

**EUROPEAN RESEARCH EXECUTIVE AGENCY (REA)**

REA.C - Future Society

C.3 – Widening Participation

**GRANT AGREEMENT**

**Project 101159106 — RIS4SEB**

**PREAMBLE**

This Agreement ( ‘the Agreement’ ) is **between** the following parties:

**on the one part,**

the **European Research Executive Agency (REA)** ( ‘EU executive agency’ or ‘granting authority’ ),

under the powers delegated by the European Commission ( ‘European Commission’ ),

**and**

**on the other part,**

1. ‘the coordinator’ :

**VYSOKA SKOLA EKONOMICKA V PRAZE (VSE)**, PIC 998733341, established in W

CHURCHILL SQUARE 4, PRAHA 3 130 67, Czechia,

and the following other beneficiaries, if they sign their ‘accession form’ (see Annex 3 and Article 40):

2. **KAUNO TECHNOLOGIJOS UNIVERSITETAS (KTU)**, PIC 999844961, established in K

DONELAICIO 73, KAUNAS LT-44029, Lithuania,

3. **SIHTASUTUS ESTONIAN BUSINESS SCHOOL (EBS)**, PIC 908611029, established in

KESKLINNA LINNAOSA, A. LAUTERI TN 3, HARJU MAAKOND TALLINN 10114, Estonia,

4. **UNIVERSITA COMMERCIALE LUIGI BOCCONI (UB)**, PIC 999838850, established in VIA

SARFATTI 25, MILANO 20136, Italy,

Unless otherwise specified, references to ‘beneficiary’ or ‘beneficiaries’ include the coordinator and affiliated entities (if any).

If only one beneficiary signs the grant agreement ( ‘mono-beneficiary grant’ ), all provisions referring to the ‘coordinator’ or the ‘beneficiaries’ will be considered – mutatis mutandis – as referring to the beneficiary.

The parties referred to above have agreed to enter into the Agreement.

By signing the Agreement and the accession forms, the beneficiaries accept the grant and agree to

implement the action under their own responsibility and in accordance with the Agreement, with all

the obligations and terms and conditions it sets out.

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The Agreement is composed of:

Preamble

Terms and Conditions (including Data Sheet)

Annex 1 Description of the action<sup>1</sup>

Annex 2 Estimated budget for the action

Annex 2a Additional information on unit costs and contributions (if applicable)

Annex 3 Accession forms (if applicable)<sup>2</sup>

Annex 3a Declaration on joint and several liability of affiliated entities (if applicable)<sup>3</sup>

Annex 4 Model for the financial statements

Annex 5 Specific rules (if applicable)

<sup>1</sup> Template published on [Portal Reference Documents](#).

<sup>2</sup> Template published on [Portal Reference Documents](#).

<sup>3</sup> Template published on [Portal Reference Documents](#).

<sup>2</sup>

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## TERMS AND CONDITIONS

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## DATA SHEET

### 1. General data

#### Project summary:

##### Project summary

ENHANCING R&I SYNERGIES FOR SCHOOLS OF ECONOMICS AND BUSINESS project, or RIS4SEB, is a proposal for the Pathways to synergies call, selecting the a) Upstream synergy mode (focusing on HR development and internalization). The RIS4SEB project creates a synergy for the widening project partners (Prague University of Economics and Business, Kaunas University of Technology, and Estonian Business School) who were previously successful in obtaining ERDF, Interreg, or similar indirect EU projects in cooperation with a highly experienced non-widening partner, the Bocconi University, building a pathway towards increased success in international research projects such as within the Horizon Europe (HE) programme. To this end, based on an analysis of widening countries low integration into ERA, the consortium chooses to focus on the research areas of economics and business, with the project partners all being either economics and business universities or schools / faculties. The project overall objective is to design and pilot three strategies aiming at enabling and facilitating effective synergies between Horizon Europe and other national/regional funds, by strengthening Internationalization of R&I widening actors, developing Human Resources, and improving Research management capacity and overall competitiveness of the widening partners. RIS4SEB will achieve this objective via supplementary capacity-building activities, such as networks, infrastructures, upskilling of research managers and researchers and research proposal pipelines and clinics, resulting in submitting of at least 4 HE projects.

#### Keywords:

- Human resource management

- Innovation management
- Macroeconomics
- synergy, economics and business, internationalization, HR development, widening cooperation

Project number: 101159106

Project name: ENHANCING REASERCH AND INNOVATION SYNERGIES FOR SCHOOLS OF ECONOMICS AND BUSINESS

Project acronym: RIS4SEB

Call: HORIZON-WIDERA-2023-ACCESS-04

Topic: HORIZON-WIDERA-2023-ACCESS-04-01

Type of action: HORIZON Coordination and Support Actions

Granting authority: European Research Executive Agency

Grant managed through EU Funding & Tenders Portal: Yes (eGrants)

Project starting date: fixed date: 1 June 2024

Project end date: 31 May 2027

Project duration: 36 months

Consortium agreement: Yes

## 2. Participants

### List of participants:

N° Role Short name Legal name Ctry PIC

**Total**

**eligible costs**

(BEN and AE)

**Max grant**

**amount**

1 COO VSE VYSOKA SKOLA EKONOMICKA V PRAZE CZ 998733341 428 750.00 428 750.00

2 BEN KTU KAUNO TECHNOLOGIJOS UNIVERSITETAS LT 999844961 274 255.00 274 255.00

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N° Role Short name Legal name Ctry PIC

**Total**

**eligible costs**

(BEN and AE)

**Max grant**

**amount**

3 BEN EBS SIHTASUTUS ESTONIAN BUSINESS SCHOOL EE 908611029 256 250.00 256 250.00

4 BEN UB UNIVERSITA COMMERCIALE LUIGI BOCCONI IT 999838850 205 625.00 205 625.00

**Total** 1 164 880.00 1 164 880.00

### Coordinator:

- VYSOKA SKOLA EKONOMICKA V PRAZE (VSE)

## 3. Grant

### Maximum grant amount, total estimated eligible costs and contributions and funding rate:

**Total eligible costs**

(BEN and AE)

**Funding rate**

(%)

**Maximum grant amount**

(Annex 2)

**Maximum grant amount**

(award decision)

1 164 880.00 100 1 164 880.00 1 164 880.00

**Grant form:** Budget-based

**Grant mode:** Action grant

### Budget categories/activity types:

- A. Personnel costs
  - A.1 Employees, A.2 Natural persons under direct contract, A.3 Seconded persons
  - A.4 SME owners and natural person beneficiaries
- B. Subcontracting costs
- C. Purchase costs
  - C.1 Travel and subsistence
  - C.2 Equipment

- C.3 Other goods, works and services
- D. Other cost categories
- D.2 Internally invoiced goods and services
- E. Indirect costs

**Cost eligibility options:**

- In-kind contributions eligible costs
- Parental leave
- Project-based supplementary payments
- Average personnel costs (unit cost according to usual cost accounting practices)
- Limitation for subcontracting
- Travel and subsistence:
  - Travel: Actual costs
  - Accommodation: Actual costs
  - Subsistence: Actual costs

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- Equipment: depreciation only
- Indirect cost flat-rate: 25% of the eligible direct costs (categories A-D, except volunteers costs, subcontracting costs, financial support to third parties and exempted specific cost categories, if any)
- VAT: Yes
- Other ineligible costs

**Budget flexibility:** Yes (no flexibility cap)

**4. Reporting, payments and recoveries**

**4.1 Continuous reporting (art 21)**

**Deliverables:** see Funding & Tenders Portal Continuous Reporting tool

**4.2 Periodic reporting and payments**

**Reporting and payment schedule (art 21, 22):**

**Reporting Payments**

**Reporting periods Type Deadline Type Deadline (time to pay)**

**RP No Month from Month to**

Initial prefinancing

30 days from entry

into force/10 days

before starting

date - whichever

is the latest

1 1 15 Periodic report 60 days after end

of reporting period

Interim payment 90 days from

receiving

periodic report

2 16 36 Periodic report 60 days after end

of reporting period

Final payment 90 days from

receiving

periodic report

**Prefinancing payments and guarantees:**

**Prefinancing payment**

**Type Amount**

Prefinancing 1 (initial) 931 904.00

**Reporting and payment modalities (art 21, 22):**

**Mutual Insurance Mechanism (MIM):** Yes

**MIM contribution:** 5% of the maximum grant amount (58 244.00), retained from the initial prefinancing

**Restrictions on distribution of initial prefinancing:** The prefinancing may be distributed only if the minimum number of beneficiaries set out in the call conditions (if any) have acceded to the Agreement and only to beneficiaries that have

acceded.

Interim payment ceiling (if any): 90% of the maximum grant amount

Exception for revenues: Yes

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No-profit rule: Yes

Late payment interest: ECB + 3.5%

Bank account for payments:

CZ220800000000001829152 GIBACZPX

Conversion into euros: Double conversion

Reporting language: Language of the Agreement

**4.3 Certificates** (art 24):

Certificates on the financial statements (CFS):

Conditions:

Schedule: only at final payment, if threshold is reached

Standard threshold (beneficiary-level):

– financial statement: requested EU contribution to costs  $\geq$  EUR 430 000.00

Special threshold for beneficiaries with a systems and process audit(see Article 24):

financial statement: requested

EU contribution to costs  $\geq$  EUR 725 000.00

**4.4 Recoveries** (art 22)

**First-line liability for recoveries:**

Beneficiary termination: Beneficiary concerned

Final payment: Each beneficiary for their own debt

After final payment: Beneficiary concerned

**Joint and several liability for enforced recoveries (in case of non-payment):**

Individual financial responsibility: Each beneficiary is liable only for its own debts (and those of its affiliated entities, if any)

Joint and several liability of affiliated entities – n/a

**5. Consequences of non-compliance, applicable law & dispute settlement forum**

**Suspension and termination:**

Additional suspension grounds (art 31)

Additional termination grounds (art 32)

**Applicable law** (art 43):

Standard applicable law regime: EU law + law of Belgium

**Dispute settlement forum** (art 43):

Standard dispute settlement forum:

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EU beneficiaries: EU General Court + EU Court of Justice (on appeal)

Non-EU beneficiaries: Courts of Brussels, Belgium (unless an international agreement provides for the enforceability of EU court judgements)

**6. Other**

**Specific rules (Annex 5):** Yes

**Standard time-limits after project end:**

Confidentiality (for X years after final payment): 5

Record-keeping (for X years after final payment): 5 (or 3 for grants of not more than EUR 60 000)

Reviews (up to X years after final payment): 2

Audits (up to X years after final payment): 2

Extension of findings from other grants to this grant (no later than X years after final payment): 2

Impact evaluation (up to X years after final payment): 5 (or 3 for grants of not more than EUR 60 000)

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## **CHAPTER 1 GENERAL**

### **ARTICLE 1 — SUBJECT OF THE AGREEMENT**

This Agreement sets out the rights and obligations and terms and conditions applicable to the grant

awarded for the implementation of the action set out in Chapter 2.

### **ARTICLE 2 — DEFINITIONS**

For the purpose of this Agreement, the following definitions apply:

**Actions** – The project which is being funded in the context of this Agreement.

**Grant** – The grant awarded in the context of this Agreement.

**EU grants** – Grants awarded by EU institutions, bodies, offices or agencies (including EU executive agencies, EU regulatory agencies, EDA, joint undertakings, etc.).

**Participants** – Entities participating in the action as beneficiaries, affiliated entities, associated

partners, third parties giving in-kind contributions, subcontractors or recipients of financial support to third parties.

**Beneficiaries (BEN)** – The signatories of this Agreement (either directly or through an accession form).

**Affiliated entities (AE)** – Entities affiliated to a beneficiary within the meaning of Article 187 of

EU Financial Regulation 2018/1046<sup>4</sup> which participate in the action with similar rights

and obligations as the beneficiaries (obligation to implement action tasks and right to

charge costs and claim contributions).

**Associated partners (AP)** – Entities which participate in the action, but without the right to charge costs or claim contributions.

**Purchases** – Contracts for goods, works or services needed to carry out the action (e.g. equipment, consumables and supplies) but which are not part of the action tasks (see Annex 1).

**Subcontracting** – Contracts for goods, works or services that are part of the action tasks (see Annex 1).

**In-kind contributions** – In-kind contributions within the meaning of Article 2(36) of EU Financial

<sup>4</sup>For the definition, see Article 187 Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the financial rules applicable to the general budget of the Union, amending Regulations (EU) No 1296/2013, (EU) No 1301/2013, (EU) No 1303/2013, (EU) No 1304/2013, (EU) No 1309/2013, (EU) No 1316/2013, (EU) No 223/2014, (EU) No 283/2014, and Decision No 541/2014/EU and repealing Regulation (EU, Euratom) No 966/2012 ( ‘EU Financial Regulation’ ) (OJ L 193, 30.7.2018, p. 1):

“**affiliated entities** [are]:

(a) entities that form a sole beneficiary [(i.e. where an entity is formed of several entities that satisfy the criteria for being awarded a grant, including where the entity is specifically established for the purpose of implementing an action to be financed by a grant)];

(b) entities that satisfy the eligibility criteria and that do not fall within one of the situations referred to in Article 136(1) and 141(1) and that have a link with the beneficiary, in particular a legal or capital link, which is neither limited to the action nor established for the sole purpose of its implementation” .

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Regulation 2018/1046, i.e. non-financial resources made available free of charge by third parties.

Fraud – Fraud within the meaning of Article 3 of EU Directive 2017/1371<sup>5</sup> and Article 1 of the Convention on the protection of the European Communities’ financial interests, drawn up by the Council Act of 26 July 1995<sup>6</sup>, as well as any other wrongful or criminal deception intended to result in financial or personal gain.

Irregularities – Any type of breach (regulatory or contractual) which could impact the EU

financial interests, including irregularities within the meaning of Article 1(2) of EU

Regulation 2988/95<sup>7</sup>.

Grave professional misconduct – Any type of unacceptable or improper behaviour in exercising one’ s profession, especially by employees, including grave professional misconduct within

the meaning of Article 136(1)(c) of EU Financial Regulation 2018/1046.

Applicable EU, international and national law – Any legal acts or other (binding or non-binding)

rules and guidance in the area concerned.

Portal – EU Funding & Tenders Portal; electronic portal and exchange system managed by the

European Commission and used by itself and other EU institutions, bodies, offices

or agencies for the management of their funding programmes (grants, procurements, prizes, etc.).

## **CHAPTER 2 ACTION**

### **ARTICLE 3 — ACTION**

The grant is awarded for the action **101159106 – RIS4SEB** ( ‘action’ ), as described in Annex 1.

### **ARTICLE 4 — DURATION AND STARTING DATE**

The duration and the starting date of the action are set out in the Data Sheet (see Point 1).

## **CHAPTER 3 GRANT**

### **ARTICLE 5 — GRANT**

#### **5.1 Form of grant**

The grant is an action grant<sup>5</sup> which takes the form of a budget-based mixed actual cost grant (i.e. a

<sup>5</sup> Directive (EU) 2017/1371 of the European Parliament and of the Council of 5 July 2017 on the fight against fraud to the Union’s financial interests by means of criminal law (OJ L 198, 28.7.2017, p. 29).

<sup>6</sup> OJ C 316, 27.11.1995, p. 48.

<sup>7</sup> Council Regulation (EC, Euratom) No 2988/95 of 18 December 1995 on the protection of the European Communities financial interests (OJ L 312, 23.12.1995, p. 1).

<sup>8</sup> For the definition, see Article 180(2)(a) EU Financial Regulation 2018/1046: ‘**action grant**’ means an EU grant to finance “an action intended to help achieve a Union policy objective” .

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grant based on actual costs incurred, but which may also include other forms of funding, such as unit

costs or contributions, flat-rate costs or contributions, lump sum costs or contributions or financing not linked to costs).

#### **5.2 Maximum grant amount**

The maximum grant amount is set out in the Data Sheet (see Point 3) and in the estimated budget (Annex 2).

#### **5.3 Funding rate**

The funding rate for costs is 100% of the action’s eligible costs. Contributions are not subject to any funding rate.



#### **5.4 Estimated budget, budget categories and forms of funding**

The estimated budget for the action is set out in Annex 2.

It contains the estimated eligible costs and contributions for the action, broken down by participant and budget category.

Annex 2 also shows the types of costs and contributions (forms of funding)<sup>9</sup> to be used for each budget category.

If unit costs or contributions are used, the details on the calculation will be explained in Annex 2a.

#### **5.5 Budget flexibility**

The budget breakdown may be adjusted – without an amendment (see Article 39) – by transfers

(between participants and budget categories), as long as this does not imply any substantive or important change to the description of the action in Annex 1.

However:

- changes to the budget category for volunteers (if used) always require an amendment

- changes to budget categories with lump sums costs or contributions (if used; including financing not linked to costs) always require an amendment

- changes to budget categories with higher funding rates or budget ceilings (if used) always require an amendment

- addition of amounts for subcontracts not provided for in Annex 1 either require an amendment

or simplified approval in accordance with Article 6.2

- other changes require an amendment or simplified approval, if specifically provided for in

Article 6.2

- flexibility caps: not applicable.

<sup>9</sup> See Article 125 EU Financial Regulation 2018/1046.

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### **ARTICLE 6 — ELIGIBLE AND INELIGIBLE COSTS AND CONTRIBUTIONS**

In order to be eligible, costs and contributions must meet the **eligibility** conditions set out in this

Article.

#### **6.1 General eligibility conditions**

The **general eligibility conditions** are the following:

(a) for actual costs:

(i) they must be actually incurred by the beneficiary

(ii) they must be incurred in the period set out in Article 4 (with the exception of costs relating to the submission of the final periodic report, which may be incurred afterwards; see Article 21)

(iii) they must be declared under one of the budget categories set out in Article 6.2 and Annex 2

(iv) they must be incurred in connection with the action as described in Annex 1 and necessary for its implementation

(v) they must be identifiable and verifiable, in particular recorded in the beneficiary' s accounts in accordance with the accounting standards applicable in the country where the beneficiary is established and with the beneficiary' s usual cost accounting practices

(vi) they must comply with the applicable national law on taxes, labour and social security and

(vii) they must be reasonable, justified and must comply with the principle of sound financial management, in particular regarding economy and efficiency

(b) for unit costs or contributions (if any):

(i) they must be declared under one of the budget categories set out in Article 6.2 and Annex 2

(ii) the units must:

– be actually used or produced by the beneficiary in the period set out in Article 4

(with the exception of units relating to the submission of the final periodic report,

which may be used or produced afterwards; see Article 21)

– be necessary for the implementation of the action and

(iii) the number of units must be identifiable and verifiable, in particular supported by records and documentation (see Article 20)

(c) for flat-rate costs or contributions (if any):

(i) they must be declared under one of the budget categories set out in Article 6.2 and Annex 2

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(ii) the costs or contributions to which the flat-rate is applied must:

- be eligible
- relate to the period set out in Article 4 (with the exception of costs or contributions relating to the submission of the final periodic report, which may be incurred afterwards; see Article 21)

(d) for lump sum costs or contributions (if any):

- (i) they must be declared under one of the budget categories set out in Article 6.2 and Annex 2
- (ii) the work must be properly implemented by the beneficiary in accordance with Annex 1
- (iii) the deliverables/outputs must be achieved in the period set out in Article 4 (with the exception of deliverables/outputs relating to the submission of the final periodic report, which may be achieved afterwards; see Article 21)

(e) for unit, flat-rate or lump sum costs or contributions according to usual cost accounting practices (if any):

- (i) they must fulfil the general eligibility conditions for the type of cost concerned
- (ii) the cost accounting practices must be applied in a consistent manner, based on objective criteria, regardless of the source of funding

(f) for financing not linked to costs (if any): the results must be achieved or the conditions must be fulfilled as described in Annex 1.

In addition, for direct cost categories (e.g. personnel, travel & subsistence, subcontracting and other direct costs) only costs that are directly linked to the action implementation and can therefore be attributed to it directly are eligible. They must not include any indirect costs (i.e. costs that are only indirectly linked to the action, e.g. via cost drivers).

**In-kind contributions** provided by third parties free of charge may be declared as eligible direct costs by the beneficiaries which use them (under the same conditions as if they were their own, provided that they concern only direct costs and that the third parties and their in-kind contributions are set out in Annex 1 (or approved ex post in the periodic report, if their use does not entail changes to the

Agreement which would call into question the decision awarding the grant or breach the principle of equal treatment of applicants; 'simplified approval procedure' ).

## **6.2 Specific eligibility conditions for each budget category**

For each budget category, the **specific eligibility conditions** are as follows:

### **Direct costs**

#### **A. Personnel costs**

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**A.1 Costs for employees (or equivalent)** are eligible as personnel costs if they fulfil the general

eligibility conditions and are related to personnel working for the beneficiary under an employment

contract (or equivalent appointing act) and assigned to the action.

They must be limited to salaries (including net payments during parental leave), social security

contributions, taxes and other costs linked to the remuneration, if they arise from national law or the

employment contract (or equivalent appointing act) and be calculated on the basis of the costs actually

incurred, in accordance with the following method:

{daily rate for the person

multiplied by

number of day-equivalents worked on the action (rounded up or down to the nearest half-day)}.

The daily rate must be calculated as:

{annual personnel costs for the person

divided by

215}.

The number of day-equivalents declared for a person must be identifiable and verifiable (see

Article 20).

The actual time spent on parental leave by a person assigned to the action may be deducted from the

215 days indicated in the above formula.

The total number of day-equivalents declared in EU grants, for a person for a year, cannot be higher

than 215, minus time spent on parental leave (if any).

For personnel which receives supplementary payments for work in projects (project-based

remuneration), the personnel costs must be calculated at a rate which:

– corresponds to the actual remuneration costs paid by the beneficiary for the time worked by

the person in the action over the reporting period

– does not exceed the remuneration costs paid by the beneficiary for work in similar projects funded by national schemes ( ‘national projects reference’ )  
– is defined based on objective criteria allowing to determine the amount to which the person is entitled  
and  
– reflects the usual practice of the beneficiary to pay consistently bonuses or supplementary payments for work in projects funded by national schemes.

The national projects reference is the remuneration defined in national law, collective labour agreement or written internal rules of the beneficiary applicable to work in projects funded by national schemes.

If there is no such national law, collective labour agreement or written internal rules or if the projectbased remuneration is not based on objective criteria, the national project reference will be the average

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remuneration of the person in the last full calendar year covered by the reporting period, excluding remuneration paid for work in EU actions.

If the beneficiary uses average personnel costs (unit cost according to usual cost accounting practices), the personnel costs must fulfil the general eligibility conditions for such unit costs and the daily rate must be calculated:

– using the actual personnel costs recorded in the beneficiary’ s accounts and excluding any costs which are ineligible or already included in other budget categories; the actual personnel costs may be adjusted on the basis of budgeted or estimated elements, if they are relevant  
for calculating the personnel costs, reasonable and correspond to objective and verifiable information  
and

– according to usual cost accounting practices which are applied in a consistent manner, based on objective criteria, regardless of the source of funding.

**A.2 and A.3 Costs for natural persons working under a direct contract other than an employment**

contract and costs for **seconded persons by a third party against payment** are also eligible as

personnel costs, if they are assigned to the action, fulfil the general eligibility conditions and:

(a) work under conditions similar to those of an employee (in particular regarding the way the

work is organised, the tasks that are performed and the premises where they are performed) and

(b) the result of the work belongs to the beneficiary (unless agreed otherwise).

They must be calculated on the basis of a rate which corresponds to the costs actually incurred for

the direct contract or secondment and must not be significantly different from those for personnel

performing similar tasks under an employment contract with the beneficiary.

**A.4** The work of **SME owners** for the action (i.e. owners of beneficiaries that are small and medium-sized

enterprises<sup>10</sup> not receiving a salary) or **natural person beneficiaries** (i.e. beneficiaries that are

natural persons not receiving a salary) may be declared as personnel costs, if they fulfil the general

eligibility conditions and are calculated as unit costs in accordance with the method set out in Annex

2a.

#### **B. Subcontracting costs**

**Subcontracting costs** for the action (including related duties, taxes and charges, such as non-deductible

or non-refundable value added tax (VAT)) are eligible, if they are calculated on the basis

of the costs actually incurred, fulfil the general eligibility conditions and are awarded using the

<sup>10</sup> For the definition, see Commission Recommendation 2003/361/EC: micro, small or medium-sized enterprise (SME)

are enterprises

– engaged in an economic activity, irrespective of their legal form (including, in particular, self-employed persons

and family businesses engaged in craft or other activities, and partnerships or associations regularly engaged

in an economic activity) and

– employing fewer than 250 persons (expressed in ‘annual working units’ as defined in Article 5 of the

Recommendation) and which have an annual turnover not exceeding EUR 50 million, and/or an annual balance

sheet total not exceeding EUR 43 million.

beneficiary’ s usual purchasing practices – provided these ensure subcontracts with best value for money (or if appropriate the lowest price) and that there is no conflict of interests (see Article 12).

Beneficiaries that are ‘contracting authorities/entities’ within the meaning of the EU Directives on public procurement must also comply with the applicable national law on public procurement.

Subcontracting may cover only a limited part of the action.

The tasks to be subcontracted and the estimated cost for each subcontract must be set out in Annex 1

and the total estimated costs of subcontracting per beneficiary must be set out in Annex 2 (or may

be approved ex post in the periodic report, if the use of subcontracting does not entail changes to the

Agreement which would call into question the decision awarding the grant or breach the principle of

equal treatment of applicants; ‘simplified approval procedure’ ).

### **C. Purchase costs**

**Purchase costs** for the action (including related duties, taxes and charges, such as non-deductible or

non-refundable value added tax (VAT)) are eligible if they fulfil the general eligibility conditions and

are bought using the beneficiary’ s usual purchasing practices – provided these ensure purchases with

best value for money (or if appropriate the lowest price) and that there is no conflict of interests (see

Article 12).

Beneficiaries that are ‘contracting authorities/entities’ within the meaning of the EU Directives on

public procurement must also comply with the applicable national law on public procurement.

#### **C.1 Travel and subsistence**

Purchases for **travel, accommodation** and **subsistence** must be calculated as follows:

– travel: on the basis of the costs actually incurred and in line with the beneficiary’ s usual practices on travel

– accommodation: on the basis of the costs actually incurred and in line with the beneficiary’ s usual practices on travel

– subsistence: on the basis of the costs actually incurred and in line with the beneficiary’ s usual

practices on travel .

## **C.2 Equipment**

Purchases of **equipment, infrastructure or other assets** used for the action must be declared as

depreciation costs, calculated on the basis of the costs actually incurred and written off in accordance

with international accounting standards and the beneficiary' s usual accounting practices.

Only the portion of the costs that corresponds to the rate of actual use for the action during the action duration can be taken into account.

Costs for **renting or leasing** equipment, infrastructure or other assets are also eligible, if they do not exceed the depreciation costs of similar equipment, infrastructure or assets and do not include any financing fees.

## **C.3 Other goods, works and services**

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Purchases of **other goods, works and services** must be calculated on the basis of the costs actually incurred.

Such goods, works and services include, for instance, consumables and supplies, promotion,

dissemination, protection of results, translations, publications,

certificates and financial guarantees,

if required under the Agreement.

## **D. Other cost categories**

### **D.2 Internally invoiced goods and services**

**Costs for internally invoiced goods and services** directly used for the action may be declared as unit

cost according to usual cost accounting practices, if and as declared eligible in the call conditions, if

they fulfil the general eligibility conditions for such unit costs and the amount per unit is calculated:

– using the actual costs for the good or service recorded in the beneficiary' s accounts, attributed

either by direct measurement or on the basis of cost drivers, and excluding any cost which

are ineligible or already included in other budget categories; the actual costs may be adjusted

on the basis of budgeted or estimated elements, if they are relevant for calculating the costs,

reasonable and correspond to objective and verifiable information



and

– according to usual cost accounting practices which are applied in a consistent manner, based on objective criteria, regardless of the source of funding.

‘Internally invoiced goods and services’ means goods or services which are provided within the beneficiary’s organisation directly for the action and which the beneficiary values on the basis of its usual cost accounting practices.

This cost will not be taken into account for the indirect cost flat-rate.

#### **Indirect costs**

##### **E. Indirect costs**

**Indirect costs** will be reimbursed at the flat-rate of 25% of the eligible direct costs (categories A–D, except volunteers costs, subcontracting costs, financial support to third parties and exempted specific cost categories, if any).

##### **Contributions**

Not applicable

#### **6.3 Ineligible costs and contributions**

The following costs or contributions are **ineligible**:

(a) costs or contributions that do not comply with the conditions set out above (Article 6.1 and 6.2), in particular:

(i) costs related to return on capital and dividends paid by a beneficiary

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(ii) debt and debt service charges

(iii) provisions for future losses or debts

(iv) interest owed

(v) currency exchange losses

(vi) bank costs charged by the beneficiary’s bank for transfers from the granting authority

(vii) excessive or reckless expenditure

(viii) deductible or refundable VAT (including VAT paid by public bodies acting as public authority)

(ix) costs incurred or contributions for activities implemented during grant agreement

suspension (see Article 31)

(x) in-kind contributions by third parties: not applicable

(b) costs or contributions declared under other EU grants (or grants awarded by an EU Member

State, non-EU country or other body implementing the EU budget), except for the following cases:

(i) Synergy actions: not applicable

(ii) if the action grant is combined with an operating grant<sup>11</sup> running during the same period

and the beneficiary can demonstrate that the operating grant does not cover any (direct

or indirect) costs of the action grant

(c) costs or contributions for staff of a national (or regional/local) administration, for activities that

are part of the administration's normal activities (i.e. not undertaken only because of the grant)

(d) costs or contributions (especially travel and subsistence) for staff or representatives of EU

institutions, bodies or agencies

(e) other :

(i) country restrictions for eligible costs: not applicable

(ii) costs or contributions declared specifically ineligible in the call conditions.

#### **6.4 Consequences of non-compliance**

If a beneficiary declares costs or contributions that are ineligible, they will be rejected (see Article 27).

This may also lead to other measures described in Chapter 5.

<sup>11</sup> For the definition, see Article 180(2) (b) of EU Financial Regulation

2018/1046: ‘operating grant’ means an EU grant

to finance “the functioning of a body which has an objective forming part of and supporting an EU policy” .

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## **CHAPTER 4 GRANT IMPLEMENTATION**

### **SECTION 1 CONSORTIUM: BENEFICIARIES, AFFILIATED ENTITIES AND OTHER**

#### **PARTICIPANTS**

##### **ARTICLE 7 — BENEFICIARIES**

The beneficiaries, as signatories of the Agreement, are fully responsible towards the granting authority

for implementing it and for complying with all its obligations.

They must implement the Agreement to their best abilities, in good faith and in accordance with all

the obligations and terms and conditions it sets out.

They must have the appropriate resources to implement the action and implement the action under

their own responsibility and in accordance with Article 11. If they rely on affiliated entities or other participants (see Articles 8 and 9), they retain sole responsibility towards the granting authority and the other beneficiaries.

They are jointly responsible for the *technical* implementation of the action. If one of the beneficiaries

fails to implement their part of the action, the other beneficiaries must ensure that this part is implemented by someone else (without being entitled to an increase of the maximum grant amount

and subject to an amendment; see Article 39). The *financial* responsibility of each beneficiary in case of recoveries is governed by Article 22.

The beneficiaries (and their action) must remain eligible under the EU programme funding the grant for the entire duration of the action. Costs and contributions will be eligible only as long as the beneficiary and the action are eligible.

The **internal roles and responsibilities** of the beneficiaries are divided as follows:

(a) Each beneficiary must:

(i) keep information stored in the Portal Participant Register up to date (see Article 19)

(ii) inform the granting authority (and the other beneficiaries) immediately of any events or

circumstances likely to affect significantly or delay the implementation of the action (see Article 19)

(iii) submit to the coordinator in good time:

– the prefinancing guarantees (if required; see Article 23)

– the financial statements and certificates on the financial statements (CFS) (if

required; see Articles 21 and 24.2 and Data Sheet, Point 4.3)

– the contribution to the deliverables and technical reports (see Article 21)

– any other documents or information required by the granting authority under the

Agreement

(iv) submit via the Portal data and information related to the participation of their affiliated entities.

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(b) The coordinator must:

(i) monitor that the action is implemented properly (see Article 11)

(ii) act as the intermediary for all communications between the consortium and the granting

authority, unless the Agreement or granting authority specifies otherwise, and in

particular:

– submit the prefinancing guarantees to the granting authority (if any)

– request and review any documents or information required and verify their quality

and completeness before passing them on to the granting authority

– submit the deliverables and reports to the granting authority

– inform the granting authority about the payments made to the other beneficiaries

(report on the distribution of payments; if required, see Articles 22 and 32)

(iii) distribute the payments received from the granting authority to the other beneficiaries

without unjustified delay (see Article 22).

The coordinator may not delegate or subcontract the above-mentioned tasks to any other beneficiary

or third party (including affiliated entities).

However, coordinators which are public bodies may delegate the tasks set out in Point (b) (ii) last

indent and (iii) above to entities with ‘authorisation to administer’ which they have created or which

are controlled by or affiliated to them. In this case, the coordinator retains sole responsibility for the

payments and for compliance with the obligations under the Agreement.

Moreover, coordinators which are ‘sole beneficiaries’<sup>12</sup> (or similar, such as European research

infrastructure consortia (ERICs)) may delegate the tasks set out in Point (b) (i) to (iii) above to one of

their members. The coordinator retains sole responsibility for compliance with the obligations under

the Agreement.

The beneficiaries must have **internal arrangements** regarding their operation and co-ordination, to

ensure that the action is implemented properly.

If required by the granting authority (see Data Sheet, Point 1), these arrangements must be set out in

a written **consortium agreement** between the beneficiaries, covering for instance:

– the internal organisation of the consortium

- the management of access to the Portal
  - different distribution keys for the payments and financial responsibilities in case of recoveries (if any)
  - additional rules on rights and obligations related to background and results (see Article 16)
- <sup>12</sup> For the definition, see Article 187(2) EU Financial Regulation 2018/1046: “Where several entities satisfy the criteria for being awarded a grant and together form one entity, that entity may be treated as the **sole beneficiary**, including where it is specifically established for the purpose of implementing the action financed by the grant.”

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- settlement of internal disputes
- liability, indemnification and confidentiality arrangements between the beneficiaries.

The internal arrangements must not contain any provision contrary to this Agreement.

## **ARTICLE 8 — AFFILIATED ENTITIES**

Not applicable

## **ARTICLE 9 — OTHER PARTICIPANTS INVOLVED IN THE ACTION**

### **9.1 Associated partners**

Not applicable

### **9.2 Third parties giving in-kind contributions to the action**

Other third parties may give in-kind contributions to the action (i.e. personnel, equipment, other goods, works and services, etc. which are free-of-charge) if necessary for the implementation.

Third parties giving in-kind contributions do not implement any action tasks. They may not charge

costs or contributions to the action, but the costs for the in-kind contributions are eligible and may be charged by the beneficiaries which use them, under the conditions set out in Article 6. The costs will

be included in Annex 2 as part of the beneficiaries’ costs.

The third parties and their in-kind contributions should be set out in Annex 1.

The beneficiaries must ensure that the bodies mentioned in Article 25 (e.g. granting authority, OLAF,

Court of Auditors (ECA), etc.) can exercise their rights also towards the third parties giving in-kind contributions.

