declaration of freedom from conflict of interest which they agree to by signing them.

It is a wise precaution to be prepared to bring in a "reserve" expert in case of sickness or the lastminute discovery of a conflict of interest.

#### **Evaluation procedure**

The evaluation should take place at a maximum of two weeks from the close of the call. Note that you can only finally confirm the appointment of your experts after the close of call, when you have discovered who all the proposers are and therefore you can select your experts without risk of conflict of interest.

Each evaluator will record his/her individual opinion of each proposal on the attached evaluation form. They will then meet or communicate together to prepare a single "consensus" form for each proposal, representing opinions and scores on which the evaluators agree and which they will sign.

Using the overall scores for each proposal, the evaluators will generate a ranked list, or several ranked lists if the call is in different parts.

The third party call for proposal shall foresee the possibility for applicants to appeal the decision of the consortium of not selecting their proposal.

#### **Proposal selection**

Using the scores given on the consensus form, you will normally select the highest scoring proposals for the call (or for the different part of the call if more than one).

<sup>&</sup>lt;sup>6</sup> The selection of these experts should follow the conditions foreseen in Article 10 of the Model Grant Agreement.

However, the beneficiary is not obliged to select the highest scoring proposal where it has objective grounds for objecting to the third party, for example commercial competition. In this case the choice may pass to the next-ranked proposal. The beneficiary must record the objective reasons why the highest scoring one was passed over (see point 4.6 Reporting).

In the event of no selection being made, you may re-open the call at a later date. Alternatively, you may conclude that no successful outcome can be expected and abandon the plan to hold an open call. This decision would have to be justified and be the subject of a grant agreement amendment.

#### 4.6 Reporting

#### Reporting

In a written report submitted within three week of the conclusion of the evaluation, you will supply your Project Officer with a brief report on the evaluation and selection process, comprising as a minimum

- A report of the call and its evaluation (including e.g. dates of call, publications used, dates of evaluation etc.), and the outcome indicating the selected proposer(s);
- A listing of proposals received, identifying the proposing organisations involved (name and address);
- The names and affiliations of the experts involved in the evaluation;
- A copy of the signed individual and consensus forms used in the evaluation;
- If the proposer selected was not the highest scoring one, the report must record the objective reasons why the highest scoring one was passed over.

#### **Communications with proposers**

After the evaluation of the proposals, you will get into contact with the successful proposer(s).

Remember that the beneficiaries are responsible for the proper use of the funding by the recipients and must ensure that they comply with certain obligations under the grant agreement with the Commission.

The consortium must extend following own contractual obligations to the recipients of the grant:

- Avoiding conflicts of interest (see Article 35)
- Maintaining confidentiality (see Article 36)
- Promoting the action and give visibility to the EU funding (see Article 38)
- Liability for damages (see Article 46).

In order to be able to fulfil this obligation, the beneficiaries should impose contractual arrangements on the recipients (including control measures and/or reducing the financial support).

You will communicate to the other proposers that their proposal was not successful in the call, and will enclose to each an unsigned version of the consensus report of the evaluation of their proposal.

