

Horizon Europe online submission system and Part A forms

This document supplements the Funding and Tenders Portal submission system-based guidance for Part A of a Horizon Europe proposal (generic example) with Imperial-specific information that you as Principal Investigator can provide to a Coordinator (where that Coordinating organisation is external to Imperial).

In the proposal Part A, **Participants Section**, the following information will pre-fill when Imperial's Participant Identity Code (PIC) 999993468 is entered by the Coordinator in the previous step. This information is correct and should not be modified.

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Acronym Horizon Europe test
Short name Imperial

Organisation data

The section shows the administrative data of the participating organisation as registered and/or validated in the central registry of organisations of the European Commission, linked to the given PIC number. Data in blue is read-only, modification is not possible in the proposal forms. For more information on how to modify this information, please visit the [online manual](#) on the participant register.

PIC	Legal name
999993468	IMPERIAL COLLEGE OF SCIENCE TECHNOLOGY AND MEDICINE

Short name: Imperial

Address

Street SOUTH KENSINGTON CAMPUS EXHIBITION

Town LONDON

Postcode SW7 2AZ

Country United Kingdom

Webpage www.imperial.ac.uk

Specific Legal Statuses

The information serves mainly statistical purposes. For determining the eligibility of the proposal, the official address of the organisation is taken into account.

Legal person	yes
Public body	yes
Non-profit	yes
International organisation	no
Secondary or Higher education establishment	yes
Research organisation	yes

SME Data

The enterprise data of the organisation is taken from the Participant Registry. Changes to the self-declared or self-assessed SME data can be performed by the self-registered or by the LEAR (Legal Entity Appointed Representative) in the Participant Registry.

Based on the below details from the Participant Registry the organisation is not an SME (small- and medium-sized enterprise) for the call.

SME self-declared status	08/07/1907 - no
SME self-assessment	unknown
SME validation	unknown

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In the proposal Part A, **Participants Section**, the Imperial Principal Investigator must give the information for “Departments carrying out the proposed work”.

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Departments carrying out the proposed work

The information serves mainly statistical purposes. For determining the eligibility of the proposal, the official address of the organisation is taken into account.

Department 1

Department name *Name of the department/institute carrying out the work.* ☐ not applicable

☐ Same as proposing organisation's address

Street *Please enter street name and number.*

Town *Please enter the name of the town.*

Postcode *Area code.*

Country *Please select a country.*

In the “Links with other participants” there is **no content to provide for Imperial**. Imperial does not have any dependencies (legal entity relationship) with any other organisation to a Horizon Europe proposal. If you see any content entered by the Coordinator in this section for Imperial it is incorrect and must be deleted.

Links with other participants

Please indicate if there are dependencies with other participants of the proposal. Two participants (legal entities) are dependent on each other where there is a controlling relationship between them.

* A legal entity is under the same direct or indirect control as another legal entity;
or
* A legal entity directly or indirectly controls another legal entity;
or
* A legal entity is directly or indirectly controlled by another legal entity.

Control:
Legal entity A controls legal entity B if:
* A, directly or indirectly, holds more than 50% of the nominal value of the issued share capital or a majority of the voting rights of the shareholders or associates of B;
or
* A, directly or indirectly, holds in fact or in law the decision-making powers in B.

The following relationships between legal entities shall not in themselves be deemed to constitute controlling relationships:
(a) the same public investment corporation, institutional investor or venture-capital company has a direct or indirect holding of more than 50 % of the nominal value of the issued share capital or a majority of voting rights of the shareholders or associates;
(b) the legal entities concerned are owned or supervised by the same public body.

Type of link	Participant	
		Add
		Remove

In the proposal Part A, **Participants Section**, the Main contact person for Imperial is the Imperial Principal Investigator.