### **9.3 Subcontractors**

Subcontractors may participate in the action, if necessary for the implementation.

Subcontractors must implement their action tasks in accordance with Article 11. The costs for the subcontracted tasks (invoiced price from the subcontractor) are eligible and may be charged by the beneficiaries, under the conditions set out in Article 6. The costs will be included in Annex 2 as part of the beneficiaries' costs.

The beneficiaries must ensure that their contractual obligations under Articles 11 (proper implementation), 12 (conflict of interest), 13 (confidentiality and security), 14 (ethics), 17.2 (visibility), 18 (specific rules for carrying out action), 19 (information) and 20 (record-keeping) also apply to the subcontractors.

The beneficiaries must ensure that the bodies mentioned in Article 25 (e.g. granting authority, OLAF, Court of Auditors (ECA), etc.) can exercise their rights also towards the subcontractors.

#### **9.4 Recipients of financial support to third parties**

If the action includes providing financial support to third parties (e.g. grants, prizes or similar forms of

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support), the beneficiaries must ensure that their contractual obligations under Articles 12 (conflict of interest), 13 (confidentiality and security), 14 (ethics), 17.2 (visibility), 18 (specific rules for carrying out action), 19 (information) and 20 (record-keeping) also apply to the third parties receiving the support (recipients).

The beneficiaries must also ensure that the bodies mentioned in Article 25 (e.g. granting authority, OLAF, Court of Auditors (ECA), etc.) can exercise their rights also towards the recipients.

### **ARTICLE 10 — PARTICIPANTS WITH SPECIAL STATUS**

#### **10.1 Non-EU participants**

Participants which are established in a non-EU country (if any) undertake to comply with their obligations under the Agreement and:

- to respect general principles (including fundamental rights, values and ethical principles,

environmental and labour standards, rules on classified information, intellectual property rights, visibility of funding and protection of personal data)  
– for the submission of certificates under Article 24: to use qualified external auditors which are independent and comply with comparable standards as those set out in EU Directive

2006/43/EC<sup>13</sup>

– for the controls under Article 25: to allow for checks, reviews, audits and investigations

(including on-the-spot checks, visits and inspections) by the bodies mentioned in that Article

(e.g. granting authority, OLAF, Court of Auditors (ECA), etc.).

Special rules on dispute settlement apply (see Data Sheet, Point 5).

### **10.2 Participants which are international organisations**

Participants which are international organisations (IOs; if any) undertake to comply with their

obligations under the Agreement and:

– to respect general principles (including fundamental rights, values and ethical principles,

environmental and labour standards, rules on classified information, intellectual property

rights, visibility of funding and protection of personal data)

– for the submission of certificates under Article 24: to use either independent public officers or

external auditors which comply with comparable standards as those set out in EU Directive

2006/43/EC

– for the controls under Article 25: to allow for the checks, reviews, audits and investigations

by the bodies mentioned in that Article, taking into account the specific agreements concluded

by them and the EU (if any).

For such participants, nothing in the Agreement will be interpreted as a waiver of their privileges or

immunities, as accorded by their constituent documents or international law.

<sup>13</sup> Directive 2006/43/EC of the European Parliament and of the Council of 17 May 2006 on statutory audits of annual accounts and consolidated accounts or similar national regulations (OJ L 157, 9. 6. 2006, p. 87).

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Special rules on applicable law and dispute settlement apply (see Article 43 and Data Sheet, Point 5).

### **10.3 Pillar-assessed participants**

Pillar-assessed participants (if any) may rely on their own systems, rules and procedures, in so far as they have been positively assessed and do not call into question the decision awarding the grant or breach the principle of equal treatment of applicants or beneficiaries.

‘Pillar-assessment’ means a review by the European Commission on the systems, rules and procedures which participants use for managing EU grants (in particular internal control system, accounting system, external audits, financing of third parties, rules on recovery and exclusion, information on recipients and protection of personal data; see Article 154 EU Financial Regulation 2018/1046).

Participants with a positive pillar assessment may rely on their own systems, rules and procedures, in particular for:

- record-keeping (Article 20): may be done in accordance with internal standards, rules and procedures
  - currency conversion for financial statements (Article 21): may be done in accordance with usual accounting practices
  - guarantees (Article 23): for public law bodies, prefinancing guarantees are not needed
  - certificates (Article 24):
  - certificates on the financial statements (CFS): may be provided by their regular internal or external auditors and in accordance with their internal financial regulations and procedures
  - certificates on usual accounting practices (CoMUC): are not needed if those practices are covered by an ex-ante assessment
- and use the following specific rules, for:
- recoveries (Article 22): in case of financial support to third parties, there will be no recovery if the participant has done everything possible to retrieve the undue amounts from the third party receiving the support (including legal proceedings) and non-recovery is not due to an error or negligence on its part



– checks, reviews, audits and investigations by the EU (Article 25): will be conducted taking into account the rules and procedures specifically agreed between them and the framework agreement (if any)

– impact evaluation (Article 26): will be conducted in accordance with the participant's internal rules and procedures and the framework agreement (if any)

– grant agreement suspension (Article 31): certain costs incurred during grant suspension are eligible (notably, minimum costs necessary for a possible resumption of the action and costs relating to contracts which were entered into before the pre-information letter was received and which could not reasonably be suspended, reallocated or terminated on legal grounds)

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– grant agreement termination (Article 32): the final grant amount and final payment will be calculated taking into account also costs relating to contracts due for execution only after termination takes effect, if the contract was entered into before the pre-information letter was received and could not reasonably be terminated on legal grounds

– liability for damages (Article 33.2): the granting authority must be compensated for damage it sustains as a result of the implementation of the action or because the action was not implemented in full compliance with the Agreement only if the damage is due to an infringement of the participant's internal rules and procedures or due to a violation of third parties' rights by the participant or one of its employees or individual for whom the employees are responsible.

Participants whose pillar assessment covers procurement and granting procedures may also do purchases, subcontracting and financial support to third parties (Article 6.2) in accordance with their internal rules and procedures for purchases, subcontracting and financial support.

Participants whose pillar assessment covers data protection rules may rely on their internal standards,

rules and procedures for data protection (Article 15).

The participants may however not rely on provisions which would breach the principle of equal treatment of applicants or beneficiaries or call into question the decision awarding the grant, such as in particular:

- eligibility (Article 6)
- consortium roles and set-up (Articles 7-9)
- security and ethics (Articles 13, 14)
- IPR (including background and results, access rights and rights of use), communication, dissemination and visibility (Articles 16 and 17)
- information obligation (Article 19)
- payment, reporting and amendments (Articles 21, 22 and 39)
- rejections, reductions, suspensions and terminations (Articles 27, 28, 29-32)

If the pillar assessment was subject to remedial measures, reliance on the internal systems, rules and procedures is subject to compliance with those remedial measures.

Participants whose assessment has not yet been updated to cover (the new rules on) data protection

may rely on their internal systems, rules and procedures, provided that they ensure that personal data is:

- processed lawfully, fairly and in a transparent manner in relation to the data subject
- collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes
- adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed
- accurate and, where necessary, kept up to date

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- kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the data is processed and
- processed in a manner that ensures appropriate security of the personal data.

Participants must inform the coordinator without delay of any changes to the systems, rules and procedures that were part of the pillar assessment. The coordinator must immediately inform the granting authority.

Pillar-assessed participants that have also concluded a framework agreement with the EU, may moreover – under the same conditions as those above (i.e. not call into question the decision awarding the grant or breach the principle of equal treatment of applicants or beneficiaries) – rely on the provisions set out in that framework agreement.

## **SECTION 2 RULES FOR CARRYING OUT THE ACTION**

### **ARTICLE 11 — PROPER IMPLEMENTATION OF THE ACTION**

#### **11.1 Obligation to properly implement the action**

The beneficiaries must implement the action as described in Annex 1 and in compliance with the provisions of the Agreement, the call conditions and all legal obligations under applicable EU, international and national law.

#### **11.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 28).

Such breaches may also lead to other measures described in Chapter 5.

### **ARTICLE 12 — CONFLICT OF INTERESTS**

#### **12.1 Conflict of interests**

The beneficiaries must take all measures to prevent any situation where the impartial and objective implementation of the Agreement could be compromised for reasons involving family, emotional life, political or national affinity, economic interest or any other direct or indirect interest ( ‘conflict of interests’ ).

They must formally notify the granting authority without delay of any situation constituting or likely to lead to a conflict of interests and immediately take all the necessary steps to rectify this situation.

The granting authority may verify that the measures taken are appropriate and may require additional measures to be taken by a specified deadline.

#### **12.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 28) and the grant or the beneficiary may be terminated (see Article 32).

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Such breaches may also lead to other measures described in Chapter 5.

### **ARTICLE 13 — CONFIDENTIALITY AND SECURITY**

### **13.1 Sensitive information**

The parties must keep confidential any data, documents or other material (in any form) that is identified

as sensitive in writing ( 'sensitive information' ) – during the implementation of the action and for at

least until the time-limit set out in the Data Sheet (see Point 6).

If a beneficiary requests, the granting authority may agree to keep such information confidential for

a longer period.

Unless otherwise agreed between the parties, they may use sensitive information only to implement

the Agreement.

The beneficiaries may disclose sensitive information to their personnel or other participants involved

in the action only if they:

(a) need to know it in order to implement the Agreement and

(b) are bound by an obligation of confidentiality.

The granting authority may disclose sensitive information to its staff and to other EU institutions and

bodies.

It may moreover disclose sensitive information to third parties, if:

(a) this is necessary to implement the Agreement or safeguard the EU financial interests and

(b) the recipients of the information are bound by an obligation of confidentiality.

The confidentiality obligations no longer apply if:

(a) the disclosing party agrees to release the other party

(b) the information becomes publicly available, without breaching any confidentiality obligation

(c) the disclosure of the sensitive information is required by EU, international or national law.

Specific confidentiality rules (if any) are set out in Annex 5.

### **13.2 Classified information**

The parties must handle classified information in accordance with the applicable EU, international or

national law on classified information (in particular, Decision 2015/444<sup>14</sup> and its implementing rules).

Deliverables which contain classified information must be submitted according to special procedures

agreed with the granting authority.

<sup>14</sup> Commission Decision 2015/444/EC, Euratom of 13 March 2015 on the security rules for protecting EU classified

information (OJ L 72, 17. 3. 2015, p. 53).

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Action tasks involving classified information may be subcontracted only after explicit approval (in writing) from the granting authority.

Classified information may not be disclosed to any third party (including participants involved in the action implementation) without prior explicit written approval from the granting authority.

Specific security rules (if any) are set out in Annex 5.

### **13.3 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 28).

Such breaches may also lead to other measures described in Chapter 5.

## **ARTICLE 14 — ETHICS AND VALUES**

### **14.1 Ethics**

The action must be carried out in line with the highest ethical standards and the applicable EU,

international and national law on ethical principles.

Specific ethics rules (if any) are set out in Annex 5.

### **14.2 Values**

The beneficiaries must commit to and ensure the respect of basic EU values (such as respect for human dignity, freedom, democracy, equality, the rule of law and human rights, including the rights of minorities).

Specific rules on values (if any) are set out in Annex 5.

### **14.3 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 28).

Such breaches may also lead to other measures described in Chapter 5.

## **ARTICLE 15 — DATA PROTECTION**

### **15.1 Data processing by the granting authority**

Any personal data under the Agreement will be processed under the responsibility of the data

controller of the granting authority in accordance with and for the purposes set out in the Portal Privacy Statement.

For grants where the granting authority is the European Commission, an EU regulatory or executive

agency, joint undertaking or other EU body, the processing will be subject to Regulation 2018/1725<sup>15</sup>.

<sup>15</sup> Regulation (EU) 2018/1725 of the European Parliament and of the Council of 23 October 2018 on the protection of

natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies

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### **15.2 Data processing by the beneficiaries**

The beneficiaries must process personal data under the Agreement in compliance with the applicable

EU, international and national law on data protection (in particular, Regulation 2016/679<sup>16</sup>).

They must ensure that personal data is:

- processed lawfully, fairly and in a transparent manner in relation to the data subjects

- collected for specified, explicit and legitimate purposes and not further processed in a manner

that is incompatible with those purposes

- adequate, relevant and limited to what is necessary in relation to the purposes for which they

are processed

- accurate and, where necessary, kept up to date

- kept in a form which permits identification of data subjects for no longer than is necessary for

the purposes for which the data is processed and

- processed in a manner that ensures appropriate security of the data.

The beneficiaries may grant their personnel access to personal data only if it is strictly necessary

for implementing, managing and monitoring the Agreement. The beneficiaries must ensure that the

personnel is under a confidentiality obligation.

The beneficiaries must inform the persons whose data are transferred to the granting authority and

provide them with the Portal Privacy Statement.

### **15.3 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see

Article 28).

Such breaches may also lead to other measures described in Chapter 5.

## **ARTICLE 16 — INTELLECTUAL PROPERTY RIGHTS (IPR) — BACKGROUND AND**

### **RESULTS — ACCESS RIGHTS AND RIGHTS OF USE**

#### **16.1 Background and access rights to background**

The beneficiaries must give each other and the other participants access to the background identified

as needed for implementing the action, subject to any specific rules in Annex 5.

‘Background’ means any data, know-how or information – whatever its form or nature (tangible or intangible), including any rights such as intellectual property rights – that is:

and on the free movement of such data, and repealing Regulation (EC) No 45/2001 and Decision No 1247/2002/EC (OJ L 295, 21.11.2018, p. 39).

<sup>16</sup> Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC ( ‘GDPR’ ) (OJ L 119, 4.5.2016, p. 1).

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(a) held by the beneficiaries before they acceded to the Agreement and (b) needed to implement the action or exploit the results.

If background is subject to rights of a third party, the beneficiary concerned must ensure that it is able to comply with its obligations under the Agreement.

### **16.2 Ownership of results**

The granting authority does not obtain ownership of the results produced under the action.

‘Results’ means any tangible or intangible effect of the action, such as data, know-how or information, whatever its form or nature, whether or not it can be protected, as well as any rights attached to it, including intellectual property rights.

### **16.3 Rights of use of the granting authority on materials, documents and information received for policy, information, communication, dissemination and publicity purposes**

The granting authority has the right to use non-sensitive information relating to the action and materials and documents received from the beneficiaries (notably summaries for publication, deliverables, as well as any other material, such as pictures or audio-visual material, in paper or electronic form) for policy, information, communication, dissemination and publicity purposes – during the action or afterwards.

The right to use the beneficiaries’ materials, documents and information is granted in the form of a royalty-free, non-exclusive and irrevocable licence, which includes the following rights:

(a) **use for its own purposes** (in particular, making them available to persons working for the

granting authority or any other EU service (including institutions, bodies, offices, agencies, etc.) or EU Member State institution or body; copying or reproducing them in whole or in part, in unlimited numbers; and communication through press information services)

(b) **distribution to the public** (in particular, publication as hard copies and in electronic or digital format, publication on the internet, as a downloadable or non-downloadable file, broadcasting by any channel, public display or presentation, communicating through press information services, or inclusion in widely accessible databases or indexes)

(c) **editing or redrafting** (including shortening, summarising, inserting other elements (e. g. meta-data, legends, other graphic, visual, audio or text elements), extracting parts (e. g. audio or video files), dividing into parts, use in a compilation)

(d) **translation**

(e) **storage** in paper, electronic or other form

(f) **archiving**, in line with applicable document-management rules

(g) the right to authorise **third parties** to act on its behalf or sub-license to third parties the modes of use set out in Points (b), (c), (d) and (f), if needed for the information, communication and publicity activity of the granting authority

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(h) **processing**, analysing, aggregating the materials, documents and information received and **producing derivative works**.

The rights of use are granted for the whole duration of the industrial or intellectual property rights concerned.

If materials or documents are subject to moral rights or third party rights (including intellectual property rights or rights of natural persons on their image and voice), the beneficiaries must ensure that they comply with their obligations under this Agreement (in particular, by obtaining the necessary licences and authorisations from the rights holders concerned).

Where applicable, the granting authority will insert the following information:

“© - [year] - [name of the copyright owner]. All rights reserved. Licensed to the [name of granting authority]



under conditions.”

#### **16.4 Specific rules on IPR, results and background**

Specific rules regarding intellectual property rights, results and background (if any) are set out in Annex 5.

#### **16.5 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 28).

Such a breach may also lead to other measures described in Chapter 5.

### **ARTICLE 17 — COMMUNICATION, DISSEMINATION AND VISIBILITY**

#### **17.1 Communication — Dissemination — Promoting the action**

Unless otherwise agreed with the granting authority, the beneficiaries must promote the action and its

results by providing targeted information to multiple audiences (including the media and the public),

in accordance with Annex 1 and in a strategic, coherent and effective manner.

Before engaging in a communication or dissemination activity expected to have a major media impact,

the beneficiaries must inform the granting authority.

#### **17.2 Visibility — European flag and funding statement**

Unless otherwise agreed with the granting authority, communication activities of the beneficiaries

related to the action (including media relations, conferences, seminars, information material, such as

brochures, leaflets, posters, presentations, etc., in electronic form, via traditional or social media, etc.),

dissemination activities and any infrastructure, equipment, vehicles, supplies or major result funded

by the grant must acknowledge EU support and display the European flag (emblem) and funding

statement (translated into local languages, where appropriate):

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The emblem must remain distinct and separate and cannot be modified by adding other visual

marks, brands or text.

Apart from the emblem, no other visual identity or logo may be used to highlight the EU support.

When displayed in association with other logos (e.g. of beneficiaries or sponsors), the emblem must

be displayed at least as prominently and visibly as the other logos.

For the purposes of their obligations under this Article, the beneficiaries may use the emblem without first obtaining approval from the granting authority. This does not, however, give them the right to exclusive use. Moreover, they may not appropriate the emblem or any similar trademark or logo, either by registration or by any other means.

### **17.3 Quality of information — Disclaimer**

Any communication or dissemination activity related to the action must use factually accurate information.

Moreover, it must indicate the following disclaimer (translated into local languages where appropriate):

“Funded by the European Union. Views and opinions expressed are however those of the author(s) only and do not necessarily reflect those of the European Union or [name of the granting authority]. Neither the European Union nor the granting authority can be held responsible for them.”

### **17.4 Specific communication, dissemination and visibility rules**

Specific communication, dissemination and visibility rules (if any) are set out in Annex 5.

### **17.5 Consequences of non-compliance**

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If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 28).

Such breaches may also lead to other measures described in Chapter 5.

## **ARTICLE 18 — SPECIFIC RULES FOR CARRYING OUT THE ACTION**

### **18.1 Specific rules for carrying out the action**

Specific rules for implementing the action (if any) are set out in Annex 5.

### **18.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 28).

Such a breach may also lead to other measures described in Chapter 5.

## **SECTION 3 GRANT ADMINISTRATION**

## **ARTICLE 19 — GENERAL INFORMATION OBLIGATIONS**

### **19.1 Information requests**

The beneficiaries must provide – during the action or afterwards and in accordance with Article 7 – any information requested in order to verify eligibility of the costs or contributions declared, proper

implementation of the action and compliance with the other obligations under the Agreement.

The information provided must be accurate, precise and complete and in the format requested,

including electronic format.

### **19.2 Participant Register data updates**

The beneficiaries must keep – at all times, during the action or afterwards – their information stored

in the Portal Participant Register up to date, in particular, their name, address, legal representatives,

legal form and organisation type.

### **19.3 Information about events and circumstances which impact the action**

The beneficiaries must immediately inform the granting authority (and the other beneficiaries) of any

of the following:

(a) **events** which are likely to affect or delay the implementation of the action or affect the EU' s

financial interests, in particular:

(i) changes in their legal, financial, technical, organisational or ownership situation

(including changes linked to one of the exclusion grounds listed in the declaration of

honour signed before grant signature)

(ii) linked action information: not applicable

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(b) **circumstances** affecting:

(i) the decision to award the grant or

(ii) compliance with requirements under the Agreement.

### **19.4 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see

Article 28).

Such breaches may also lead to other measures described in Chapter 5.

## **ARTICLE 20 — RECORD-KEEPING**

### **20.1 Keeping records and supporting documents**

The beneficiaries must – at least until the time-limit set out in the Data Sheet (see Point 6) – keep

records and other supporting documents to prove the proper implementation of the action in line with

the accepted standards in the respective field (if any).

In addition, the beneficiaries must – for the same period – keep the following to justify the amounts

declared:

(a) for actual costs: adequate records and supporting documents to prove the costs declared (such as contracts, subcontracts, invoices and accounting records); in addition, the beneficiaries'

usual accounting and internal control procedures must enable direct reconciliation between the amounts declared, the amounts recorded in their accounts and the amounts stated in the supporting documents

(b) for flat-rate costs and contributions (if any): adequate records and supporting documents to prove the eligibility of the costs or contributions to which the flat-rate is applied

(c) for the following simplified costs and contributions: the beneficiaries do not need to keep specific records on the actual costs incurred, but must keep:

(i) for unit costs and contributions (if any): adequate records and supporting documents to

prove the number of units declared

(ii) for lump sum costs and contributions (if any): adequate records and supporting

documents to prove proper implementation of the work as described in Annex 1

(iii) for financing not linked to costs (if any): adequate records and supporting documents

to prove the achievement of the results or the fulfilment of the conditions as described

in Annex 1

(d) for unit, flat-rate and lump sum costs and contributions according to usual cost accounting

practices (if any): the beneficiaries must keep any adequate records and supporting documents

to prove that their cost accounting practices have been applied in a consistent manner, based on

objective criteria, regardless of the source of funding, and that they comply with the eligibility

conditions set out in Articles 6.1 and 6.2.

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Moreover, the following is needed for specific budget categories:

(e) for personnel costs: time worked for the beneficiary under the action must be supported

by declarations signed monthly by the person and their supervisor, unless another reliable

time-record system is in place; the granting authority may accept alternative evidence supporting the time worked for the action declared, if it considers that it offers an adequate level of assurance

(f) additional record-keeping rules: not applicable

The records and supporting documents must be made available upon request (see Article 19) or in the

context of checks, reviews, audits or investigations (see Article 25).

If there are on-going checks, reviews, audits, investigations, litigation or other pursuits of claims under

the Agreement (including the extension of findings; see Article 25), the beneficiaries must keep these

records and other supporting documentation until the end of these procedures.

The beneficiaries must keep the original documents. Digital and digitalised documents are considered

originals if they are authorised by the applicable national law. The granting authority may accept

non-original documents if they offer a comparable level of assurance.

## **20.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, costs or contributions insufficiently

substantiated will be ineligible (see Article 6) and will be rejected (see Article 27), and the grant may

be reduced (see Article 28).

Such breaches may also lead to other measures described in Chapter 5.

## **ARTICLE 21 — REPORTING**

### **21.1 Continuous reporting**

The beneficiaries must continuously report on the progress of the action (e. g. **deliverables,**

**milestones, outputs/outcomes, critical risks, indicators,** etc; if any), in the Portal Continuous

Reporting tool and in accordance with the timing and conditions it sets out (as agreed with the granting authority).

Standardised deliverables (e. g. progress reports not linked to payments, reports on cumulative

expenditure, special reports, etc; if any) must be submitted using the templates published on the Portal.

### **21.2 Periodic reporting: Technical reports and financial statements**

In addition, the beneficiaries must provide reports to request payments, in accordance with the

schedule and modalities set out in the Data Sheet (see Point 4.2):

– for additional prefinancings (if any): an **additional prefinancing report**

– for interim payments (if any) and the final payment: a **periodic report**. The prefinancing and periodic reports include a technical and financial part.

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The technical part includes an overview of the action implementation. It must be prepared using the

template available in the Portal Periodic Reporting tool.

The financial part of the additional prefinancing report includes a statement on the use of the previous prefinancing payment.

The financial part of the periodic report includes:

- the financial statements (individual and consolidated; for all beneficiaries/affiliated entities)
- the explanation on the use of resources (or detailed cost reporting table, if required)
- the certificates on the financial statements (CFS) (if required; see Article 24.2 and Data Sheet, Point 4.3).

The **financial statements** must detail the eligible costs and contributions for each budget category and, for the final payment, also the revenues for the action (see Articles 6 and 22).

All eligible costs and contributions incurred should be declared, even if they exceed the amounts indicated in the estimated budget (see Annex 2). Amounts that are not declared in the individual financial statements will not be taken into account by the granting authority.

By signing the financial statements (directly in the Portal Periodic Reporting tool), the beneficiaries confirm that:

- the information provided is complete, reliable and true
- the costs and contributions declared are eligible (see Article 6)
- the costs and contributions can be substantiated by adequate records and supporting documents (see Article 20) that will be produced upon request (see Article 19) or in the context of checks, reviews, audits and investigations (see Article 25)
- for the final periodic report: all the revenues have been declared (if required; see Article 22).

Beneficiaries will have to submit also the financial statements of their affiliated entities (if any). In case

of recoveries (see Article 22), beneficiaries will be held responsible also for the financial statements of their affiliated entities.

### **21.3 Currency for financial statements and conversion into euros**

The financial statements must be drafted in euro.

Beneficiaries with general accounts established in a currency other than the euro must convert the

costs recorded in their accounts into euro, at the average of the daily exchange rates published in the C

series of the *Official Journal of the European Union* (ECB website), calculated over the corresponding

reporting period.

If no daily euro exchange rate is published in the *Official Journal* for the currency in question, they

must be converted at the average of the monthly accounting exchange rates published on the European

Commission website (InforEuro), calculated over the corresponding reporting period.

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Beneficiaries with general accounts in euro must convert costs incurred in another currency into euro

according to their usual accounting practices.

### **21.4 Reporting language**

The reporting must be in the language of the Agreement, unless otherwise agreed with the granting

authority (see Data Sheet, Point 4.2).

### **21.5 Consequences of non-compliance**

If a report submitted does not comply with this Article, the granting authority may suspend the

payment deadline (see Article 29) and apply other measures described in Chapter 5.

If the coordinator breaches its reporting obligations, the granting authority may terminate the grant or

the coordinator's participation (see Article 32) or apply other measures described in Chapter 5.

## **ARTICLE 22 — PAYMENTS AND RECOVERIES — CALCULATION OF AMOUNTS DUE**

### **DUE**

#### **22.1 Payments and payment arrangements**

Payments will be made in accordance with the schedule and modalities set out in the Data Sheet (see

Point 4.2).

They will be made in euro to the bank account indicated by the coordinator (see Data Sheet, Point 4.2)

and must be distributed without unjustified delay (restrictions may apply to distribution of the initial prefinancing payment; see Data Sheet, Point 4.2).

Payments to this bank account will discharge the granting authority from its payment obligation.

The cost of payment transfers will be borne as follows:

- the granting authority bears the cost of transfers charged by its bank
- the beneficiary bears the cost of transfers charged by its bank
- the party causing a repetition of a transfer bears all costs of the repeated transfer.

Payments by the granting authority will be considered to have been carried out on the date when they are debited to its account.

## **22.2 Recoveries**

Recoveries will be made, if – at beneficiary termination, final payment or afterwards – it turns out that the granting authority has paid too much and needs to recover the amounts undue.

Each beneficiary's financial responsibility in case of recovery is in principle limited to their own debt and undue amounts of their affiliated entities.

In case of enforced recoveries (see Article 22.4), affiliated entities will be held liable for repaying debts of their beneficiaries, if required by the granting authority (see Data Sheet, Point 4.4).

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## **22.3 Amounts due**

### **22.3.1 Prefinancing payments**

The aim of the prefinancing is to provide the beneficiaries with a float.

It remains the property of the EU until the final payment.

For **initial prefinancings** (if any), the amount due, schedule and modalities are set out in the

Data Sheet (see Point 4.2).

For **additional prefinancings** (if any), the amount due, schedule and modalities are also set out in

the Data Sheet (see Point 4.2). However, if the statement on the use of the previous prefinancing

payment shows that less than 70% was used, the amount set out in the Data Sheet will be reduced by

the difference between the 70% threshold and the amount used.



The contribution to the Mutual Insurance Mechanism will be retained from the prefinancing payments (at the rate and in accordance with the modalities set out in the Data Sheet, see Point 4.2) and transferred to the Mechanism.

Prefinancing payments (or parts of them) may be offset (without the beneficiaries' consent) against amounts owed by a beneficiary to the granting authority – up to the amount due to that beneficiary.

For grants where the granting authority is the European Commission or an EU executive agency, offsetting may also be done against amounts owed to other Commission services or executive agencies.

Payments will not be made if the payment deadline or payments are suspended (see Articles 29 and 30).

### **22.3.2 Amount due at beneficiary termination — Recovery**

In case of beneficiary termination, the granting authority will determine the provisional amount due for the beneficiary concerned. Payments (if any) will be made with the next interim or final payment.

The **amount due** will be calculated in the following step:

Step 1 – Calculation of the total accepted EU contribution

Step 1 – Calculation of the total accepted EU contribution

The granting authority will first calculate the 'accepted EU contribution' for the beneficiary for all reporting periods, by calculating the 'maximum EU contribution to costs' (applying the funding rate to the accepted costs of the beneficiary), taking into account requests for a lower contribution to costs and CFS threshold cappings (if any; see Article 24.5) and adding the contributions (accepted unit, flat-rate or lump sum contributions and financing not linked to costs, if any).

After that, the granting authority will take into account grant reductions (if any). The resulting amount

is the 'total accepted EU contribution' for the beneficiary.

The **balance** is then calculated by deducting the payments received (if any; see report on the distribution of payments in Article 32), from the total accepted EU contribution:

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{total accepted EU contribution for the beneficiary  
minus

{prefinancing and interim payments received (if any)}}.

If the balance is **positive**, the amount will be included in the next interim or final payment to the consortium.

If the balance is **negative**, it will be **recovered** in accordance with the following procedure:

The granting authority will send a **pre-information letter** to the beneficiary concerned:

- formally notifying the intention to recover, the amount due, the amount to be recovered and the reasons why and
- requesting observations within 30 days of receiving notification.

If no observations are submitted (or the granting authority decides to pursue recovery despite the observations it has received), it will confirm the amount to be recovered and ask this amount to be paid to the coordinator (**confirmation letter**).

If payment is not made to the coordinator by the date specified in the confirmation letter, the granting authority may call on the Mutual Insurance Mechanism to intervene, if continuation of the action is guaranteed and the conditions set out in the rules governing the Mechanism are met.

In this case, it will send a **beneficiary recovery letter**, together with a **debit note** with the terms and date for payment.

The debit note for the beneficiary will include the amount calculated for the affiliated entities which also had to end their participation (if any).

If payment is not made by the date specified in the debit note, the granting authority will **enforce recovery** in accordance with Article 22.4.

The amounts will later on also be taken into account for the next interim or final payment.

### **22.3.3 Interim payments**

Interim payments reimburse the eligible costs and contributions claimed for the implementation of the action during the reporting periods (if any).

Interim payments (if any) will be made in accordance with the schedule and modalities set out the Data Sheet (see Point 4.2).

Payment is subject to the approval of the periodic report. Its approval does not imply recognition of compliance, authenticity, completeness or correctness of its content. The **interim payment** will be calculated by the granting authority in the following steps:

Step 1 – Calculation of the total accepted EU contribution

Step 2 – Limit to the interim payment ceiling

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Step 1 – Calculation of the total accepted EU contribution

The granting authority will calculate the ‘accepted EU contribution’ for the action for the reporting

period, by first calculating the ‘maximum EU contribution to costs’

(applying the funding rate to the

accepted costs of each beneficiary), taking into account requests for a lower contribution to costs, and

CFS threshold cappings (if any; see Article 24.5) and adding the

contributions (accepted unit, flat-rate

or lump sum contributions and financing not linked to costs, if any).

After that, the granting authority will take into account grant reductions from beneficiary termination

(if any). The resulting amount is the ‘total accepted EU contribution’.

Step 2 – Limit to the interim payment ceiling

The resulting amount is then capped to ensure that the total amount of prefinancing and interim

payments (if any) does not exceed the interim payment ceiling set out in the Data Sheet (see Point 4.2).

Interim payments (or parts of them) may be offset (without the beneficiaries’ consent) against amounts

owed by a beneficiary to the granting authority – up to the amount due to that beneficiary.

For grants where the granting authority is the European Commission or an EU executive agency,

offsetting may also be done against amounts owed to other Commission services or executive agencies.

Payments will not be made if the payment deadline or payments are suspended (see Articles 29 and 30).

#### **22.3.4 Final payment — Final grant amount — Revenues and Profit — Recovery**

The final payment (payment of the balance) reimburses the remaining part of the eligible costs and

contributions claimed for the implementation of the action (if any).

The final payment will be made in accordance with the schedule and modalities set out in the Data Sheet (see Point 4.2).

Payment is subject to the approval of the final periodic report. Its approval does not imply recognition of compliance, authenticity, completeness or correctness of its content. The **final grant amount for the action** will be calculated in the following steps:  
Step 1 – Calculation of the total accepted EU contribution  
Step 2 – Limit to the maximum grant amount  
Step 3 – Reduction due to the no-profit rule  
Step 1 – Calculation of the total accepted EU contribution  
The granting authority will first calculate the ‘accepted EU contribution’ for the action for all reporting periods, by calculating the ‘maximum EU contribution to costs’ (applying the funding rate to the total accepted costs of each beneficiary), taking into account requests for a lower contribution to costs, GFS threshold cappings (if any; see Article 24.5) and adding the contributions (accepted unit, flat-rate or lump sum contributions and financing not linked to costs, if any).

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After that, the granting authority will take into account grant reductions (if any). The resulting amount is the ‘total accepted EU contribution’ .  
Step 2 – Limit to the maximum grant amount  
If the resulting amount is higher than the maximum grant amount set out in Article 5.2, it will be limited to the latter.  
Step 3 – Reduction due to the no-profit rule  
If the no-profit rule is provided for in the Data Sheet (see Point 4.2), the grant must not produce a profit (i.e. surplus of the amount obtained following Step 2 plus the action’s revenues, over the eligible costs and contributions approved by the granting authority).  
‘Revenue’ is all income generated by the action, during its duration (see Article 4), for beneficiaries that are profit legal entities (– with the exception of income generated by the exploitation of results, which are not considered as revenues).  
If there is a profit, it will be deducted in proportion to the final rate of reimbursement of the eligible costs approved by the granting authority (as compared to the amount calculated following Steps 1 and

2 minus the contributions).

The **balance** (final payment) is then calculated by deducting the total amount of prefinancing and

interim payments already made (if any), from the final grant amount:

{final grant amount

minus

{prefinancing and interim payments made (if any)}.

If the balance is **positive**, it will be **paid** to the coordinator.

The amount retained for the Mutual Insurance Mechanism (see above) will be released and **paid** to

the coordinator (in accordance with the rules governing the Mechanism).

The final payment (or part of it) may be offset (without the

beneficiaries' consent) against amounts

owed by a beneficiary to the granting authority – up to the amount due to that beneficiary.

For grants where the granting authority is the European Commission or an EU executive agency,

offsetting may also be done against amounts owed to other Commission services or executive

agencies.

Payments will not be made if the payment deadline or payments are suspended (see Articles 29 and

30).