### **5** Example of FSTP project implemented under Horizon Europe

	Horizon 2020 example	Horizon Europe
Number of consortium	4 to 8	1 or more
partners		
Partners' country of origin	EU Member States, Horizon 2020 Associated Countries and at least half of them located in less developed ecosystems.	EU Member States, Horizon Europe Associated Countries
Indicative Budget	1.5 M	1.5 – 2 M
Target	Fast growing ICT and digital startups and scaleups	Digital and deep tech startups that have received support from the European Innovation Council (EIC) to support their scale up in Europe, or deep tech startups not yet supported by the EIC, including startups that have already received private investment or EU funding (e.g. under Horizon Europe or the Digital Europe Programme), and raise their awareness of the opportunities on offer from the EIC
Type of activities*	<ul> <li>Project management and reporting</li> <li>Communication and dissemination</li> <li>Identification of high potential startups and reinforce their skills and strategy</li> <li>Scouting the markets to drive corporates and opportunities toward the pool of startups that have been identified and coached</li> <li>Organization of events/deep dive weeks exposing participants to matchmaking, 1-on-1 mentoring, pitching sessions, workshops</li> <li>Facilitating access to finance and provide startups with better understanding of funding opportunities available, including procurement instruments</li> </ul>	<ul> <li>A)</li> <li>Project management, monitoring, reporting and evaluation</li> <li>Communication and dissemination</li> <li>Identification of high potential startups through open calls in order to provide financial support</li> <li>Scouting the markets to drive corporates and opportunities toward the pool of startups that have been identified and coached</li> <li>Connecting local digital and deep tech startup ecosystems</li> <li>Engagement of startups in the targeted ecosystems with the European Innovation Council</li> <li>B)</li> <li>Access to events/deep dive weeks/trainings exposing</li> </ul>

Who delivers the activities?	<ul> <li>Enhancing the understanding of startups' needs in the chosen region(s)</li> <li>Connecting selected ecosystems and exploit synergies on a pan-European level</li> <li>Providing startups with better access to skilled employees.</li> <li>Personalised soft-landing or acceleration programmes</li> <li>access to large European tech events</li> </ul>	participantstomatchmaking,1-on-1mentoring,pitchingsessions, workshopsFacilitate access to financeand provide startups withbetterbetterunderstandingoffundingopportunitiesavailable,includingprocurementopportunities(publicorcorporateprocurers)-Exposure to personalisedsoft-landing oraccelerationprogrammes for scaling up-Access to large technologyand startup eventsA typical project needs to coveractivities from both categories.A)
who derivers the activities?	Consortium partners	<ul> <li>A)</li> <li>The consortium partners ensure the appropriate mechanisms for the on-going monitoring and evaluation of the project, notably with regards to the financial support to allow startups to benefit from the services described.</li> <li>B)</li> <li>Entities outside the consortium either pre-identified or identified by the applying startups during the project implementation. This depends on how the project is articulated. Applicants must allocate at least 75% of the total proposed budget to financial support to third parties.</li> </ul>

#### DISCLAIMER

This is an example designed to support potential applicants to the <u>HORIZON-EIC-2021-STARTUPEU-01-01</u> call in their process of drafting their proposal.

The example should be read in line with the accompanying guidance, which contains further instructions. Proposers are invited to contact the Executive Agency in case of any further questions at <u>EISMEA-EU-ECOSYSTEMS@ec.europa.eu</u>.

\*To note that the purpose of this list is to provide more information on the typical financial support to third parties implementation mechanism. It is not an exhaustive list of actions that can be subject to the implementation of future projects. Moreover, not all listed activities must be covered in one proposal.

#### Announcement of an open call for recipients of financial support

Action acronym: XXX Action grant agreement number: XXX Action full name: YYY

The action XXX, co-funded from the European Union's Horizon 2020 research and innovation programme under grant agreement No XXX, foresees as an eligible activity the provision of financial support to third, as a mean to achieve its own objectives.

The types of activities to perform that qualify for receiving financial support are XXX.

Deadline: XXX Expected duration of participation: XXX Maximum amount of financial support for each third party: XXX Call identifier: XXX call Language in which proposal should be submitted: XXX Web address for further information (full call text/proposal guidelines): <u>www.xxx-project.eu</u> Email address for further information: <u>XXX@XXX.com</u>

#### **Annex 2 - Acknowledgment of receipt**

#### Acknowledgement of receipt

Dear XXX,

Thank you for submitting your proposal for consideration as recipient of financial support in the frame of action XXX.

This evaluation will take place in the next few weeks. You will be notified as soon as possible after this of whether your proposal has been successful or not.

On behalf of my colleagues in the project I would like to thank you for your interest in our activities.

