

EIT HEI Initiative

Innovation Capacity Building for Higher Education

HEI Call 2

0. Glossary of Terms

EIT Strategic Innovation Agenda (SIA) 2021-2027

European Institute of Innovation and Technology (EIT)

Knowledge and Innovation Community (KIC)

EIT Knowledge Triangle Model

Smart Specialisation Strategies

Regional Innovation Impact Assessment

Regional Innovation Scheme (RIS)

Actions

Domains

HEI Call 2

HEI Initiative Pilot Phase (2021-2023)

HEI Application Portal

HEInnovate

EIT KPI

Transferability Plan

HEI Resource Hub



1. Introduction to the EIT HEI Initiative: Innovation Capacity Building for Higher Education

The EIT Strategic Innovation Agenda (SIA) 2021-2027¹ sets the strategic direction, priorities and objectives of the European Institute of Innovation and Technology (EIT) and its Knowledge and Innovation Communities (EIT KICs).

One specific objective in the new EIT SIA 2021-2027 is to create systemic impact in higher education at institutional level, by supporting higher education institutions (HEIs) to strengthen their innovation and entrepreneurial capacity and integrate into and engage with innovation ecosystems. By doing so, HEIs will be empowered to become engines of impact and support the realisation of a carbon-neutral, digital, circular and inclusive society.

Under the EIT SIA 2021-2027, the EIT and the EIT KICs will raise the bar and create systemic impact in higher education by strengthening innovation ecosystems. This will be achieved through the following:

- Increasing the entrepreneurial and innovation capacity of higher education institutions across Europe by promoting and supporting institutional change in higher education institutions.
- Strengthening the integration and contribution of higher education institutions to innovation ecosystems.

To realise these ambitions, the EIT and EIT KICs have established the *EIT HEI Initiative: Innovation Capacity Building for Higher Education*.

The *EIT HEI Initiative: Innovation Capacity Building for Higher Education* (hereinafter referred to as the “HEI Initiative”) has been designed with the aim of increasing the innovation and entrepreneurial capacity in higher education by bringing together HEIs in innovation value chains and ecosystems across Europe.

A central philosophy of the EIT is the integration of the EIT Knowledge Triangle Model² into all its activities. HEIs selected to participate in the HEI Initiative will also leverage and use the Knowledge Triangle Model as an enabler, facilitating the creation of systemic, institutional change. Additionally, HEIs selected to participate in the HEI Initiative will contribute to and leverage Smart Specialisation Strategies³, the Regional Innovation Impact Assessment (RIIA) Framework⁴, as well as align to the goals of the EIT Regional Innovation

¹ Decision (EU) No 2021/820 of the European Parliament and of the Council of 20 May 2021 on the Strategic Agenda of the European Institute of Innovation and Technology (EIT) 2021-2027: Boosting the Innovation Talent and Capacity of Europe and repealing Decision No 1312/2013/EU, OJ L 189/3 of 28 May 2021, <https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32021D0820&from=EN>

² The Knowledge Triangle refers to the interaction between business, education and innovation, which are key drivers of a knowledge-based society. https://eit.europa.eu/sites/default/files/eit_innovation_model.pdf

³ <https://s3platform.jrc.ec.europa.eu>

⁴ <https://ec.europa.eu/jrc/en/publication/eur-scientific-and-technical-research-reports/regional-innovation-impact-assessment-framework-universities>

Scheme (EIT RIS)⁵. This will strengthen the links between HEIs and their local and regional ecosystems and provide an impetus to leverage additional funding sources beyond the HEI project funding period of the selected HEI projects.

HEIs are encouraged to prepare applications which will support the development and implementation of six Actions in their institutions as listed in Section 2.3, cumulatively leading to institutional transformation, an increase in entrepreneurial and innovation capacity, and integration with innovation ecosystems.

As per the EIT SIA 2021-2027, the first three years (2021-2023) of the HEI Initiative have been designated as the pilot phase. After the pilot phase concludes, the EIT Governing Board shall determine if the HEI Initiative will be continued for the remainder of Horizon Europe (2024-2027).

Although the EIT SIA 2021-2027 sets out that the majority of funding under the HEI Initiative will go to HEIs which are not currently partners⁶ of the EIT KICs at the start of the HEI project, the HEI Initiative will unite EIT KIC partners and non-partners to cultivate collaborative relationships and leverage the existing innovation and entrepreneurial knowledge base developed within EIT KICs thus far. Participation in an application selected for funding will not result in any obligation to become an EIT KIC partner or pay a membership fee. However, a non-partner may become a partner of an EIT KIC if deemed desirable by the non-partner organisation.

1.1. Aims and priorities of the HEI Initiative

The scope of the HEI Initiative is broad. It aims to address the need for HEI transformation and the role of HEIs in boosting sustainable, inclusive economic growth and competitiveness by reinforcing the innovation capacity of Europe. More specifically, the HEI Initiative aims to encourage HEIs to reflect on their own practices and the opportunities for increasing their impact in their ecosystem in Europe, and it provides support to HEIs to develop and undertake concrete Actions which are specifically tailored to achieve such enhanced impact. HEIs will, consequently, identify the potential to take a significant step forward in increasing their innovation and entrepreneurial capacity.