If – despite the release of the Mutual Insurance Mechanism contribution – the balance is **negative**,

it will be **recovered** in accordance with the following procedure:

The granting authority will send a **pre-information letter** to the coordinator:

– formally notifying the intention to recover, the final grant amount, the amount to be recovered

and the reasons why

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– requesting a report on the distribution of payments to the beneficiaries within 30 days of

receiving notification and

– requesting observations within 30 days of receiving notification.

If no observations are submitted (or the granting authority decides to pursue recovery despite the

observations it has received) and the coordinator has submitted the report on the distribution of

payments, it will calculate the **share of the debt per beneficiary**, by:

(a) identifying the beneficiaries for which the amount calculated as follows is negative:

$$\frac{\left\{ \left\{ \text{total accepted EU contribution for the beneficiary} \right\} \right\}}{\left\{ \text{total accepted EU contribution for the action} \right\}} \times \left\{ \text{final grant amount for the action} \right\},$$
 minus
 
$$\left\{ \text{prefinancing and interim payments received by the beneficiary (if any)} \right\}$$
 and
 (b) dividing the debt:
 
$$\frac{\left\{ \text{amount calculated according to point (a) for the beneficiary concerned} \right\}}{\left\{ \text{the sum of the amounts calculated according to point (a) for all the beneficiaries identified according to point (a)} \right\}} \times \left\{ \text{the amount to be recovered} \right\}.$$
 and confirm the amount to be recovered from each beneficiary concerned (**confirmation letter**), together with **debit notes** with the terms and date for payment. The debit notes for beneficiaries will include the amounts calculated for their affiliated entities (if any). If the coordinator has not submitted the report on the distribution of payments, the granting authority will **recover** the full amount from the coordinator (**confirmation letter** and **debit note** with the terms and date for payment). If payment is not made by the date specified in the debit note, the granting authority will **enforce recovery** in accordance with Article 22.4.

### **22.3.5 Audit implementation after final payment — Revised final grant amount — Recovery**

If – after the final payment (in particular, after checks, reviews, audits or investigations; see Article 25) – the granting authority rejects costs or contributions (see Article 27) or reduces the grant (see Article 28), it will calculate the **revised final grant amount** for the beneficiary concerned.

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The **beneficiary revised final grant amount** will be calculated in the following step:

- Step 1 – Calculation of the revised total accepted EU contribution
- Step 1 – Calculation of the revised total accepted EU contribution

The granting authority will first calculate the 'revised accepted EU contribution' for the beneficiary, by calculating the 'revised accepted costs' and 'revised accepted contributions'.

After that, it will take into account grant reductions (if any). The resulting 'revised total accepted EU contribution' is the beneficiary revised final grant amount.

If the revised final grant amount is lower than the beneficiary's final grant amount (i.e. its share in the final grant amount for the action), it will be **recovered** in accordance with the following procedure:

The **beneficiary final grant amount** (i.e. share in the final grant amount for the action) is calculated as follows:

{total accepted EU contribution for the beneficiary  
divided by  
total accepted EU contribution for the action}  
multiplied by  
final grant amount for the action}.

The granting authority will send a **pre-information letter** to the beneficiary concerned:

- formally notifying the intention to recover, the amount to be recovered and the reasons why and
- requesting observations within 30 days of receiving notification.

If no observations are submitted (or the granting authority decides to pursue recovery despite the observations it has received), it will confirm the amount to be recovered (**confirmation letter**),

together with a **debit note** with the terms and the date for payment.

Recoveries against affiliated entities (if any) will be handled through their beneficiaries.

If payment is not made by the date specified in the debit note, the granting authority will **enforce recovery** in accordance with Article 22.4.

#### **22.4 Enforced recovery**

If payment is not made by the date specified in the debit note, the amount due will be recovered:

(a) by offsetting the amount – without the coordinator or beneficiary's consent – against any

amounts owed to the coordinator or beneficiary by the granting authority.

In exceptional circumstances, to safeguard the EU financial interests, the amount may be offset

before the payment date specified in the debit note.

For grants where the granting authority is the European Commission or an EU executive

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agency, debts may also be offset against amounts owed by other Commission services or executive agencies.

(b) financial guarantee(s): not applicable

(c) joint and several liability of beneficiaries: not applicable

(d) by holding affiliated entities jointly and severally liable (if any, see Data Sheet, Point 4.4)

(e) by taking legal action (see Article 43) or, provided that the granting authority is the European

Commission or an EU executive agency, by adopting an enforceable decision under Article 299

of the Treaty on the Functioning of the EU (TFEU) and Article 100(2) of EU Financial

Regulation 2018/1046.

If the Mutual Insurance Mechanism was called on by the granting authority to intervene, recovery will

be continued in the name of the Mutual Insurance Mechanism. If two debit notes were sent, the second

one (in the name of the Mutual Insurance Mechanism) will be considered to replace the first one (in

the name of the granting authority). Where the MIM intervened, offsetting, enforceable decisions or

any other of the above-mentioned forms of enforced recovery may be used *mutatis mutandis*.

The amount to be recovered will be increased by **late-payment interest** at the rate set out in

Article 22.5, from the day following the payment date in the debit note, up to and including the date

the full payment is received.

Partial payments will be first credited against expenses, charges and late-payment interest and then

against the principal.

Bank charges incurred in the recovery process will be borne by the beneficiary, unless

Directive 2015/2366<sup>17</sup> applies.

For grants where the granting authority is an EU executive agency, enforced recovery by offsetting or

enforceable decision will be done by the services of the European Commission (see also Article 43).

## **22.5 Consequences of non-compliance**



**22.5.1** If the granting authority does not pay within the payment deadlines (see above), the beneficiaries are entitled to **late-payment interest** at the rate applied by the European Central Bank (ECB) for its main refinancing operations in euros ( ‘reference rate’ ), plus the rate specified in the Data Sheet (Point 4.2). The reference rate is the rate in force on the first day of the month in which the payment deadline expires, as published in the C series of the *Official Journal of the European Union*.

If the late-payment interest is lower than or equal to EUR 200, it will be paid to the coordinator only on request submitted within two months of receiving the late payment. Late-payment interest is not due if all beneficiaries are EU Member States (including regional and local government authorities or other public bodies acting on behalf of a Member State for the purpose of this Agreement).

<sup>17</sup> Directive (EU) 2015/2366 of the European Parliament and of the Council of 25 November 2015 on payment services in the internal market, amending Directives 2002/65/EC, 2009/110/EC and 2013/36/EU and Regulation (EU) No 1093/2010, and repealing Directive 2007/64/EC (OJ L 337, 23.12.2015, p. 35).

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If payments or the payment deadline are suspended (see Articles 29 and 30), payment will not be considered as late.

Late-payment interest covers the period running from the day following the due date for payment (see above), up to and including the date of payment.

Late-payment interest is not considered for the purposes of calculating the final grant amount.

**22.5.2** If the coordinator breaches any of its obligations under this Article, the grant may be reduced (see Article 28) and the grant or the coordinator may be terminated (see Article 32).

Such breaches may also lead to other measures described in Chapter 5.

## **ARTICLE 23 — GUARANTEES**

Not applicable

## **ARTICLE 24 — CERTIFICATES**

### **24.1 Operational verification report (OVR)**

Not applicable

## **24.2 Certificate on the financial statements (CFS)**

If required by the granting authority (see Data Sheet, Point 4.3), the beneficiaries must provide certificates on their financial statements (CFS), in accordance with the schedule, threshold and conditions set out in the Data Sheet.

The coordinator must submit them as part of the periodic report (see Article 21).

The certificates must be drawn up using the template published on the Portal, cover the costs declared on the basis of actual costs and costs according to usual cost accounting practices (if any), and fulfil the following conditions:

(a) be provided by a qualified approved external auditor which is independent and complies with Directive 2006/43/EC<sup>18</sup> (or for public bodies: by a competent independent public officer)

(b) the verification must be carried out according to the highest professional standards to ensure that the financial statements comply with the provisions under the Agreement and that the costs declared are eligible.

The certificates will not affect the granting authority's right to carry out its own checks, reviews or audits, nor preclude the European Court of Auditors (ECA), the European Public Prosecutor's Office (EPPO) or the European Anti-Fraud Office (OLAF) from using their prerogatives for audits and investigations under the Agreement (see Article 25).

If the costs (or a part of them) were already audited by the granting authority, these costs do not need to be covered by the certificate and will not be counted for calculating the threshold (if any).

<sup>18</sup> Directive 2006/43/EC of the European Parliament and of the Council of 17 May 2006 on statutory audits of annual accounts and consolidated accounts or similar national regulations (OJ L 157, 9. 6. 2006, p. 87).

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## **24.3 Certificate on the compliance of usual cost accounting practices (CoMUC)**

Not applicable

## **24.4 Systems and process audit (SPA)**

Beneficiaries which:

– use unit, flat rate or lump sum costs or contributions according to documented (i.e. formally approved and in writing) usual costs accounting practices (if any) or – have formalised documentation on the systems and processes for calculating their costs and contributions (i.e. formally approved and in writing), have participated in at least 150 actions under Horizon 2020 or the Euratom Research and Training Programme (2014–2018 or 2019–2020) and participate in at least 3 ongoing actions under Horizon Europe or the Euratom Research and Training Programme (2021–2025 or 2026–2027) may apply to the granting authority for a systems and process audit (SPA). This audit will be carried out as follows:

Step 1 - Application by the beneficiary.

Step 2 - If the application is accepted, the granting authority will carry out the systems and process audit, complemented by an audit of transactions (on a sample of the beneficiary' s Horizon Europe or the Euratom Research and Training Programme financial statements).

Step 3 - The audit result will take the form of a risk assessment classification for the beneficiary: low, medium or high.

Low-risk beneficiaries will benefit from less (or less in-depth) ex-post audits (see Article 25) and a higher threshold for submitting certificates on the financial statements (CFS; see Articles 21 and 24.2 and Data Sheet, Point 4.3).

#### **24.5 Consequences of non-compliance**

If a beneficiary does not submit a certificate on the financial statements (CFS) or the certificate is rejected, the accepted EU contribution to costs will be capped to reflect the CFS threshold.

If a beneficiary breaches any of its other obligations under this Article, the granting authority may apply the measures described in Chapter 5.

### **ARTICLE 25 — CHECKS, REVIEWS, AUDITS AND INVESTIGATIONS — EXTENSION OF FINDINGS**

#### **25.1 Granting authority checks, reviews and audits**

##### **25.1.1 Internal checks**

The granting authority may – during the action or afterwards – check the proper implementation of

the action and compliance with the obligations under the Agreement, including assessing costs and contributions, deliverables and reports.

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### **25.1.2 Project reviews**

The granting authority may carry out reviews on the proper implementation of the action and compliance with the obligations under the Agreement (general project reviews or specific issues reviews).

Such project reviews may be started during the implementation of the action and until the time-limit

set out in the Data Sheet (see Point 6). They will be formally notified to the coordinator or beneficiary

concerned and will be considered to start on the date of the notification.

If needed, the granting authority may be assisted by independent, outside experts. If it uses outside

experts, the coordinator or beneficiary concerned will be informed and have the right to object on

grounds of commercial confidentiality or conflict of interest.

The coordinator or beneficiary concerned must cooperate diligently and provide – within the deadline

requested – any information and data in addition to deliverables and reports already submitted

(including information on the use of resources). The granting authority may request beneficiaries

to provide such information to it directly. Sensitive information and documents will be treated in

accordance with Article 13.

The coordinator or beneficiary concerned may be requested to participate in meetings, including with

the outside experts.

For **on-the-spot visits**, the beneficiary concerned must allow access to sites and premises (including

to the outside experts) and must ensure that information requested is readily available.

Information provided must be accurate, precise and complete and in the format requested, including

electronic format.

On the basis of the review findings, a **project review report** will be drawn up.

The granting authority will formally notify the project review report to the coordinator or beneficiary

concerned, which has 30 days from receiving notification to make observations.

Project reviews (including project review reports) will be in the language of the Agreement, unless otherwise agreed with the granting authority (see Data Sheet, Point 4.2).

### **25.1.3 Audits**

The granting authority may carry out audits on the proper implementation of the action and compliance with the obligations under the Agreement.

Such audits may be started during the implementation of the action and until the time-limit set out in the Data Sheet (see Point 6). They will be formally notified to the beneficiary concerned and will be considered to start on the date of the notification.

The granting authority may use its own audit service, delegate audits to a centralised service or use external audit firms. If it uses an external firm, the beneficiary concerned will be informed and have the right to object on grounds of commercial confidentiality or conflict of interest.

The beneficiary concerned must cooperate diligently and provide – within the deadline requested – any information (including complete accounts, individual salary statements or other personal data)

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to verify compliance with the Agreement. Sensitive information and documents will be treated in accordance with Article 13.

For **on-the-spot** visits, the beneficiary concerned must allow access to sites and premises (including for the external audit firm) and must ensure that information requested is readily available.

Information provided must be accurate, precise and complete and in the format requested, including electronic format.

On the basis of the audit findings, a **draft audit report** will be drawn up. The auditors will formally notify the draft audit report to the beneficiary concerned, which has 30 days from receiving notification to make observations (contradictory audit procedure).

The **final audit report** will take into account observations by the beneficiary concerned and will be formally notified to them.

Audits (including audit reports) will be in the language of the Agreement, unless otherwise agreed with the granting authority (see Data Sheet, Point 4.2).

### **25.2 European Commission checks, reviews and audits in grants of other granting authorities**

Where the granting authority is not the European Commission, the latter has the same rights of checks, reviews and audits as the granting authority.

### **25.3 Access to records for assessing simplified forms of funding**

The beneficiaries must give the European Commission access to their statutory records for the periodic assessment of simplified forms of funding which are used in EU programmes.

### **25.4 OLAF, EPPO and ECA audits and investigations**

The following bodies may also carry out checks, reviews, audits and investigations – during the action or afterwards:

- the European Anti-Fraud Office (OLAF) under Regulations No 883/2013<sup>19</sup> and No 2185/96<sup>20</sup>

- the European Public Prosecutor's Office (EPPO) under Regulation 2017/1939

- the European Court of Auditors (ECA) under Article 287 of the Treaty on the Functioning of the EU (TFEU) and Article 257 of EU Financial Regulation 2018/1046.

If requested by these bodies, the beneficiary concerned must provide full, accurate and complete

information in the format requested (including complete accounts, individual salary statements or

<sup>19</sup> Regulation (EU, Euratom) No 883/2013 of the European Parliament and of the Council of 11 September 2013

concerning investigations conducted by the European Anti-Fraud Office (OLAF) and repealing Regulation (EC)

No 1073/1999 of the European Parliament and of the Council and Council Regulation (Euratom) No 1074/1999 (OJ

L 248, 18/09/2013, p. 1).

<sup>20</sup> Council Regulation (Euratom, EC) No 2185/96 of 11 November 1996 concerning on-the-spot checks and inspections

carried out by the Commission in order to protect the European Communities' financial interests against fraud and other irregularities (OJ L 292, 15/11/1996, p. 2).

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other personal data, including in electronic format) and allow access to sites and premises for

on-the-spot visits or inspections – as provided for under these Regulations.

To this end, the beneficiary concerned must keep all relevant information relating to the action, at least until the time-limit set out in the Data Sheet (Point 6) and, in any case, until any ongoing checks, reviews, audits, investigations, litigation or other pursuits of claims have been concluded.

### **25.5 Consequences of checks, reviews, audits and investigations — Extension of results of reviews, audits or investigations**

#### **25.5.1 Consequences of checks, reviews, audits and investigations in this grant**

Findings in checks, reviews, audits or investigations carried out in the context of this grant may lead to rejections (see Article 27), grant reduction (see Article 28) or other measures described in Chapter 5.

Rejections or grant reductions after the final payment will lead to a revised final grant amount (see Article 22).

Findings in checks, reviews, audits or investigations during the action implementation may lead to a request for amendment (see Article 39), to change the description of the action set out in Annex 1.

Checks, reviews, audits or investigations that find systemic or recurrent errors, irregularities, fraud or breach of obligations in any EU grant may also lead to consequences in other EU grants awarded under similar conditions ( ‘extension to other grants’ ).

Moreover, findings arising from an OLAF or EPPO investigation may lead to criminal prosecution under national law.

#### **25.5.2 Extension from other grants**

Results of checks, reviews, audits or investigations in other grants may be extended to this grant, if:

(a) the beneficiary concerned is found, in other EU grants awarded under similar conditions, to

have committed systemic or recurrent errors, irregularities, fraud or breach of obligations that have a material impact on this grant and

(b) those findings are formally notified to the beneficiary concerned – together with the list of

grants affected by the findings – within the time-limit for audits set out in the Data Sheet (see Point 6).

The granting authority will formally notify the beneficiary concerned of the intention to extend the findings and the list of grants affected.

If the extension concerns **rejections of costs or contributions**: the notification will include:

(a) an invitation to submit observations on the list of grants affected by the findings

(b) the request to submit revised financial statements for all grants affected

(c) the correction rate for extrapolation, established on the basis of the systemic or recurrent errors,

to calculate the amounts to be rejected, if the beneficiary concerned:

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(i) considers that the submission of revised financial statements is not possible or practicable

or

(ii) does not submit revised financial statements.

If the extension concerns **grant reductions**: the notification will include:

(a) an invitation to submit observations on the list of grants affected by the findings and

(b) the **correction rate for extrapolation**, established on the basis of the systemic or recurrent

errors and the principle of proportionality.

The beneficiary concerned has **60 days** from receiving notification to submit observations, revised

financial statements or to propose a duly substantiated **alternative correction method/rate**.

On the basis of this, the granting authority will analyse the impact and decide on the implementation

(i.e. start rejection or grant reduction procedures, either on the basis of the revised financial statements

or the announced/alternative method/rate or a mix of those; see Articles 27 and 28).

## **25.6 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, costs or contributions insufficiently

substantiated will be ineligible (see Article 6) and will be rejected (see Article 27), and the grant may

be reduced (see Article 28).

Such breaches may also lead to other measures described in Chapter 5.

## **ARTICLE 26 — IMPACT EVALUATIONS**

### **26.1 Impact evaluation**



The granting authority may carry out impact evaluations of the action, measured against the objectives and indicators of the EU programme funding the grant. Such evaluations may be started during implementation of the action and until the time-limit set out in the Data Sheet (see Point 6). They will be formally notified to the coordinator or beneficiaries and will be considered to start on the date of the notification. If needed, the granting authority may be assisted by independent outside experts. The coordinator or beneficiaries must provide any information relevant to evaluate the impact of the action, including information in electronic format.

### **26.2 Consequences of non-compliance**

If a beneficiary breaches any of its obligations under this Article, the granting authority may apply the measures described in Chapter 5.

## **CHAPTER 5 CONSEQUENCES OF NON-COMPLIANCE**

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## **SECTION 1 REJECTIONS AND GRANT REDUCTION**

### **ARTICLE 27 — REJECTION OF COSTS AND CONTRIBUTIONS**

#### **27.1 Conditions**

The granting authority will – at beneficiary termination, interim payment, final payment or afterwards – reject any costs or contributions which are ineligible (see Article 6), in particular following checks, reviews, audits or investigations (see Article 25). The rejection may also be based on the extension of findings from other grants to this grant (see Article 25). Ineligible costs or contributions will be rejected.

#### **27.2 Procedure**

If the rejection does not lead to a recovery, the granting authority will formally notify the coordinator or beneficiary concerned of the rejection, the amounts and the reasons why. The coordinator or beneficiary concerned may – within 30 days of receiving notification – submit observations if it disagrees with the rejection (payment review procedure). If the rejection leads to a recovery, the granting authority will follow the contradictory procedure with pre-information letter set out in Article 22.

#### **27.3 Effects**

If the granting authority rejects costs or contributions, it will deduct them from the costs or contributions declared and then calculate the amount due (and, if needed, make a recovery; see Article 22).

## **ARTICLE 28 — GRANT REDUCTION**

### **28.1 Conditions**

The granting authority may – at beneficiary termination, final payment or afterwards – reduce the grant for a beneficiary, if:

(a) the beneficiary (or a person having powers of representation, decision-making or control, or person essential for the award/implementation of the grant) has committed:

(i) substantial errors, irregularities or fraud or

(ii) serious breach of obligations under this Agreement or during its award (including

improper implementation of the action, non-compliance with the call conditions,

submission of false information, failure to provide required information, breach of ethics

or security rules (if applicable), etc.), or

(b) the beneficiary (or a person having powers of representation, decision-making or control, or

person essential for the award/implementation of the grant) has committed – in other EU grants

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awarded to it under similar conditions – systemic or recurrent errors, irregularities, fraud or

serious breach of obligations that have a material impact on this grant (see Article 25).

The amount of the reduction will be calculated for each beneficiary concerned and proportionate to the

seriousness and the duration of the errors, irregularities or fraud or breach of obligations, by applying

an individual reduction rate to their accepted EU contribution.

### **28.2 Procedure**

If the grant reduction does not lead to a recovery, the granting authority will formally notify the coordinator or beneficiary concerned of the reduction, the amount to be reduced and the reasons why.

The coordinator or beneficiary concerned may – within 30 days of receiving notification – submit

observations if it disagrees with the reduction (payment review procedure).

If the grant reduction leads to a recovery, the granting authority will follow the contradictory procedure with pre-information letter set out in Article 22.

### **28.3 Effects**

If the granting authority reduces the grant, it will deduct the reduction and then calculate the amount due (and, if needed, make a recovery; see Article 22).

## **SECTION 2 SUSPENSION AND TERMINATION**

### **ARTICLE 29 — PAYMENT DEADLINE SUSPENSION**

#### **29.1 Conditions**

The granting authority may – at any moment – suspend the payment deadline if a payment cannot be processed because:

(a) the required report (see Article 21) has not been submitted or is not complete or additional information is needed

(b) there are doubts about the amount to be paid (e.g. ongoing audit extension procedure, queries about eligibility, need for a grant reduction, etc.) and additional checks, reviews, audits or investigations are necessary, or

(c) there are other issues affecting the EU financial interests.

#### **29.2 Procedure**

The granting authority will formally notify the coordinator of the suspension and the reasons why.

The suspension will **take effect** the day the notification is sent.

If the conditions for suspending the payment deadline are no longer met, the suspension will be **lifted**

– and the remaining time to pay (see Data Sheet, Point 4.2) will resume.

If the suspension exceeds two months, the coordinator may request the granting authority to confirm if the suspension will continue.

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If the payment deadline has been suspended due to the non-compliance of the report and the revised

report is not submitted (or was submitted but is also rejected), the granting authority may also terminate

the grant or the participation of the coordinator (see Article 32).

### **ARTICLE 30 — PAYMENT SUSPENSION**

#### **30.1 Conditions**

The granting authority may – at any moment – suspend payments, in whole or in part for one or more beneficiaries, if:

(a) a beneficiary (or a person having powers of representation, decision-making or control, or person essential for the award/implementation of the grant) has committed or is suspected of having committed:

(i) substantial errors, irregularities or fraud or

(ii) serious breach of obligations under this Agreement or during its award (including improper implementation of the action, non-compliance with the call conditions,

submission of false information, failure to provide required information, breach of ethics

or security rules (if applicable), etc.), or

(b) a beneficiary (or a person having powers of representation, decision-making or control, or person essential for the award/implementation of the grant) has committed – in other EU grants

awarded to it under similar conditions – systemic or recurrent errors, irregularities, fraud or

serious breach of obligations that have a material impact on this grant.

If payments are suspended for one or more beneficiaries, the granting authority will make partial

payment(s) for the part(s) not suspended. If suspension concerns the final payment, the payment (or

recovery) of the remaining amount after suspension is lifted will be considered to be the payment that

closes the action.

### **30.2 Procedure**

Before suspending payments, the granting authority will send a **pre-information letter** to the beneficiary concerned:

– formally notifying the intention to suspend payments and the reasons why and

– requesting observations within 30 days of receiving notification.

If the granting authority does not receive observations or decides to pursue the procedure despite the

observations it has received, it will confirm the suspension (**confirmation letter**). Otherwise, it will

formally notify that the procedure is discontinued.

At the end of the suspension procedure, the granting authority will also inform the coordinator.

The suspension will **take effect** the day after the confirmation notification is sent.

If the conditions for resuming payments are met, the suspension will be **lifted**. The granting authority

will formally notify the beneficiary concerned (and the coordinator) and set the suspension end date.

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During the suspension, no prefinancing will be paid to the beneficiaries concerned. For interim

payments, the periodic reports for all reporting periods except the last one (see Article 21) must

not contain any financial statements from the beneficiary concerned (or its affiliated entities). The

coordinator must include them in the next periodic report after the suspension is lifted or – if

suspension is not lifted before the end of the action – in the last periodic report.

## **ARTICLE 31 — GRANT AGREEMENT SUSPENSION**

### **31.1 Consortium-requested GA suspension**

#### **31.1.1 Conditions and procedure**

The beneficiaries may request the suspension of the grant or any part of it, if exceptional circumstances

– in particular *force majeure* (see Article 35) – make implementation impossible or excessively difficult.

The coordinator must submit a request for **amendment** (see Article 39), with:

- the reasons why
- the date the suspension takes effect; this date may be before the date of the submission of the amendment request and
- the expected date of resumption.

The suspension will **take effect** on the day specified in the amendment.

Once circumstances allow for implementation to resume, the coordinator must immediately request

another **amendment** of the Agreement to set the suspension end date, the resumption date (one day

after suspension end date), extend the duration and make other changes necessary to adapt the action

to the new situation (see Article 39) – unless the grant has been terminated (see Article 32). The

suspension will be **lifted** with effect from the suspension end date set out in the amendment. This date

may be before the date of the submission of the amendment request.

During the suspension, no prefinancing will be paid. Costs incurred or contributions for activities

implemented during grant suspension are not eligible (see Article 6.3).

## 31.2 EU-initiated GA suspension

### 31.2.1 Conditions

The granting authority may suspend the grant or any part of it, if:

(a) a beneficiary (or a person having powers of representation, decision-making or control, or person essential for the award/implementation of the grant) has committed or is suspected of having committed:

(i) substantial errors, irregularities or fraud or  
(ii) serious breach of obligations under this Agreement or during its award (including improper implementation of the action, non-compliance with the call conditions,

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submission of false information, failure to provide required information, breach of ethics

or security rules (if applicable), etc.), or

(b) a beneficiary (or a person having powers of representation, decision-making or control, or

person essential for the award/implementation of the grant) has committed – in other EU grants

awarded to it under similar conditions – systemic or recurrent errors, irregularities, fraud or

serious breach of obligations that have a material impact on this grant

(c) other:

(i) linked action issues: not applicable

(ii) the action has lost its scientific or technological relevance, for EIC Accelerator actions:

the action has lost its economic relevance, for challenge-based EIC

Pathfinder actions

and Horizon Europe Missions: the action has lost its relevance as part of the Portfolio

for which it has been initially selected

### 31.2.2 Procedure

Before suspending the grant, the granting authority will send a **pre-information letter** to the coordinator:

– formally notifying the intention to suspend the grant and the reasons why and

– requesting observations within 30 days of receiving notification.

If the granting authority does not receive observations or decides to pursue the procedure despite the

observations it has received, it will confirm the suspension (**confirmation letter**). Otherwise, it will formally notify that the procedure is discontinued. The suspension will **take effect** the day after the confirmation notification is sent (or on a later date specified in the notification). Once the conditions for resuming implementation of the action are met, the granting authority will formally notify the coordinator a **lifting of suspension letter**, in which it will set the suspension end date and invite the coordinator to request an amendment of the Agreement to set the resumption date (one day after suspension end date), extend the duration and make other changes necessary to adapt the action to the new situation (see Article 39) – unless the grant has been terminated (see Article 32). The suspension will be **lifted** with effect from the suspension end date set out in the lifting of suspension letter. This date may be before the date on which the letter is sent. During the suspension, no prefinancing will be paid. Costs incurred or contributions for activities implemented during suspension are not eligible (see Article 6.3). The beneficiaries may not claim damages due to suspension by the granting authority (see Article 33). Grant suspension does not affect the granting authority's right to terminate the grant or a beneficiary (see Article 32) or reduce the grant (see Article 28).

## **ARTICLE 32 — GRANT AGREEMENT OR BENEFICIARY TERMINATION**

### **32.1 Consortium-requested GA termination**

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#### **32.1.1 Conditions and procedure**

The beneficiaries may request the termination of the grant. The coordinator must submit a request for **amendment** (see Article 39), with:

- the reasons why
- the date the consortium ends work on the action ( ‘end of work date’ ) and
- the date the termination takes effect ( ‘termination date’ ); this date must be after the date of the submission of the amendment request.

The termination will **take effect** on the termination date specified in the amendment.

If no reasons are given or if the granting authority considers the reasons do not justify termination, it may consider the grant terminated improperly.

### **32.1.2 Effects**

The coordinator must – within 60 days from when termination takes effect – submit a **periodic report** (for the open reporting period until termination).

The granting authority will calculate the final grant amount and final payment on the basis of the report submitted and taking into account the costs incurred and contributions for activities implemented

before the end of work date (see Article 22). Costs relating to contracts due for execution only after the end of work are not eligible.

If the granting authority does not receive the report within the deadline, only costs and contributions

which are included in an approved periodic report will be taken into account (no costs/contributions if no periodic report was ever approved).

Improper termination may lead to a grant reduction (see Article 28).

After termination, the beneficiaries' obligations (in particular Articles 13 (confidentiality and security), 16 (IPR), 17 (communication, dissemination and visibility), 21 (reporting), 25 (checks, reviews, audits and investigations), 26 (impact evaluation), 27 (rejections), 28 (grant reduction) and 42 (assignment of claims)) continue to apply.

## **32.2 Consortium-requested beneficiary termination**

### **32.2.1 Conditions and procedure**

The coordinator may request the termination of the participation of one or more beneficiaries, on request of the beneficiary concerned or on behalf of the other beneficiaries.

The coordinator must submit a request for **amendment** (see Article 39), with:

- the reasons why
- the opinion of the beneficiary concerned (or proof that this opinion has been requested in writing)

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- the date the beneficiary ends work on the action ( 'end of work date' )
- the date the termination takes effect ( 'termination date' ); this date must be after the date of the



submission of the amendment request.

If the termination concerns the coordinator and is done without its agreement, the amendment request must be submitted by another beneficiary (acting on behalf of the consortium).

The termination will **take effect** on the termination date specified in the amendment.

If no information is given or if the granting authority considers that the reasons do not justify termination, it may consider the beneficiary to have been terminated improperly.

### **32.2.2 Effects**

The coordinator must – within 60 days from when termination takes effect – submit:

- (i) a **report on the distribution of payments** to the beneficiary concerned
- (ii) a **termination report** from the beneficiary concerned, for the open reporting period until termination, containing an overview of the progress of the work, the financial statement, the explanation on the use of resources, and, if applicable, the certificate on the financial statement (CFS; see Articles 21 and 24.2 and Data Sheet, Point 4.3)
- (iii) a second **request for amendment** (see Article 39) with other amendments needed (e. g. reallocation of the tasks and the estimated budget of the terminated beneficiary; addition of a new beneficiary to replace the terminated beneficiary; change of coordinator, etc.).

The granting authority will calculate the amount due to the beneficiary on the basis of the report submitted and taking into account the costs incurred and contributions for activities implemented before the end of work date (see Article 22). Costs relating to contracts due for execution only after the end of work are not eligible.

The information in the termination report must also be included in the periodic report for the next reporting period (see Article 21).

If the granting authority does not receive the termination report within the deadline, only costs and contributions which are included in an approved periodic report will be taken into account (no costs/contributions if no periodic report was ever approved).

If the granting authority does not receive the report on the distribution of payments within the deadline,

it will consider that:

- the coordinator did not distribute any payment to the beneficiary concerned and that
  - the beneficiary concerned must not repay any amount to the coordinator.
- If the second request for amendment is accepted by the granting authority, the Agreement is **amended** to introduce the necessary changes (see Article 39).
- If the second request for amendment is rejected by the granting authority (because it calls into question the decision awarding the grant or breaches the principle of equal treatment of applicants), the grant may be terminated (see Article 32).

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Improper termination may lead to a reduction of the grant (see Article 31) or grant termination (see Article 32).

After termination, the concerned beneficiary's obligations (in particular Articles 13 (confidentiality and security), 16 (IPR), 17 (communication, dissemination and visibility), 21 (reporting), 25 (checks, reviews, audits and investigations), 26 (impact evaluation), 27 (rejections), 28 (grant reduction) and 42 (assignment of claims)) continue to apply.

### **32.3 EU-initiated GA or beneficiary termination**

#### **32.3.1 Conditions**

The granting authority may terminate the grant or the participation of one or more beneficiaries, if:

(a) one or more beneficiaries do not accede to the Agreement (see Article 40)

(b) a change to the action or the legal, financial, technical, organisational or ownership situation of a beneficiary is likely to substantially affect the implementation of the action or calls into question the decision to award the grant (including changes linked to one of the exclusion grounds listed in the declaration of honour)

(c) following termination of one or more beneficiaries, the necessary changes to the Agreement (and their impact on the action) would call into question the decision awarding the grant or breach the principle of equal treatment of applicants

(d) implementation of the action has become impossible or the changes necessary for its

continuation would call into question the decision awarding the grant or breach the principle of equal treatment of applicants

(e) a beneficiary (or person with unlimited liability for its debts) is subject to bankruptcy proceedings or similar (including insolvency, winding-up, administration by a liquidator or

court, arrangement with creditors, suspension of business activities, etc.)

(f) a beneficiary (or person with unlimited liability for its debts) is in breach of social security or tax obligations

(g) a beneficiary (or person having powers of representation, decision-making or control, or person essential for the award/implementation of the grant) has been found guilty of grave professional misconduct

(h) a beneficiary (or person having powers of representation, decision-making or control, or person essential for the award/implementation of the grant) has committed fraud, corruption, or is

involved in a criminal organisation, money laundering, terrorism-related crimes (including terrorism financing), child labour or human trafficking

(i) a beneficiary (or person having powers of representation, decision-making or control, or person essential for the award/implementation of the grant) was created under a different jurisdiction

with the intent to circumvent fiscal, social or other legal obligations in the country of origin

(or created another entity with this purpose)

(j) a beneficiary (or person having powers of representation, decision-making or control, or person essential for the award/implementation of the grant) has committed:

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(i) substantial errors, irregularities or fraud or

(ii) serious breach of obligations under this Agreement or during its award (including

improper implementation of the action, non-compliance with the call conditions,

submission of false information, failure to provide required information, breach of ethics

or security rules (if applicable), etc.)

(k) a beneficiary (or person having powers of representation, decision-making or control, or person essential for the award/implementation of the grant) has committed – in other EU grants

awarded to it under similar conditions – systemic or recurrent errors, irregularities, fraud or serious breach of obligations that have a material impact on this grant (extension of findings from other grants to this grant; see Article 25)

(l) despite a specific request by the granting authority, a beneficiary does not request – through the coordinator – an amendment to the Agreement to end the participation of one of its

affiliated entities or associated partners that is in one of the situations under points (d), (f), (e),

(g), (h), (i) or (j) and to reallocate its tasks, or  
(m) other:

(i) linked action issues: not applicable

(ii) the action has lost its scientific or technological relevance, for EIC Accelerator actions:

the action has lost its economic relevance, for challenge-based EIC Pathfinder actions

and Horizon Europe Missions: the action has lost its relevance as part of the Portfolio

for which it has been initially selected

### **32.3.2 Procedure**

Before terminating the grant or participation of one or more beneficiaries, the granting authority will

send a **pre-information letter** to the coordinator or beneficiary concerned:

- formally notifying the intention to terminate and the reasons why and
- requesting observations within 30 days of receiving notification.

