

Check-list for HE RIA, IA actions – single-stage submission procedure

Source	Part	Question	YES	NO	Comments
WP - General Annexes	A — Admissibility	Correct application form (downloaded from the of the electronic submission system)			
		Full application completed, including all parts, mandatory annexes (if obligatory: clinical trials, financial support to third parties, security aspects, ethics self-assessment) and supporting documents			
		Applications readable, accessible and printable			
	B — Eligibility	Applicants established in EU Member State, Associated Country or, if provided for in the specific call conditions, in a third country			
		Consortium includes at least 1 independent legal entity from EU Member State and at least 2 other independent legal entities from different Member States or Associated Countries			
		Project includes only eligible activities (described in the call conditions and focused on civil (non-military) applications)			
		Fullfillment of special eligibility conditions, if applicable			
		Gender equality plan (GEP) developed and published on the organisation’s website (obligatory for public bodies, research organisations or higher education establishments from EU Member States and Associated Countries)			
	E — Documents	Application form Part A (generated by IT system)			
		Application form Part B (narrative part - pdf)			
		F – Procedure	Extra evaluation criteria applicable		
Application form	Formal criteria	The structure of the template followed			
		Page limit of 45 pages (the title, list of participants and sections 1, 2 and 3, together including all tables, figures, references and any other elements)/page limit 50 pages for projects using lump sum funding			
		All instruction pages removed			
		No hyperlinks used in the text			
		Font for the body text Times New Roman (Windows platforms), Times/Times New Roman (Apple platforms) or Nimbus Roman No. 9 L (Linux distributions)			
		The minimum font size 11 points			
		Standard character spacing			
		Minimum of single line spacing			
		Page size A4			
		Margins (top, bottom, left, right) at least 15 mm			
Evaluati	1. Excellence	Clarity and pertinence of the project’s objectives (e.g. Can a non-subject expert			

		understand what is written after one reading? Is the text jargon-free?)			
		The extent to which the proposed work is ambitious, and goes beyond the state of the art			
		Soundness of methodology (concepts, models, assumptions, interdisciplinary approaches, gender dimension in research and innovation content, quality of open science practices, sharing and management of research outputs, engagement of citizens, civil society, and end users)			
<u>Application form</u>	1.1 Objectives and ambition	Brief description of the objectives of the proposed work			
		Description why the objectives are pertinent to the work programme topic			
		Are the objectives measurable and verifiable?			
		Are the objectives realistically achievable?			
		Description how the project goes beyond the state-of-the-art and is ambitious			
		Description of position in terms of R&I maturity ('idea to application' / 'lab to market'). Indication of the Technology Readiness Level, if relevant.			
	1.2 Methodology	Description of the overall methodology, including the concepts, models and assumptions			
		Explanation of how the methodology will enable delivery of the project's objectives			
		Reference to the challenges identified in the chosen methodology and how to overcome them			
		Description of how the project's methodology complies with the 'do no significant harm' principle, if relevant			
		Description of relevant research and innovation activities			
		Interdisciplinary approach			
		Integration of social sciences and humanities (SSH researchers have active role as WP or task lead? Planned project activities (tasks) clearly show presence of SSH disciplinary approach, theory, method?)			
	Gender dimension taken into account in the project's research and innovation content (e.g. gender is more than just saying that there are more women than men active in the project. Gender dimension refers to the fact that, for example, women are included in a study on healthy lifestyles and consumption behavior, because heart attack symptoms of women differ from those of men, and most studies have only focused on men.)				

		Description how appropriate open science practices are implemented as an integral part of the proposed methodology			
		Description how the choice of open science practices and their implementation are adapted to the nature of the work			
		Research data management and management of other research outputs - how the data/research outputs will be managed in line with the FAIR principles (F indable, A ccessible, I nteroperable, R eusable)			
		Research data management addressing: <ul style="list-style-type: none"> - Types of data/research outputs - Findability of data/research outputs - Accessibility of data/research outputs - Interoperability of data/research outputs - Reusability of data/research outputs - Curation and storage/preservation costs 			
Evaluation form	2. Impact	Credibility of the pathways (e.g. planned activities, events, communication, dissemination, exploitation activities) to achieve the expected outcomes and impacts specified in the work programme			
		Scale and significance of the contributions as a result of the project			
		Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan, including communication activities			
Application form	2.1 Project's pathways towards impact	Description of how the project results contribute to the outcomes specified in the topic			
		Description of how the project results contribute to the wider impacts, in the longer term, specified in the respective destinations in the work programme and HE Strategic Plan			
		Identification of the target groups that would benefit from the project's results			
		Explanation (where relevant) of how the potential harm can be managed			
		Indication of the scale and significance of the project outputs and impact to the expected outcomes ('Scale' refers to how widespread the outcomes and impacts are?. 'Significance' refers to the importance, or value, of the benefits.)			
		Explanation of the baselines, benchmarks and assumptions used for the estimates			
		Quantification of the estimation of the effects expected from the project, if possible			
		Explanation of assumptions, reference to relevant studies, statistics.			