The overarching aims of the HEI Initiative are to empower HEIs across Europe to become innovative and entrepreneurial in general, and also in their approach to education, research, and engagement with businesses and the broader regional and local innovation ecosystem, including but not limited to civil society, public institutions, regional authorities and third sector organisations, in the most inclusive and gender-balanced way.

⁵ <https://eit.europa.eu/our-activities/eit-regional-innovation-scheme-ris>

⁶ Any legal entity which is a member of an EIT KIC, and may include, in particular, HEIs, vocational education and training providers, research organisations, public institutions, public or private companies, financial institutions, regional and local authorities, foundations, and non-profit organisations. Unless otherwise specified, references to 'KIC partner' or 'KIC partners' include the KIC LE and the entities with the CLC role.

The specific aims of the HEI Initiative are multi-fold:

- Encourage HEIs to look at their own practices and the opportunities for increasing their impact in ecosystems in Europe.
- Ignite an entrepreneurial culture and mindset which inspires people to transform and catalyse their knowledge and expertise into tangible, societal value.
- Extend the impact of the EIT beyond the EIT KICs and thereby contribute to the EIT's core mission of boosting sustainable, inclusive economic growth and competitiveness by reinforcing the innovation capacity of Europe. This is in line with the goals of Horizon Europe to foster entrepreneurial and innovation skills in a lifelong learning perspective, including increasing the capacities of HEIs across Europe.
- Leverage and make available the innovation and entrepreneurial knowledge base created in the EIT KICs, their partnerships and projects.
- Enable EIT KIC partners and non-partners to collaborate, co-create and mutually learn.

2. About this HEI Call 2

This HEI Call 2 is part of the HEI Initiative pilot phase (2021-2023) as per the EIT Strategic Innovation Agenda 2021-2027.

This HEI Call 2 provides an opportunity to fund a select number of HEI projects, led by HEIs. There will be two implementation phases for HEI projects selected from HEI Call 2, namely:

- Phase 1: July – December 2022
- Phase 2: January 2023 – June 2024⁷

The HEI projects implemented in Phase 1 in 2022 will incorporate evaluation, learning and improvements before entering Phase 2 and scaling up their activities.

It is expected to fund up to 40 HEI projects from this HEI Call 2.

2.1. HEI Call 2 – Application process

The HEI projects will be reviewed through a competitive, external and independent evaluation process. To be considered for selection, the applicant/coordinator must submit an application on behalf of the consortium as a response to this HEI Call 2. Applications will be assessed against the eligibility criteria

⁷ Phase 2 will be further broken down into Phase 2a (January 2023 – December 2023) and Phase 2b (January 2024 – June 2024) for administrative reasons, which will ensure budget and results are linked to one specific calendar year.

(Section 2.8 of this HEI Call 2) and reviewed by independent evaluators against the evaluation criteria (Section 2.9 of this HEI Call 2).

HEIs must submit their applications in the HEI Initiative Application Portal (<https://eit-hei.eu>) by 28 February 2022, 18.00 CET.

2.2. HEI Call 2 – Creation of an Innovation Vision Action Plan (IVAP)

All HEI projects selected for funding under the HEI Initiative are required to create an Innovation Vision Action Plan (IVAP) as part of their application. The IVAP will take a long-term view towards increasing the innovation and entrepreneurial capacity within the corresponding HEIs, at institutional level, with a view to 2030.

The IVAP will be designed based on an HEInnovate⁸ self-assessment for each HEI consortium member, performed by each consortium member individually or as a group. The HEInnovate self-assessment results will drive the choice of Actions proposed for funding and institutional change within the corresponding HEIs.

The HEI consortium must also explain how the IVAP may fit with regional priorities, specifically Smart Specialisation Strategies (S3), and how the IVAP may engage with other innovation actors in the territorial innovation ecosystem. Consequently, the IVAP will benefit by reflecting and building on capacities, strengths, opportunities and weaknesses of the local territory and innovation ecosystem.

The EIT KICs will provide funding and support to selected HEI projects from HEI Call 2 for up to two years of the IVAP, from July 2022 – June 2024. Applicants must also illustrate how the IVAP will be continued beyond the HEI project funding period, demonstrating how the results will lead to systemic institutional change that brings carbon-neutral, digital, circular and inclusive solutions to societal challenges to the market. Specifically, by 2024 HEIs are expected to demonstrate improved innovation and entrepreneurial capacity and integration in innovation ecosystems; by 2027 HEIs must demonstrate how systemic institutional change will bring solutions to societal challenges to the market.

Within the HEI project funding period, applicants must use the EIT Impact Framework⁹, which includes EIT KPIs and EIT Core KPIs¹⁰, to quantify results achieved between July 2022 – June 2024 in their IVAPs:

- Specific EIT KPIs indicated in Section 2.2 of this HEI Call 2 and further described in Annex 4.1.
- Minimum one EIT Core KPI described in the EIT Impact Framework in Annex 4.2.

⁸ www.heinnovate.eu

⁹ Simplified EIT Impact Framework – www.eit.europa.eu/library/eit-simplified-impact-framework

¹⁰ There are 9 EIT Core KPIs found in the EIT Impact Framework table denoted by red font. The indicators denoted by black font found in the EIT Impact Framework, pages 1-9, are EIT KPIs. The remaining indicators in the EIT Impact Framework, starting from page 9, “EIT Climate-KIC”, are KIC-specific KPIs.