If the granting authority does not receive observations or decides to pursue the procedure despite

the observations it has received, it will confirm the termination and the date it will take effect

(**confirmation letter**). Otherwise, it will formally notify that the procedure is discontinued.

For beneficiary terminations, the granting authority will – at the end of the procedure – also inform the coordinator.

The termination will **take effect** the day after the confirmation notification is sent (or on a later date specified in the notification; ‘termination date’ ).

### **32.3.3 Effects**

(a) for **GA termination**:

The coordinator must – within 60 days from when termination takes effect – submit a **periodic report** (for the last open reporting period until termination).

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The granting authority will calculate the final grant amount and final payment on the basis of

the report submitted and taking into account the costs incurred and contributions for activities

implemented before termination takes effect (see Article 22). Costs relating to contracts due

for execution only after termination are not eligible.

If the grant is terminated for breach of the obligation to submit reports, the coordinator may

not submit any report after termination.

If the granting authority does not receive the report within the deadline, only costs and

contributions which are included in an approved periodic report will be taken into account (no

costs/contributions if no periodic report was ever approved).

Termination does not affect the granting authority's right to reduce the grant (see Article 28)

or to impose administrative sanctions (see Article 34).

The beneficiaries may not claim damages due to termination by the granting authority (see

Article 33).

After termination, the beneficiaries' obligations (in particular Articles 13 (confidentiality

and security), 16 (IPR), 17 (communication, dissemination and visibility), 21 (reporting), 25

(checks, reviews, audits and investigations), 26 (impact evaluation), 27 (rejections), 28 (grant

reduction) and 42 (assignment of claims)) continue to apply.

(b) for **beneficiary termination**:

The coordinator must – within 60 days from when termination takes effect – submit:

(i) a **report on the distribution of payments** to the beneficiary concerned

(ii) a **termination report** from the beneficiary concerned, for the open reporting period

until termination, containing an overview of the progress of the work, the financial

statement, the explanation on the use of resources, and, if applicable, the certificate

on the financial statement (CFS; see Articles 21 and 24.2 and Data Sheet, Point 4.3)

(iii) a **request for amendment** (see Article 39) with any amendments needed (e. g.

reallocation of the tasks and the estimated budget of the terminated beneficiary;

addition of a new beneficiary to replace the terminated beneficiary; change of coordinator, etc.).

The granting authority will calculate the amount due to the beneficiary on the basis of the

report submitted and taking into account the costs incurred and contributions for activities

implemented before termination takes effect (see Article 22). Costs relating to contracts due

for execution only after termination are not eligible.

The information in the termination report must also be included in the periodic report for the

next reporting period (see Article 21).

If the granting authority does not receive the termination report within the deadline, only costs

and contributions included in an approved periodic report will be taken into account (no costs/

contributions if no periodic report was ever approved).

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If the granting authority does not receive the report on the distribution of payments within the

deadline, it will consider that:

– the coordinator did not distribute any payment to the beneficiary concerned and that

– the beneficiary concerned must not repay any amount to the coordinator.

If the request for amendment is accepted by the granting authority, the Agreement is **amended**

to introduce the necessary changes (see Article 39).

If the request for amendment is rejected by the granting authority (because it calls into question

the decision awarding the grant or breaches the principle of equal treatment of applicants), the

grant may be terminated (see Article 32).

After termination, the concerned beneficiary's obligations (in particular Articles 13

(confidentiality and security), 16 (IPR), 17 (communication, dissemination and visibility),

21 (reporting), 25 (checks, reviews, audits and investigations), 26 (impact evaluation), 27 (rejections), 28 (grant reduction) and 42 (assignment of claims)) continue to apply.

## **SECTION 3 OTHER CONSEQUENCES: DAMAGES AND ADMINISTRATIVE SANCTIONS**

### **ARTICLE 33 — DAMAGES**

#### **33.1 Liability of the granting authority**

The granting authority cannot be held liable for any damage caused to the beneficiaries or to third parties as a consequence of the implementation of the Agreement, including for gross negligence.

The granting authority cannot be held liable for any damage caused by any of the beneficiaries or other participants involved in the action, as a consequence of the implementation of the Agreement.

#### **33.2 Liability of the beneficiaries**

The beneficiaries must compensate the granting authority for any damage it sustains as a result of the implementation of the action or because the action was not implemented in full compliance with the Agreement, provided that it was caused by gross negligence or wilful act. The liability does not extend to indirect or consequential losses or similar damage (such as loss of profit, loss of revenue or loss of contracts), provided such damage was not caused by wilful act or by a breach of confidentiality.

### **ARTICLE 34 — ADMINISTRATIVE SANCTIONS AND OTHER MEASURES**

Nothing in this Agreement may be construed as preventing the adoption of administrative sanctions (i.e. exclusion from EU award procedures and/or financial penalties) or other public law measures, in addition or as an alternative to the contractual measures provided under this Agreement (see,

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for instance, Articles 135 to 145 EU Financial Regulation 2018/1046 and Articles 4 and 7 of Regulation 2988/95<sup>21</sup>).

## **SECTION 4 FORCE MAJEURE**

### **ARTICLE 35 — FORCE MAJEURE**

A party prevented by force majeure from fulfilling its obligations under the Agreement cannot be considered in breach of them.

‘Force majeure’ means any situation or event that:

- prevents either party from fulfilling their obligations under the Agreement,
  - was unforeseeable, exceptional situation and beyond the parties' control,
  - was not due to error or negligence on their part (or on the part of other participants involved in the action), and
  - proves to be inevitable in spite of exercising all due diligence.
- Any situation constituting force majeure must be formally notified to the other party without delay, stating the nature, likely duration and foreseeable effects. The parties must immediately take all the necessary steps to limit any damage due to force majeure and do their best to resume implementation of the action as soon as possible.

## **CHAPTER 6 FINAL PROVISIONS**

### **ARTICLE 36 — COMMUNICATION BETWEEN THE PARTIES**

#### **36.1 Forms and means of communication — Electronic management**

EU grants are managed fully electronically through the EU Funding & Tenders Portal ( 'Portal' ).

All communications must be made electronically through the Portal, in accordance with the Portal

Terms and Conditions and using the forms and templates provided there (except if explicitly instructed otherwise by the granting authority).

Communications must be made in writing and clearly identify the grant agreement (project number and acronym).

Communications must be made by persons authorised according to the Portal Terms and Conditions.

For naming the authorised persons, each beneficiary must have designated – before the signature of

this Agreement – a 'legal entity appointed representative (LEAR)' . The role and tasks of the LEAR

are stipulated in their appointment letter (see Portal Terms and Conditions).

<sup>21</sup> Council Regulation (EC, Euratom) No 2988/95 of 18 December 1995 on the protection of the European Communities financial interests (OJ L 312, 23.12.1995, p. 1).

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If the electronic exchange system is temporarily unavailable, instructions will be given on the Portal.

#### **36.2 Date of communication**



The sending date for communications made through the Portal will be the date and time of sending, as indicated by the time logs.

The receiving date for communications made through the Portal will be the date and time the communication is accessed, as indicated by the time logs. Formal notifications that have not been accessed within 10 days after sending, will be considered to have been accessed (see Portal Terms and Conditions).

If a communication is exceptionally made on paper (by e-mail or postal service), general principles apply (i.e. date of sending/receipt). Formal notifications by registered post with proof of delivery will be considered to have been received either on the delivery date registered by the postal service or the deadline for collection at the post office.

If the electronic exchange system is temporarily unavailable, the sending party cannot be considered in breach of its obligation to send a communication within a specified deadline.

### **36.3 Addresses for communication**

The Portal can be accessed via the Europa website.

The address for paper communications to the granting authority (if exceptionally allowed) is the official mailing address indicated on its website.

For beneficiaries, it is the legal address specified in the Portal Participant Register.

### **ARTICLE 37 — INTERPRETATION OF THE AGREEMENT**

The provisions in the Data Sheet take precedence over the rest of the Terms and Conditions of the Agreement.

Annex 5 takes precedence over the Terms and Conditions; the Terms and Conditions take precedence over the Annexes other than Annex 5.

Annex 2 takes precedence over Annex 1.

### **ARTICLE 38 — CALCULATION OF PERIODS AND DEADLINES**

In accordance with Regulation No 1182/71<sup>22</sup>, periods expressed in days, months or years are calculated from the moment the triggering event occurs.

The day during which that event occurs is not considered as falling within the period.

‘Days’ means calendar days, not working days.

### **ARTICLE 39 — AMENDMENTS**

<sup>22</sup> Regulation (EEC, Euratom) No 1182/71 of the Council of 3 June 1971 determining the rules applicable to periods, dates and time-limits (OJ L 124, 8/6/1971, p. 1).

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### **39.1 Conditions**

The Agreement may be amended, unless the amendment entails changes to the Agreement which

would call into question the decision awarding the grant or breach the principle of equal treatment

of applicants.

Amendments may be requested by any of the parties.

### **39.2 Procedure**

The party requesting an amendment must submit a request for amendment signed directly in the Portal

Amendment tool.

The coordinator submits and receives requests for amendment on behalf of the beneficiaries (see

Annex 3). If a change of coordinator is requested without its agreement, the submission must be done

by another beneficiary (acting on behalf of the other beneficiaries).

The request for amendment must include:

- the reasons why
- the appropriate supporting documents and
- for a change of coordinator without its agreement: the opinion of the coordinator (or proof that this opinion has been requested in writing).

The granting authority may request additional information.

If the party receiving the request agrees, it must sign the amendment in the tool within 45 days of

receiving notification (or any additional information the granting authority has requested). If it does

not agree, it must formally notify its disagreement within the same deadline. The deadline may be

extended, if necessary for the assessment of the request. If no notification is received within the

deadline, the request is considered to have been rejected.

An amendment **enters into force** on the day of the signature of the receiving party.

An amendment **takes effect** on the date of entry into force or other date specified in the amendment.

## **ARTICLE 40 — ACCESSION AND ADDITION OF NEW BENEFICIARIES**

### **40.1 Accession of the beneficiaries mentioned in the Preamble**

The beneficiaries which are not coordinator must accede to the grant by signing the accession form (see Annex 3) directly in the Portal Grant Preparation tool, within 30 days after the entry into force of the Agreement (see Article 44).

They will assume the rights and obligations under the Agreement with effect from the date of its entry into force (see Article 44).

If a beneficiary does not accede to the grant within the above deadline, the coordinator must – within 30 days – request an amendment (see Article 39) to terminate the beneficiary and make any changes

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necessary to ensure proper implementation of the action. This does not affect the granting authority's right to terminate the grant (see Article 32).

#### **40.2 Addition of new beneficiaries**

In justified cases, the beneficiaries may request the addition of a new beneficiary.

For this purpose, the coordinator must submit a request for amendment in accordance with Article 39.

It must include an accession form (see Annex 3) signed by the new beneficiary directly in the Portal

Amendment tool.

New beneficiaries will assume the rights and obligations under the Agreement with effect from the date of their accession specified in the accession form (see Annex 3).

Additions are also possible in mono-beneficiary grants.

#### **ARTICLE 41 — TRANSFER OF THE AGREEMENT**

In justified cases, the beneficiary of a mono-beneficiary grant may request the transfer of the grant to

a new beneficiary, provided that this would not call into question the decision awarding the grant or

breach the principle of equal treatment of applicants.

The beneficiary must submit a request for **amendment** (see Article 39), with – the reasons why

– the accession form (see Annex 3) signed by the new beneficiary directly in the Portal

Amendment tool and

– additional supporting documents (if required by the granting authority).

The new beneficiary will assume the rights and obligations under the Agreement with effect from the

date of accession specified in the accession form (see Annex 3).

## **ARTICLE 42 — ASSIGNMENTS OF CLAIMS FOR PAYMENT AGAINST THE GRANTING AUTHORITY**

The beneficiaries may not assign any of their claims for payment against the granting authority to any third party, except if expressly approved in writing by the granting authority on the basis of a reasoned, written request by the coordinator (on behalf of the beneficiary concerned).

If the granting authority has not accepted the assignment or if the terms of it are not observed, the assignment will have no effect on it.

In no circumstances will an assignment release the beneficiaries from their obligations towards the granting authority.

## **ARTICLE 43 — APPLICABLE LAW AND SETTLEMENT OF DISPUTES**

### **43.1 Applicable law**

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The Agreement is governed by the applicable EU law, supplemented if necessary by the law of Belgium.

Special rules may apply for beneficiaries which are international organisations (if any; see Data Sheet, Point 5).

### **43.2 Dispute settlement**

If a dispute concerns the interpretation, application or validity of the Agreement, the parties must bring action before the EU General Court – or, on appeal, the EU Court of Justice – under Article 272

of the Treaty on the Functioning of the EU (TFEU).

For non-EU beneficiaries (if any), such disputes must be brought before the courts of Brussels,

Belgium – unless an international agreement provides for the enforceability of EU court judgements.

For beneficiaries with arbitration as special dispute settlement forum (if any; see Data Sheet, Point 5),

the dispute will – in the absence of an amicable settlement – be settled in accordance with the Rules

for Arbitration published on the Portal.

If a dispute concerns administrative sanctions, offsetting or an enforceable decision under Article 299

TFEU (see Articles 22 and 34), the beneficiaries must bring action before the General Court – or, on

appeal, the Court of Justice – under Article 263 TFEU.

For grants where the granting authority is an EU executive agency (see Preamble), actions against offsetting and enforceable decisions must be brought against the European Commission (not against the granting authority; see also Article 22).

**ARTICLE 44 — ENTRY INTO FORCE**

The Agreement will enter into force on the day of signature by the granting authority or the coordinator, depending on which is later.

**SIGNATURES**

For the coordinator For the granting authority

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**ANNEX 1**

# Horizon Europe (HORIZON) Description of the action (DoA)

**Part A**

**Part B**

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**DESCRIPTION OF THE ACTION (PART A)**

**COVER PAGE**

*Part A of the Description of the Action (DoA) must be completed directly on the Portal Grant Preparation screens.*

**PROJECT**

*Grant Preparation (General Information screen) — Enter the info.*

- Project number:** 101159106
- Project name:** ENHANCING REASERCH AND INNOVATION SYNERGIES FOR SCHOOLS OF ECONOMICS AND BUSINESS
- Project acronym:** RIS4SEB
- Call:** HORIZON-WIDERA-2023-ACCESS-04
- Topic:** HORIZON-WIDERA-2023-ACCESS-04-01
- Type of action:** HORIZON-CSA
- Service:** REA/C/03
- Project starting date:** fixed date: 1 June 2024
- Project duration:** 36 months

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**PROJECT SUMMARY**

**Project summary**

*Grant Preparation (General Information screen) — Provide an overall description of your project (including context and overall objectives, planned activities and main achievements, and expected results and impacts (on target groups, change procedures, capacities, innovation etc)). This summary should give readers a clear idea of what your project is about. Use the project summary from your proposal.*

ENHANCING R&I SYNERGIES FOR SCHOOLS OF ECONOMICS AND BUSINESS project, or RIS4SEB, is a

proposal for the Pathways to synergies call, selecting the a) Upstream synergy mode (focusing on HR development and internalization).

The RIS4SEB project creates a synergy for the widening project partners (Prague University of Economics and Business, Kaunas University of Technology, and Estonian Business School) who were previously successful in obtaining ERDF,

Interreg, or similar indirect EU projects in cooperation with a highly experienced non-widening partner, the Bocconi University, building a pathway towards increased success in international research projects such as within the Horizon Europe (HE) programme. To this end, based on an analysis of widening countries low integration into ERA, the

consortium chooses to focus on the research areas of economics and business, with the project partners all being either economics and business universities or schools / faculties. The project overall objective is to design and pilot three strategies aiming at enabling and facilitating effective synergies between Horizon Europe and other national/regional funds, by strengthening Internationalization of R&I widening actors, developing Human Resources, and improving Research management capacity and overall competitiveness of the widening partners. RIS4SEB will achieve this objective via supplementary capacity-building activities, such as networks, infrastructures, upskilling of research managers and researchers and research proposal pipelines and clinics, resulting in submitting of at least 4 HE projects.

## **LIST OF PARTICIPANTS**

### **PARTICIPANTS**

*Grant Preparation (Beneficiaries screen) — Enter the info.*

#### **Number Role Short name Legal name Country PIC**

1	COO	VSE	VYSOKA SKOLA EKONOMICKA V PRAZE	CZ	998733341
2	BEN	KTU	KAUNO TECHNOLOGIJOS UNIVERSITETAS	LT	999844961
3	BEN	EBS	SIHTASUTUS ESTONIAN BUSINESS SCHOOL	EE	908611029
4	BEN	UB	UNIVERSITA COMMERCIALE LUIGI BOCCONI	IT	999838850

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## **LIST OF WORK PACKAGES**

### **Work packages**

*Grant Preparation (Work Packages screen) — Enter the info.*

#### **Work**

#### **Package No**

#### **Work Package name Lead Beneficiary Effort**

**(Person-  
Months)**

**Start**

**Month**

**End**

**Month**

#### **Deliverables**

WP1 Project management and coordination 1 – VSE 27.50 1 36 D1.1 - Project manual

D1.2 - Data management plan

D1.3 - Ethics & Privacy Management Plan

WP2 Enhanced internationalization and efficient use of infrastructure

3 – EBS 28.00 1 18 D2.1 - Joint internationalization strategy for R&I

D2.2 - Report on networks analysis

D2.3 - Analysis of research calls suitable for the available ERDF (or equivalent) funded infrastructure

WP3 Improved HR strategy and development of transferable skills

2 – KTU 28.00 1 27 D3.1 - Human Resources Strategy

D3.2 - Report on job shadowing and training of research managers

WP4 Increased competitiveness and reputation 1 – VSE 28.00 17 36 D4.1 - Report on Research management strategy implementation

D4.2 - Policy recommendations for synergies among research funding programmes

D4.3 - Report on submitted project proposals

WP5 Dissemination, communication, and exploitation of results

1 – VSE 14.50 1 36 D5.1 - Plan for the dissemination and exploitation of results including communication activities (PEDR)

D5.2 - Website

D5.3 - EARMA conference

D5.4 - Final conference

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### **Work package WP1 – Project management and coordination**

**Work Package Number WP1 Lead Beneficiary 1 – VSE**

**Work Package Name Project management and coordination**

**Start Month 1 End Month 36**

#### **Objectives**

To efficiently coordinate the consortium partners and manage the project implementation to achieve project objectives, to carry out project meetings and provide documentation, to monitor WP overall progress, and to ensure ethics and GDPR compliance.

#### **Description**

The coordinator of this project is leading this work package (VSE). The main objective of WP1 is to efficiently coordinate the consortium and manage project implementation to achieve projects' objectives. This includes providing strategic direction for the project as well as day-to-day running of the tasks, maintaining and managing communications within the consortium as well as between the consortium and the European Commission (EC), and monitoring and steering all



functional areas including risk management with the partners of the consortium.

The project will set up an Advisory Board (AB) which will be composed of at least one representative of top management of the respective partner institutions. The most important role of the AB will be to guide the development of the main strategies the RIS4SEB project plans on developing, therefore ensuring the subsequent smooth implementation of the strategies into the institutional directions. For VSE, prof. Martin Lukeš, PhD, the vice-rector for research, innovation, and PhD studies, will chair the AB, inviting Andreas Veispak, Head of Research, Innovation and Development, for EBS; Vilma Karoblienė, Head of Research and Innovation Projects Centre for KTU; and Prof. Stefano Caselli, Dean of SDA Bocconi School of Management for the UB to share the responsibilities of the AB; additionally, representatives of the identified Managing Authorities will be invited to participate as well. Altogether, RIS4SEB expects about 15 experts to partake in the AB. The AB will meet at least three times, each time over a final draft of a strategy (JIS, HR, and RMS) proposed by the consortium. Members of the AB will be invited to participate in consortium meetings as well.

It is expected that the first meeting of the AB will take place in Prague on site (with hybrid set up) and the rest of the meetings could be carried out online.

The selection process for the Advisory Board (AB) of the RIS4SEB project will be rigorous and inclusive, ensuring representation from all relevant stakeholders and incorporating a wide range of expertise critical to the project's success.

The process will unfold as follows:

1. Selection Panel Formation: The panel will consist of top management representatives from each consortium partner as well as the main contacts from the project. This panel of 8 will oversee the entire selection process, from the call for nominations to the final selection of AB members.
2. Nominations Public Call: A call for nominations will be publicly announced on the project's website and disseminated through social media and professional networks, targeting a diverse range of experts, including national and regional managing authorities and key stakeholders. The call will clearly outline the roles, expectations, and legal provisions governing AB membership, including privacy and EU financial regulations.
3. Dissemination: Consortium members will be encouraged to promote the nomination call within their networks to

ensure it reaches a broad and diverse audience.

4. Nominations Review: After a month-long open call, the panel will review submissions for expertise and alignment

with project goals, shortlisting 20 candidates for voting if necessary.

5. Evaluation and Voting: The panel will assess shortlisted candidates over a month, considering their qualifications and potential contribution to the AB, followed by a secret vote to finalize AB membership.

6. Member Invitation and Diversity Goal: Top candidates will be invited to join the AB, with a commitment to ensuring at least 40% female representation to promote gender equality and diversity, enriching the project with varied perspectives.

7. Onboarding: Selected AB members will be officially welcomed and provided with all necessary information and resources to effectively contribute to the project. They will be briefed on the project's objectives, expected outcomes, and the strategic importance of their role within the AB.

Additionally, regular online steering committee meetings are foreseen quarterly to monitor the overall progress and provide remedy if necessary as well as provide solutions to administrative and financial issues.

A common and secure platform (Microsoft 365 and Teams) will be used for sharing documents and ensuring

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collaboration. Furthermore, standard administrative tasks and financial management are indivisible parts of this

task. Regular reports are prepared for the EC as necessary. The coordinator understands the importance of proper

communication and documentation and hence will document and circulate meeting minutes and action points, assign

tasks in MS planner from the meetings and regularly provide detailed and technical reports to the EC.

T1.1 Project Manual & Executive planning – [VSE] – [M1 – M2]. Crucially, VSE will develop a project manual (D1.1) for

all partners to follow during project implementation (M2), delineating important guidance, contacts, rules for visibility,

and financial rules, but critically, it will include executive planning of RIS4SEB project, i.e., a detailed overview of

the respective tasks, goals and clearly assigned accountability and responsibility. The consortium will then follow the

guidelines with regular oversight of the coordinator.

T1.2 Data Management Plan [Lead VSE] – [all partners involved] – [M2 – M6].

The consortium will develop a DMP with

a deliverable in M6, the DMP will be updated accordingly in M15 and M36. The DMP will exist as a living document, respecting the rules for open science in the Horizon Europe programme. T1.3 Ethics and GDPR check – [Lead VSE] – [all partners involved] – [M4 - M6]. Even though this project does not entail to use any ethically sensitive tools such as AI or similar, the coordinator will ensure the compliance with ethics and GDPR requirements through creating an Ethics & Privacy Management Plan by M6 (D1.4).

### **Work package WP2 – Enhanced internationalization and efficient use of infrastructure**

**Work Package Number** WP2 **Lead Beneficiary** 3 – EBS

**Work Package Name** Enhanced internationalization and efficient use of infrastructure

**Start Month** 1 **End Month** 18

#### **Objectives**

The overall objective of this WP is for the widening partners to improve their integration into the European Research Area.

There are three main specific objectives (SO) of WP2:

SO1 to create and pilot a joint internationalization strategy for R&I,

SO2 to facilitate access to networks and communities,

and SO3 to pave the way to overcoming the locked in effect for former mono-beneficiaries funded under ERDF and

better use of R&I infrastructure funded under ERDF.

#### **Description**

WP2 leader is EBS.

T2.1- Joint internationalization strategy for R&I (JIS) [Lead UB] – [all partners involved] – [M1 to M18]. JIS

will be developed under the leadership of the non-widening partner who has proven experience with successful

internationalization especially in regard to framework programmes of the EU. The JIS represents Milestone 1 as the

project's overall success depends on the strategy's pilot implementation, it will be delivered by M18 and presented at

the on-site mid-project progress meeting.

T2.2 Access to networks [Lead EBS] – [all partners involved] – [M1 - M18].

T2.2 will be an analysis of available

international networks, their efficiency, and possible positive contributions to the partners' internationalization efforts

as well as an analysis of available periodic events taking place in ERA (D2.2 in M8). The goal is to become oriented

in the ERA and become part of public and private international networks, such as Crowdhelix, and capitalize on their

existing links and experience. Each widening partner plans to become part of at least one international network. A new

innovation ecosystem will be addressed by the project via the quintuple helix framework.

Additionally, the widening partners should establish connections by attending international brokerage events and internationalizing seminars (such as workshops of the national liaison offices in Brussels, and equivalent). Two travels to the brokerage events or relevant seminars are planned for all widening partners, (report in M8 – D2.2 will specify which events are planned to attend by the respective partners). Partners will share the gained insights among themselves through presentations at the mid and final consortium meetings.

T2.3 ERDF infrastructures [Lead EBS] – [all partners involved] - [M1 - M12]. All partners have identified their infrastructure which could be presented to consortium partners and short visits will be offered to research managers and / or researchers to become familiar with the partners' infrastructure. It is expected that two people, preferably researchers, from each institution will visit the infrastructures of two consortium partners, depending on the researchers' areas of

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study. This will ensure an interlinked way forward towards internationalization in line with the JIS (T2.1). A report on the identified ERDF infrastructure and its possible synergies with HE, along with the short visits will be D2.3 in M10.

Additionally, the project will identify possible future calls in HE for the period of 2025 – 2027 which could profit from the already-built infrastructure available to consortium partners in clear synergy between ERDF and HE (D2.3 will be updated in M12). This will in turn support the activities in WP 4 and contribute to the consortium' s ability to compete on an international level.

**Work package WP3 – Improved HR strategy and development of transferable skills**

**Work Package Number WP3 Lead Beneficiary 2 – KTU**

**Work Package Name Improved HR strategy and development of transferable skills**

**Start Month 1 End Month 27**

**Objectives**

Objectives: The overall objective of this WP is to improve HR strategy and upskill research managers.

There are two main specific objectives of WP3: S04 To develop a Human resources strategy and

S05 to train and upskill research managers.

**Description**

WP3 leader is KTU.

T3.1 Human Resources Strategy – [Lead KTU] – [all partners involved] – [M1 - M27]. The consortium will develop HR strategy aiming at attracting, retaining, and upskilling talent and joint recruitment efforts in research areas of economics and business. Specifically, the HR strategy will include a training strategy for researchers focusing on researcher's proposal writing skills for HE projects which will be immediately exploited in WP 4. The full HR strategy will be developed by M27 (D3.1 in M27) and will build on the new knowledge acquired by researchers and research managers. Ultimately, this will result in a joint project proposal for MSCA Doctoral networks, COFUND, and/or Staff exchange, and/or ERA Talents in WP4.

T3.2 Upskilling research managers – [Lead UB] – [all partners involved] – [M1 - M27]. T3.2 is the development of transferable skills for research managers. It will be done through workshops and job shadowing. D3.2 Report on job shadowing and training of RM due in M27 - Research managers from VSE and EBS will attend KTU and all partners will visit the non-widening experienced partner.

In terms of the workshops, 4 hybrid workshops on following topics will be organized by the non-widening partner:

(1) how to motivate, support and train researchers with particular focus on researchers from widening countries, (2) management of international R&I projects, (3) knowledge transfer and (4) open science, science communication, science popularization, social media training for research managers. Upskilled RMs represent Milestone 2 in M27.

#### **Work package WP4 – Increased competitiveness and reputation**

**Work Package Number WP4 Lead Beneficiary 1 – VSE**

**Work Package Name Increased competitiveness and reputation**

**Start Month 17 End Month 36**

#### **Objectives**

Objectives: the overall objective of this WP is for the widening partners to increase their international competitiveness in the realm of ERA.

WP4 specific objectives include S06 to enhance institutional environment and processes through RM strategy, S07 to produce policy recommendations for future synergies between research funding programmes, and S08 to pilot active ability to compete on an international level.

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#### **Description**

WP leader VSE.

T4.1 Research Management strategy – [Lead UB] – [all partners involved] – [M17 – M36]. By the development of T4.1, i.e., by identifying excellent teams, research groups, their research topics, suitable calls and partners, and creating matchmaking and proposal writing pipelines, the consortium will develop enforced institutional environment and processes. Research management strategy (to be adapted to any partners' specific needs), will be informed by the newly acquired skills from the job shadowing and workshops for research managers (WP3). RMS and its implementation into the respective partners' institutions will be reported in D4.1 at the end of the project (M36).

T4.2 Policy recommendations – [Lead VSE] – [all partners involved] – [M17 – M36]. T4.2 will ensure that the gained knowledge will be distributed to and openly shared with national Managing Authorities of EU / national and/or regional programmes to complete the synergy between the different funding programmes. Specifically, the RIS4SEB projects plans on producing a comprehensive document with policy recommendations for future funding schemes, respecting and illustrating the various experiences in the respective partner countries, i.e., Policy recommendations for synergies among research funding programmes (D4.2 in M36).

Finally, the objective of this WP and by extension the entire project is for the consortium widening partners to become able to actively compete on an international level:

T4.3 International competitiveness – [Lead VSE] – [all partners involved] – [M17 – M36]. T4.3 will build on the HR and RM strategies and implement them in a pilot test of the non-widening partners' enhanced international competitiveness.

Specifically, RMs in the partner institutions will carry out matchmaking between their own researchers and available calls, considering research topics developed at the partner institutions as well as the identified suitable research groups.

This first phase will be done asynchronously and online, however, to achieve momentum, it will result in organizing a targeted on-site / hybrid proposal clinic for the involved researchers. For this event, an external consultant will be brought in to provide the highest-level service possible.

Ultimately, this task will be completed by several submitted HE proposals.

Each partner aims to take lead in one future HE project, altogether creating 4 project proposals (cumulative report will be D4.3 in M36). The submission of the project proposals represents Milestone 3 (in M36).

**Work package WP5 – Dissemination, communication, and exploitation of results**

**Work Package Number WP5 Lead Beneficiary 1 – VSE**

**Work Package Name** Dissemination, communication, and exploitation of results

**Start Month 1 End Month 36**

**Objectives**

Objectives: To disseminate the project results among researchers but also communicating the achievements to the public; to develop and continuously update the Plan for the dissemination and exploitation of results including communication activities; and to carry out the final project conference, openly sharing the gained knowledge and insight with external widening Economics and Business schools.

**Description**

T5.1 Development of the fully fledged PEDR - [Lead VSE] - [M3 - M36]. Plan for the dissemination and exploitation of results including communication activities (PEDR) will be first developed in M6, updated in M18, and finalized in M36 (D5.1). The success of this project will be highly influenced by the ability to reach its target audience, most importantly, the partner's own researchers and research managers, including the management of the institutions. PEDR will specifically involve a plan for enhanced visibility of the partner's respective previously and / or currently funded ERDF infrastructure to bridge the divide between HE and ERDF or similar funding.

T5.2 Website and social media - [Lead VSE] - [all partners involved] - [M1 - M36]. The project will develop a sustainable website (under the umbrella of coordinator's website and in line with the preliminary PEDR) and social media presence to ensure continuous communication of project progress and results (development of website will be D5.2 in M4). The main social networks planned to be used are LinkedIn® & X® (former Twitter).

T5.3 EARMA Conference - [Lead VSE] [all partners involved] - [M23 - M24]. The project teams will attend an EARMA conference in 2026, it is expected that the conference will take place in Spring (in April or May, as usual). The teams will jointly apply with an abstract illustrating the progress of this project. After the presentation is given, it is expected

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the team will collect feedback which can be in turn worked back into the project. The exercise will be reported as D5.3 in M24 (two people are expected to partake from each partner).

T5.4 Conference for Economics and Business Schools – [Lead KTU] – [all partners involved] – [M34 – M36]. T5.4 will be a final closing conference, organized in hybrid mode and jointly with the final end-of-project meeting in Prague at VSE. Representatives from outside of the project from economics and business schools and universities from widening countries will be invited to listen to the project results and experiences to scale up the effects of the project (D5.4 in M36).

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## **STAFF EFFORT**

### **Staff effort per participant**

*Grant Preparation (Work packages - Effort screen) — Enter the info.*

#### **Participant WP1 WP2 WP3 WP4 WP5 Total Person-Months**

1 – VSE 18.00 6.00 6.00 12.00 8.00 50.00

2 – KTU 4.00 6.00 12.00 6.00 3.00 31.00

3 – EBS 4.00 12.00 6.00 6.00 2.00 30.00

4 – UB 1.50 4.00 4.00 4.00 1.50 15.00

**Total Person-Months 27.50 28.00 28.00 28.00 14.50 126.00**

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## **LIST OF DELIVERABLES**

### **Deliverables**

*Grant Preparation (Deliverables screen) — Enter the info.*

*The labels used mean:*

*Public — fully open ( automatically posted online)*

*Sensitive — limited under the conditions of the Grant Agreement*

*EU classified —RESTREINT-UE/EU-RESTRICTED, CONFIDENTIEL-UE/EU-CONFIDENTIAL, SECRET-UE/EU-SECRET under Decision 2015/444*

#### **Deliverable**

**No**

**Deliverable Name Work**

**Package**

**No**

**Lead Beneficiary Type Dissemination Level Due Date**

**(month)**

D1.1 Project manual WP1 1 – VSE R – Document, report SEN – Sensitive 2

D1.2 Data management plan WP1 1 – VSE DMP – Data

Management Plan

PU – Public 6

D1.3 Ethics & Privacy Management Plan WP1 1 – VSE OTHER PU – Public 6

D2.1 Joint internationalization strategy for R&I WP2 4 – UB R – Document, report PU – Public 18

D2.2 Report on networks analysis WP2 3 – EBS R – Document, report PU – Public 8

D2.3 Analysis of research calls suitable for the available ERDF (or equivalent) funded infrastructure



WP2 3 – EBS R – Document, report SEN – Sensitive 10  
D3.1 Human Resources Strategy WP3 2 – KTU R – Document, report PU – Public 27  
D3.2 Report on job shadowing and training of research managers  
WP3 4 – UB R – Document, report PU – Public 27  
D4.1 Report on Research management strategy implementation  
WP4 4 – UB R – Document, report PU – Public 36  
D4.2 Policy recommendations for synergies among research funding programmes  
WP4 1 – VSE R – Document, report PU – Public 36  
D4.3 Report on submitted project proposals WP4 1 – VSE R – Document, report SEN – Sensitive 36

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### **Deliverables**

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*Public — fully open ( automatically posted online)*

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*EU classified —RESTREINT-UE/EU-RESTRICTED, CONFIDENTIEL-UE/EU-CONFIDENTIAL, SECRET-UE/EU-SECRET under Decision [2015/444](#)*

### **Deliverable**

**No**

**Deliverable Name Work**

**Package**

**No**

**Lead Beneficiary Type Dissemination Level Due Date (month)**

D5.1 Plan for the dissemination and exploitation of results including communication activities (PEDR)

WP5 1 – VSE DEC –Websites, patent filings, videos, etc

PU – Public 6

D5.2 Website WP5 1 – VSE DEC –Websites, patent filings, videos, etc

PU – Public 4

D5.3 EARMA conference WP5 1 – VSE DEC –Websites, patent filings, videos, etc

PU – Public 24

D5.4 Final conference WP5 2 – KTU DEC –Websites, patent filings, videos, etc

PU – Public 36

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### **Deliverable D1.1 – Project manual**

**Deliverable Number** D1.1 **Lead Beneficiary** 1 – VSE

**Deliverable Name** Project manual

**Type** R – Document, report **Dissemination Level** SEN – Sensitive

**Due Date (month)** 2 **Work Package No** WP1

#### **Description**

VSE will develop a project manual (D1.1) for all partners to follow during project implementation (M2), delineating important guidance, contacts, rules for visibility, and financial rules, but critically, it will include executive planning of RIS4SEB project, i.e., a detailed overview of the respective tasks, goals and clearly assigned accountability and responsibility. The consortium will then follow the guidelines with regular oversight of the coordinator.