		Description of the requirements and potential barriers arising from factors beyond the scope and duration of the project (e.g. uncertainty about the uptake of policy recommendations through the ruling governments)			
		Indication of factors that might evolve over time			
		Description of the proposed mitigating measures			
2.2 Measures to maximise impact - Dissemination, exploitation and communication		Description of the planned measures to maximise the impact of the project			
		A first version of the plan for the dissemination and exploitation of project results, including communication activities			
		Description of the dissemination, exploitation, and communication measures			
		Description of how the communication measures promote the project throughout the full project, inform and reach out to society, and show the activities performed, and the use and the benefits for citizens (strategically planned activities, clear objectives, statement of the main messages, tools and channels)			
		Measures are proportionate to the scale of the project containing concrete actions to be implemented both during and after the end of the project (e.g. standardisation activities)			
		Description of the target group(s) addressed (e.g. scientific community, end users (from civil society), financial actors, public at large, public administrations at different levels, schools, cultural institutions, cultural and creative industries (CCI), artists...)			
		Description of the possible follow-up of project, once it is finished			
		Explanation of why each measure is best suited to reach the target group addressed			
		Description of the path for how to commercialise the innovations (if relevant)			
		Justification of how the exploitation is in the European Union's interest; if it is expected primarily in non-associated third countries			
		Description of possible feedback to policy measures generated by the project that will contribute to designing, monitoring, reviewing and rectifying (if necessary) existing policy and programmatic measures or shaping and supporting the implementation of new policy initiatives and decisions (relevant for call topics asking specifically for policy recommendations).			
		Description of the strategy for the management of intellectual property and foreseen protection measures (patents, design rights, copyrights, trade			

		secrets, etc.) and how these would be used to support exploitation			
	2.3 Summary table (Is it coherent with the remaining part of the impact?)	Project impact pathway present and well-explained			
		Specific needs listed			
		Expected results of project listed			
		Dissemination, exploitation and communication measures applied to the results			
		Target groups (use of further up-take of results, benefit from the results)			
		Outcomes (expected change after successful dissemination and exploitation of results)			
		Impacts - expected wider scientific, economic and societal effects (e.g. the project results contribute to restore democratic values)			
<u>Evaluation form</u>	3. Implementation (Is it coherent with excellence and impact part?)	Quality and effectiveness of the work plan			
		Assessment of risks			
		Appropriateness of the effort assigned to work packages (e.g. SSH partners in leading roles, present in all work packages, various EU Member States spread throughout work packages)			
		Appropriateness of the resources assigned to work packages and overall			
		Capacity and role of each participant			
		Extent to which the consortium as a whole brings together the necessary expertise (involvement of stakeholders from different disciplines and backgrounds)			
<u>Application form</u>	3.1 Work plan and resources	Brief presentation of the overall structure of the work plan			
		Timing of the different work packages and their components (Gantt chart or similar)			
		Graphical presentation of the components showing how they inter-relate (Pert chart or similar)			
		Detailed work description:			
	Table 3.1a: List of work packages	List of work packages			
	Table 3.1b: Work package description	Description of all work packages (WPs)			
	Table 3.1c: List of Deliverables	List of deliverables			
		The number of WPs proportionate to the scale and complexity of the project			
		The proposed resources in each WP justified			
		Quantified information for progress monitoring			
		Resources assigned to WPs in line with their objectives and deliverables			
		WP on 'project management' (visibility to data management by consortium)			

	WP on ‘dissemination and exploitation, communication activities’			
	Data management plan (DMP) (a template available in the Online Manual on the F&T Portal)			
	Plan for dissemination and exploitation including communication activities			
	Update of the ‘plan for the dissemination and exploitation of results including communication activities’, and a ‘data management plan’ planned			
	Section 3 matches the costs in the budget and the number of person months planned in the WP descriptions			
Table 3.1d: List of milestones	List of milestones			
Table 3.1e: Critical risks for implementation	List of critical risks for implementation			
	Details of any risk mitigation measures			
Table 3.1f: Summary of staff effort	Table showing number of person months required			
Table 3.1g: ‘Subcontracting costs’ items	Table showing description and justification of subcontracting costs for each participant			
Table 3.1h: ‘Purchase costs’ items	Table showing justifications for ‘purchase costs’ for participants where those costs exceed 15% of the personnel costs (travel and subsistence, equipment and other goods, works and services)			
Table 3.1i: ‘Other costs categories’ items	Table showing justifications for ‘other costs categories’ items (e.g. internally invoiced goods and services)			
Table 3.1j: ‘In-kind contributions’ provided by third parties	Table showing in-kind contributions from third parties			
3.2 Capacity of participants and consortium as a whole	Description of the consortium (how it matches the project’s objectives, and bring together the disciplinary and interdisciplinary knowledge / trans-disciplinary nature of a consortium, i.e. the involvement of stakeholders from civil society, public administration, economy, policy...)			
	Expertise of the consortium in social sciences and humanities, if relevant			
	Expertise of the consortium in open science practices, if relevant			
	Expertise of the consortium in gender aspects of R&I, if relevant			
	Affiliated entities and associated partners, if any			
	Access to critical infrastructure needed for project			

		Complementarity of the members (the value chain, where appropriate)			
		Contribution of each member to the project (valid role of each partner, and adequate resources)			
		Industrial/commercial or other stakeholder involvement (if necessary); involvement in the project to ensure exploitation of the results (consistency with the specific measures proposed for exploitation of the results - section 2.2)			
		Explanation of essential participation of other countries and international organisations (not automatically eligible for funding)			
<u>Evaluation form</u>	Other	Scope of the application - this application is ‘in scope’ because it corresponds, wholly or in part, to the topic description against which it has been submitted			
		Exceptional funding for third country participants/international organisations – description of their essential participation in the project			
		Do the activities have an exclusive focus on civil applications (activities intended to be used in military application or aims to serve military purposes cannot be funded)?			
		Do the activities proposed involve the use and/or development of AI-based systems and/or techniques? (if yes, the technical robustness of the proposed system must be evaluated under the appropriate criterion)			