- Outcomes described in the EIT Impact Framework in Annex 4.2.

For the post-HEI project funding period (July 2024 – 2030), applicants must illustrate in their applications the estimated results achieved annually toward 2030 using the EIT Impact Framework:

- Specific EIT KPIs indicated in Section 2.2 of this HEI Call 2 and further described in Annex 4.1.
- Minimum one EIT Core KPI described in the EIT Impact Framework in Annex 4.2.
- Outcomes and impacts described in the EIT Impact Framework in Annex 4.2.

The IVAP will provide a clear, step-by-step action plan consisting of work packages, milestones, deliverables, and beneficiaries, as well as other key indicators to track progress and impact. A risk management and intellectual property management approach must also be included. HEI projects selected for funding will participate in a mandatory face-to-face¹¹ IVAP Kick Off Workshop on 5 & 6 July 2022, in which each HEI project will present their IVAP and obtain feedback from the other selected HEI projects.

There is no IVAP template. The answers provided by applicants to the questions in the HEI Initiative Application Portal cumulatively generate the IVAP. Therefore, applicants are invited to shape their answers to ensure the resulting IVAP addresses all criteria included in the text of this HEI Call 2.

The following criteria must be fulfilled by the content of the IVAP:

- The IVAP must be endorsed by the top leadership (Rector, Chancellor, Vice-Rector/Chancellor, or someone else in the senior management of the HEI) of each HEI in writing and thereby demonstrate commitment to institutional change.
- The IVAP must build on an HEInnovate self-assessment that identifies the main areas for action and will provide the basis for measuring progress over time.
- The IVAP must illustrate how HEIs and the areas for action will engage with and contribute to strengthening regional innovation ecosystems and regional innovation capacity.
- The IVAP must include six Actions from those listed in the four Domains in Section 2.3 of this HEI Call 2.
- The IVAP must demonstrate that it is able to contribute to the Strategic Agendas¹² of at least two EIT KICs.
- The IVAP must demonstrate it is able to achieve a pre-defined minimum number of specific EIT KPIs in Phase 1 in 2022, demonstrated below. Please see Annex 4.1 for the description of each EIT KPI and the supporting evidence required to substantiate the achievement of the corresponding EIT KPI:
 - Minimum 2 start-ups/scale-ups supported (EIT KPI 3.1).

¹¹ Applicants should plan for a face-to-face IVAP Kick Off Workshop; depending on the Covid-19 pandemic, a final decision will be made whether to organize the IVAP Kick Off Workshop as face-to-face, hybrid or virtually.

¹² The Strategic Agendas of each EIT KIC can be accessed in the HEI Application Portal.

- Minimum 130 students trained, with a view to innovation and entrepreneurship (EIT KPI 8.1).
 - Of which, minimum 12 students mentored.
- Minimum 12 academic staff¹³ members trained, with a view to innovation and entrepreneurship (EIT KPI 8.1).
 - Of which, minimum 4 academic staff members mentored.
- Minimum 12 non-academic staff (e.g. professional staff, support staff) trained, with a view to innovation and entrepreneurship (EIT KPI 8.1).
 - Of which, minimum 4 non-academic staff mentored.
- Minimum 1 partnership created as a result of the HEI Initiative.
- Minimum 1 new and/or improved support structure(s) and mechanism(s) (e.g., testbeds, units, programmes, spaces, infrastructures, etc.) established within or mobilized by the participating HEIs.
- These specific EIT KPIs must be increased in Phase 2 in 2023 and 2024.
- The IVAP must demonstrate it is able to achieve minimum one EIT Core KPI¹⁴.
- During the implementation of the IVAP, the HEI project consortium must develop a training for at least one of the selected Actions. The training handbook and all associated materials must be made available in the HEI Initiative Resource Hub, accessible to all HEI Initiative consortia.
- The IVAP must include a transferability plan that demonstrates how the selected Actions will be transferred and scaled within the institution during and after the HEI project funding period. The transferability plan must distinguish between Phase 1 and Phase 2. The transferability plan must also outline a detailed plan for further institutionalisation of the IVAP beyond the HEI project funding period toward 2030.

To deliver on the Actions in the IVAP, consortia shall utilise, build on and benefit from existing innovation and entrepreneurial capacity building resources developed within the EIT KICs. These capacity building resources can be obtained through various channels, including but not limited to EIT KIC partner HEI(s) in the consortium and publicly available resources from the EIT KICs.

An HEI Initiative Resource Hub comprising select capacity building resources developed in the EIT KICs to date will be made available to HEI projects in 2022.

2.3. HEI Call 2 – Actions supported as part of the projects

The Actions funded under the HEI Initiative will be tied to the needs of the HEIs as set out in the IVAP and aligned to the objectives of the HEI Initiative. Applicant HEIs will choose from a set of Actions to be

¹³ Classification of “academic staff” and “non-academic” staff will depend on the classification within each HEI.

¹⁴ There are 9 EIT Core KPIs found in the EIT Impact Framework table denoted by red font. The indicators denoted by black font found in the EIT Impact Framework, pages 1-9, are EIT KPIs. The remaining indicators in the EIT Impact Framework, starting from page 9, “EIT Climate-KIC”, are KIC-specific KPIs.

supported as part of this HEI Call 2. The range of supported activities include Actions thematically arranged across four Domains.