### **Deliverable D1.2 – Data management plan**

**Deliverable Number** D1.2 **Lead Beneficiary** 1 – VSE

**Deliverable Name** Data management plan

**Type** DMP – Data Management

**Plan**

**Dissemination Level** PU – Public

**Due Date (month)** 6 **Work Package No** WP1

#### **Description**

VSE will develop DMP and firstly submit in M6, then update the plan mid-project and finalize it at the end.

### **Deliverable D1.3 – Ethics & Privacy Management Plan**

**Deliverable Number** D1.3 **Lead Beneficiary** 1 – VSE

**Deliverable Name** Ethics & Privacy Management Plan

**Type** OTHER **Dissemination Level** PU – Public

**Due Date (month)** 6 **Work Package No** WP1

#### **Description**

Even though this project does not entail to use any ethically sensitive tools such as AI or similar, the coordinator will ensure the compliance with ethics and GDPR requirements through creating an Ethics & Privacy Management Plan by M6 (D1.4).

### **Deliverable D2.1 – Joint internationalization strategy for R&I**

**Deliverable Number** D2.1 **Lead Beneficiary** 4 – UB

**Deliverable Name** Joint internationalization strategy for R&I

**Type** R – Document, report **Dissemination Level** PU – Public

**Due Date (month)** 18 **Work Package No** WP2

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#### **Description**

JIS is one of the three cornerstone strategies developed within RIS4SEB. The ultimate goal of JIS is to enable the

widening partners' research groups and individual researchers to make necessary steps to get fully engaged within the ERA. JIS will support the identified research topics and potential projects related to economics and business research which the project partners can jointly develop. It will be integrated by the respective partners into their own institutional development strategies.

### **Deliverable D2.2 – Report on networks analysis**

**Deliverable Number** D2. 2 **Lead Beneficiary** 3 – EBS

**Deliverable Name** Report on networks analysis

**Type** R – Document, report **Dissemination Level** PU – Public

**Due Date (month)** 8 **Work Package No** WP2

#### **Description**

This analysis will contribute to the widening partners' understanding of the ERA and provide them with a map of possibilities for engagement. The widening partners plan on becoming members of at least one international network / alliance to jumpstart their ERA involvement.

### **Deliverable D2.3 – Analysis of research calls suitable for the available ERDF (or equivalent)**

#### **funded infrastructure**

**Deliverable Number** D2. 3 **Lead Beneficiary** 3 – EBS

**Deliverable Name** Analysis of research calls suitable for the available ERDF (or equivalent) funded infrastructure

**Type** R – Document, report **Dissemination Level** SEN – Sensitive

**Due Date (month)** 10 **Work Package No** WP2

#### **Description**

This analysis will be divided into two separate reports. The first report (M10) will provide a detailed list and descriptions of the identified infrastructures, along with delineation of the site-visits. The second report (update in M12) will then identify the suitable international funding opportunities for research which could utilize the previously identified infrastructure.

### **Deliverable D3.1 – Human Resources Strategy**

**Deliverable Number** D3. 1 **Lead Beneficiary** 2 – KTU

**Deliverable Name** Human Resources Strategy

**Type** R – Document, report **Dissemination Level** PU – Public

**Due Date (month)** 27 **Work Package No** WP3

#### **Description**

The consortium will develop HR strategy aiming at attracting, retaining, and upskilling talent and joint recruitment efforts in research areas of economics and business. The HR strategy will include an approach for researchers' training to solidify

their proposal writing skills (this will be developed by M15 and shared internally). Full HR strategy will be submitted in

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M27. The HR strategy will be implemented by the respective partners into their own institutional development strategies, and parts of it piloted during RIS4SEB.

### **Deliverable D3.2 – Report on job shadowing and training of research managers**

**Deliverable Number** D3. 2 **Lead Beneficiary** 4 – UB

**Deliverable Name** Report on job shadowing and training of research managers

**Type** R – Document, report **Dissemination Level** PU – Public

**Due Date (month)** 27 **Work Package No** WP3

#### **Description**

To ensure high-quality back office and services for researchers in widening partners' institutions, and to contribute to the overall goal of progressive engagement in the ERA, RMs are indispensable. Therefore, job shadowing for the widening partners' RMs and their training will be carried out. Report will be developed by M27.

### **Deliverable D4.1 – Report on Research management strategy implementation**

**Deliverable Number** D4. 1 **Lead Beneficiary** 4 – UB

**Deliverable Name** Report on Research management strategy implementation

**Type** R – Document, report **Dissemination Level** PU – Public

**Due Date (month)** 36 **Work Package No** WP4

#### **Description**

A Research Management Strategy will be developed as a guide for identifying excellent teams, research groups, their research topics, suitable calls and partners, and creating matchmaking and proposal writing pipelines. The RMS will enhance effective institutional environment and processes. RMS will be implemented by the respective partners into their own institutional development strategies and immediately tested on a pilot HE development in RIS4SEB.

### **Deliverable D4.2 – Policy recommendations for synergies among research funding programmes**

**Deliverable Number** D4. 2 **Lead Beneficiary** 1 – VSE

**Deliverable Name** Policy recommendations for synergies among research funding programmes

**Type** R – Document, report **Dissemination Level** PU – Public

**Due Date (month)** 36 **Work Package No** WP4

#### **Description**

Policy recommendations: this result will be in the form of a joint white paper designed for Managing Authorities of EU, national and / or regional research funding programmes. The paper will be openly shared with and addressed to the

relevant stakeholders in the partner countries to provide insight into this consortium' s experience with creating synergies among the different programmes.

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### **Deliverable D4.3 – Report on submitted project proposals**

**Deliverable Number** D4. 3 **Lead Beneficiary** 1 – VSE

**Deliverable Name** Report on submitted project proposals

**Type** R – Document, report **Dissemination Level** SEN – Sensitive

**Due Date (month)** 36 **Work Package No** WP4

#### **Description**

Four new competitive HE (or equivalent) project proposals will be developed within RIS4SEB with each partner taking a lead in one proposal. It will be done in line with JIS (R1) and HR strategy (R4) and based on the available infrastructure analysis (R3). RMS (R6) will be put into practice at the respective institutions as a pilot for the four HE proposals.

### **Deliverable D5.1 – Plan for the dissemination and exploitation of results including communication activities (PEDR)**

**Deliverable Number** D5. 1 **Lead Beneficiary** 1 – VSE

**Deliverable Name** Plan for the dissemination and exploitation of results including communication activities

(PEDR)

**Type** DEC –Websites, patent filings, videos, etc

**Dissemination Level** PU – Public

**Due Date (month)** 6 **Work Package No** WP5

#### **Description**

Plan for the dissemination and exploitation of results including communication activities (PEDR) will be first developed in M6, updated in M18, and finalized in M36 (D5.1). The success of this project will be highly influenced by the ability to reach its target audience, most importantly, the partner' s own researchers and research managers, including the management of the institutions. PEDR will specifically involve a plan for enhanced visibility of the partner' s respective previously and / or currently funded ERDF infrastructure to bridge the divide between HE and ERDF or similar funding.

### **Deliverable D5.2 – Website**

**Deliverable Number** D5. 2 **Lead Beneficiary** 1 – VSE

**Deliverable Name** Website

**Type** DEC –Websites, patent filings, videos, etc

**Dissemination Level** PU – Public

**Due Date (month)** 4 **Work Package No** WP5

## **Description**

The project will develop a sustainable website (under the umbrella of coordinator's website and in line with the preliminary PEDR) and social media presence to ensure continuous communication of project progress and results (development of website will be D5.2 in M4).

### **Deliverable D5.3 – EARMA conference**

**Deliverable Number** D5.3 **Lead Beneficiary** 1 – VSE

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**Deliverable Name** EARMA conference

**Type** DEC –Websites, patent filings, videos, etc

**Dissemination Level** PU – Public

**Due Date (month)** 24 **Work Package No** WP5

## **Description**

The project teams will attend an EARMA conference in 2026, it is expected that the conference will take place in Spring (in April or May, as usual). The teams will jointly apply with an abstract illustrating the progress of this project. After the presentation is given, it is expected the team will collect feedback which can be in turn worked back into the project. The exercise will be reported as D5.3 in M24 (two people are expected to partake from each partner).

### **Deliverable D5.4 – Final conference**

**Deliverable Number** D5.4 **Lead Beneficiary** 2 – KTU

**Deliverable Name** Final conference

**Type** DEC –Websites, patent filings, videos, etc

**Dissemination Level** PU – Public

**Due Date (month)** 36 **Work Package No** WP5

## **Description**

A final closing conference, organized in hybrid mode and jointly with the final end-of-project meeting in Prague at VSE. Representatives from outside of the project from economics and business schools and universities from widening countries will be invited to listen to the project results and experiences to scale up the effects of the project (D5.4 in M36).

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## **LIST OF MILESTONES**

### **Milestones**

*Grant Preparation (Milestones screen) — Enter the info.*

### **Milestone**

**No**

**Milestone Name Work Package No Lead Beneficiary Means of Verification Due Date**

**(month)**

1 1 WP2 4 – UB Submission of D2.1. 18

2 Upskilled RMs WP3 4 – UB Submission of D3.2. 27

3 Submission of competitive HE proposals WP4 1 – VSE Submission of D4.3. 36

## **LIST OF CRITICAL RISKS**

### **Critical risks & risk management strategy**

*Grant Preparation (Critical Risks screen) — Enter the info.*

**Risk**

**number**

**Description Work Package**

**No(s)**

**Proposed Mitigation Measures**

1 Overloaded partner - especially KTU and EBS

(low / medium)

WP3, WP1, WP2,

WP4

When planning the project, individual partners were asked to consider in advance their human

resource needs and their involvement was compared with institutional capacity. However,

there may be other unforeseen reasons for partner overload. This will be monitored during the

project meetings. Reassigning tasks can be decided together with balancing clauses. Steering

committee meetings will regularly review task loads among the partners.

2 The partner institutions may run into problems when

implementing the three developed strategies (JIS,

HR, and RM) into institutional directives.

WP3, WP1, WP2,

WP4

To involve the top management and other relevant target groups of the partner institutions

directly into the strategies development, i.e., different university bodies and target groups

representatives will be involved in the workshops and problem-solving groups. Further, the

project sets up an Advisory Board with top management representatives and the consortium

will discuss draft strategies with the AB.

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### **Critical risks & risk management strategy**

*Grant Preparation (Critical Risks screen) — Enter the info.*

**Risk**

**number**

**Description Work Package**

## No(s)

### Proposed Mitigation Measures

3 Communication problems within the consortium

(low, medium)

WP3, WP5, WP1,

WP2, WP4

During the first meeting of the project partners, clear rules for communication will be set (methods and techniques), as well as a clear definition of the competences and responsibilities of the team and documented in the shared project manual. In order to avoid misunderstandings, clear and structured documentation will be kept (e.g., sending minutes of meetings, using Planner to assign tasks and reporting their fulfillment). Contingency plan: revision of the set communication channels, change in the competences of the respective members of the implementation team or change in the composition of the implementation team.

4 Possible deliverable or milestone delays (especially JIS) (low, medium)

WP3, WP2, WP4 These risks will be minimised through efficient project management and careful planning, as well as through continuous cooperation between partners with using the agile approach on appropriate tasks. If a delay becomes unavoidable, measures will be taken to avoid a negative impact on subsequent tasks, deliverables and milestones. Since JIS development is crucial for the development of the other two strategies, most focus will be addressed towards JIS.

5 Insufficient involvement of researchers, top management, and RMs (low, low)

WP3, WP2, WP4 All three target groups will be directly involved in the preparation of all three strategies via workshops and problem-solving groups. Top management will be further present in the advisory board. Research managers are consulted and directly involved in the proposal preparation.

6 Incorrect estimation of the complexity of individual project activities, especially in coordination of the governance level WPs, leading to failure to achieve



the project objectives (low, medium)

WP1 The preparatory team has experience with the preparation and implementation of previous projects as well as in the role of NPC (dr. Kašlíková), the team of the consortium has experience in both national and international projects. The coordinators management team holds multiple project management certificates (PMI PMP, Agile scrum master, Product owner). Contingency plan: restructuring of work, changing the composition of the expert team, possible expansion of the implementation team with additional staff and related change of the project (request for change).

7 The consortium fails to include enough representatives of national managing authorities and EU representatives into Advisory Board (low, medium)

WP3, WP1, WP2,  
WP4

The consortium already has ties to several of those bodies and regularly communicates with the representatives. Further, the pre-selected bodies have replacements, as several other managing authorities exist, who will benefit from the project. Since the project is directly aimed on areas which are in scope of the managing authorities' activities, we presume enough interest from their side.

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## **PROJECT REVIEWS**

### **Project Reviews**

*Grant Preparation (Reviews screen) — Enter the info.*

#### **Review**

**No**

#### **Timing**

(month)

#### **Location Comments**

RV1 18 Online Interim review meeting

RV2 36 Online Final review meeting (max. at Month 39)

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## **ENHANCING R&I SYNERGIES FOR SCHOOLS OF ECONOMICS AND**

# BUSINESS

[This document is tagged. Do not delete the tags; they are needed for processing.] #@APP-FORM-HECSA@#

## History of changes

### Page/section Nature of change and reason

#### Part A

Deliverables In WP 1, deliverables D1.2 and D1.3 were deleted (originally Progress report RP 1 and RP 2). Instead, Data Management Plan was added as D1.2. D1.3 remains as Ethics & Privacy Management Plan.

D2.3a and D2.3b were merged into D2.3 Analysis of research calls suitable for the available ERDF (or equivalent) funded infrastructure due in M10.

D3.1a and D3.1b were merged into D3.1 Human Resources Strategy due in M27.

Several deliverables were re-classified as SENSITIVE, i.e. D1.1 and D2.3. D4.3 remains SENSITIVE from the project proposal.

Work packages Description of the WPs were only altered where some original deliverables were deleted, some merged, and one added (DMP). Due to the changes, the original task 1.4 was renumbered to T1.3 Ethics and GDPR check (with D1.3).

Description of WP 1 Additional information on the Advisory Board was added.

Financial information 10 000 EUR for VSE ´ s subcontracting was removed and shifted as 8 000 in purchase costs, i.e. creating additional 2 000 EUR in indirect costs.

#### Part B

Pg. 1/ **History of changes** Table with history of changes was added. Title “Proposal template Part B:

technical description” was deleted.

Pg. 2/ **List of contents** List of contents was added.

Pg. 13/ **DMP** Addition of a DMP.

Pg. 22/ **Core group**

#### **contribution**

A confirmation on the contribution to the core group added to the project.

Pg. 23/ **Gantt chart** The Gantt chart has been revised in order to reflect the deleted, merged, and added deliverables.

Pg. 24/ **Widening countries** A confirmation on the consortium composition added to the project.

Pg. 24/ **Third-party**

#### **contribution**

A confirmation that there are no third-party contributions planned added to the project.

Pg. 24/ **Associated partners** A confirmation that there are no associated partners planned added to the project.

Pg. 24/ **Affiliated entities** A confirmation that there are no affiliated entities planned added to the project.

Pg. 25-26/ **Table 3.1h:**

#### **‘Purchase costs’ items**

More detail on travel costs and advisory board costs was added to Table 3.1h:

‘Purchase costs’ items (travel and subsistence, equipment and other goods, works and services) for all beneficiaries. A typo was corrected for VSE (remaining purchase costs is 11 000 EUR, not 9 000).

Pg. 25/ **Table 3.1h:**

#### **‘Purchase costs’ items**

Initially foreseen subcontracting for VSE was moved to Purchase costs (therefore changing the direct costs from 10 000 to 8 000 EUR and adjusting the overall sums for VSE). The subcontracting table was deleted.

Pg. 26/ **Table 3.1h:**

#### **‘Purchase costs’ items**

A confirmation concerning UB ´ s personnel costs and any purchase of costs was

added. “No foreseen subcontracts” confirmation added.

Pg. 26/ **Ethics selfassessment**

Ethics self-assessment was added from Part A of the proposal.

**Deliverables** In line with changes to deliverables in Part A, mentions of the original deliverables were omitted throughout Part B, namely on pg. 3.

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.....  
**Pathway** is a) Upstream synergy mode (focusing on HR development and internalization). The RIS4SEB project creates a synergy for the widening project partners who were previously successful in obtaining ERDF, Interreg, or similar indirect EU projects in cooperation with a highly experienced non-widening partner, building a pathway towards increased success in international research projects such as within the Horizon Europe (HE) programme. To this end, the consortium chooses to focus on the research areas of **economics and business**, with the project partners all being either economics and business universities or schools / faculties. The project further upholds EU policy by aiming to balance the differences between widening and non-widening states. ERA policy agenda is reflected by the project by addressing the objective of improving EU-wide access to excellence and in training research managers, strengthening their ties to the European Association of Research Managers and Administrators (EARMA) community and its country branches (e.g., the newly established CZARMA, for Czechia), and training researchers to access and develop excellence.

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

#### **1.1 Objectives** #@PRJ-OBJ-PO@#

The project **overall objective is to design and pilot three strategies aiming at enabling and facilitating effective synergies between Horizon Europe and other national/regional funds, by strengthening Internationalization of R&I widening actors, developing Human Resources, and improving Research management capacity and overall competitiveness of the widening partners.**

In doing so, this project aims to address two of the overarching EU strategic objectives of the new European Research Area policy.<sup>1</sup> Namely, in synergy between Horizon Europe programme and the ERDF (and equivalent) monobeneficiary funding of infrastructures, the RIS4SEB project should achieve improved access to excellent facilities for researchers across EU countries. Additionally, the project will indirectly contribute to the strategic objective of strengthened researcher mobility and the free flow of knowledge and technology. Even though mobility of researchers is not the main objective of this project, it will develop an HR strategy for the widening partners to improve their talent retention. Below, the overall objective is separated into three parts with 8 respective specific objectives, their brief definitions, pertinence to the call topic, measurability & achievability of the objectives, and respective results and target groups.

<sup>1</sup> European Commission, Directorate-General for Research and Innovation, *A new European research area: based on excellence competitive,*

*talent-driven and open*, Publications Office, 2020, <https://data.europa.eu/doi/10.2777/11151>

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### **Specific objectives**

SO1 to create and pilot a joint internationalization strategy for R&I, SO2 to facilitate access to networks and communities, and SO3 to pave the way to overcoming the locked in effect for former mono-beneficiaries funded under ERDF and a better use of R&I infrastructure funded under ERDF.

**Brief definition** The consortium will develop a joint internationalization strategy (T2.1) within the selected

research areas of economics and business,<sup>2</sup> building on the experience of the Bocconi University and KTU School of Economics and Business' s specific experience with widening projects. It will be done after having analyzed the available international networks and communities (T2.2) and in synergy with the widening partners' ERDF funded infrastructures and facilities (T2.3). The internationalization strategy will be then piloted during the second half of this project.

### **Pertinence to the call topic**

The widening partners' integration into the ERA is pertinent to the Work Programme objective to raise the bar for excellence of R&I actors in widening countries in partnership with an outstanding HE-fluent non-widening actor (i.e., UB). Given the specificity of the research area which the consortium aims to develop, new Economics and Business European innovation ecosystem will be developed as well.

### **Measurability & Achievability**

KPIs:

- # of joint internationalization strategies developed: *Project's goal: 1*
- # of international networks and communities analyzed; *Project's goal: 10*,
- # of attended brokerage events: *6*,
- # of HE calls suitable for ERDF funded infrastructures and facilities identified; *Project's goal: 8*

The consortium is aware of the uneasy task of integrating the respective widening institutions into the ERA and for this reason it includes a non-widening partner with vast experience with EU framework programmes for research and innovation. Additionally, the experienced partner shares the consortium' s line of research (i.e., Economics and Business) and therefore facilitates further joint research endeavors in the currently underrepresented research domain. In terms of the internationalization strategy, the experienced partner will oversee this task for the widening partners to capitalize on the partner' s know-how.

Overall, these specific objectives will be achieved by fulfillment of WP 2 Enhanced internationalization and efficient use of infrastructure. This will be in turn verifiable because the results will be made publicly available (D2.1, D2.2, and D2.3).

### **Relevant results and / target groups**

(R1) Joint internationalization strategy (KER). The main target groups of this result are the widening partner' s researchers and institutional management. While the management will implement the strategy into the partner' s respective institutional strategies, it' s primarily the researchers who will benefit from the new internationalization strategy and from the widening partners' sharing of ERDF funded infrastructure, data and expertise in synergy with future HE project proposals. Other results include (R2) an analysis of international networks, communities, and relevant networking/brokerage events in Brussels and (R3) an analysis of the available ERDF (or equivalent) funded infrastructure suitable for HE calls (target group of both results are researchers and research managers of the partner institutions).

### **Specific objectives**

SO4 To develop a Human resources strategy and SO5 to train and upskill research managers.

**Brief definition** The consortium will develop HR strategy focusing on attracting and retaining talent as well

as researchers' training (T3.1). Therefore, not only will be the widening partners' research

2 The consortium has preliminarily identified the following research areas with potential for joint research: Digital Capitalism, Inequalities in

labor market and education, Green, Sustainable and Circular Economy, strategic market orientation and market driving, entrepreneurship,

leadership, energy economics, market strategy, or organizational behavior.

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managers (RMs) now equipped with effective instruments to implement and to guide their

work, i.e., the HR strategy, the RMs will themselves be trained by UB' s experienced research

managers (T3.2). The training will include not only workshops, but also on-site job

shadowing which will in turn produce lasting links between the project / grant offices.

### **Pertinence to the call topic**

This objective is directly pertinent to the Work Programme objectives to foster brain circulation and turn it into brain gain for widening countries and to encourage institutional reform. In this case, the institutional reform will have the form of new implemented HR strategies and upskilled RMs capable of innovative and informed problem solving.

### **Measurability & Achievability**

KPIs:

• # of trained and upskilled RMs. *Project's goal: 30*

• # of new HR strategies. *Project's goal: 1*

These specific objectives are achievable through close cooperation of the widening partners with the supervision and know-how sharing of the experienced non-widening partner, i.e., the UB. WP 3 Improved HR strategy and development of transferable skills is modeled so that SO4 and 5 can be fully achieved.

### **Relevant results and / target groups**

R4 HR strategy (KER), R5 is training events for RMs. For the training of research managers, the target group is RMs in the respective widening partners' institutions. For the HR strategy, while it will be directly implemented by the RMs, researchers and the entire research ecosystems will indirectly benefit because if the strategy is properly implemented, it should lead to proper talent retention for the widening partners.

### **Specific objectives**

SO6 To enhance institutional environment and processes through RM strategy, SO7 to produce policy recommendations for future synergies between research funding programmes, and SO8 to pilot active ability to compete on an international level.

**Brief definition** The final and umbrella objective is for the widening partners to become internationally competitive and visible in the ERA. This will be done by creating a RM strategy, therefore enhancing the institutional research environment and processes (T4.1). Subsequently, piloting the internationalization strategy complementary to the RM strategy, this will lead to the widening partners' ability to compete on an international level with new HE project proposals (T4.3). At the same time, the project plans on producing policy recommendations based on their unique pilot experience with synergizing different research funding programmes (T4.2). Additionally, dissemination and communication activities (especially T5.3 and T5.4) are designed to increase the visibility and reputation of the widening partners.

**Pertinence to the call topic**

This objective is directly pertinent to the Work Programme's objective to increase number of participations and success rates of widening actors in RIA / IA projects, especially in Pillars 2 and 3. Moreover, this is relevant not only for the RIS4SEB widening partners, but also for the entire innovation ecosystems due to the policy recommendations development.

**Measurability & Achievability**

KPIs:

- # of new RM strategy: 1,
- # of policy recommendation white papers: 1,
- # of research groups identified: 16,
- # of new HE project proposals: 4.

The task of developing a research management strategy will be overseen by the UB. WPs 4 Increased competitiveness and reputation and 5 Dissemination, communication, and exploitation of results are modeled so that together they fulfill these objectives.

The achievement of the planned tasks will be verified by D4.1, D4.2, D4.3, D5.3, and D5.4. It is in fact the successful submission of competitive HE project proposals with the widening partners in consortium leadership roles (D4.3) that will prove the achievement of these SOs.

**Relevant results and / target groups**

R6 is the RM strategy (KER). R7 is the policy recommendations white paper. R8 are the new competitive HE project proposals. Ultimately the beneficiaries of this goal, if properly implemented, are the partners' researchers and by proxy the entire research institutions. For R7, the target groups are the various Managing Authorities of EU, national and / or regional research funding programmes.

**Project's results (e.g.):**

**R1: Joint Internationalization Strategy (KER):** the JIS is one of the three cornerstone strategies developed within

RIS4SEB. The ultimate goal of JIS is to enable the widening partners' research groups and individual researchers to make necessary steps to get fully engaged within the ERA. JIS will support the identified research topics and potential projects related to economics and business research which the project partners can jointly develop. It will be integrated by the respective partners into their own institutional development strategies.

**R2: Analysis of international networks and communities:** this analysis will contribute to the widening partners' understanding of the ERA and provide them with a map of possibilities for engagement. The widening partners plan on becoming members of at least one international network / alliance to jumpstart their ERA involvement.

**R3: Analysis of research calls suitable for the available ERDF (or equivalent) funded infrastructure.** This

analysis will be divided into two separate reports. The first report will provide a detailed list and descriptions of the identified infrastructures, along with delineation of the site-visits. The second report will then identify the suitable international funding opportunities for research which could utilize the previously identified infrastructure.

**R4: Human Resources Strategy (KER):** The consortium will develop HR strategy aiming at attracting, retaining, and upskilling talent and joint recruitment efforts in research areas of economics and business. The HR strategy will include an approach for researchers' training to solidify their proposal writing skills. The HR strategy will be implemented by the respective partners into their own institutional development strategies, and parts of it piloted during RIS4SEB.

**R5: Training events for RMs:** to ensure high-quality back office and services for researchers in widening partners' institutions, and to contribute to the overall goal of progressive engagement in the ERA, RMs are indispensable.

Therefore, job shadowing for the widening partners' RMs and their training will be carried out.

**R6: Research management Strategy (KER):** a RMS will be developed as a guide for identifying excellent teams, research groups, their research topics, suitable calls and partners, and creating matchmaking and proposal writing pipelines. The RMS will enhance effective institutional environment and processes. RMS will be implemented by the respective partners into their own institutional development strategies and immediately tested on a pilot HE development in RIS4SEB.

**R7: Policy recommendations:** this result will be in the form of a joint white paper designed for Managing Authorities of EU, national and / or regional research funding programmes. The paper will be openly shared with and addressed to the relevant stakeholders in the partner countries to provide insight into this consortium' s experience with creating synergies among the different programmes.

**R8: New HE project proposals developed:** four new competitive HE (or equivalent) project proposals will be developed within RIS4SEB with each partner taking a lead in one proposal. It will be done in line with JIS (R1) and HR strategy (R4) and based on the available infrastructure analysis (R3). RMS (R6) will be put into practice at the respective institutions as a pilot for the four HE proposals.

#SPRJ-OBJ-POŠ#

**1.2 Coordination and/or support measures and methodology #@CON-MET-CM@# #@COM-PLE-CP@#**

**1.2.1 Institutional, research, and country background**

931

1628

193 165 278 468

882

247 709

2148

2866



997  
285 669  
2244  
143 178 177 86  
1856  
572 821 327 163 363  
2379  
909  
153  
299  
52 39 44 **75** 133 **59** 122  
304 399  
180  
51 122  
**336**  
24 **40** 38 12  
310  
112 145 67 37 70  
385  
140  
0  
500  
1000  
1500  
2000  
2500  
3000

All HE grants HE grant containing economics and business

*Figure 1: HE grants containing Economics and Business dimension (green – EU13, yellow – consortium partner countries)*

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Economics and Business research field as part of Social Sciences and Humanities (SSH), has immediate economic growth effects<sup>3</sup> and overall Higher Education Institutions production of graduates in the field has positive effects on performance of firms in terms of turnover and employment growth.<sup>4</sup> The EU itself pays significant attention to SSH research through dedicated clusters in HE as well as through SSH-flagged topics across the entire programme. At the same time, the success rate and overall participation of the so-called widening EU countries in HE is lagging behind the more productive countries in Research and Innovation, especially when focused on Business and Economics field (see fig. 1, comparing all signed HE grants with signed grants containing Economics and Business)<sup>5</sup>. If measured by ERC participation as a litmus test of excellence in science, the situation is even more striking (see fig. 2). Among the widening consortium partners of RIS4SEB, only 9 project proposals were submitted in panel SH1, and none was successful.<sup>6</sup>

Additionally, when studying the involvement of Economics and Business across financed ERC projects (in HE) through the EuroSciVoc Level 2 dimension in the Czech Republic, Estonia, and Lithuania, only 6 distinct projects come up.<sup>7</sup> So only 21 % of ERC projects, the beacons of excellent science in Europe, that are being implemented in the widening partner countries, involve the scientific dimension of

Economics and Business, and none of them include it sufficiently enough to have been submitted into the SH1 panel. Additionally, international collaboration of EU13 countries lags far behind non-widening countries - if measured by collaboration with top-15 consistently successful institutions in applying for funding from Framework programmes, Belgium and Sweden together have more collaborations with the top-15 than all EU13 countries together.<sup>8</sup> This is a major unbalance in the ERA which RIS4SEB aims to address.

**The RIS4SEB project aims to overcome these shortcomings by establishing a cross-border collaboration of 3**

**widening and 1 non-widening partners, all Business and Economic schools. It will be achieved by internationalization, human resources and RM skills development and result in enhanced competitiveness and reputation of the widening partners and their Economics and Business research.**

The effects of low participation of widening countries and of Economics and Business schools in particular in the

ERA are multiple. There are substantial resources wasted in unsuccessful HE applications (see unsuccessful

submissions below), wasted talent in insufficiently interconnected institutions, wasted opportunity in locked-in

effects from previously funded national projects or structural / developmental funding. Low international connections

on the research level result in lower publication quality, low expertise dissemination, and industry collaboration.

EU13 countries then remain below the EU average if measured by scientific publications among the top 10% cited<sup>9</sup>,

or by overall European innovation scoreboard - all project partner countries being ranked as moderate innovators.<sup>10</sup>

In applied results, the expertise is sourced by consultancy companies and Economics and Business Schools are not

perceived as institutions for businesses to receive applied solutions from. In turn, the whole widening country wastes

their resources concentrated in Economics and Business schools hindering the utilizing of their full potential in

accordance with ERA policy agenda to strengthen Europe's position compared with its major global competitors,

i.e.: USA and China.

Specifically, **two of the project's consortium widening partners were not successful in HE and H2020 projects:**

**VSE** was successful only in a partner role in 2 H2020 projects, out of 27 project submissions. In HE, 2 projects were

successful only recently (currently undergoing Grant Agreement preparation), out of 12 submissions.

As a

coordinator, VSE was so far not successful in EU framework programmes for research and innovation.

<sup>3</sup> Jang C. Jin & Lawrence Jin (2013) Research publications and economic growth: evidence from cross-country regressions, *Applied*

*Economics*, 45:8, 983-990, DOI: 10.1080/00036846.2011.613785

<sup>4</sup> A. Bonaccorsi, D. Biancardi, M. Sanchez-Barrioluengo, F. Biagi, *Study on Higher Education Institutions and Local Development*, EUR 29802

EN, Publications Office of the European Union, Luxembourg, 2019, ISBN 978-92-76-08846-2, doi:10.2760/369557, JRC117272.

<sup>5</sup> HE grants containing Economics and Business dimension, HORIZON DASHBOARD, accessed on July 26th, 2023.

<sup>6</sup> ERC grants in the widening partner countries, European commission - CORDIS Grants database, accessed on June 19th, 2023.

<sup>7</sup> ERC projects with Economics and Business dimension, HORIZON DASHBOARD, accessed on July 3rd, 2023.

<sup>8</sup> Quaglio, G., S. Millar, M. Pazour, V. Albrecht, T. Vondrak, M. Kwiek, and K. Schuch. 2020. Exploring the Performance Gap in EU Framework

Programmes Between EU13 and EU15 Member States. European Parliamentary Research Service, Scientific Foresight Unit (STOA), PE

641.542 – June 2020.

<sup>9</sup> European Innovation Scoreboard 2023 and Regional Innovation Scoreboard 2023, European Commission. Available at <https://ec.europa.eu/research-and-innovation/en/statistics/performance-indicators/european-innovation-scoreboard/eis>, accessed on

August 8<sup>th</sup>, 2023

<sup>10</sup> European innovation scoreboard, European Commission. Available at [https://research-and-innovation.ec.europa.eu/statistics/performance-indicators/european-innovation-scoreboard\\_en](https://research-and-innovation.ec.europa.eu/statistics/performance-indicators/european-innovation-scoreboard_en), accessed on August 8<sup>th</sup>, 2023.

**All financed**

**ERC grants**

**Financed**

**SH1 ERC**

**grants**

**All**

**submitted**

**ERC grants**

**Submitted**

**SH1 ERC**

**grants**

**Czechia 25 0 227 7**

**Estonia 1 0 96 0**

**Lithuania 2 0 25 2**

*Figure 2: ERC grants in the widening partner countries*

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**EBS** has not been successful in any H2020 project application. In HE, one project has been successful only recently

(currently undergoing Grant Agreement preparation), out of 5 submissions.

Although **KTU** already has experience in H2020 and HE projects, in the field of Economics and Business these

achievements are more modest.

Still, **KTU** has proved successful in H2020 widening projects (with namely 3 H2020 projects - ERA Chairs,

Twining, and EIT, 1 COSME and 1 HE project), so additionally to the non-widening partner which will serve as

the experienced knowledge provider (the UB), there is a partner with the unique experience of widening country

background. So, the consortium will tap into very specific (processual, institutional) know-how of a widening partner

currently further on its way to integrate itself in the ERA. Still, despite its partial success in H2020 and HE, most of

the projects of **KTU** are not in Economics and Business, therefore **highlighting this project's assumptions about**

**financed grants distribution not only according to the widening – non-widening split, but also in terms of the**

**studied topics across HE.**

Overall, the widening consortium members are not well-integrated internationally into the ERA, receiving only

seldom invites by other consortia to participate in projects, further limiting access to needed project and research

related knowledge. Importantly, the widening consortium is expected to learn from the non-widening partner, but at

the same time, the consortium expects to generate enough momentum for future joint research to take place, further improving the involvement and proportion of Economics and Business projects in HE and other international research programmes.