The Research Services Manager for the relevant Faculty or School of the PI must be added as a Contact Person

- Brooke Alasya for Faculty of Natural Sciences
- Harriet Hallas for Faculty of Medicine
- Shaun Power for Faculty of Engineering
- David Wilson for Business School

In the proposal Part A, **Participants Section**, Researchers involved in the proposal, enter only those Imperial investigators who are already identified in the applicable Worktribe record. You do not need to enter anyone who you plan to appoint or recruit to the project post-award. This information is collected by the Commission for statistical purposes only and is not relevant to the proposal evaluation, therefore any errors or irregularities are of minimal effect or importance.

In the proposal Part A, **Participants Section**, role of the participating organisation, enter “Research Performer” for Imperial. Add any other roles you deem appropriate. This information is collected by the Commission for statistical purposes only and is not relevant to the proposal evaluation, therefore any errors or irregularities are of minimal effect or importance.

In the proposal Part A, **Participants Section**, enter the publications, projects, activities, infrastructure, equipment content requested

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Main contact person

This will be the person the EU services will contact concerning this proposal (e.g. for additional information, invitation to hearings, sending of evaluation results, convocation to start grant preparation). The data in blue is read-only. Details (name, first name and e-mail) of Main Contact persons should be edited in the step “Participants” of the submission wizard.

Title: Gender: ☐ Woman ☐ Man ☐ Non Binary

First name*: EU Team Last name*: EU Team

E-Mail*: andrea.bell@imperial.ac.uk

Position in org.: *Please indicate the position of the person.*

Department: *Name of the department/institute carrying out the work.* ☐ Same as organisation name

☐ Same as proposing organisation's address

Street: *Please enter street name and number.*

Town: *Please enter the name of the town.* Post code: *Area code.*

Country: *Please select a country*

Website: *Please enter website*

Phone: +xxx xxxxxxxx Phone 2: +xxx xxxxxxxx

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Researchers involved in the proposal

Include only the researchers involved in the proposal, (see below definitions of researchers). You do not need to include in the table the identity of other persons involved in the proposal who are not researchers. Researchers are professionals engaged in the conception or creation of new knowledge. They conduct research and analyse or develop concepts, theories, models, techniques (instrumentation, software or operational methods). (Source: Internal 2122)

Exclude also persons in charge of the proposal if a researcher.

Career stages as defined in Tascade 2017 manual:

Category A: Top grade researchers: the single highest grade point at which research is normally conducted. Example: Full professor or Director of research.

Category B: Senior researcher: Researchers working in positions not in senior or top positions but more senior than newly qualified doctoral graduates (ISCED level 6). Examples: associate professor or senior researcher or principal investigator.

Category C: Researcher: the first grade point into which a newly qualified doctoral graduate would normally be recruited. Examples: assistant professor, seniorate or post-doctoral fellow.

Category D: Post stage researcher: Either doctoral students at the ISCED level 8 who are engaged as researchers, or researchers working in posts that do not normally require a doctorate degree. Examples: PhD students or junior researchers (without a PhD).

Title	First Name	Last Name	Gender	Nationality	E-mail	Career stage	Role of researcher (in the project)	Reference identifier	Type of identifier	Add
										Remove

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Role of participating organisation in the project

Applicants may select more than one option. For guidance on the different options, please go to the online manual on

Project management ☐

Communication, dissemination and engagement ☐

Provision of research and technology infrastructure ☐

Co-definition of research and market needs ☐

Civil society representative ☐

Policy maker or regulator, incl. standardisation body ☐

Research performer ☐

Technology developer ☐

Testing/validation of approaches and ideas ☐

Prototyping and demonstration ☐

IPR management incl. technology transfer ☐

Public procurer of results ☐

Private buyer of results ☐

Finance provider (public or private) ☐

Education and training ☐

Contributions from the social sciences or/and the humanities ☐

Other ☐

If yes, please specify: (Maximum number of characters allowed: 50)

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that relates to you as Principal Investigator. There is no generic or boiler plate text for Imperial for this section. It must relate

specifically to the Imperial team members participating in this proposal.

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List of up to 5 publications, widely-used datasets, software, goods, services, or any other achievements relevant to the call content.

Type of achievement	Short description (Max 500 characters)	Add

List of up to 5 most relevant previous projects or activities, connected to the subject of this proposal.