The IVAPs are expected to generate institutional-level impact through the mix of Actions chosen and implemented. To ensure the HEI projects are addressing the needs of the participating HEIs, institutions will select and implement six Actions from the four Domains in a constellation that best suits their needs, whilst ensuring the IVAP criteria from Section 2.2 are fulfilled. However, as a minimum, each institution must select at least one Action per Domain. The final two Actions may come from any Domain.

For the HEI Call 2, the IVAP should reflect on the realistic progress that can be achieved within the available time during Phase 1, whilst also ensuring the IVAP sets out a plan that can be implemented fully upon successful completion of Phase 2 of the HEI projects. For further information see Section 2.5 on funding and duration of the projects.

Funded Actions

Applicants must incorporate in their IVAP six Actions from the following Domains and set out the vision and supporting implementation plan for achieving them during and beyond the HEI project funding period. It is imperative that the IVAP criteria from Section 2.2 are also fulfilled.

Domain 1 – Fostering institutional engagement and change

- Secure and maintain institutional engagement for the implementation of the IVAP, including departments and other units of HEI(s) as well as the leadership of HEI(s).
- Enhance the scale and scope of student engagement activities, including improving student support offices to advise on innovation and entrepreneurship.
- Infrastructure development (incl. digital infrastructure).
- Develop inter- and multi-disciplinary support structures, testbeds and other structures to foster innovation.
- Set up or improve organisational units and/or entities, such as technology transfer offices, to develop collaborations for technology transfer.

Domain 2 – Strengthening partnerships (knowledge triangle integration)

- Establish new collaborations and enhance the nature, content and types of collaborations with external partners, including businesses, regional authorities, research organisations, governmental bodies, NGOs and other societal partners.
- Exchange good practices through enhanced networking and mutual learning.
- Collaborate with the EIT KICs, e.g. through peer-to-peer collaboration.

Domain 3 – Contributing to developing innovations and businesses



- Develop structures, conditions and incentives for people to create or develop their businesses and start-ups.
- Create structures, conditions and incentives for innovation-driven research.
- Utilise testbeds and other types of platforms.

Domain 4 – Enhancing the quality of innovation and entrepreneurial education

- Develop or improve innovation and entrepreneurial curricula.
- Assessment of teaching and learning practices.
- Develop innovation and entrepreneurial training programmes and mentoring schemes for staff and students.
- Organise internships in businesses.

2.4. HEI Call 2 – What type of organisations can participate?

To be eligible for participation and funding, a participant must be a “legal entity”. A “legal entity” means any natural or legal person created and recognised as such under national law, EU law or international law, which has legal personality and which may, acting in its own name, exercise rights and be subject to obligations, or an entity without legal personality¹⁵.

Beneficiaries and affiliated entities must register in the EU Participant Register¹⁶ before submitting their application, in order to obtain a participant identification code (PIC).

To be eligible for participation and funding, consortium members must be established in one of the Horizon Europe eligible countries¹⁷.

Organisations eligible for participation and funding can be:

- Higher Education Institutions (HEIs). These are institutions which offer recognised degrees or other tertiary level qualifications and other comparable institutions at tertiary level, if recognised by the national authorities. These institutions must be recognised as a higher education institution by the national authority of its country. Each HEI must submit proof of accreditation by the corresponding national authorities to offer recognised degrees. The applicant/coordinator must be an HEI.
- Public or private, small, medium or large enterprises (including social enterprises)
- Research institutes
- Public bodies at local, regional or national level

¹⁵ See Article 197(2)(c) EU Financial Regulation

¹⁶ <https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/how-to-participate/participant-register>

¹⁷ For list of countries eligible for funding and eligible for participation, please refer to the Horizon Europe (HORIZON) Programme Guide – https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/programme-guide_horizon_en.pdf

- Intermediary organisations or associations which represent Higher Education Institutions (HEIs)

Role of the different organisations in the project¹⁸

Applicant/coordinator: A participating organisation that submits the HEI application on behalf of all the partners. The applicant/coordinator must be an HEI. The applicant/coordinator has the full responsibility to ensure the HEI project is implemented in accordance with the agreement. Its coordination covers the following duties:

- Represents and acts on behalf of the consortium (as relevant) towards EIT and the EIT KICs.
- Bears the financial and legal responsibility for the proper operational, administrative and financial implementation of the entire project.
- Coordinates the activities of the HEI project partners.
- Reports to the respective EIT KIC.
- Communicates and disseminates HEI project results, outcomes and impacts.

Full partners: Those participating organisations which contribute actively to the achievement of the HEI project objectives. Each full partner must sign a mandate to confer to the coordinating organisation the responsibility of acting as main beneficiary and act in his/her name during the implementation of the project.

Associated partners (optional): The HEI projects can involve associated partners who contribute to the implementation of specific project tasks/activities or support the dissemination and sustainability of the results achieved. For contractual management issues, “associated partners” are not considered as part of the project partners, and they do not receive funding. However, their involvement and role in the HEI project and different activities must be clearly described.

Participation

An organisation may participate as a full partner in only one HEI application. Multiple applications which include the same organisation as a full partner will result in only the first application submitted in the HEI Application Portal to be eligible for funding.