Additionally, all consortia widening partners systematically evaluate the needs and relative progress of PhD students

and researchers of all career levels as well as overall institutional success. It is therefore assessed that the causes of

the current state of low performance, addressed by RIS4SEB, are:<sup>11</sup>

- Lack of, low efficiency or protracted implementation of both strategies (internationalization and HR strategy)

and the related processes.

- Lack of research management know-how on the institutional level, not present or new, level of research

managers - dedicated, supporting and enabling workers, preferably interconnected to R&I managers community on both European and country level.

- Relative lack of research excellence, lower propensity to submit proposals, and a lack of strong international

research contacts and professional networks.<sup>12</sup>

- Relative preference of national research funding schemes to HE and related greater time investment to

familiarize oneself with HE rules and procedures, or relative higher success rates of national funding schemes

for top scientists.

- Overburden of researchers with bureaucracy or other duties (teaching, diploma and bachelor theses supervision), different research culture, researchers not organized into research groups and supported with

sufficient enough administrative staff, lack of research assistant level.

### **1.2.2 Governance and capacity-building levels of RIS4SEB**

Based on assumptions mentioned previously, pertaining to the coordination and/or support measures and

methodology, the project will focus on **two interconnected levels** in each substantive WP:

- **Governance/strategy development:** 3 main strategies will be produced, a Joint internationalization strategy

for R&I (WP2), HR strategy (WP3), and Research management strategy and Policy recommendations (WP4).

- **Capacity building:** networks, enhanced use of infrastructure and new innovation ecosystem in WP2, job

shadowing and training in WP3 and proposal development and pipelines in WP4.

Further, WP1 will be focused on project management and coordination, WP5 on communication, dissemination, and

exploitation of results. See Fig. 3 for overview.

<sup>11</sup> Other causes are, of course, present, but cannot be reasonably addressed by the project, such as: low levels of research expenditure,

structural causes such as not attractive research systems on a country level, models of university funding, funders relying on disciplines not

reflecting interdisciplinary efforts, amount and future developments of direct funding, research funding at country level.

<sup>12</sup> Quaglio, G., S. Millar, M. Pazour, V. Albrecht, T. Vondrak, M. Kwiek, and K. Schuch. 2020. Exploring the Performance Gap in EU

Framework Programmes Between EU13 and EU15 Member States. European Parliamentary Research Service, Scientific Foresight Unit

(STOA), PE 641.542 – June 2020.

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**GOVERNANCE LEVEL**

**Three strategies** will encompass the top tier of resulting change as well as incorporate the strategic plan for

RIS4SEB's objectives and monitoring thereof.

**All strategies** will be prepared in a similar manner based on previously carried out discussions with EQUIS, AACSB

and AMBA accredited business schools<sup>13</sup> - the so-called triple crown of business school accreditations conducted by

VSE in 2021-2022. These processes are validated by the accreditation bodies. **Strategies will be prepared by**

**involving relevant stakeholder groups:**

- Intra-university:

o **researchers, administrative support staff, research management staff, executive level;**

o university bodies: deans' and rectors' collegiums, (inter)national advisory boards, academic senates;

- **Corporate partners, Employers and other businesses;**

- **Alumni;**

- **Government (local city or country) and public representatives.**

The involvement of these internal and external stakeholders enables to elucidate important input into the strategies

from their respective point of views, thus providing rich and focused range of ideas. **The listed stakeholders all play**

**a vital role in the university position in the local environment.** Where relevant, a special attention will be given

to incorporation of stakeholders, who represent natural environment, in such a way completing the quintuple helix

framework. Direct engagement of stakeholders is important to gain their involvement, interest and help with smooth

implementation of RIS4SEB's goals.

Interactive workshops will be facilitated by academic staff (each partner has subject matter experts available who do

and teach workshop facilitation) with multiple groups and when feasible online surveys will be used. Structured

interviews will be used with more senior level target group members. Specific problem-solving groups<sup>14</sup> will be

organized to gather innovative ideas and/or solve the main challenges (i.e., brain gain and drain or HE project success

rates and quality increase). After this initial phase, main ideas and needs will be elicited and goals formulated in close

collaboration with respective responsible vice-rectors (for research, international affairs) or equivalent executives.

Ideas and needs will be addressed and prioritized according to their logical link to the project's goal and their

perceived impact into its fulfillment.

Research of relevant sources and EU and national policies and recommendations will be conducted and a

<sup>13</sup>In the sample were: EM Lyon Business School, EDHEC Business School, NEOMA Business school, TUM School of Management, ESSEC

Business School, Rotterdam School of Management, Stockholm School of Economics, Bocconi University, International Business School of

Scandinavia, Copenhagen Business School, Corvinus University of Budapest.

<sup>14</sup>A dedicated team formed by relevant stakeholders to solve a particular problem/ make use of opportunity or idea.

*Figure 3: Levels of RIS4SEB*

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benchmarking to strategies of triple crown business schools across EU will further inform the strategy preparation.

On each partner level, gap and best practice analysis of strategies already in place and AS-IS and TO-BE process

analyses of widening partners will be conducted and enhanced by best practice by KTU and UB.

All strategies will include dedicated financial and personnel resources.

**Draft of the strategies will be subjected to feedback from the project's Advisory Board. This will align together**

**the bottom-up ideation phase with top-down harmonization.** This is needed as well to gain internal approval of

the final version of JIS.

Subsequent parts of all strategies will be identified, changed or added based on the analyses and stakeholder

involvement described in the methodology part.

Evaluation mechanisms will be proposed or reviewed and changed in such a way that feedback for continuous

improvement is collected and implemented via monitoring targets and setting up dedicated processes.

Where relevant, JIS, HR strategy and RMS will reflect smart specialization strategy of the partner's country.

Specific methodology and coordination and support measures to each strategy are listed below.

#### ➤ **Joint internationalization strategy for R&I (JIS) (WP2)**

**Overarching consortium's part of JIS** will be jointly developed with **three customized sub-strategies** which will

reflect each widening partners unique needs resulting from institutional differences and country specifics. JIS will be

enriched by the unique know how of KTU and supervised by UB.

JIS will address at least **four different areas**: (1) **Inter-institutional collaboration**, addressing not only universities

or similar research institutions, but non-academic institutions and businesses as well, (2) **mobility** of researchers and

other staff, namely research managers, (3) **joint publications**, and finally, (4) HE and other international research

funding schemes **joint proposals**.

These areas are chosen according to literature research to have the most promising influence to achieve the overall

projects' goal. Further analyses will be realized, which will aim at causes of the low internationalizations.

*Supporting processes and strengthening of administrative support* will be addressed, on joint level where suitable.

Internationalization will not only focus on Economics and Business field and university level cooperation but will

aim interdisciplinary and across the ERA integrated institutions, since cooperation across fields and industries can

make the greatest impact.<sup>15</sup> This approach will create approaches for contribution to solve societal challenges (as in

SDGs by UN)<sup>16</sup>. The JIS will address development of support processes and strengthening internationalization as an

integral part of researchers' duties - further developed in HR Strategy.

Thanks to the strategy, the specific steps for each institution will be set and timeline proposed, inclusive

responsibilities and links to existing and/or new departments.

Each widening consortia partner has already done researcher mobility on a smaller scale, so the know how is

available, but no process of tapping into this resource typically exists in EU13 countries. JIS will enhance the mobility

by structuring impact elicitation of these experiences. Workshops or structured interviews will be conducted, aimed at expat/inpat experiences, and addressed at management level by incorporating these into mobility workflow and committing resources. JIS will address researcher mobility by aiming at the causes of low mobility: lowering administrative barriers, aiming at benefiting by the mobility - career development (linked to HR strategy) for researchers, extracting the know-how for the institution, and attracting talent by offering competitive conditions and supporting family-friendly set-up. According to the results of causal analyses, additional causes will be addressed or deprioritized. JIS is connected to the HR strategy and Research management strategy in intertwined efforts to put internationalization to forefront on consortium, institutional, departmental, and individual level. Internationalization related criteria (such as share of international faculty) are present in the so-called triple crown of business school accreditations - so alignment to those will further help with prestige and visibility of partner institutions. Finally, JIS will integrate and uphold the principles of open science and The Declaration on Research Assessment (DORA). Where proving more efficient, the strategy will opt out for development of joint services.

### ➤ **HR strategy (WP3)**

HR strategy will deal with the **brain gain, brain circulation and threat of brain drain** as well as with internal

<sup>15</sup> European Commission, Directorate-General for Research and Innovation, Whittle, M., Rampton, J., Towards a 2030 vision on the future

of universities in Europe, Publications Office, 2020, <https://data.europa.eu/doi/10.2777/510530>

<sup>16</sup> For example, sustainable consumption and production is already targeted by corporate level ESG and sustainability research efforts by all

widening partners.

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problems of personnel overburden and partner specific areas. Further focus will be on **training and career development**.

The aim will be differentiated by early, mid and senior level researchers (or according to EURAXESS Research

profiles descriptors R1-R4), since their goals and needs differ accordingly. The strategy will be developed according

to the above-mentioned process (see JIS), with a specific focus on involving enough representatives from all internal

stakeholder groups also listed above but further including the seniority breakdown. Initial phase will be prompted by

several topics mentioned below which were identified upfront. After the ideation/input gathering phase, the focus

will be on careful prioritization and selection while reflecting each partners specific situation. Besides the feedback

of the projects Advisory Board, the HR Strategy will be subject to feedback from the researchers as well in a form

of online questionnaire.

HR strategy will encompass joint recruitment efforts linked to outcomes from JIS. To address the need to put

internationalization to the forefront of each researchers' efforts, HR strategy will deal with setting up expectations

and relative weights of international versus national publication outcomes in research evaluations. Similarly, **excellence in research will be addressed, namely in terms of attracting, retaining, and upskilling**

**talent.** Integration to ERA must take place on the individual researcher basis, since “the individual scientist holds the key to advancing IRC [international research collaboration].”<sup>17</sup> Sufficient organizational mechanisms must be in place to support this transition, which generally means institutional preference to publish internationally and/or in international collaboration, and international mobility experiences for career advancements. Existing reward

structures must address the researcher’s motivation to publish and cooperate internationally.

**Specific plans will be outlined to address diversity and inclusion.**

Parallel to JIS, HR strategy will support the goal of integrating into ERA by reflecting the different research cultures

among the partners, the different expertise, main research focus, and the different organizational procedures

(institutional, legal, and administrative) and process maturity. HR strategies will reflect and uphold principles of the

European Charter for Researchers and European Code of Conduct for Research Integrity.

Regarding assessment of researchers, the strategy will reflect the DORA to prevent detrimental outcomes of journal

impact factor and H-index researcher assessment while reflecting excellent science and open science.

Further, it will

explore ways to incorporate communication to public and civic engagement to performance assessment.

**Integral part will be the promotion of international rather than national research publishing, incorporation**

**of internationalization to HR policies and linking them to career growth.**

A joint recruitment plan will be developed to lessen the barriers for attracting researchers and pooling resources.

Finally, when designing the HR strategy, the consortium will uphold **gender balance principles** when attracting and

retaining talent as it is a well-known fact that academia features a leaky pipeline of talented young female researchers.

➤ **Research management strategy (RMS) (WP4)**

RMS will address the management, individual and processual causes of the low performance.

Following the JIS and

HR strategy, RMS will deal with **structuring support processes to empower researchers** to incorporate HE and

other international schemes into their work to further strengthen internationalization. Content of the RMS will be

structured around main parts:

- **Vision and mission** for research in Economics and Business, commitment for internationalization and

research excellence, while reflecting the consortium’s unique capabilities and strengths.

- **Specific goals** to be set **for each widening partner**, aimed at number of HE **grants submitted**, joint and/or

international **publications** count and their quality and impact.

- Priorities for each partners’ **research topics** and mutual research topics in the consortium while reflecting

bottom-up research proposals, clear link to JIS and HR strategy in preference to international and excellent



research outcomes.

- **Resources** needed for implementation of the RMS, if the need is identified on the partner level, the strategy

will also contain a plan for securing these resources.

- **Governance structures** are already in place in all the widening partners institutions, changes and/or tweaking is expected rather than setting up completely new governance bodies. If new roles are to be added,

responsibilities will be clearly described.

These parts are presumed to contain the “nuts and bolts” for supporting the processes of the actual submission of

joint international research project proposals, which are one of the most visible (and in case of HE prestigious)

outcomes of internationalization effort. The RMS development will follow the process mentioned above with

particular focus on enhancing existing procedures and using upfront identified parts as prompts in input elicitation.

RMS will encompass identifying excellent researchers, teams, topics, linking them to suitable calls, provide

<sup>17</sup> Kwiek, M. (2021). What large-scale publication and citation data tell us about international research collaboration in Europe: Changing

national patterns in global contexts. *Studies in Higher Education*, 46(12), 2629-2649.

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matchmaking and provide support in proposal writing. On a consortia level, different ways of linking research

systems (further described below on the capacity building level) will be realized.

RMS will aim on improving administrative capacities by networking (with UB’ s know-how/supervision), jobshadowing,

training, linking to NPC networks, EARMA, CZARMA, developing guidelines and methodologies to increase success rates of research proposals and will use professionalization and peer learning at a transnational level.

Focus of RMS will be on becoming attractive host institution for MCSA fellows and, ultimately, ERC grantees.

Separately, on consortiums level, ERC track will be established in close cooperation with each partner country’ s

NPCs. ERC track will work with individual researchers to guide them on monthly basis through peer review and

constant feedback to finalise ERC project proposal.

Research communication and dissemination path will be enhanced by signing up to EU code of practice on

disinformation. Curiosity-driven research and applied, top-down topics with regard to each consortia widening

partner’ s needs will be balanced.

#### ➤ **Policy recommendations (WP4)**

Recommendations will be distilled thanks to previous activities of this projects and lessons learned, thus this task is

planned in the second half of the project (see the Gantt chart in section 3). Policy recommendations will be developed

by joint effort of the consortium based on continuously collected lessons learned. We presume the focus on WP2

(previously funded infrastructure), WP4 (Research proposal pipelines and clinic) on the capacity building level, but

also from the strategies development and their pilot implementation. Online consortia dedicated meetings will be

used to discuss the lessons learned and to draft the policy recommendations.

Relevant stakeholders, i.e., representatives of **national and regional Managing Authorities of research programmes will be invited to RIS4SEB's Advisory Board** (for more information about the AB, see WP1 in section 3). This should serve several purposes - the Managing Authorities will be able to provide feedback for the strategies development and own input, and they will have a close overview of the projects' progress. At the same time, they will be the final beneficiaries of the produced policy recommendations. We foresee involvement of the **ESF and ERDF national level Managing Authorities**<sup>18</sup> (in case of Czechia, VSE has a long-term contact to the responsible section of the respective ministry), **Erasmus+ KA2 country Managing Authorities**, Interreg (dominantly: transnational - Central Europe, Baltic Sea region; cross-border; and Interregional - Europe), and **EU DG Regio and DG RTD** for encompassing the EU level. Further, each country's HE NPCs will be addressed and consulted as well. The consortium already has strong ties to NPCs, for example by cooperation in national level associations of research managers, such as CZARMA. The Advisory Board meetings will offer a platform for meeting of otherwise not connected programmes' representatives, and therefore will contribute to reaching an otherwise not possible synergy potential. Since the Advisory Board will provide feedback to the three strategies, they will also have on hand perspective of the problems the consortium may be facing in their development and overall have a closer relationship to the consortiums' point of view. All materials will be sent to AB with enough time to review them to have a fruitful guided and facilitated discussion during the meetings. When needed, online consultations will be used. The perspective of the policy recommendations development process is to disseminate the know how gained by the projects' implementation on the strategic level to the relevant programmes' management.

#### **Capacity building level**

##### **➤ Networks, international brokerage events and internationalizing seminars (WP2)**

Desk research and analysis of existing networks will be conducted, similarly a list of international brokerage events and seminars prepared (and updated during the project) and events prioritized among the consortiums partners to cover the most important topics. Networks will be assessed also based on their activities - how many meetings are organized, or how well they are able to respond to facilitate consortia forming efforts when a suitable call is identified. The attendance of the brokerage events will be closely linked to proposal preparation and their pipelines - to attend, research areas and project **one pagers** will be prepared to better facilitate the process. Ex-ante preparation with goal setting will be as important, as ex-post actions to be performed after the attendance to gain tangible results.

<sup>18</sup> Managing Authorities identified In the Czech Republic: Ministry of Regional Development, Czech National Agency for International

Education and Research; in Estonia, the list of MAs include Ministry of Regional Affairs and Agriculture, Ministry of Finance, Ministry of

Education and Research, and The Education and Youth Board (Harno); and finally, in Lithuania the fostering of innovation is supervised by

the Ministry of the Economy and Innovation of the Republic of Lithuania and the Research Council of Lithuania.

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These activities will help with providing access not only to one institution, but to a network of suitable partners which

will enable joint research endeavors.

➤ **Enhanced use of previously funded infrastructure (WP2)**

This activity will address the locked-in effects of investments already made among the project consortia partners.

The project partners already identified the relevant previously funded infrastructure, see *2.1.2 Previous funding and*

*ERDF-funded infrastructure* of this proposal. Identification of ways of overcoming the locked-in effect has to be

done together with researchers from the consortium, so **short visits** to facilitate familiarization and meeting of

respective researchers to build foundation of future cooperative research are planned. Infrastructure will serve as a

foundation to internationally connect researchers from partners among the consortium, serving as a prompt to base

collaboration on. Further exploitation of existing infrastructure will be made through the networks, brokerage events

and seminars mentioned above, with **one pager** about each infrastructure to be presented to introduce further ways

of possible cooperation. Presentation to the public will be made through activities described in WP5.

This activity will be enhanced by pooling data, experts/expertise, exchange capabilities, resources and tools sharing

to reach a critical mass for gathering enough capacity for subsequent publications or joint project proposals. The

RIS4SEB project will adhere to the European Charter for Access to RI.

➤ **Job shadowing and training (WP3)**

**Job shadowing** will address problems with know how acquisition, implementation and, partly, with decision makers

motivation. Top management, research management and researchers will take part in this activity, **workshops** will

be more focused on research management and researcher level.

Job shadowing will be led by UB and seconded by KTU. Initially, target areas will be determined, further **goals of**

**the job shadowing** and individual partners' needs will be specified with an upfront set of questions/target areas.

Then **specific visit schedule and overall job-shadowing visit schedule** will be jointly developed to avoid possible

overburden but to provide enough room for individual partner needs. Experiences will then be collected and **jointly**

**evaluated.**

Regarding **workshops and training**, previous lessons learned of consortiums partners will be collected, and a list of

providers (both internal and external) compiled in the 4 areas stipulated below.

Subsequently, 4 workshops will be organised: (1) **how to motivate, support and train researchers with particular**

**focus on researchers from widening countries, (2) management of international R&I projects, (3) knowledge transfer and (4) open science, science communication, science popularization, social media training for**

**research managers.** Attendees of these workshops will be responsible for sharing the gained knowledge in their

respective institutions, this should be done especially in regard to PhD students.

Regarding (4) science communication, media training is especially relevant in recent trust in science and research

outcomes crisis (or “post-truth” society). We will aim on easier understanding and interpretation of evidence and

scientific results to reflect the trust crisis in the training, focusing on refuting disinformation and misinformation as

well. Further, since the Economics and Business research field is closely aimed on policy makers, one of the key

barriers for incorporation of scientific evidence into policy-making - the **needs of policymakers and the ways**

**researchers present evidence**, will be addressed. This aims at improving the societal role of the widening consortia

partners and their economic relevance. Further, this activity will explore the idea of “professorship” for the public

understanding of science as a possible solution to bridge the aforementioned gap.

Consortium commits to 30 research managers and 100 researchers and Ph.D. students trained.

➤ **Research proposal matchmaking, preparation, and pipelines (WP4)**

Finally, **proposal pipelines** will be developed. From **initial matchmaking** between researchers and suitable calls

based on previous capacity pooling, to guiding researchers through the pre-award phase, this activity will serve as a

step towards project sustainability. We expect a self-reinforcing loop of effects from the subsequent realization of

HE projects: implementation of these projects will further trigger need for process improvement back up at the

governance/strategic level. International researchers taking part in these projects will further pressure on the internal

environment to become more international, processes to run more smoothly, and the whole internal environment to

gain more experience with HE projects for every subsequent HE project to be more ambitious and to be provided

with better internal services, thus becoming more attractive to researchers and international cooperation as a whole

on consortium level.

Following RMS, which will describe the individual steps of the pipeline, this is the implementation thereof.

**Identification of “pockets of excellence”** by publication records and citation analysis will take place and altogether

with JIS, HR Strategy and RMS the focus will be to shift their aim towards HE and other international research

programmes.

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**Research groups identification** with excellent researchers will be institutionalized and guided through project

proposal preparation with an upfront identified HE call. Upskilled research managers will guide the groups through

the whole pre-award process of project preparation. **16 research groups** will be identified and guided.

**4 proposals** will be submitted as a pilot pipeline project and feedback and lessons learned incorporated into the respective partners' institutional strategies. Specifically, RMs in the partner institutions will carry out **matchmaking** between their own researchers and available calls, considering research topics developed and infrastructures built at the partner institutions. This first phase will be done asynchronously and online, however, to achieve momentum, it will result in organizing a **targeted proposal clinic** (in M30) in Prague. For this event, an external consultant will be brought in to provide the highest-level service possible. Each partner aims to take lead in one future HE project.

➤ **New innovation ecosystem in ERA between academia and business (WP2)**

As a positive externality of RIS4SEB, the project expects to address one of the main causes<sup>19</sup> of EU13 low performance. This will encompass results from internationalization, joining new networks and will be linked to enhanced use of previously funded infrastructure and other joint resources use. Most importantly, this will result from the newly formed sustainable Economics and Business research endeavors among the consortium partners. Further, the ecosystem will need to be supported by subsequent processes, such as commercialization of research results - knowledge transfer (which is generally problematic in Economics and Business field in EU13 countries).

**Quintuple helix** framework - leveraging know-how of diverse stakeholders university-industry-government-public environment

- will be utilized to address the business research needs. An **analysis** of possible internal structures needed for different stakeholder integration, such as IPR or know-how transfer offices, will be conducted. **Working**

**groups** based on the contacts from the Advisory Board and the projects' governance level to systematically approach

the consortiums universities third role and to facilitate social innovation will be organized. KTU' s National

Innovation and Business Center, VSE' s xPort business accelerator, EBS' s Business incubator, and UB' s Commercial

Excellence and Corporate Governance Labs will take part in ecosystem development. The connected ethical

challenges - objectivity and vested interest of companies when funding research studies will be addressed.

Finally, the RIS4SEB project will take country and partner institution specifics into account: national priorities, the

level of private and public investments (incl. through public procurement), the availability and quality of

infrastructures, human capital and skills, the access to finance, the support measures in place, requiring tailored

approach to apply any solutions.<sup>20</sup>

**Overall project management and coordination in WP1** will encompass a hybrid project management approach.

Since the project proposal involves a Gantt chart and set deliverables, the overarching methodology will be traditional

(predictive) with subsequent project management standard toolbox. Inside individual work packages and tasks, where

necessary, agile methodology will be used. Similarly, when the workflow is not specified, agile will be used. Scrum will be used as the most prevalent and familiar agile method. The hybrid approach should combine the positives like increased adaptability and flexibility while preserving an overall overview of the deliverables and the final result while suppressing the negatives. Project organization chart with a RACI matrix will be a part of the project manual as a shared living document to ensure clear and shared task accountability.

### **1.2.3 Open science and Research data management**

Open science (OS) and Research data management (RDM) are not directly relevant for this project. No direct research outputs will be produced. OS and RDM will be addressed in WP2 (as a part of internationalization strategy and where relevant in ways of overcoming the locked-in effects), but mainly WP3 (especially training of RM staff, job shadowing) and WP4 (actual OS parts of project proposals/data management plans of projects), and WP5 (dissemination). Still, in line with the framework programme's rules on research data management, the project will include a DMP (as D1.2 due first in M6, then to be updated in M15 and M36).

### **1.2.4 Gender in RIS4SEB**

On an institutional level, the partner institutions have all developed a gender equality plan (or equivalent). In terms of the project teams, RIS4SEB strives for overall balance without any forms of discrimination, with the coordination team perfectly balanced in terms of gender.

<sup>19</sup> Quaglio, G., S. Millar, M. Pazour, V. Albrecht, T. Vondrak, M. Kwiek, and K. Schuch. 2020. Exploring the Performance Gap in EU

Framework Programmes Between EU13 and EU15 Member States. European Parliamentary Research Service, Scientific Foresight Unit (STOA), PE 641.542 – June 2020.

<sup>20</sup> European Commission, Directorate-General for Research and Innovation, Country participation : from Horizon 2020 to Horizon Europe,

Publications Office of the European Union, 2022, <https://data.europa.eu/doi/10.2777/210660>

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Within RIS4SEB's content, gender in research is not a primary concern given that research per se is not a subject of this project. Still, the project plans on upholding principles of gender equality especially when developing some of the project results, namely the HR strategy, to ensure gender equality principles to be subsequently implemented into the institutional development strategies of the respective partners.

#§CON-MET-CM§# #§COM-PL-CP§# #§REL-EVA-RE§#

## **2. Impact #@IMP-ACT-IA@#**

Ultimately, the project aims to have scientific impact due to the foreseen improvement of the widening partners' ability to compete with their project proposals on an international level. In fact, the scientific impact is planned in the dimension of Economics and Business research. In terms of scientific efficiency, if the project is successful and manages to enhance the internationalization and competitiveness of the widening partners, the effects should be observable through increased number of successful HE projects not only for the widening partners in question, but

also for projects containing Economics and Business research dimension across the whole HE programme.

Economically, the project's impact will be pronounced for the respective widening partners as it should lead to a multiplication of HE funding and more effective use of their current infrastructures and human capacities alike.

In terms of societal impact, the status of the Economics and Business schools will be elevated on par with other schools or research institutions. Finally, RIS4SEB strives to impact the future of research programmes development through strategies co-creation and policy recommendations.

## **2.1 Project's pathways towards impact**

### **2.1.1 Achieving the expected outcomes and expected impacts**

Main pathways towards impact are shown on the logical line of KER - EXPECTED OUTCOME - EXPECTED IMPACT:

#### **EXPECTED OUTCOME**

The design and implementation of the JIS, during and after the implementation of the project, will cope with the following pathway a) expected outcomes:

- to create a **joint internationalization strategy** for R&I ( $\rightarrow$ KER), e.g., by making structural the adoption and implementation of the strategy on the short and medium term.
- To ensure access to **networks and communities**, by delineating and following a map of international opportunities for the widening partners, and
- to **overcome locked in** effect for former mono-beneficiaries funded under ERDF and **better use of R&I infrastructure funded under ERDF**, by identifying and immediately exploiting the possible synergies between the infrastructures and the suitable HE (or equivalent) opportunities.

#### **EXPECTED IMPACT**

Through the creation of JIS, analyzing the international networks, and by overcoming the mono-beneficiary effect of ERDF (and similar) funding, the project's outcomes are expected to enable the following WP destination's expected impacts:

- *to improve the outreach to international level for the widening partners, and*
- *to increase the partner's science and innovation capacity.*

The JIS will have long-term effects because it is expected that the widening partners will implement the strategy into their institutional development strategies to follow for years after the end of project, capitalizing on the identified synergies between ERDF (or equivalent) and HE programmes.

#### **Scale and significance of the contribution and target groups**

The JIS, together with the networks analysis and infrastructure's improved visibility, will first and foremost improve the work of the respective widening partners' researchers. The target group is therefore quite significant with 544 researchers currently employed by VSE, 51 by EBS, and 86,5 by KTU School of Economics and Business, altogether amounting to 681,5 researcher FTEs. The enhanced internationalization of the widening partners will lead to more research possibilities with the UB as well, hence improving the innovation capacity of the consortium.

The significance of improved internationalization for this target group is substantial as the strategy will be their guiding instrument for their ERA integration.

**Potential barrier: Mitigation measure:**

National rules and / or requirements may have negative effect on the scale of RIS4SEB project. Specifically, in Czechia, the national system of research and higher education evaluation Methodology 17+ counts only outcomes for specific FORD 5.2 and 1.2 fields, for To prepare sufficient institutional motivation scheme for the researchers, since streamlining the national evaluation measures would be far out of the scope of RIS4SEB.

Still, in order to close the barrier loop, the national Associated with document Ref. Ares(2024)1309104 - 20/02/2024 Proposal number 101159106 – RIS4SEB - Part B - Page 15 of 30 which VSE is accredited. Therefore, internationalization efforts may be hindered as individual researchers do not have any motivation to venture beyond their regular scope of work.

authorities will be informed of the JIS developed by RIS4SEB, pointing out the discrepancies between the Czech national requirements and the ideal internationalization route for widening partners.

**EXPECTED OUTCOME**

The development of the HR strategy, and its implementation during and after the project, will cope with the following Topic' s expected outcomes:

- *Human resources development strategy*, which - similarly to the JIS, will be adopted and implemented by the project partners with the ambition to make it structural as well.
- *Acquisition of new transferable skills for R&I staff notably in the fields of knowledge transfer, R&I management and communication*, by upskilling RMs through job shadowing and workshops, therefore enhancing the institutional capacity and RM processes.

**EXPECTED IMPACT**

- *Reformed R&I institutional systems of the widening partners leading to increased attractiveness of the respective partners and better retention of research talent.*

A well-developed strategy will, after its implementation into the respective partners' institutional developmental strategies, contribute to better talent retention, especially if properly addressing gender equality principles. As such, it will reform the institutional approach to talent management, contributing to the overall attractiveness of the respective widening countries for research talents, be it domestic or international.

**Scale and significance of the contribution and target groups**

Similarly, as above, the improved HR strategy targets the partners researchers and their management. The consortium expects to develop a strategy for researchers' training through which 100 researchers, including PhD students, will be upskilled (especially concerning their proposal writing). Additionally, research managers will be trained, VSE expects at least 15 research managers to be involved in the training, for EBS it is 5 and 10 for KTU.

The significance of both - upskilled researchers and RMs - is high because the final result of this project, the four competitive newly developed HE project proposals, is directly



dependent on the success of this project's implementation. Moreover, within the longer impact, a functional HR strategy, leading to brain retention, combined with skilled RMs, is indispensable to further success in the widening partners' integration into the ERA.

**Potential barrier: Mitigation measure**

HR strategy must be developed in accordance with EU and national legislations, therefore RIS4SEB runs the risk of complex, new and / or unexpected legislative developments on either legislative level which could potentially hinder the HR strategy's smooth implementation. At the same time, different legislations in the partner countries add complexity to the matter and limit maneuvering space for the HR strategy creation.

The consortium plans on closely following the legislative developments in the respective partner countries to mitigate and on engaging the internal legal and HR teams to co-create the new strategy.

**EXPECTED OUTCOME**

The development of the RM strategy, and its implementation during and after the project, along with the final result of four new HE proposals, will cope with the following Topic's expected outcomes:

*Increased competitiveness and reputation in applications for European and international research funding* by developing and immediately testing a strategy for RM, while, at the same time, capitalizing on the skills and other strategies developed within RIS4SEB.

**EXPECTED**

**IMPACT**

Expected impact:

- *higher participation success in HE and more consortium leadership roles for the widening partners.*

This expected impact will be fulfilled by producing four competitive HE proposals with each of the partners taking a leadership role in one of them as a final result of RIS4SEB.

Additionally, this project will create a momentum for the researchers by identifying the possible routes for (either individual or even joint) further ERA integration, therefore enabling a multiplier effect for the future HE proposals.

**Scale and significance of**

It is the research managers who are the target group for this KER as they will be the ones creating and then implementing the RMS. Altogether 30 research managers will highly profit

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**the contribution and target groups**

not only from the RMS guiding their work, but also through direct training. This will have significant impact not only on their work outcomes and hence productivity, but also presumably on their own professional careers.

In terms of the HE proposals, the target groups will be the now skilled researchers capable of producing competitive proposals, we expect at least one coordinating project proposal from each of the consortium partners, therefore substantially impacting the partners' ability to enter the ERA.

**Potential barrier: Mitigation measure**

Lack of future funding opportunities within the Economics and Business research domain in the Pillars 2 or 3 of

Horizon Europe to populate the pipeline of proposals submitted.

The consortium will explore also grant schemes adopting a bottom-up approach for research topic selection, i.e., MSCA or WIDERA schemes, possibly even ERC.

The project will further contribute to the generation of overall expected outcomes, as follows:

- *Improved and more systematic synergies between Horizon Europe and Horizon 2020, and ERDF, IPA (instrument for pre-accession assistance), RRF, INTERREG or similar funding instruments through internationalisation, valorisation and technology uptake:*

The more systemic synergy is expected to play out due to the systematic involvement of national and supranational

authorities and institutions in charge of developing the research funding programmes. Since the selected authorities

are in position to have wide-scale and deep effect on the R&I system in the ERA and the respective member state

countries, they are invited to co-create the internationalization and HR strategies through the Advisory Board, and at

the same time, they will be the main beneficiaries of the policy recommendations RIS4SEB will produce based on

the consortium's lessons learned.

- *Strengthened competitiveness of R&I actors in Widening countries:*

Through project design, the consortium partners are not only expected to develop the three necessary strategies, but

also to upskill their researchers and RMs, therefore effectively contributing to and improving the partners' ability to

compete in the ERA. Finally, the project partners plan on piloting this upgraded capacity in submitting four new HE

project proposals.

- *Accelerated knowledge transfer and innovation cycle for beneficiaries from ERDF and Horizon 2020 and Horizon Europe:*

RIS4SEB focuses on improved knowledge transfer with a specific workshop to be carried out by UB. Additionally,

knowledge transfer will be addressed by the developed strategies and the consortium will pilot the strategies still

during the project duration, therefore strengthening the beneficiaries' innovation cycle. The synergetic co-creation

of the strategies with the national and EU authorities responsible for the research programmes design will contribute

to this expected outcome through the direct involvement of the relevant actors.

- *Strengthened innovation capacity and competitiveness of less R&I performing regions:*

RIS4SEB expects strengthened innovation capacity of the widening partners, by design, but also of the underrepresented research areas of Economics and Business. The improved innovation capacity will be multiplied

by RIS4SEB's lessons learned dissemination towards relevant actors, especially towards other Economics and / or

Business schools or universities in the underperforming widening region.

### **2.1.2 Previous funding and ERDF-funded infrastructure**

Previous funding:

VSE: Prague University  
of Economics and  
Business, Czechia

**Interreg CZ-AT ATCZ271 All Social Design Thinking Lab**

Topic: creation of artificial  
intelligence-based tools

VSE: Prague University of  
Economics and Business,  
Czechia

**Interreg Central**

**Europe**

CE1158 ENTER-transfer

Advancement of the economic and  
social Innovation through the  
creation of the environment  
enabling business succession

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VSE: Prague University of  
Economics and Business,  
Czechia

**European Regional  
Development Fund**

CZ.02.01.01/00/22\_  
012/0007109

Duration: 2/2024-  
5/2026 (already  
awarded)

Development of infrastructure  
facilities for doctoral study  
programmes at the Prague  
University of Economics and  
Business

KTU: School of  
Economics and Business,  
Kaunas University of  
Technology, Lithuania

**European Regional  
Development Fund**

01.2.1-LVPA-T-848-  
02-0013

Duration: 2020-2022

Intelligent hockey training  
system.