Name of Project or Activity	Short description (Max 500 characters)	Add

Description of any significant infrastructure and/or any major items of technical equipment, relevant to the proposed work.

Name of infrastructure of equipment	Short description (Max 500 characters)	Add

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In the proposal Part A, **Participants section**, Gender Equality Plan, **enter YES in response to “Does the organisation have a Gender Equality Plan?”**

<https://www.imperial.ac.uk/research-and-innovation/research-office/funder-information/european-commission/horizon-europe/participating-in-horizon-europe/>

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Gender Equality Plan ?

Having a gender equality plan is an eligibility criterion for Public bodies, Higher education establishments and Research organisations from Member States and Associated Countries. Be aware that if the proposal is selected, having a Gender Equality Plan will be necessary before the grant agreement signature (applicable on calls with deadlines in 2022 and beyond).

Does the organization have a Gender Equality Plan (GEP) covering the elements listed below? ☒ Yes ☐ No

Minimum process-related requirements (building blocks) for a GEP

- Publication:** formal document published on the institution's website and signed by the top management
- Dedicated resources:** commitment of human resources and gender expertise to implement it.
- Data collection and monitoring:** sex/gender disaggregated data on personnel (and students for establishments concerned) and annual reporting based on indicators.
- Training:** Awareness raising/trainings on gender equality and unconscious gender biases for staff and decision-makers.
- Content-wise, recommended areas to be covered** and addressed via concrete measures and targets are:
 - work-life balance and organisational culture;
 - gender balance in leadership and decision-making;
 - gender equality in recruitment and career progression;
 - integration of the gender dimension into research and teaching content;
 - measures against gender-based violence including sexual harassment.

In the proposal Part A, **Ethics section**, the Ethics Issues Table collates responses for all participants to the proposal. **With their insight and knowledge of the ethical issues applicable to the research the participating Imperial Principal Investigator and team must assess and provide relevant information to the Coordinator. There is no generic information applicable.**

For the questions in the table that refer to “non-EU countries” (questions 4 and 6), the **United Kingdom is a non-EU country**. In the table section 6, respond YES to the question “Will some of the activities be carried out in non-EU countries”. But, if there are no ethical issues present in the Imperial research the answer to the next question “Do the activities undertaken in these countries” can be NO (vis-à-vis Imperial). Respond accordingly to the similar questions in section 4 related to data.

4. Personal Data		Page
Does this activity involve processing of personal data?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does this activity involve further processing of previously collected personal data (including use of preexisting data sets or sources, merging existing data sets)?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Is it planned to export personal data from the EU to non-EU countries? Specify the type of personal data and countries involved	<input checked="" type="radio"/> Yes <input type="radio"/> No	
(enter content if applicable. The United Kingdom is a non-EU country).		
Is it planned to import personal data from non-EU countries into the EU or from a non-EU country to another non-EU country? Specify the type of personal data and countries involved	<input checked="" type="radio"/> Yes <input type="radio"/> No	
(enter content if applicable. The United Kingdom is a non-EU country).		
Does this activity involve the processing of personal data related to criminal convictions or offences?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
5. Animals		Page
Does this activity involve animals?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
6. Non-EU Countries		Page
Will some of the activities be carried out in non-EU countries?	<input checked="" type="radio"/> Yes <input type="radio"/> No	
The United Kingdom is a non-EU country. Activities in Work Packages will be carried out at Imperial College London in the United Kingdom.		
In case non-EU countries are involved, do the activities undertaken in these countries raise potential ethics issues?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
It is planned to use local resources (e.g. animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples, etc.)?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Is it planned to import any material (other than data) from non-EU countries into the EU or from a non-EU country to another non-EU country? For data imports, see section 4.	<input checked="" type="radio"/> Yes <input type="radio"/> No	
(enter content if applicable. The United Kingdom is a non-EU country).		
Is it planned to export any material (other than data) from the EU to non-EU countries? For data exports, see section 4.	<input checked="" type="radio"/> Yes <input type="radio"/> No	
(enter content if applicable. The United Kingdom is a non-EU country).		