An organisation may participate as a full partner in one HEI application and as an associated partner in another HEI application. Moreover, an organisation may participate as an associated partner in multiple applications.

¹⁸ The roles of organisations in an HEI project do not refer to partner types or partner categories of individual EIT KICs.



Successful applications from the HEI Pilot Call for Proposals

An organisation involved as a full partner in a successful HEI project¹⁹ selected from the HEI Pilot Call for Proposals may not participate as a full partner in an HEI application submitted to HEI Call 2. An application submitted to HEI Call 2, which includes an organisation involved as a full partner in a successful HEI project from the HEI Pilot Call for Proposals, will not be eligible for funding.

An organisation involved as a full partner in a successful HEI project from the HEI Pilot Call for Proposals may participate as an associated partner in an HEI application submitted to HEI Call 2.

An organisation involved as an associated partner in a successful HEI project from the HEI Pilot Call for Proposals may participate as a full partner and/or associated partner in an HEI application, respectively, submitted to HEI Call 2.

An associated partner may not change its status to a full partner after an HEI project is selected without prior approval of the HEI Initiative Evaluation Committee.

See Section 2.8 of this HEI Call 2 for full eligibility criteria.

Number, type and geographical scope of participating organisations

An HEI project consortium must consist of a minimum of four organisations. There is no maximum number of organisations within a HEI project consortium.

The HEI project consortium must consist of:

- A minimum of three HEIs from three different countries, as follows:
 - One HEI must be the applicant/coordinator
 - A minimum two other HEIs in the consortium must be full partners
 - Minimum one HEI shall be an existing partner of an EIT KIC
 - The majority of HEIs shall not be partners of an EIT KIC
- A minimum of one actor from another side of the Knowledge Triangle (e.g. regional/territorial authorities, VET organisations, RTOs, SMEs and start-ups). These actors may be full partners or associated partners.

A broad geographical scope, especially involving organisations established in RIS-eligible²⁰ countries, is strongly encouraged.

¹⁹ Full list of successful projects and organisations from the HEI Pilot Call for Proposals – www.eit-hei.eu/app/uploads/2021/10/HEI_Initiative_List_20210927.pdf

²⁰ www.eit.europa.eu/our-activities/eit-regional-innovation-scheme

It is suggested that relevant regional/territorial authorities be consulted in the process of HEI application development.

Existing consortia of HEIs, such as the European University Alliances funded by the European University Initiative²¹, are encouraged to submit an application.

2.5. Duration and budget of the HEI projects

The duration of the HEI projects selected from this HEI Call 2 will be distributed across two phases. Only if certain criteria (see below) are fulfilled may an HEI project be extended from Phase 1 into Phase 2.

Phase 1: July – December 2022

The total maximum funding per HEI project for Phase 1 is EUR 300.000 (THREE HUNDRED THOUSAND EURO). A minimum of 65% of the Phase 1 funding must be allocated to HEIs in the consortium which are not already existing partners of an EIT KIC at the start of the HEI project.

Before continuing to Phase 2, HEI projects must satisfactorily complete Phase 1 by fulfilling the following criteria:

- Delivery and validation of the EIT KPIs included in the IVAP, described in Section 2.2 and Annex 4.1 of this HEI Call 2
- Achievement of key milestones in Phase 1 in the multi-annual HEI transferability plan to achieve institutional change in Phase 2
- Submission of an updated IVAP

Phase 2: January – December 2023 and January – June 2024

Upon satisfactory completion of Phase 1, an HEI project may continue to Phase 2, which will consist of an additional 18 months and an additional maximum funding of EUR 900.000 (NINE HUNDRED THOUSAND EURO). A minimum of 65% of the Phase 2 funding must be allocated to HEIs in the consortium which are not already existing partners of an EIT KIC at the start of the HEI project.

The activities in the HEI application to be funded should be designed for a 24-month period but include a clear distinction between the activities and results in Phase 1 and those in Phase 2.

Continuation of the HEI projects and additional budget to Phase 2, comprising 2023 and 2024, will be subject to approval of the HEI Initiative budget for 2023 and 2024, respectively. Moreover, continuation of the HEI projects and budget in 2024 will be subject to the EIT Governing Board decision to continue the HEI Initiative for 2024-2027, as per the EIT Strategic Innovation Agenda 2021-2027.

²¹ https://ec.europa.eu/education/education-in-the-eu/european-education-area/european-universities-initiative_en



Therefore, the total maximum funding for each HEI project from this HEI Call 2 is EUR 1,2 million (ONE MILLION, TWO HUNDRED THOUSAND EURO). The total maximum duration of an HEI project from this HEI Call 2 is 24 months.

2.6. What are the funding rules?

Reimbursement of eligible costs follows Horizon Europe Rules for Participation²². The funding rate that applies to the HEI projects selected for funding is 100%.

The budget of the selected HEI projects will be based on the estimated costs to be incurred by the HEI project activities; 100% of all eligible costs may be covered but co-funding is encouraged.

The funding requested must be justified in relation to the planned activities as described in the HEI application. All costs must be fully described and justified.

The costs should be reasonable, justified and directly related to the achievement of the objectives of the HEI Initiative and IVAP. Moreover, contracting must comply with EU public procurement rules.