KTU: School of  
Economics and Business,  
Kaunas University of  
Technology, Lithuania

**2014-2020 Interreg VA**

**Lithuania-Poland  
Cooperation**

**Programme**

LT-PL-4R-338

Duration: 2020-2021

Business can be simple!

EBS: Estonian Business

School, Estonia

**EU's Rights, Equality  
and Citizenship**

**Programme (2014-  
2020)**

Project no.: 881752

WOBACA2020/2

Duration: 17.02.2020

-16.02.2022.

Towards gender equality through  
increased capabilities for work-life  
balance

EBS: Estonian Business

School, Estonia

**NextGenerationEU –  
a special temporary  
recovery instrument**

Project no: 241356

Duration:

17.12.2021-

16.08.2022

Green Deal impact on the external  
economy and enterprises

EBS: Estonian Business

School, Estonia

**European Regional  
Development Fund**

Project no.: 6-

8/23/80-1

Duration: 13.03.2022

- 31.12.2025

Training Programme for CFOs III

(Finantsjuhtide koolitusprogramm

III)

In summary, all three widening partners previously **received ERDF, Interreg and / or equivalent funding and are therefore eligible to form this consortium and apply for the HORIZON-WIDERA-2023-ACCESS-04-01 call.**

In fact, the partners plan on capitalizing the previously built infrastructures in their respective institutions within this project.

Namely, **VSE is building new facilities for researchers and doctoral students under the current ERDF funding.**

This infrastructure entails Extended reality lab and Marketing research lab, Qualitative international studies lab,

Legal Clinic, International economics lab, Data ethics lab, enhancing of Econometrics lab equipment, Department of

statistics and probability equipment, and Financial lab (Fin-tech) equipment. Further, VSE can provide a Behavioral experiment lab equipped for conducting PC-led experiments and 13 other dedicated centers and institutes.

**EBS** will provide the **Methods Lab** and know-how that the research team gained through the project titled “Green Deal impact on the external economy and enterprises”. Institutionally it helped **EBS** to build the Green, Sustainable, and Circular Economy research team.

For **KTU**, at the university level, the following infrastructure will be offered: **KTU National Innovation and Entrepreneurship Centre (NIEC)**, **Research and Innovation Project Centre** which aims to ensure the quality of R&D&I and study project proposal preparation and project management, **Artificial Intelligence Centre** which aims

to promote fundamental and applied research in the field of artificial intelligence (AI), **Open Access Centre**

**Information System (APCIS)**, and **ECIU**, a network of universities that are entrepreneurship and innovation-driven

and apply challenge-based methodology in its research and studies. At **KTU’s School of Economics and Business**

level there is **Bloomberg Financial Markets Lab**. The Laboratory is equipped by 12 terminals, which are integrated

with the **Bloomberg PRO** service, with capabilities to analyze data in real time.

Finally, the **UB** can provide the consortium with the state-of-the-art research infrastructure with **23 distinct**

**knowledge platforms and research labs**. Namely, the **Space Economy Evolution Lab** shapes the building of future

economies, **Sustainability Lab** “aims to develop and disseminate relevant and innovative research to support

enterprises and financial institutions, policy makers and non-profit organizations in their path towards sustainability”,<sup>21</sup> and the **ESG Lab** builds excellence in sustainability and governance for SMEs.

The **RIS4SEB** partners’ available infrastructure will be promoted internally and externally and **capitalized on**

**through mutual on-site visits and an analysis of suitable HE (or equivalent international) project calls.**

**2.2 Measures to maximise impact - Dissemination, exploitation and communication** #@COM-DIS-

<sup>21</sup> SDA Bocconi School of Management (2022). *Impact Report 2022*. Available at: <https://www.sdabocconi.it/en/faculty-research/research>

(Accessed: 23 September 2023).

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The project aims to follow a preliminary plan for dissemination and exploitation of project’s results including

communication activities (PEDR) and aims to develop the first fully fledged version by M6 (D5.1).

The aim of disseminating project results is to share the developed knowledge and results with an identified set of

target groups in order for them to benefit from the results, exploit them, or even provide feedback for the consortium

to integrate in further activities. The identified intra-consortium **target groups** are:

• **Researchers in the partner institutions.** This group will be the primary beneficiaries of the project results,

at the same, they will be trained in proposal writing (WP 4) and they will pilot their upgraded capabilities

through writing new HE project proposals still during RIS4SEB' s duration.

- **Research managers.** This group will be implementing the developed strategies, therefore exploiting the results. Additionally, they will be trained in WP 3 and therefore constitute a direct beneficiary of the project activities.

- **Management of institutions.** This group will be consulted throughout the project (either through involvement in the AB or particular problem-solving groups) to ensure smooth implementation of the developed strategies.

All 3 target groups mentioned above will be directly involved in preparation of strategies developed by this project,

thus maximizing the buy-in and acceptance of the resulting change.

Additional important target groups are:

- **National and regional Managing Authorities responsible for ERDF, ESF, cohesion funds, and other**

**research programmes:** the consortium identified relevant actors responsible for the design and implementation of the various research and / or development programmes (see section 1.2.2 Policy recommendations). They will be invited to take part in RIS4SEB' s AB in order to allow for a maximum cocreation

process of the three cornerstone strategies. At the same time, RIS4SEB plans on developing policy recommendations of which these Managing Authorities will be the primary addressees. *KPI: # of representatives directly involved in the AB: 7.*

- **EU institutions, in particular the DG Region, and DG RTD:** similarly, representatives of DG Regio and

DG RTD will be invited to RIS4SEB' s AB and at the end of the project, they will be presented with the

policy recommendations. *KPI: # of representatives directly involved in the AB: 2.*

- **Associations of Universities and Businesses (in widening countries):** namely, KTU provides direct link

with the ECIS (The European Consortium of Innovative Universities), VSE is part of strategic alliances of

CEMS (Global Alliance in Management Education) and PIM (Partnership in International Management).

The associations will be addressed as dissemination multipliers. *KPI: # of associations addressed: 4.*

- **EARMA**, and in the case of the Czech Republic, CZARMA, will be used not only as communication platforms (see below), but also as feedback providers. Hence, the consortium plans a coordinated international dissemination action towards the community of research managers and administrators.

*KPI: #*

*of RM professional associations involved: 2.*

- **Representatives of Economics and Business schools in the widening countries.** RIS4SEB plans on

creating an online interactive community of Economics and Business school representatives (see section

below "Outline of the communication strategy" ). They will be contacted and invited to the final conference

where the consortium will share its lessons learned and findings about integrating into the ERA.

Specifically, the consortium plans on inviting representatives of widening schools which are featured in the

Financial Times European Business School Rankings 2022, such as Nova School of Business and Economics

(PT), Católica Lisbon School of Business and Economics (PT), Koç University Graduate School of Business

(TR), Kozminski University (PL), or the University of Ljubljana, School of Economics and Business (SI).

These universities are supposedly in a similar position with excellent higher education performance and limited research internationalization. However, other widening economics and business schools are to be invited as well, for instance, University of Economics in Bratislava (SL) or the Athens University of Economics and Business (GR), who are partner universities of the coordinator. Still, the consortium plans on sharing the invitation through all the available channels so that the project results and findings can be shared widely and openly. *KPI: # of Economics and Business universities or schools involved in the community: 30.*

- **Networks of NCPs in widening countries** were involved in the early stages of RIS4SEB's ideation phase.

They will be invited to help identify suitable funding opportunities and they will be consulted with the development of the policy recommendations. Finally, NCPs can act as dissemination multipliers in the partner countries and in the EU. *KPI: # of NCP networks involved: 3, 1 for each widening partner country.*

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- **Other projects funded under the pilot Pathways to synergies call**, especially those delivering the upstream synergy, will be identified and invited to partake in the online community to provide mutual feedback and serve as information multipliers. *KPI: # of "sister" projects addressed: 20.*

#### **Outline of the dissemination strategy**

To reach the target groups, the following dissemination channels, platforms, or instruments are to be used:

- A dedicated **project website** will be developed under the umbrella of VSE's university website to ensure sustainability. Public project results will be shared through the website and in CORDIS. *KPI: # of websites: 1.*

- Direct contacts with the identified target groups. *KPI: # of direct contacts: 100.*

- **Publication of project's results and the policy recommendations** in trusted repositories:

Even though the project will not handle research data and produce research results per se, it completely adheres to the principles of open science and free sharing of knowledge. Therefore, the produced results will be predominantly shared openly. *KPIs: # of policy recommendation papers: 1, # of downloads of the project results: 500.*

- A **final conference** will be held to disseminate the project results directly to the other widening Economics and Business schools who may take up the project results beyond the scope of this action. *KPI: # of conferences: 1.*

#### **Outline of the exploitation strategy**

Exploitation of KERs is planned for both project duration and beyond the scope of the project. Firstly, *KER 1 Joint*

*internationalization strategy for R&I* will be developed during the first half of the project and immediately capitalized

on by the project partners through its implementation into the respective institutional strategic documents. Successful

implementation of the JIS will significantly contribute to the generation of the expected outcomes, and ultimately to

the overall success of this project.

*KER 2 HR strategy* will be similarly fully exploited during project duration. If properly carried out, the upskilling of RMs and researchers will serve as a cornerstone of the widening partners' journey into ERA. The HR strategy will be piloted immediately alongside *KER 3 RM strategy*. Combined, they will result in four new competitive international research project proposals. Except for the immediate results of an efficient RM environment and new project proposals, we expect positive externalities in the form of new professional contacts and links created throughout this project. Ideally, this will lead to a multiplication effect of RIS4SEB's results. In terms of the remaining project results, as well as the KERs, the consortium plans on openly sharing the results, the gained knowledge and findings so that external actors can take them up for their own exploitation and potential benefit. *KPI: # of new strategies implemented and piloted during project duration: 3 for each partner.*

#### **Outline of the communication strategy**

To properly communicate the project and its results not only to its key target groups, but also the larger RM and scientific community and public at large, the project aims to establish social media presence especially through the platforms of LinkedIn and X (former Twitter). Specifically, RIS4SEB plans on creating an interactive and safe online space on LinkedIn for sharing results and gathering feedback. This space will be primarily aimed at representative of widening Economics and Business schools with similar experience as the consortium partners and for representatives of "sister" Pathways to synergies projects. *KPIs: # of social media channels developed: 2, # of people involved through the LinkedIn community: 1000, # of public media outputs: 5.*

Finally, in terms of intellectual property management, the project does not foresee any results which could be marketable for profit. The consortium plans on governing their internal mechanisms, including IP, through the DESCA consortium treaty with the standard obligations.

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### **2.3 Summary**

#### **KEY ELEMENT OF THE IMPACT SECTION**

There is low participation of widening partners in the ERA and low participation of Economics and Business institutions in ERA in particular. Additionally, there is low portion of Economics and Business research disciplines in Horizon Europe and equivalent international research projects.

The widening partners need to jumpstart their ERA integration and develop effective internationalization, HR, and RM strategies. So far, VSE (as the largest Economics and Business school



in the Czech Republic) did not achieve any success as a coordinator in HE and only recently succeeded in obtaining 2 HE projects as a partner, despite being successful with previous ERDF (and equivalent) funding. KTU had moderate success mainly in widening participation and strengthening the ERA calls (5,81 mil. EUR) but low participation in research and innovation actions within the rest of HE programme calls. EBS has recently been awarded 1 HE project in a partner role (now in GAP).

#### **Dissemination:**

Final conference will share the project results and gained experience with peers. Economics and business schools' representatives from widening countries will be pooled into the online community and invited to the final conference.

Project results will be **shared publicly on the project website and social media platforms** with deliverables published in CORDIS.

Key project results along with the project's progress will be shared through the EARMA community. Additionally, Czechia features a national version of EARMA, CZARMA, of which the coordinators of this project are members. EARMA and CZARMA will serve not only as dissemination multipliers, but also sources of feedback mid-project.

Most importantly, **policy recommendations** will be developed for the national and EU authorities managing research and developmental programmes and shared openly.

#### **Exploitation:**

Developed strategies will be directly piloted by the respective partners and even offered outside of the consortium.

Submitted new proposals will serve as a pathway to further consortia building and integration into the ERA.

#### **Communication:**

Project results will be continuously communicated through the project website and social media (LinkedIn and X, former Twitter) and an online interactive safe space for representatives of Economics and Business schools in widening countries will be curated. Public deliverables will be communicated upon their completion corresponding to their delivery dates.

KERs:

1. **“Joint” internationalization strategy for R&I (R1)** for the widening partners to implement and therefore integrate into the ERA.
2. **HR strategy (R4)** will help train the researchers and support brain retention for the widening partners.
3. **RM strategy (R6)**, along with the two strategies above, will facilitate effective proposal pipelines and guide the researchers through the process of incorporating their research into the ERA. It should result in a modernized

institutional R&I environment capable of producing competitive HE proposals. Other important results include (R7) **policy recommendations**, (R8) **new submitted HE project proposals** generated due to the project's innovation capacity, (R5) **training events for RMs**, (R2) analysis of international networks and communities, and (R3) analysis of research calls suitable for the available ERDF (or equivalent) funded infrastructure.

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#SIMP-ACT-IA\$#

**Research Managers** will be trained within the project and will directly benefit from the project results through acquiring necessary skills.

**Researchers** (both senior and junior including Ph.D. students) will benefit directly due to the targeted matchmaking and the related proposal clinics. They will also benefit indirectly as WP3 will develop a system of training for researchers in economics and business. Finally, researchers will benefit figuratively as the project's overachieving goal is for widening partners to integrate into the ERA through HE proposals.

**Management** of partner institutions will be consulted through the AB and benefit from the developed cornerstone strategies.

**Economics and Business schools, professional associations, and NCP networks, and sister projects**, all namely in widening countries, will benefit from the sharing of key results and project's progress and experience.

**EARMA, CZARMA** members will benefit from the project partners sharing of the key results and their experience and they will provide feedback.

**Managing Authorities** of regional, national, and EU developmental and research programmes will be involved in the co-creation process and benefit from the final policy recommendations.

Successful implementation of the three cornerstone strategies (internationalization, HE strategy, and research management strategy) by the three widening partners. Upskilled and motivated research managers who are wellinformed

and trained, capable of improving integration of their institutions into the ERA.

Uptake of the main projects' results by the RM community (through EARMA) and by institutions in the same position as is the original position of the widening partners, i.e., widening Economics and Business schools / universities who aim to integrate into the ERA.

Co-creation of the strategies with and dissemination of the policy recommendations towards the identified national and EU Managing Authorities of research and / or developmental programmes.

The widening partners will be several steps further towards integration into the ERA which will be demonstrated by the submission of competitive project proposals into HE.

**Scientific:** the project will effectively deepen the ERA through integration of new players, i.e., the widening partners, and through the enhancement of new and future Economic and Business research topics it will broaden its current scope. Crucially, RIS4SEB should lead to the widening partners' improved success in HE and to more consortium leadership roles in future HE projects.

Not only will the widening partners have wider outreach, their science and innovation capacity should improve over the long term as well.

At the same time, the reformed institutional systems of the widening partners should lead to better talent retention, contributing further to the above stated impacts, and to improve the institutions' overall attractiveness, contributing to the societal impact too.

**Societal:** the project will elevate the position of higher education establishments in the widening countries into full-fledged international research institutions. The universities, their researchers and scientific outputs will be seen as perspective partners to businesses for know-how enhancing their performance and subsequently contributing to GDP growth.

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### **3. Quality and efficiency of the implementation** #@QUA-LIT-QL@# #@WRK-PLA-WP@#

#### **3.1 Work plan and resources**

This section presents the overall structure of the work plan and resources, including the timing of the respective work packages and project tasks (see Gantt and PERT charts below), description of key tasks, activities, and deliverables, identification of responsibilities, milestones, risks and their mitigation, and other important aspects of project implementation.

Overall, the project plans on dividing work into 5 distinct work packages:

- WP 1 Project management and coordination, led by VSE,
- WP 2 Enhanced internationalization and efficient use of infrastructure, led by EBS,
- WP 3 Improved HR strategy and development of transferable skills, led by KTU,
- WP 4 Increased competitiveness and reputation, led by VSE,
- And WP 5 Dissemination, communication, and exploitation of project results, led by VSE.

In terms of resources, the consortium expects to spend 126 person months of work overall, with the following split among project partners: 50 by the coordinator (VSE), KTU will spend 31 PMs, EBS 30, and the UB 15 PMs.

Finally, the budget and work distribution fulfill the call requirement of the non-widening partner not receiving over

30% of the requested EU contribution. The UB will oversee the following project tasks: T2.1 development of the

Joint internationalization strategy for R&I, T3.2 development of transferable skills for research managers, and T4.1

development of Research management strategy and the optimization of institutional RM environment. Altogether,

the UB's EU contribution is 205 625 EUR, compared to 1 164 880 EUR overall contribution requested. The nonwidening

partner's contribution is therefore "under 30 %" of the overall budget, specifically, it is under 18 % of the

overall budget.

The core groups is composed of VSE (428,750.00 EUR contribution), KTU (274,255.00 EUR), and EBS (256,250.00

EUR). The overall amount of contribution to the core group is 959,255.00 EUR (out of 1,164,880.00 EUR). Hence,

the consortium confirms that the EU contribution for participants of the core group is at least 70 % of the total EU

contribution.

*Figure 4: PERT chart of the project WPs and tasks*

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The Gantt chart below graphically shows the timeline of all deliverables from all work packages, milestones, and planned project meetings. The WPs are color coded by the respective WP leaders, however, active participation and contribution of all partners in most of the activities is expected. The detailed work description is presented in the following Tables 3.1a and 3.1b.

*Figure 5: GANTT chart*

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### **3.2 Capacity of participants and consortium as a whole #@CON-SOR-CS@# #@PRJ-MGT-PM@#**

The coordinating institution, **Prague University of Economics and Business (VSE)**, founded in 1953, is the largest

public university in the field of economics and business in the Czech Republic. VSE has six faculties offering

applicants a broad spectrum of bachelor, master, PhD and MBA study programmes. Five faculties are located in the

center of Prague - the Faculty of Finance and Accounting, the Faculty of International Relations, the Faculty of

Business Administration,<sup>22</sup> the Faculty of Informatics and Statistics and the Faculty of Economics. The Faculty of

Management is located in the town of Jindřichův Hradec in South Bohemia.

The coordinating team of Dr. Aneta Kašlíková and Dr. Jiří Hájek proves that the university has been already

undergoing institutional and systemic change. There are now two departments which deal with project management

(Project office lead by Jiří Hájek, and Research Office, focusing on international research projects). Dr. Kašlíková

has previous professional experience as Czech financial and legal NCP for H2020 and HE projects.

Together with

dr. Hájek and his 12+ years of project management experience, they form an effective coordinating team, creating a functioning synergy within the VSE project management pipelines. Thanks to this cumulative experience, VSE is fit to act as a coordinator of RIS4SEB.

KTU (Kaunas University of Technology) regained its university status in 1990, however, its history dates back all the way to 1922. The School of Economics and Business is one of KTU's 9 faculties. KTU is involved in strong and long-term collaborations with significant international partners. The University is in cooperation with more than 350 research and academic institutions in 51 countries of the world as well as the representatives of international business enterprises. KTU has the unique experience of a widening actor partially successful in ERA integration - with the School of Economics and Business lagging behind the rest of the technological university, further proving the assumption of RIS4SEB where the research areas of Economics and Business are underrepresented in the ERA.

EBS (Estonian Business School) is the youngest and smallest of the consortium partners, only being established in 1988 as a private university. This adds another dimension to the consortium with both public and private institutions represented, as well as in regard to their size - from a smaller EBS, to one faculty (of KTU), to an entire Economics and Business university (VSE).

Finally, "Università Bocconi, founded in 1902, was the first Italian university to grant a degree in economics,"<sup>23</sup> therefore constituting the eldest and most experienced non-widening partner. With its vast know-how of 134 EU projects funded, including 25 ERC projects, and developed research infrastructures, it is perfectly positioned to take on the role of the experienced research partner, providing the consortium with its guidance and lessons learned about integrating into the ERA.

Overall, **the RIS4SEB consortium is homogenous and consistent in its overarching research areas of Economics and Business** within SSH, attempting to improve the research's underrepresentation in the ERA.

While following the same line of research, which will facilitate future joint research endeavors, the **consortium is diversified** in terms of countries, their size, their history and establishment (public / private), and their relative experience with international research projects. The consortium is therefore perfectly suited to answer this project's call and fulfill all the contents of RIS4SEB.

In terms of implementation, no third-party in-kind contributions are foreseen in this project. No affiliated entities are foreseen in this project. No associated partners are foreseen in this project. The consortium confirms that the majority of participants are from Widening countries and that the EU contribution to widening participants is at least 70 % of the total EU contribution.

#§CON-SOR-CS§# #§PRJ-MGT-PM§#

<sup>22</sup> The university is highly appraised both in the Czech Republic and abroad. The Faculty of Business Administration is EQUIS accredited, which ranks the faculty among the top 1% of business schools in the world and AMBA accredited. At the same time, the university is ranked by the Financial Times annually and has already been appraised for several years by the Eduniversal Ranking project as one of the best “business schools” in Central and Eastern Europe. VSE is currently in the process of acquiring AACSB accreditation.

<sup>23</sup> About Us. Università Bocconi. Available at:

<[https://www.unibocconi.eu/wps/wcm/connect/bocconi/sitopubblico\\_en/navigation+tree/home/about+us/](https://www.unibocconi.eu/wps/wcm/connect/bocconi/sitopubblico_en/navigation+tree/home/about+us/)> (Accessed: 16 September 2023).

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### **Tables for section 3.1**

#§RSK-MGT-RM§#

#### **Table 3.1h: ‘Purchase costs’ items (travel and subsistence, equipment and other goods, works and services)**

##### **1/VSE**

##### **Cost (€) Justification**

**Travel and subsistence** 23 000 For VSE, there are 4 travels (i.e. 4 different people traveling) for infrastructure viewing (6K in WP 2), two people traveling for networking / internationalization, most likely to Brussels (3K in WP 3), 6 people traveling for RMs training and job shadowing (9K in WP 3), and 2 people traveling to the EARMA conference (5K in WP 5).

##### **Other goods, works and services**

39 000 VSE retains budget for reimbursement of experts of the Advisory Board (20K for the project duration). Members of the AB will be rewarded for their participation and work done on the board (and in preparation), the coordinator retains the budget. We expect at least 5 hybrid meetings, however, the members of the AB will be welcome to participate in person. We will base the remuneration of AB experts on the EC rate of 179 EUR per diem for the Czech Republic.

Membership for an international network for two years (11K).

In WP 4, a project pipeline equipped with a proposal clinic is planned with the participation of an external consultant (8K). During the clinic, at least 4 initial project proposals should be discussed, each partner being the leader of one consortium project. The external consultant will be selected based on value for money market analysis, considering the consultant’s previous experience and success rate with HE projects.

##### **Remaining purchase costs (<15% of pers.**

##### **Costs)**

11 000

**Total** 73 000

##### **2/KTU**

##### **Cost (€) Justification**

**Travel and subsistence** 39 500 For KTU, there is travel planned for three people to the consortium meetings and the final conference (15K in WP 1), 4 travels (i.e. 4 different people traveling) for infrastructure viewing (6K in WP 2), 2 people traveling for internationalization (3K in WP 2), 3 people traveling for RM training and job shadowing (4,5K in WP 3), 4 people attending the proposal clinic (6K in WP 4), and 2 people attending the EARMA conference (5K in WP 5).

##### **Other goods, works and services**

11 000 Membership for an international network for two years (11K).

**Remaining purchase costs (<15% of pers.**

**Costs)**

2 000

**Total** 52 500

**3/EBS**

**Cost (€) Justification**

**Travel and subsistence** 44 000 For EBS, there is travel planned for three people to the consortium meetings

(15K in WP 1), 4 travels (i.e. 4 different people traveling) for infrastructure viewing (6K in WP 2), 2 people traveling for internationalization (3K in WP 2), 6 people traveling for RM training and job shadowing (9K in WP 3), 4 people attending the proposal clinic (6K in WP 4), and 2 people attending the EARMA conference (5K in WP 5).

**Remaining purchase** 11 000

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**costs (<15% of pers.**

**Costs)**

**Total** 55 000

**4/UB**

**Cost (€) Justification**

**Travel and subsistence** 27 000 For UB, there is travel planned for two people to the consortium meetings

(10K in WP 1), 4 travels (i.e. 4 different people traveling) for infrastructure viewing (6K in WP 2), 4 people attending the proposal clinic (6K in WP 4), and 2 people attending the EARMA conference (5K in WP 5).

**Remaining purchase**

**costs (<15% of pers.**

**Costs)**

10 000

**Total** 37 000

Additionally, UB confirms the average personnel costs equal to 8.500€ is aligned with the usual accounting practice.

No subcontracting costs are foreseen in this project. Finally, the consortium confirms that for any purchase of a

service, the selection will be based either on the “best value for money” or on the lowest price and that conflict of interests will be avoided.

#SQUA-LIT-QL\$# #SWRK-PLA-WP\$#

**4 Ethics self-assessment**

**Ethical dimension of the objectives, methodology and likely impact:**

Personal data might be used in relation to performing analyses when preparing the 3 strategies, especially HR

Strategy. If necessary, personal data will be only used in bulk, and where a more detailed analysis will be needed,

the data will be anonymized. The personal data use will enhance the strategies preparation - it will be known how

many participants of the target groups or their sub-groups (for example by seniority, scientific outcomes and

demographic criteria) will be impacted by the prepared strategies and how, for example, by examining the teaching

load and the impact on individual assessment when designing the changes in HR Strategy. All relevant regulations

(HE, GDPR, internal rules of consortiums members) are complied with.

**Compliance with ethical principles and relevant legislations:**

The use of personal data will adhere to all relevant regulations, especially in regards to GDPR rules.

Personal data

will predominantly be used in bulk, where no identification of a specific individual is possible. If a more detailed

information for analyses will be needed, the data will be anonymized and strict data protection policies will be used.

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HE MGA – Multi & Mono: v1.0

**ANNEX 2**

**ESTIMATED BUDGET FOR THE ACTION**

Estimated eligible<sup>1</sup> costs (per budget category) Estimated EU contribution<sup>2</sup>

Direct costs Indirect costs EU contribution to eligible costs

A. Personnel costs B. Subcontracting

costs C. Purchase costs D. Other cost

categories E. Indirect costs<sup>3</sup>

Total costs

Funding rate %<sup>4</sup> Maximum EU

contributions<sup>5</sup>

Requested EU

contribution

Maximum

grant amount<sup>6</sup>

A.1 Employees (or equivalent)

A.2 Natural persons under direct contract

A.3 Seconded persons

A.4 SME owners

and natural person

beneficiaries

B. Subcontracting C.1 Travel and

subsistence

C.2 Equipment C.3 Other goods,

works and services

D.2 Internally

invoiced goods and

services

E. Indirect costs

**Forms of funding** Actual costs

Unit costs (usual

accounting

practices)

Unit costs<sup>7</sup> Actual costs Actual costs Actual costs Actual costs

Unit costs (usual

accounting

practices)

Flat-rate costs<sup>8</sup>

a1 a2 a3 b c1 c2 c3 d2 e = 0,25 \* (a1 + a2

+ a3 + c1 + c2 + c3) f = a + b + c + d + e U g = f \* U% h m

1 - VSE 270 000.00 0.00 0.00 0.00 23 000.00 0.00 50 000.00 0.00 85 750.00 428 750.00 100 428 750.00 428 750.00 428 750.00

2 - KTU 166 904.00 0.00 0.00 0.00 39 500.00 0.00 13 000.00 0.00 54 851.00 274 255.00 100 274 255.00 274 255.00 274 255.00

3 - EBS 150 000.00 0.00 0.00 0.00 44 000.00 0.00 11 000.00 0.00 51 250.00 256 250.00 100 256 250.00 256 250.00 256 250.00

4 - UB 127 500.00 0.00 0.00 0.00 27 000.00 0.00 10 000.00 0.00 41 125.00 205 625.00 100 205 625.00 205 625.00 205 625.00

Σ consortium 714 404.00 0.00 0.00 0.00 133 500.00 0.00 84 000.00 0.00 232 976.00 1 164 880.00 1 164 880.00 1 164 880.00 1 164 880.00

<sup>1</sup> See Article 6 for the eligibility conditions. All amounts must be expressed in EUR (see Article 21 for the conversion rules).

<sup>2</sup> The consortium remains free to decide on a different internal distribution of the EU funding (via the consortium agreement; see Article 7).

<sup>3</sup> Indirect costs already covered by an operating grant (received under any EU funding programme) are ineligible (see Article 6.3). Therefore, a beneficiary/affiliated entity that receives an operating grant during the action duration cannot declare indirect costs for the year(s)/reporting period(s) covered by the operating grant, unless they can

demonstrate that the operating grant does not cover any costs of the action. This requires specific accounting tools. Please immediately contact us via the EU Funding & Tenders Portal for details.

<sup>4</sup> See Data Sheet for the funding rate(s).



<sup>5</sup> This is the theoretical amount of the EU contribution to costs, if the reimbursement rate is applied to all the budgeted costs. This theoretical amount is then capped by the 'maximum grant amount'.

<sup>6</sup> The 'maximum grant amount' is the maximum grant amount decided by the EU. It normally corresponds to the requested grant, but may be lower.

<sup>7</sup> See Annex 2a 'Additional information on the estimated budget' for the details (units, cost per unit).

<sup>8</sup> See Data Sheet for the flat-rate.

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1

## **ANNEX 2a**

### **ADDITIONAL INFORMATION ON UNIT COSTS AND CONTRIBUTIONS**

#### **SME owners/natural person beneficiaries without salary (Decision C(2020) 7115)<sup>1</sup>**

Type: unit costs

Units: days spent working on the action (rounded up or down to the nearest half-day)

Amount per unit (daily rate): calculated according to the following formula:

{EUR 5 080 / 18 days = **282,22**}

multiplied by

{country-specific correction coefficient of the country where the beneficiary is established}

The country-specific correction coefficients used are those set out in the Horizon Europe Work Programme

(section **Marie Skłodowska-Curie** actions) in force at the time of the call (see [Portal Reference Documents](#)).

#### **HE and Euratom Research Infrastructure actions<sup>2</sup>**

Type: unit costs

Units<sup>3</sup>: see (for each access provider and installation) the unit cost table in Annex 2b

Amount per unit\*: see (for each access provider and installation) the unit cost table in Annex 2b

\* Amount calculated as follows:

For trans-national access:

average annual total trans-national access costs to the installation (over past two years<sup>4</sup>)

average annual total quantity of trans-national access to the installation (over past two years<sup>5</sup>)

For virtual access:

total virtual access costs to the installation (over the last year<sup>6</sup>)

total quantity of virtual access to the installation (over the last year<sup>7</sup>)

#### **Euratom staff mobility costs<sup>8</sup>**

##### **Monthly living allowance**

Type: unit costs

<sup>1</sup> Commission [Decision](#) of 20 October 2020 authorising the use of unit costs for the personnel costs of the owners of small and medium-sized enterprises and beneficiaries that are natural persons not receiving a salary for the work carried out by themselves under an action or work programme (C(2020)7715).

<sup>2</sup> [Decision](#) of 19 April 2021 authorising the use of unit costs for the costs of providing trans-national and virtual access in Research Infrastructure actions under the Horizon Europe Programme (2021-2027) and the Research and Training Programme of the European Atomic Energy Community (2021-2025).

<sup>3</sup> Unit of access (e.g. beam hours, weeks of access, sample analysis) fixed by the access provider in proposal.

<sup>4</sup> In exceptional and duly justified cases, the granting authority may agree to a different reference period.

<sup>5</sup> In exceptional and duly justified cases, the granting authority may agree to a different reference period.

<sup>6</sup> In exceptional and duly justified cases, the granting authority may agree to a different reference period.

<sup>7</sup> In exceptional and duly justified cases, the granting authority may agree to a different reference period.

<sup>8</sup> [Decision](#) of 15 March 2021 authorising the use of unit costs for mobility in co-fund actions under the Research and Training Programme of the European Atomic Energy Community (2021-2025).

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2

Units: months spent by the seconded staff member(s) on research and training in fission and fusion activities

(person-month)

Amount per unit\*: see (for each beneficiary/affiliated entity and secondment) the unit cost table in Annex 2b

\* Amount calculated as follows from 1 January 2021:

{EUR **4 300** multiplied by

country-specific correction coefficient\*\* of the country where the staff member is seconded}<sup>9</sup>

\*\*Country-specific correction coefficients as from 1 January 2021<sup>10</sup>

## EU-Member States<sup>11</sup>

### Country / Place Coefficient (%)

Bulgaria 59,1  
Czech Rep. 85,2  
Denmark 131,3  
Germany  
Bonn  
Karlsruhe  
Munich  
101,9  
95,8  
98  
113,9  
Estonia 82,3  
Ireland 129  
Greece 81,4  
Spain 94,2  
France 120,5  
Croatia 75,8  
Italy  
Varese  
95  
90,7  
Cyprus 78,2  
Latvia 77,5  
Lithuania 76,6  
Hungary 71,9  
Malta 94,7  
Netherlands 113,9  
Austria 107,9  
Poland 70,9  
Portugal 91,1  
Romania 66,6  
Slovenia 86,1

<sup>9</sup> Unit costs for living allowances are calculated by using a method of calculation similar to that applied for the secondment to the European Commission of seconded national experts (SNEs).

<sup>10</sup> For the financial statements, the amount must be adjusted according to the actual place of secondment.

The revised coefficients were adopted in the Decision authorising the use of unit costs for the Fusion Programme co-fund action under the Research and training Programme of the European Atomic Energy Community 2021-2025. They are based on the 2020 Annual update of the remuneration and pensions of the officials and other servants of the European Union and the correction coefficients applied thereto (OJ C 428, 11.12.2020) to ensure purchasing power parity. The revised coefficient are applied as from 1 January 2021 through an amendment to the grant agreement.

<sup>11</sup> No correction coefficient shall be applicable in Belgium and Luxembourg.

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**3**

Slovakia 80,6  
Finland 118,4  
Sweden 124,3

### Third countries

#### Country/place Coefficient (%)

China 82,2  
India 72,3  
Japan 111,8  
Russia 92,7  
South Korea 92,3  
Switzerland 129,2  
Ukraine 82,3  
United Kingdom 97,6  
United States 101,4 (New-York)  
90,5 (Washington)

## Mobility allowance

Type: Unit costs

Units: months spent by the seconded staff member(s) on research and training in fission and fusion activities  
(person-month)

Amount per unit: EUR 600 per person-month; see (for each beneficiary/affiliated entity and secondment) the unit cost table in Annex 2b

## Family allowance

Type: unit costs

Units: months spent by the seconded staff member(s) on research and training in fission and fusion activities  
(person-month)

Amount per unit: **EUR 660** per person-month; see (for each beneficiary/affiliated entity and secondment) the unit cost table in Annex 2b

### **Education allowance**

Type: Unit costs

Units: months spent by the seconded staff member(s) on research and training in fission and fusion activities  
(person-month)

Amount per unit\*: see (for each beneficiary/affiliated entity and secondment) the unit cost table in Annex 2b

\*Amount calculated as follows from 1 January 2021:

{**EUR 283.82** x number of dependent children<sup>12</sup>}

<sup>12</sup> For the estimated budget (Annex 2): an average should be used. ( For the financial statements, the number of children (and months) must be adjusted according to the actual family status at the moment the secondment starts.)