In the proposal Part A, Ethical self-assessment, **with their insight and knowledge of the ethical issues applicable to the research the participating Imperial Principal Investigator and team must assess and provide relevant information to the Coordinator. There is no generic information applicable.**

<https://www.imperial.ac.uk/research-and-innovation/research-office/funder-information/european-commission/horizon-europe/participating-in-horizon-europe/>

In the proposal Part A, Security Issues table, **with their insight and knowledge of the security and classified information issues applicable to the research the participating Imperial Principal Investigator and team must assess and provide relevant information to the Coordinator. There is no generic information available.**

<https://www.imperial.ac.uk/research-and-innovation/research-office/funder-information/european-commission/horizon-europe/participating-in-horizon-europe/>

For question 1 in the table, **the United Kingdom is a non-EU country. If the proposal involves EU Classified Information, the answer to the second question “Does this activity involve non-EU countries?” is affirmative. Answer the subsequent question as appropriate for the research. If there are no security issues answer accordingly. If relevant to the research, the third question “Do the non-EU countries concerned have a security of information agreement with the EU?” is**

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Self-Assessment

If you have entered any issues in the ethics issues table, you must perform an ethics self-assessment in accordance with the guidelines 'How to complete your Ethics Self-Assessment' and complete the table below.

Dimension of the objectives, methodology and likely impact

In detail the identified issues in relation to:

- objectives of the activities (e.g. study of vulnerable populations, etc.)
- methodology (e.g. clinical trials, involvement of children, protection of personal data, etc.)
- the potential impact of the activities (e.g. environmental damage, stigmatisation of particular social groups, political or adverse consequences, misuse, etc.)

5000 characters

5000

Compliance with ethical principles and relevant legislations

How the issue(s) identified in the ethics issues table above will be addressed in order to adhere to the ethical principles and to ensure that the activities are compliant with the EU/national legal and ethical requirements of the country or countries where tasks are to be carried out. It is reminded that for activities performed in a non-EU countries, they should also be allowed in the EU Member State.

affirmative.

<https://www.imperial.ac.uk/research-and-innovation/research-office/funder-information/european-commission/horizon-europe/participating-in-horizon-europe/>

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Security issues table

Please indicate, by answering Yes or No to all the questions in the below table, if the proposed activity will use and/or generate information which might raise security concerns. If an answer is Yes, then indicate in the adjacent box at which page in your full proposal further information relating to that issue can be found.

1. EU Classified Information (EUCI) ²	Page
Does this activity involve information and/or materials requiring protection against unauthorised disclosure (EUCI)?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Does this activity involve non-EU countries?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Do participants from non-EU countries need to have access to EUCI?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Do the non-EU countries concerned have a security of information agreement with the EU?	<input checked="" type="radio"/> Yes <input type="radio"/> No
2. Misuse	Page
Does this activity have the potential for misuse of results?	<input type="radio"/> Yes <input checked="" type="radio"/> No
3. Other Security Issues	Page
Does this activity involve information and/or materials subject to national security restrictions? If yes, please specify: (Maximum number of characters allowed: 1000)	<input type="radio"/> Yes <input checked="" type="radio"/> No
Are there any other security issues that should be taken into consideration? If yes, please specify: (Maximum number of characters allowed: 1000)	<input type="radio"/> Yes <input checked="" type="radio"/> No

²According to the Commission Decision (EU, Euratom) 2015/444 of 13 March 2015 on the security rules for protecting EU classified information, European Union classified information (EUCI) means any information or material designated by an EU security classification, the unauthorised disclosure of which could cause varying degrees of prejudice to the interests of the European Union or of one or more of the Member States.

³Classified background information is information that is already classified by a country and/or international organisation and/or the EU and is going to be used by the project. In this case, the project must have in advance the authorisation from the originator of the classified information, which is the entity (EU institution, EU Member State, third state or international organisation) under whose authority the classified information has been generated.

⁴EU classified foreground information is information (documents/deliverables/materials) planned to be generated by the project and that needs to be protected from unauthorised disclosure. The originator of the EUCI generated by the project is the European Commission.