2.7. What are the operational modalities

Two operational modalities may be used to administer the funding from the EIT KICs to the selected HEI projects. By submitting an application to HEI Call 2, all applicants and corresponding consortium members agree to both operational modalities.

Beneficiary modality

All organisations involved in selected HEI projects – EIT KIC partners and non-partner organisations – may receive financial support as a “beneficiary” of the overarching Grant Agreement between the EIT and the corresponding EIT KIC. This means, all organisations would be required to accede to the corresponding Grant Agreement. Acceding to the Grant Agreement does not result in automatic EIT KIC membership for non-partner organisations of the respective EIT KIC. Non-partner organisations would be treated as a “beneficiary” including the rights and obligations as any other beneficiary in a Horizon Europe project.

²² <https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32021R0695&qid=1621434634235&from=EN>

Subgranting modality

Non-partner organisations involved in selected HEI projects may receive financial support as “a recipient of financial support to third parties”. In this case the applicant must confirm in the application which EIT KIC partner would be the “subgrantor” providing the financial support to third parties.

The final decision on the applicable operational model will be decided by the EIT KIC to which the HEI project will be allocated.

2.8. Eligibility criteria

Applications will be checked for formal requirements by the HEI Evaluation Committee to ensure eligibility criteria are fulfilled. Applications will then be evaluated against the evaluation criteria by a minimum of 3 independent external experts per application, and then ranked according to their quality score.

<p>Eligible participating organisations</p>	<p>To be eligible for participation and funding, a participant must be a ‘legal entity’. A ‘legal entity’ means any natural or legal person created and recognised as such under national law, EU law or international law, which has legal personality and which may, acting in its own name, exercise rights and be subject to obligations, or an entity without legal personality²³.</p> <p>Beneficiaries and affiliated entities must register in the EU Participant Register²⁴ before submitting their application, in order to obtain a participant identification code (PIC).</p> <p>To be eligible for participation and funding, consortium members must be established in one of the Horizon Europe eligible countries²⁵.</p> <p>Organisations eligible for participation and funding can be:</p> <ul style="list-style-type: none">• Higher Education Institutions (HEIs). These are institutions which offer recognised degrees or other tertiary level qualifications and other comparable institutions at tertiary level, if recognised by the national authorities. These institutions must be recognised as a higher education institution by the national authority of its country. Each HEI must provide proof of accreditation by the corresponding national authorities to offer recognised degrees. The applicant/coordinator must be an HEI.• Public or private, small, medium or large enterprises (including social enterprises)• Research institutes
---------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

²³ See Article 197(2)(c) [EU Financial Regulation](#)

²⁴ <https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/how-to-participate/participant-register>

²⁵ For list of countries eligible for funding and eligible for participation, please refer to the Horizon Europe (HORIZON) Programme Guide – https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/programme-guide_horizon_en.pdf

	<ul style="list-style-type: none"> Public bodies at local, regional or national level Intermediary organisations or associations which represent Higher Education Institutions (HEIs)
Consortium composition	<p>An HEI project consortium must consist of a minimum of four organisations. There is no maximum number of organisations within a HEI project consortium.</p> <p>The HEI project consortium must consist of:</p> <ul style="list-style-type: none"> A minimum of three HEIs from three different countries, as follows: <ul style="list-style-type: none"> One HEI must be the applicant/coordinator A minimum two other HEIs in the consortium must be full partners Minimum one HEI shall be an existing partner of an EIT KIC The majority of HEIs shall not be partners of an EIT KIC A minimum of one actor from another side of the Knowledge Triangle (e.g. regional authorities, VET organisations, RTOs, SMEs and start-ups). These actors may be full partners or associated partners. <p>An organisation may only participate in one application as a full partner.</p>
Budget allocation within the consortium	65% of the total requested HEI project funding in Phase 1 and Phase 2 must be allocated to HEIs in the consortium which are not partners of an EIT KIC at the start of the HEI project.
Proof of Commitment – Top Management	A “Commitment Letter” ²⁶ must be signed by top management of the HEIs (Rector, Chancellor, Vice-Rector/Vice-Chancellor, or another representative in the senior management of the HEI).
Proof of Commitment – Faculties and Departments	<p>A minimum of two faculties or two departments within each of the HEIs must be involved in the submission of the application and implementation of the selected HEI projects.</p> <p>A “Commitment Letter”²⁷ must be signed by each Faculty Dean or Department Head within each of the HEIs.</p>
Verification of an evidence-based approach taken to the creation of the IVAP	<p>HEIs must provide supporting documents which illustrate HEInnovate was used.</p> <p>HEIs must download their results in a pdf format and upload them with the application.</p>

²⁶ There is no “Commitment Letter” template; the “Commitment Letter” must be signed by the top management of each HEI on official HEI letterhead.

²⁷ There is no “Commitment Letter” template; the “Commitment Letter” must be signed by each Faculty Dean or Department Head on official HEI letterhead.

2.9. Evaluation process and criteria

A quality assessment to evaluate the extent to which the applications fulfil the evaluation criteria will be carried out with the support of at least 3 independent experts per application. The independent experts will be supported by guidelines developed by the HEI Evaluation Committee and provide a ranking list following the scoring agreed by the experts.