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### **ANNEX 3**

#### **ACCESSION FORM FOR BENEFICIARIES**

**KAUNO TECHNOLOGIJOS UNIVERSITETAS (KTU)**, PIC 999844961,  
established in K

**DONELAICIO 73, KAUNAS LT-44029, Lithuania,**

**hereby agrees**

**to become beneficiary**

**in Agreement No 101159106 — RIS4SEB ( ‘the Agreement’ )**

**between VYSOKA SKOLA EKONOMICKA V PRAZE (VSE) and the European Research Executive Agency (REA) ( ‘EU executive agency’ or ‘granting authority’ ),**  
under the powers

delegated by the European Commission ( ‘European Commission’ ),

**and mandates**

**the coordinator** to submit and sign in its name and on its behalf any  
**amendments** to the Agreement,  
in accordance with Article 39.

By signing this accession form, the beneficiary accepts the grant and agrees to implement it in accordance with the Agreement, with all the obligations and terms and conditions it sets out.

**SIGNATURE**

For the beneficiary

1

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### **ANNEX 3**

#### **ACCESSION FORM FOR BENEFICIARIES**

**SIHTASUTUS ESTONIAN BUSINESS SCHOOL (EBS)**, PIC 908611029,  
established in

**KESKLINNA LINNAOSA, A. LAUTERI TN 3, HARJU MAAKOND TALLINN 10114, Estonia,**

**hereby agrees  
to become beneficiary  
in Agreement No 101159106 — RIS4SEB ( ‘the Agreement’ )  
between VYSOKA SKOLA EKONOMICKA V PRAZE (VSE) and the European Research  
Executive Agency (REA) ( ‘EU executive agency’ or ‘granting authority’ ),**  
under the powers  
delegated by the European Commission ( ‘European Commission’ ),  
**and mandates  
the coordinator** to submit and sign in its name and on its behalf any  
**amendments** to the Agreement,  
in accordance with Article 39.  
By signing this accession form, the beneficiary accepts the grant and  
agrees to implement it in  
accordance with the Agreement, with all the obligations and terms and  
conditions it sets out.

**SIGNATURE**

For the beneficiary

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Grant Agreement number: 101159106 – RIS4SEB – HORIZON-WIDERA-2023-ACCESS-04

### **ANNEX 3**

#### **ACCESSION FORM FOR BENEFICIARIES**

**UNIVERSITA COMMERCIALE LUIGI BOCCONI (UB), PIC 999838850,**  
established in VIA  
SARFATTI 25, MILANO 20136, Italy,

**hereby agrees  
to become beneficiary  
in Agreement No 101159106 — RIS4SEB ( ‘the Agreement’ )  
between VYSOKA SKOLA EKONOMICKA V PRAZE (VSE) and the European Research  
Executive Agency (REA) ( ‘EU executive agency’ or ‘granting authority’ ),**  
under the powers  
delegated by the European Commission ( ‘European Commission’ ),  
**and mandates  
the coordinator** to submit and sign in its name and on its behalf any  
**amendments** to the Agreement,  
in accordance with Article 39.  
By signing this accession form, the beneficiary accepts the grant and  
agrees to implement it in  
accordance with the Agreement, with all the obligations and terms and  
conditions it sets out.

**SIGNATURE**

For the beneficiary

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Revenues  
Indirect costs  
B. Subcontracting costs E. Indirect costs  
2  
Funding rate %  
3  
Maximum EU contribution

#### 4 Requested EU contribution

6. Subcontracting C.1 Travel and subsistence C.2 Equipment

C.3 Other goods, works and services

/ D.1 Financial support to third parties)

D.2 Internally invoiced goods and services

/ D.3 Transnational access to research infrastructure unit costs

/ D.4 Virtual access to research infrastructure unit costs

[OPTION for HE

PCP/PP; D.5 PCP/PP

procurement costs]

[OPTION for Euratom

Programme Cofund Actions:

D.6 Euratom Cofund staff

mobility costs]

[OPTION for HE ERC

Grants: D.7 ERC additional

funding]

[OPTION for HE ERC

Grants: D.8 ERC additional

funding (subcontracting,

FSTP and internally invoiced

goods and services)]

E. Indirect costs

Forms of funding Actual costs

Unit costs (usual

accounting

practices)

Unit costs

S Actual costs Actual costs Actual costs Actual costs / Actual costs)

Unit costs (usual

accounting practices) / Unit costs

S

/ Unit costs

S

/ Actual costs) / Unit costs

S

/ Actual costs) / Actual costs) Flat-rate costs

6

d1 a2 a3 b c1 c2 c3 [ d1a] d2 [ d3] [ d4] [ d5] [ d6] [ d7] [ d8]

e =

0,25 \* (a1 + a2 + a3 + b + c1

+c2 + c3 + d1a + d2 + d3 + d4 [+

d5] [+ d6] [+ d7] [+ d8])

f =

a+b+c+d+e

U g = f \* U% h m n

XX – [short name beneficiary/affiliated entity]

3

See Data Sheet for the reimbursement rate(s).

4

This is the **theoretical** amount of EU contribution to costs that the system calculates automatically (by multiplying the reimbursement rates by the costs declared). The amount you request (in the column 'requested EU contribution') may be less.

5

See Annex 2a 'Additional information on the estimated budget' for the details (units, cost per unit).

6

See Article 6 for the eligibility conditions. All amounts must be expressed in EUR (see Article 21 for the conversion rules).

7

If you have also received an EU operating grant during this reporting period, you cannot claim indirect costs - unless you can demonstrate that the operating grant does not cover any costs of the action. This requires specific accounting tools. Please

contact us immediately via the Funding &

Tenders Portal for details.

Income generated by the

action

The costs and contributions can be substantiated by adequate records and supporting documentation that will be produced upon request or in the context of checks, reviews, audits and investigations (see Articles 19, 20 and 25).

For the last reporting period: that all the revenues have been declared (see Article 22).

(1) Please declare all eligible costs and contributions, even if they exceed the amounts indicated in the estimated budget (see Annex 2). Only amounts that were declared in your individual financial statements can be taken into account lateron, in

order to replace costs/contributions that are

found to be ineligible.

EU contribution to eligible costs

The beneficiary/affiliated entity hereby confirms that:

The information provided is complete, reliable and true.

The costs and contributions declared are eligible (see Article 6).

ANNEX 4 HORIZON EUROPE MGA – MULTI + MONO

FINANCIAL STATEMENT FOR [PARTICIPANT NAME] FOR REPORTING PERIOD [NUMBER]

A. Personnel costs

Direct costs

D. Other cost categories

Eligible

+ costs (per budget category) EU contribution

2

C. Purchase costs

Total requested EU

contribution

Total costs

A.4 SME owners and

natural person

beneficiaries

A.1 Employees (or equivalent)

A.2 Natural persons under direct contract

A.3 Seconded persons

6

See Data Sheet for the flat-rate.

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## ANNEX 5

### SPECIFIC RULES

#### CONFIDENTIALITY AND SECURITY (– ARTICLE 13)

##### Sensitive information with security recommendation

Sensitive information with a security recommendation must comply with the additional

requirements imposed by the granting authority.

Before starting the action tasks concerned, the beneficiaries must have obtained all approvals

or other mandatory documents needed for implementing the task. The documents must be

kept on file and be submitted upon request by the coordinator to the granting authority. If they

are not in English, they must be submitted together with an English summary.

For requirements restricting disclosure or dissemination, the information must be handled in

accordance with the recommendation and may be disclosed or disseminated only after written

approval from the granting authority.

## **EU classified information**

If EU classified information is used or generated by the action, it must be treated in accordance with the security classification guide (SCG) and security aspect letter (SAL) set out in Annex 1 and Decision 2015/444<sup>1</sup> and its implementing rules – until it is declassified. Deliverables which contain EU classified information must be submitted according to special procedures agreed with the granting authority.

Action tasks involving EU classified information may be subcontracted only with prior explicit written approval from the granting authority and only to entities established in an EU Member State or in a non-EU country with a security of information agreement with the EU (or an administrative arrangement with the Commission).

EU classified information may not be disclosed to any third party (including participants involved in the action implementation) without prior explicit written approval from the granting authority.

## **ETHICS (– ARTICLE 14)**

### **Ethics and research integrity**

The beneficiaries must carry out the action in compliance with:

- ethical principles (including the highest standards of research integrity)

<sup>1</sup> Commission Decision 2015/444/EC, Euratom of 13 March 2015 on the security rules for protecting EU

classified information (OJ L 72, 17.3.2015, p. 53).

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and

- applicable EU, international and national law, including the EU Charter of Fundamental Rights and the European Convention for the Protection of Human Rights and Fundamental Freedoms and its Supplementary Protocols.

No funding can be granted, within or outside the EU, for activities that are prohibited in all Member States. No funding can be granted in a Member State for an activity which is forbidden in that Member State.

The beneficiaries must pay particular attention to the principle of proportionality, the right to privacy, the right to the protection of personal data, the right to the physical and mental integrity of persons, the right to non-discrimination, the need to ensure protection of the environment and high levels of human health protection.

The beneficiaries must ensure that the activities under the action have an exclusive focus on civil applications.

The beneficiaries must ensure that the activities under the action do not:

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

Activities involving research on human embryos or human embryonic stem cells may be carried out only if:

- they are set out in Annex 1 or
- the coordinator has obtained explicit approval (in writing) from the granting authority.

In addition, the beneficiaries must respect the fundamental principle of research integrity – as set out in the European Code of Conduct for Research Integrity

2

This implies compliance with the following principles:

- reliability in ensuring the quality of research reflected in the design, the methodology, the analysis and the use of resources
- honesty in developing, undertaking, reviewing, reporting and communicating research in a transparent, fair and unbiased way

2

European Code of Conduct for Research Integrity of ALLEA (All European Academies).

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- respect for colleagues, research participants, society, ecosystems, cultural heritage and the environment

- accountability for the research from idea to publication, for its management and organisation, for training, supervision and mentoring, and for its wider impacts and means that beneficiaries must ensure that persons carrying out research tasks follow the good research practices including ensuring, where possible, openness, reproducibility and traceability and refrain from the research integrity violations described in the Code.

Activities raising ethical issues must comply with the additional requirements formulated by the ethics panels (including after checks, reviews or audits; see Article 25).

Before starting an action task raising ethical issues, the beneficiaries must have obtained all approvals or other mandatory documents needed for implementing the task, notably from any (national or local) ethics committee or other bodies such as data protection authorities.

The documents must be kept on file and be submitted upon request by the coordinator to the granting authority. If they are not in English, they must be submitted together with an English summary, which shows that the documents cover the action tasks in question and includes the conclusions of the committee or authority concerned (if any).

## **VALUES (– ARTICLE 14)**

### **Gender mainstreaming**

The beneficiaries must take all measures to promote equal opportunities between men and women in the implementation of the action and, where applicable, in line with the gender equality plan. They must aim, to the extent possible, for a gender balance at all levels of personnel assigned to the action, including at supervisory and managerial level.

## **INTELLECTUAL PROPERTY RIGHTS (IPR) – BACKGROUND AND RESULTS – ACCESS RIGHTS AND RIGHTS OF USE (– ARTICLE 16)**

### **Definitions**

Access rights – Rights to use results or background.

Dissemination – The public disclosure of the results by appropriate means, other than resulting from protecting or exploiting the results, including by scientific publications in any medium.

Exploit(ation) – The use of results in further research and innovation activities other than those covered by the action concerned, including among other things, commercial exploitation such as developing, creating, manufacturing and marketing a product or process, creating and providing a service, or in standardisation activities.

Fair and reasonable conditions – Appropriate conditions, including possible financial terms or royalty-free conditions, taking into account the specific circumstances of the request for access, for example the actual or potential value of the results or background to which access is requested and/or the scope, duration or other characteristics of the exploitation envisaged.

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FAIR principles – ‘findability’ , ‘accessibility’ , ‘interoperability’ and ‘reusability’ .

Open access – Online access to research outputs provided free of charge to the end-user.

Open science – An approach to the scientific process based on open cooperative work, tools and diffusing knowledge.

Research data management – The process within the research lifecycle that includes the organisation, storage, preservation, security, quality assurance, allocation of persistent identifiers (PIDs) and rules and procedures for sharing of data including licensing.

Research outputs – Results to which access can be given in the form of scientific publications, data or other engineered results and processes such as software, algorithms, protocols, models, workflows and electronic notebooks.

### **Scope of the obligations**

For this section, references to ‘beneficiary’ or ‘beneficiaries’ do not include affiliated entities (if any).

### **Agreement on background**

The beneficiaries must identify in a written agreement the background as needed for implementing the action or for exploiting its results.

Where the call conditions restrict control due to strategic interests reasons, background that is subject to control or other restrictions by a country (or entity from a country) which is not one of the eligible countries or target countries set out in the call conditions and that impact the exploitation of the results (i.e. would make the exploitation of the results subject to control or restrictions) must not be used and must be explicitly excluded from it in the agreement on background – unless otherwise agreed with the granting authority.

### **Ownership of results**

Results are owned by the beneficiaries that generate them.

However, two or more beneficiaries own results jointly if:

- they have jointly generated them and
- it is not possible to:
  - establish the respective contribution of each beneficiary, or
  - separate them for the purpose of applying for, obtaining or maintaining their protection.

The joint owners must agree – in writing – on the allocation and terms of exercise of their joint ownership ( ‘**joint ownership agreement**’ ), to ensure compliance with their obligations under this Agreement.

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Unless otherwise agreed in the joint ownership agreement or consortium agreement, each joint owner may grant non-exclusive licences to third parties to exploit the jointly-owned results (without any right to sub-license), if the other joint owners are given:

- at least 45 days advance notice and
- fair and reasonable compensation.

The joint owners may agree – in writing – to apply another regime than joint ownership.

If third parties (including employees and other personnel) may claim rights to the results, the beneficiary concerned must ensure that those rights can be exercised in a manner compatible



with its obligations under the Agreement.

The beneficiaries must indicate the owner(s) of the results (results ownership list) in the final periodic report.

### **Protection of results**

Beneficiaries which have received funding under the grant must adequately protect their results – for an appropriate period and with appropriate territorial coverage – if protection is possible and justified, taking into account all relevant considerations, including the prospects for commercial exploitation, the legitimate interests of the other beneficiaries and any other legitimate interests.

### **Exploitation of results**

Beneficiaries which have received funding under the grant must – up to four years after the end of the action (see Data Sheet, Point 1) – use their best efforts to exploit their results directly or to have them exploited indirectly by another entity, in particular through transfer or licensing.

If, despite a beneficiary's best efforts, the results are not exploited within one year after the

end of the action, the beneficiaries must (unless otherwise agreed in writing with the granting authority) use the Horizon Results Platform to find interested parties to exploit the results.

If results are incorporated in a standard, the beneficiaries must (unless otherwise agreed with the granting authority or unless it is impossible) ask the standardisation body to include the funding statement (see Article 17) in (information related to) the standard.

#### *Additional exploitation obligations*

Where the call conditions impose additional exploitation obligations (including obligations linked to the restriction of participation or control due to strategic assets, interests, autonomy or security reasons), the beneficiaries must comply with them – up to four years after the end of the action (see Data Sheet, Point 1).

Where the call conditions impose additional exploitation obligations in case of a public emergency, the beneficiaries must (if requested by the granting authority) grant for a limited period of time specified in the request, non-exclusive licences – under fair and reasonable conditions – to their results to legal entities that need the results to address the public emergency and commit to rapidly and broadly exploit the resulting products and services at fair and reasonable conditions. This provision applies up to four years after the end of the action (see Data Sheet, Point 1).

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#### *Additional information obligation relating to standards*

Where the call conditions impose additional information obligations relating to possible standardisation, the beneficiaries must – up to four years after the end of the action (see Data Sheet, Point 1) – inform the granting authority, if the results could reasonably be expected to contribute to European or international standards.

### **Transfer and licensing of results**

#### *Transfer of ownership*

The beneficiaries may transfer ownership of their results, provided this does not affect compliance with their obligations under the Agreement.

The beneficiaries must ensure that their obligations under the Agreement regarding their results are passed on to the new owner and that this new owner has the obligation to pass them on in any subsequent transfer.

Moreover, they must inform the other beneficiaries with access rights of the transfer at least 45 days in advance (or less if agreed in writing), unless agreed otherwise in writing for

specifically identified third parties including affiliated entities or unless impossible under the applicable law. This notification must include sufficient information on the new owner to enable the beneficiaries concerned to assess the effects on their access rights. The beneficiaries may object within 30 days of receiving notification (or less if agreed in writing), if they can show that the transfer would adversely affect their access rights. In this case, the transfer may not take place until agreement has been reached between the beneficiaries concerned.

#### *Granting licences*

The beneficiaries may grant licences to their results (or otherwise give the right to exploit them), including on an exclusive basis, provided this does not affect compliance with their obligations.

Exclusive licences for results may be granted only if all the other beneficiaries concerned have waived their access rights.

#### *Granting authority right to object to transfers or licensing – Horizon Europe actions*

Where the call conditions in Horizon Europe actions provide for the right to object to transfers or licensing, the granting authority may – up to four years after the end of the action (see Data Sheet, Point 1) – object to a transfer of ownership or the exclusive licensing of results, if:

- the beneficiaries which generated the results have received funding under the grant
- it is to a legal entity established in a non-EU country not associated with Horizon Europe, and
- the granting authority considers that the transfer or licence is not in line with EU interests.

Beneficiaries that intend to transfer ownership or grant an exclusive licence must formally notify the granting authority before the intended transfer or licensing takes place and:

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- identify the specific results concerned
- describe in detail the new owner or licensee and the planned or potential exploitation of the results, and
- include a reasoned assessment of the likely impact of the transfer or licence on EU interests, in particular regarding competitiveness as well as consistency with ethical principles and security considerations.

The granting authority may request additional information.

If the granting authority decides to object to a transfer or exclusive licence, it must formally notify the beneficiary concerned within 60 days of receiving notification (or any additional information it has requested).

No transfer or licensing may take place in the following cases:

- pending the granting authority decision, within the period set out above
- if the granting authority objects
- until the conditions are complied with, if the granting authority objection comes with conditions.

A beneficiary may formally notify a request to waive the right to object regarding intended transfers or grants to a specifically identified third party, if measures safeguarding EU interests are in place. If the granting authority agrees, it will formally notify the beneficiary concerned within 60 days of receiving notification (or any additional information requested).

#### *Granting authority right to object to transfers or licensing – Euratom actions*

Where the call conditions in Euratom actions provide for the right to object to transfers or licensing, the granting authority may – up to four years after the end of the action (see Data Sheet, Point 1) – object to a transfer of ownership or the exclusive or non-exclusive licensing

of results, if:

- the beneficiaries which generated the results have received funding under the grant
- it is to a legal entity established in a non-EU country not associated to the Euratom Research and Training Programme 2021-2025 and
- the granting authority considers that the transfer or licence is not in line with the EU interests.

Beneficiaries that intend to transfer ownership or grant a licence must formally notify the granting authority before the intended transfer or licensing takes place and:

- identify the specific results concerned
- describe in detail the results, the new owner or licensee and the planned or potential exploitation of the results, and
- include a reasoned assessment of the likely impact of the transfer or licence on EU interests, in particular regarding competitiveness as well as consistency with

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ethical principles and security considerations (including the defence interests of the EU Member States under Article 24 of the Euratom Treaty).

The granting authority may request additional information.

If the granting authority decides to object to a transfer or licence, it will formally notify the beneficiary concerned within 60 days of receiving notification (or any additional information requested).

No transfer or licensing may take place in the following cases:

- pending the granting authority decision, within the period set out above
- if the granting authority objects
- until the conditions are complied with, if the granting authority objection comes with conditions.

A beneficiary may formally notify a request to waive the right to object regarding intended transfers or grants to a specifically identified third party, if measures safeguarding EU interests are in place. If the granting authority agrees, it will formally notify the beneficiary concerned within 60 days of receiving notification (or any additional information requested).

*Limitations to transfers and licensing due to strategic assets, interests, autonomy or security reasons of the EU and its Member States*

Where the call conditions restrict participation or control due to strategic assets, interests, autonomy or security reasons, the beneficiaries may not transfer ownership of their results or grant licences to third parties which are established in countries which are not eligible countries or target countries set out in the call conditions (or, if applicable, are controlled by such countries or entities from such countries) – unless they have requested and received prior approval by the granting authority.

The request must:

- identify the specific results concerned
- describe in detail the new owner and the planned or potential exploitation of the results, and
- include a reasoned assessment of the likely impact of the transfer or license on the strategic assets, interests, autonomy or security of the EU and its Member States.

The granting authority may request additional information.

### **Access rights to results and background**

*Exercise of access rights — Waiving of access rights — No sub-licensing*

Requests to exercise access rights and the waiver of access rights must be in writing.

Unless agreed otherwise in writing with the beneficiary granting access, access rights do not include the right to sub-license.

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If a beneficiary is no longer involved in the action, this does not affect its obligations to grant access.

If a beneficiary defaults on its obligations, the beneficiaries may agree that that beneficiary no longer has access rights.

*Access rights for implementing the action*

The beneficiaries must grant each other access – on a royalty-free basis – to background needed to implement their own tasks under the action, unless the beneficiary that holds the background has – before acceding to the Agreement –:

- informed the other beneficiaries that access to its background is subject to restrictions, or

- agreed with the other beneficiaries that access would not be on a royalty-free basis.

The beneficiaries must grant each other access – on a royalty-free basis – to results needed for implementing their own tasks under the action.

*Access rights for exploiting the results*

The beneficiaries must grant each other access – under fair and reasonable conditions – to results needed for exploiting their results.

The beneficiaries must grant each other access – under fair and reasonable conditions – to background needed for exploiting their results, unless the beneficiary that holds the background has – before acceding to the Agreement – informed the other beneficiaries that access to its background is subject to restrictions.

Requests for access must be made – unless agreed otherwise in writing – up to one year after the end of the action (see Data Sheet, Point 1).

*Access rights for entities under the same control*

Unless agreed otherwise in writing by the beneficiaries, access to results and, subject to the restrictions referred to above (if any), background must also be granted – under fair and reasonable conditions – to entities that:

- are established in an EU Member State or Horizon Europe associated country
- are under the direct or indirect control of another beneficiary, or under the same direct or indirect control as that beneficiary, or directly or indirectly controlling that beneficiary and
- need the access to exploit the results of that beneficiary.

Unless agreed otherwise in writing, such requests for access must be made by the entity directly to the beneficiary concerned.

Requests for access must be made – unless agreed otherwise in writing – up to one year after the end of the action (see Data Sheet, Point 1).

*Access rights for the granting authority, EU institutions, bodies, offices or agencies and national authorities to results for policy purposes – Horizon Europe actions*

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In Horizon Europe actions, the beneficiaries which have received funding under the grant must grant access to their results – on a royalty-free basis – to the granting authority, EU institutions, bodies, offices or agencies for developing, implementing and monitoring EU policies or programmes. Such access rights do not extend to beneficiaries' background.

Such access rights are limited to non-commercial and non-competitive use.

For actions under the cluster 'Civil Security for Society', such access rights also extend to

national authorities of EU Member States for developing, implementing and monitoring their

policies or programmes in this area. In this case, access is subject to a bilateral agreement to define specific conditions ensuring that:

- the access rights will be used only for the intended purpose and
- appropriate confidentiality obligations are in place.

Moreover, the requesting national authority or EU institution, body, office or agency (including the granting authority) must inform all other national authorities of such a request.

*Access rights for the granting authority, Euratom institutions, funding bodies or the Joint Undertaking Fusion for Energy – Euratom actions*

In Euratom actions, the beneficiaries which have received funding under the grant must grant access to their results – on a royalty-free basis – to the granting authority, Euratom institutions, funding bodies or the Joint Undertaking Fusion for Energy for developing, implementing and monitoring Euratom policies and programmes or for compliance with obligations assumed through international cooperation with non-EU countries and international organisations.

Such access rights include the right to authorise third parties to use the results in public procurement and the right to sub-license and are limited to non-commercial and noncompetitive use.

*Additional access rights*

Where the call conditions impose additional access rights, the beneficiaries must comply with them.

## **COMMUNICATION, DISSEMINATION, OPEN SCIENCE AND VISIBILITY (– ARTICLE 17)**

### **Dissemination**

*Dissemination of results*

The beneficiaries must disseminate their results as soon as feasible, in a publicly available format, subject to any restrictions due to the protection of intellectual property, security rules or legitimate interests.

A beneficiary that intends to disseminate its results must give at least 15 days advance notice to the other beneficiaries (unless agreed otherwise), together with sufficient information on the results it will disseminate.

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Any other beneficiary may object within (unless agreed otherwise) 15 days of receiving notification, if it can show that its legitimate interests in relation to the results or background would be significantly harmed. In such cases, the results may not be disseminated unless appropriate steps are taken to safeguard those interests.

*Additional dissemination obligations*

Where the call conditions impose additional dissemination obligations, the beneficiaries must also comply with those.

### **Open Science**

*Open science: open access to scientific publications*

The beneficiaries must ensure open access to peer-reviewed scientific publications relating to their results. In particular, they must ensure that:

- at the latest at the time of publication, a machine-readable electronic copy of the published version or the final peer-reviewed manuscript accepted for publication, is deposited in a trusted repository for scientific publications
- immediate open access is provided to the deposited publication via the repository, under the latest available version of the Creative Commons Attribution International Public Licence (CC BY) or a licence with equivalent rights; for monographs and other

long-text formats, the licence may exclude commercial uses and derivative works (e.g. CC BY-NC, CC BY-ND) and

- information is given via the repository about any research output or any other tools and instruments needed to validate the conclusions of the scientific publication.

Beneficiaries (or authors) must retain sufficient intellectual property rights to comply with the open access requirements.

Metadata of deposited publications must be open under a Creative Commons Public Domain Dedication (CC 0) or equivalent, in line with the FAIR principles (in particular machine-actionable)

and provide information at least about the following: publication (author(s), title, date of publication, publication venue); Horizon Europe or Euratom funding; grant project name, acronym and number; licensing terms; persistent identifiers for the publication, the authors involved in the action and, if possible, for their organisations and the grant. Where applicable, the metadata must include persistent identifiers for any research output or any other tools and instruments needed to validate the conclusions of the publication.

Only publication fees in full open access venues for peer-reviewed scientific publications are eligible for reimbursement.

#### *Open science: research data management*

The beneficiaries must manage the digital research data generated in the action ( ‘data’ ) responsibly, in line with the FAIR principles and by taking all of the following actions:

- establish a data management plan ( ‘DMP’ ) (and regularly update it)

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- as soon as possible and within the deadlines set out in the DMP, deposit the data in a trusted repository; if required in the call conditions, this repository must be federated in the EOSC in compliance with EOSC requirements

- as soon as possible and within the deadlines set out in the DMP, ensure open access – via the repository – to the deposited data, under the latest available version of the Creative Commons Attribution International Public License (CC BY) or Creative Commons Public Domain Dedication (CC 0) or a licence with equivalent rights, following the principle ‘as open as possible as closed as necessary’ , unless providing open access would in particular:

- be against the beneficiary’ s legitimate interests, including regarding commercial exploitation, or

- be contrary to any other constraints, in particular the EU competitive interests or the beneficiary’ s obligations under this Agreement; if open access is not

provided (to some or all data), this must be justified in the DMP

- provide information via the repository about any research output or any other tools and instruments needed to re-use or validate the data.

Metadata of deposited data must be open under a Creative Commons Public Domain Dedication (CC 0) or equivalent (to the extent legitimate interests or constraints are safeguarded), in line with the FAIR principles (in particular machine-actionable) and provide information at least about the following: datasets (description, date of deposit, author(s), venue and embargo); Horizon Europe or Euratom funding; grant project name, acronym and number; licensing terms; persistent identifiers for the dataset, the authors involved in the action, and, if possible, for their organisations and the grant. Where applicable, the metadata must include persistent identifiers for related publications and other research outputs.

#### *Open science: additional practices*

Where the call conditions impose additional obligations regarding open science practices, the

beneficiaries must also comply with those.

Where the call conditions impose additional obligations regarding the validation of scientific publications, the beneficiaries must provide (digital or physical) access to data or other results needed for validation of the conclusions of scientific publications, to the extent that their legitimate interests or constraints are safeguarded (and unless they already provided the (open) access at publication).

Where the call conditions impose additional open science obligations in case of a public emergency, the beneficiaries must (if requested by the granting authority) immediately deposit any research output in a repository and provide open access to it under a CC BY licence, a Public Domain Dedication (CC 0) or equivalent. As an exception, if the access would be against the beneficiaries' legitimate interests, the beneficiaries must grant nonexclusive

licenses – under fair and reasonable conditions – to legal entities that need the research output to address the public emergency and commit to rapidly and broadly exploit the resulting products and services at fair and reasonable conditions. This provision applies up to four years after the end of the action (see Data Sheet, Point 1).

### **Plan for the exploitation and dissemination of results including communication activities**

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Unless excluded by the call conditions, the beneficiaries must provide and regularly update a plan for the exploitation and dissemination of results including communication activities.

### **SPECIFIC RULES FOR CARRYING OUT THE ACTION (– ARTICLE 18)**

#### **Implementation in case of restrictions due to strategic assets, interests, autonomy or security of the EU and its Member States**

Where the call conditions restrict participation or control due to strategic assets, interests, autonomy or security, the beneficiaries must ensure that none of the entities that participate as affiliated entities, associated partners, subcontractors or recipients of financial support to third parties are established in countries which are not eligible countries or target countries set out in the call conditions (or, if applicable, are controlled by such countries or entities from such countries) – unless otherwise agreed with the granting authority.

The beneficiaries must moreover ensure that any cooperation with entities established in countries which are not eligible countries or target countries set out in the call conditions (or, if applicable, are controlled by such countries or entities from such countries) does not affect the strategic assets, interests, autonomy or security of the EU and its Member States.

#### **Recruitment and working conditions for researchers**

The beneficiaries must take all measures to implement the principles set out in the Commission Recommendation on the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers<sup>3</sup>, in particular regarding:

- working conditions
- transparent recruitment processes based on merit, and
- career development.

The beneficiaries must ensure that researchers and all participants involved in the action are aware of them.

#### **Specific rules for access to research infrastructure activities**

##### **Definitions**

Research Infrastructures – Facilities that provide resources and services for the research communities to conduct research and foster innovation in their fields. This definition includes the associated human resources, and it covers major equipment or sets of instruments; knowledge-related facilities such as collections, archives or scientific data infrastructures; computing systems,

communication networks, and any other infrastructure, of a unique nature and open to external users, essential to achieve excellence in research and innovation. Where relevant, they may be used beyond research, for example

<sup>3</sup>  
Commission Recommendation 2005/251/EC of 11 March 2005 on the European Charter for Researchers

and on a Code of Conduct for the Recruitment of Researchers (OJ L 75, 22.3.2005, p. 67).

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for education or public services, and they may be ‘single-sited’ ,  
‘virtual’ or  
‘distributed’ <sup>4</sup>:

When implementing access to research infrastructure activities, the beneficiaries must respect the following conditions:

- for transnational access:

- access which must be provided:

The access must be free of charge, transnational access to research infrastructure or installations for selected user-groups.

The access must include the logistical, technological and scientific support and the specific training that is usually provided to external researchers using the infrastructure. Transnational access can be either in person (hands-on), provided to selected users that visit the installation to make use of it, or remote, through the provision to selected user-groups of remote scientific services (e.g. provision of reference materials or samples, remote access to a high-performance computing facility).

- categories of users that may have access:

Transnational access must be provided to selected user-groups, i.e. teams of one or more researchers (users).

The majority of the users must work in a country other than the country(ies) where the installation is located (unless access is provided by an international organisation, the Joint Research Centre (JRC), an ERIC or similar legal entity). Only user groups that are allowed to disseminate the results they have generated under the action may benefit from the access (unless the users are working for SMEs).

Access for user groups with a majority of users not working in a EU Member State or Horizon Europe associated country is limited to 20% of the total amount of units of access provided under the grant (unless a higher percentage is foreseen in Annex 1).

- procedure and criteria for selecting user groups:

The user groups must request access by submitting (in writing) a description of the work that they wish to carry out and the names, nationalities and home institutions of the users.

The user groups must be selected by (one or more) selection panels set up by the consortium.

<sup>4</sup>

See Article 2(1) of the Horizon Europe Framework Programme Regulation 2021/695.

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The selection panels must be composed of international experts in the field, at least half of them independent from the consortium (unless otherwise specified in Annex 1).



The selection panels must assess all proposals received and recommend a shortlist of the user groups that should benefit from access.

The selection panels must base their selection on scientific merit, taking into account that priority should be given to user groups composed of users who:

- have not previously used the installation and
- are working in countries where no equivalent research infrastructure exist.

It will apply the principles of transparency, fairness and impartiality.

Where the call conditions impose additional rules for the selection of user groups, the beneficiaries must also comply with those.

- other conditions:

The beneficiaries must request written approval from the granting authority for the selection of user groups requiring visits to the installations exceeding 3 months (unless such visits are foreseen in Annex 1).

In addition, the beneficiaries must:

- advertise widely, including on a their websites, the access offered under the Agreement

- promote equal opportunities in advertising the access and take into account the gender dimension when defining the support provided to users

- ensure that users comply with the terms and conditions of the Agreement

- ensure that its obligations under Articles 12, 13, 17 and 33 also apply to the users

- keep records of the names, nationalities, and home institutions of users, as well as the nature and quantity of access provided to them

- for virtual access:

- access which must be provided:

The access must be free of charge, virtual access to research infrastructure or installations.

‘Virtual access’ means open and free access through communication networks to digital resources and services needed for research, without selecting the users to whom access is provided.

The access must include the support that is usually provided to external users.

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Where allowed by the call conditions, beneficiaries may in justified cases define objective eligibility criteria (e.g. affiliation to a research or academic institution) for specific users.

- other conditions:

The beneficiaries must have the virtual access services assessed periodically by a board composed of international experts in the field, at least half of whom must be independent from the consortium (unless otherwise specified in Annex 1). For this purpose, information and statistics on the users and the nature and quantity of the access provided, must be made available to the board.

The beneficiaries must advertise widely, including on a dedicated website, the access offered under the grant and the eligibility criteria, if any.

Where the call conditions impose additional traceability

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obligations, information

on the traceability of the users and the nature and quantity of access must be provided by the beneficiaries.

These obligations apply regardless of the form of funding or budget categories used to declare

the costs (unit costs or actual costs or a combination of the two).

<sup>5</sup>

According to the definition given in ISO 9000, i.e.: “Traceability is the ability to trace the history, application, use and location of an item or its characteristics through recorded identification data.” The users can be traced, for example, by authentication and/or by authorization or by other means that allows for analysis of the type of users and the nature and quantity of access provided.

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