Yours sincerely,

#### Annex 3 – Evaluation form

Individual evaluation/Consensus (delete as appropriate)

Proposal No. :	Acronym :	
1. Award criterion 1	ially addresses the topics, this condition will be	Score: (Threshold 3/5; Weight 1)
2. Award criterion 2		Score:
		(Threshold 3/5; Weight 1)

<u>O</u> The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information; <u>1</u> <u>Poor</u> The criterion is addressed in an inadequate manner, or there are serious inherent weaknesses; <u>2 Fair</u> While the proposal broadly addresses the criterion, there are significant weaknesses; <u>3 Good</u> The proposal addresses the criterion well, although improvements would be necessary; <u>4 Very good</u> The proposal addresses the criterion very well, although certain improvements are still possible; <u>5 Excellent</u> The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.

3. Award criterion 3	Score: (Threshold 3/5; Weight 1)
Remarks	Overall score: (Threshold 10/15)

# I declare that, to the best of my knowledge, I have no direct or indirect conflict of interest in the evaluation of this proposal

Name	
Signature	
Date	

Name	
Signature	
Date	

<u>O</u> The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information; <u>1</u> <u>Poor</u> The criterion is addressed in an inadequate manner, or there are serious inherent weaknesses; <u>2 Fair</u> While the proposal broadly addresses the criterion, there are significant weaknesses; <u>3 Good</u> The proposal addresses the criterion well, although improvements would be necessary; <u>4 Very good</u> The proposal addresses the criterion very well, although certain improvements are still possible; <u>5 Excellent</u> The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.

#### Annex 4 – Confidentiality and conflict of interest declaration

I the undersigned declare that, in participating as an independent expert in the evaluation of proposals received in the open call of the action XXX

I undertake to treat as confidential all information contained in the proposals which I am asked to evaluate, both during the evaluation and afterwards.

I will not reveal to any third party the identity or any details of the views of my fellow evaluator(s), neither during the evaluation nor afterwards

I do not, to the best of my knowledge, have any interest in any of the proposals submitted in this call, I have not been involved in their preparation and I do not benefit either directly or indirectly from the eventual selection. Should I discover a conflict of interest during the evaluation, I undertake to declare this and to withdraw from the evaluation.

Name	
Signature	
Date	

#### Annex 5 – Difference with other parties

	Beneficiaries	Affiliated entities	Subcontractors	Third party receiving financial support
Nature	Signatory of the grant agreement. It performs the action tasks.	Subsidiary of the beneficiary implementing part of the action. Structurally linked with the beneficiary.	Economic operator providing a service, supply or work to the beneficiary necessary for the action.	Final recipients of EU funds. Target population of the activity implemented by the beneficiary, and consisting in re- distributing EU funds.
Selection	By the EC according to evaluation criteria published in the call for proposals.	Proposed by the beneficiary. Verification of affiliation + eligibility and non- exclusion.	By the beneficiary according to the best value for money and absence of conflict of interest.	By the beneficiary according to conditions set out in the grant agreement.
Financial operations / restrictions	No	No	May cover only a limited part of the action.	None
Identified in the grant agreement	Yes, as parties.	Yes, as linked third parties.	No (only tasks that are subcontracted).	No (only categories of persons).
Bound by the grant agreement	Yes	No	No	No
Operational responsibility	Yes (joint and several in case of multi-beneficiary grant).	No	No	No
Financial responsibility	Yes	No	No	No
Eligible costs	Costs incurred by the beneficiary and compliant with the cost eligibility conditions set out in the grant agreement.	the linked third party and compliant with the cost eligibility	Price paid by the beneficiary.	Financial support paid by the beneficiary.
Right of access and audit by the EC, OLAF and Court of Auditors	Yes	Yes, to be ensured by the beneficiary.	Yes, to be ensured by the beneficiary	Yes, to be ensured by the beneficiary