The HEI Evaluation Committee will oversee the entire evaluation and selection process. Using the ranking list resulting from the external, independent evaluation, the HEI Evaluation Committee will make the final selection.

Evaluation criteria are adopted from the Horizon Europe Coordination and Support Actions (CSA) award criteria.

Excellence	Impact	Quality and efficiency of the implementation
<ul style="list-style-type: none">• Clarity and pertinence of the project's objectives.• Quality of the proposed coordination and/or support measures, including soundness of methodology.	<ul style="list-style-type: none">• Credibility of the pathways to achieve the expected outcomes and impacts specified in the work programme, and the likely scale and significance of the contributions due to the project.• Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan, including communication activities.	<ul style="list-style-type: none">• Quality and effectiveness of the work plan, assessment of risks, and appropriateness of the effort assigned to work packages, and the resources overall.• Capacity and role of each participant, and extent to which the consortium as a whole brings together the necessary expertise.

Scores will be awarded for the evaluation criteria, and not for the different aspects listed within the individual evaluation criteria.

For submitted applications, each evaluation criterion – Excellence, Impact, Quality and efficiency of the implementation – will be scored out of 5, respectively. The threshold for individual evaluation criteria will be 3.

The total maximum evaluation score awarded to an application is 15. The overall threshold, applying to the sum of the three individual scores, will be 10.

Scores must pass the threshold for individual evaluation criteria and the overall threshold if an application is to be considered for funding.

Evaluation criteria are not weighted.

The following rubric will be used to award scores to an application.

Score	Description
0	The application fails to address the criterion or cannot be assessed due to missing or incomplete information.
1	Poor. The criterion is inadequately addressed, or there are serious inherent weaknesses.
2	Fair. The application broadly addresses the criterion, but there are significant weaknesses.
3	Good. The application addresses the criterion well, but a number of shortcomings are present.
4	Very good. The application addresses the criterion very well, but a small number of shortcomings are present.
5	Excellent. The application successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

3. Information on key dates and how to apply

Key dates	Timetable
Launch of HEI Call 2	18 November 2021
Deadline for submitting applications to HEI Call 2	28 February 2022, 18.00 CET
HEI Call 2 Online Info Sessions	7, 8, 10 December 2021
HEI Call 2 Online Info Session Registration Links	7 December 2021: https://www.lyyti.fi/reg/heidec7 8 December 2021: https://www.lyyti.fi/reg/heidec8 10 December 2021: https://www.lyyti.fi/reg/heidec10
Introduction Webinar to HEInnovate	13 December 2021: Link
Evaluation period	1 March 2022 – 15 April 2022
Announcement of evaluation results to selected applicants	9-13 May 2022
Foreseen signature of grant agreement by selected projects	1 July 2022
Face-to-Face ²⁸ Kick Off IVAP Workshop for selected projects (participation mandatory)	5 & 6 July 2022
Where to apply	www.eit-hei.eu
How to stay informed	Sign up to newsletter at www.eit-hei.eu
For enquiries	hei@eitrawmaterials.eu

²⁸ Applicants should plan for a face-to-face IVAP Kick Off Workshop; depending on the Covid-19 pandemic, a final decision will be made whether to organise the IVAP Kick Off Workshop as face-to-face, hybrid or virtually.

4. Annexes

4.1 EIT KPIs

<p>Supported Start-ups/Scale-ups (EIT KPI Code 3.1)</p>	<p>Supported start-ups/scale-ups:</p> <p># Start-ups and scale-ups supported by KICs for at least 2 months in year N, provided the KIC's services contribute to the company's growth (including potential growth)</p> <p>Examples of such services are mentoring, consultancy on access to finance and markets, product/service marketing, legal advice, internationalisation, match-making, etc. The services should be provided for a total period of at least two months. (reported by country of registration of the venture)</p>	<p>Structured data:</p> <ul style="list-style-type: none"> - Company name, website, registration number, country of registration, gender of the CEO/owner and reference to a specific KIC KAVA <p>Supporting evidence:</p> <ul style="list-style-type: none"> - Declaration of the start-up supported confirming the length and type of services provided by the KIC and how they contributed to the growth of start-up. The declaration shall also include short description of the start-up and its core business - Formal signed agreement between KIC and the ventures clearly stating what is being provided, when and with which milestones / deliverables for the start-up to go onto the next stage of BC services and, if applicable, what is KIC receiving in exchange - Registration certificate of the venture receiving BC services
-------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------



<p>Participants in (non-degree) education and training (EIT KPI Code 8.1)</p>	<p>Participants in (non-degree) education and training:</p> <p>Number of successful participants in EIT professional development courses, online training courses and other education/training activity delivered or in a process of delivery (by country and type of programme), including data on country of citizenship and gender.</p> <p>Only participant who successfully finished the programme to be counted.</p> <p>For this KPI, only those education and training activities which have clearly defined learning outcomes and which carries out competency assessment method are applicable.</p>	<p>Structured data:</p> <ul style="list-style-type: none"> - List of EIT professional development courses, online training courses and other education/training products delivered or in a process of delivery (by country and type of programme): details to include learning outcomes and competency assessment method and results. - List of institutions/organisations delivering the (non- degree) education and training, incl. country. Of them: list of institutions participating in HEI Capacity Building Initiative. - Unique personal identifier (representing names, contact details (e-mail address)), gender and country of citizenship, <p>Supporting evidence: n/a</p>
----------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

<p>Number of new partnerships established as a result of the HEI Initiative</p>	<p>Number of new partnerships established as a result of the HEI Initiative</p> <p>Sub-KPIs:</p> <ul style="list-style-type: none"> - Number of new partnerships established by participating HEIs and businesses, research organisations, other actors - Number and % of HEIs which participate in another KIC activity 	<p>Structured data:</p> <ul style="list-style-type: none"> - Organisations involved in these partnerships - Nature of the partnership (contract, agreement, informal cooperation, etc.) - Countries of the organisations involved. Of them: RIS countries - Number of organisations from RIS countries <p>Supporting evidence: n/a</p>
<p>Improved support structures and mechanisms</p>	<p>Number of new and/or improved support structures and mechanisms established within or mobilized by the HEIs participating in the HEI Initiative with an objective to support innovation and / or entrepreneurship. For example, the following structures and mechanisms will be considered: innovation testbeds, units, programmes, spaces, infrastructures, etc.</p>	<p>Structured data:</p> <p>For each reported structure or mechanism, the data provided should include information on:</p> <ul style="list-style-type: none"> - Higher education institutions involved - Countries where these structures were established incl. RIS countries - Structures established in organisations from RIS countries <p>Supporting evidence: n/a</p>

4.2 EIT Impact Framework

Together with excellence, impact has been one of the guiding principles of the EIT since its creation. In a context of economic frailty, demonstrating a tangible and measurable impact is essential. The EIT Community is characterised by a focus on results and on achieving long-lasting impact in the way Europe approaches and manages innovation. It is therefore critical that the selected projects demonstrate their



ambition to create in a longer-term educational impact by strengthening human capital in research and innovation, enhancing innovative and entrepreneurial skills both at individual and organisational levels and fostering the creation and diffusion of knowledge and innovation openly within society.

The HEI projects are expected to demonstrate how the implementation of the IVAPs will contribute to achievement of outcomes within the HEI project funding period and toward 2030.

In the IVAP applicants must address the specific EIT KPIs found in Section 2.2 and at least one EIT Core KPI²⁹ found in the EIT Impact Framework³⁰.

Applicants should include the following in the “Impact” section of the HEI application:

- Specific EIT KPIs from Section 2.2 of this HEI Call 2 shall be used to measure progress during the post-HEI project funding period, July 2024 – 2030.
- Minimum one EIT Core KPI shall be used to measure progress during the HEI funding period and post-HEI project funding period, July 2022 – 2030.

Applicants shall not use in their IVAPs the KIC-specific KPIs found in the EIT Impact Framework.

Additional indicators may be used to monitor and track progress, results, outcomes and impacts.

4.3 Redress and Complaint Procedure

Upon receipt of the evaluation results, the applicant may wish to lodge a request for redress, if there is a concern that there might have been a shortcoming in the way a proposal was evaluated.

The redress procedure is not meant to call into question the judgement made by the independent experts who evaluated the proposals. The redress procedure will only consider procedural shortcomings and factual errors.

Requests for redress should be raised within 30 days of the receipt of the evaluation report and should be sent to compliance@eitrawmaterials.eu.

Requests must:

²⁹ There are 9 EIT Core KPIs found in the EIT Impact Framework table denoted by red font. The indicators denoted by black font found in the EIT Impact Framework, pages 1-9, are EIT KPIs. The remaining indicators in the EIT Impact Framework, starting from page 9, “EIT Climate-KIC”, are KIC-specific KPIs.

³⁰ Simplified EIT Impact Framework – www.eit.europa.eu/library/eit-simplified-impact-framework



- Be related to the evaluation process
- Include a clear description of the grounds for the complaint
- Be received within the time limit specified above

An initial reply will be sent to complainants no later than two weeks after the deadline for redress requests. This initial reply will indicate when a definitive reply will be provided. A Redress Committee including the EIT HEI Evaluation Committee may be convened to examine the evaluation process for the case under consideration.

The role of the Redress Committee is to ensure a coherent interpretation of requests and equal treatment of applicants. The Redress Committee itself, however, does not re-evaluate the proposal. Depending on the nature of the complaint, the Redress Committee may review the evaluation report and individual comments and examine the CVs of the evaluation experts.

Following its review, the Redress Committee will recommend a course of action to the EIT HEI Evaluation Committee. If there is clear evidence of a shortcoming that could have affected the funding decision, all or part of the proposal may be re-evaluated. Unless there is clear evidence of a shortcoming there will be no follow-up or re-evaluation. The EIT HEI Evaluation Committee will be informed of any redress procedures in due course.

Please note:

- This redress procedure is concerned with the evaluation process.
- The Redress Committee will not call into question the judgment of the individual expert evaluators whose qualifications have already been assessed and validated.
- A re-evaluation will only be carried out if there is evidence of a shortcoming that affects the quality assessment of a proposal. This means, for example, that a problem relating to one evaluation criterion will not lead to a re-evaluation if a proposal has failed anyway on any other criterion.
- The evaluation score following any re-evaluation will be regarded as definitive.
- May be lower than the original score.
- Only one request for redress per proposal will be considered.