

**EUROPEAN RESEARCH EXECUTIVE AGENCY (REA)**

REA.C – Future Society
C.4 – Reforming European R&I and Research Infrastructures

GRANT AGREEMENT**Project 101131725 — EULAC ENERGYTRAN****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':

ORGANIZACION DE ESTADOS IBEROAMERICANOS PARA LA EDUCACION LA CIENCIA Y LA CULTURA (OEI), PIC 927868924, established in BRAVO MURILLO 38, MADRID 28015, Spain,

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

2. **EUROPEAN SOLAR RESEARCH INFRASTRUCTURE FOR CONCENTRATED SOLAR POWER (EU-SOLARIS ERIC)**, PIC 883665733, established in CARRETERA A SENES KM 4, Tabernas 04200, Spain,

3. **E-SCIENCE EUROPEAN INFRASTRUCTURE FOR BIODIVERSITY AND ECOSYSTEM RESEARCH (LifeWatch ERIC)**, PIC 909022018, established in PLAZA DE ESPANA S/N, SECTOR II-III, SEVILLA 41071, Spain,

4. **AGENCIA ESTATAL CONSEJO SUPERIOR DE INVESTIGACIONES CIENTIFICAS (CSIC)**, PIC 999991722, established in CALLE SERRANO 117, MADRID 28006, Spain,

5. **INSTITUTO POLITECNICO DE SETUBAL (IPS)**, PIC 995304003, established in EDIFICIO SEDE CAMPUS DO IPS, SETUBAL 2910-761, Portugal,

6. **INESC TEC - INSTITUTO DE ENGENHARIA DE SISTEMAS E COMPUTADORES, TECNOLOGIA E CIENCIA (INESC TEC)**, PIC 999513706, established in RUA DR ROBERTO FRIAS CAMPUS DA FEUP, PORTO 4200 465, Portugal,

7. **PONTIFICIA UNIVERSIDAD CATOLICA DE CHILE (PUC)**, PIC 999643201, established in AVENIDA LIBERTADOR BERNARDO O'HIGGINS 340, SANTIAGO 8331150, Chile,

8. **TECNOLOGICO NACIONAL DE MEXICO (TECNM)**, PIC 918939589, established in AV. UNIVERSIDAD NO. 1200, 5° PISO COLONIA XOCO, CIUDAD DE MEXICO 03330, Mexico,

9. **UNIVERSIDAD NACIONAL DE GENERAL SAN MARTIN (UNSAM)**, PIC 966956335, established in MARTIN DE IRIGOYEN 3100, SAN MARTIN BUENOS AIRES 1650, Argentina,

10. **FUNDACION CENTRO DE ALTA TECNOLOGIA (CENAT)**, PIC 915207611, established in 1.3 KM NORTE DE LA EMBAJADA DE LOS ESTADOS UNIDOS EDIFICIO FRANKLIN CHAN, SAN JOSE 1174 1200, Costa Rica,

11. **UNIVERSIDAD NACIONAL DEL NORDESTE (UNNE)**, PIC 881192621, established in 25 DE MAYO 868 CORREINTES, BUENOS AIRES 3400, Argentina,

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.

The Agreement is composed of:

Preamble

Terms and Conditions (including Data Sheet)

- Annex 1 Description of the action¹
- Annex 2 Estimated budget for the action
- Annex 3 Accession forms (if applicable)²
- Annex 3a Declaration on joint and several liability of affiliated entities (if applicable)³
- Annex 4 Model for the financial statements
- Annex 5 Specific rules (if applicable)

¹ Template published on [Portal Reference Documents](#).

² Template published on [Portal Reference Documents](#).

³ Template published on [Portal Reference Documents](#).

TERMS AND CONDITIONS

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DATA SHEET

1. General data

Project summary:

Project summary
<p>EULAC ENERGYTRAN intends to strengthen the cooperation between the European Union and Latin American and the Caribbean research infrastructures to tackle a common challenge: how to get a clean, sustainable and just energy transition. This project pursues its goal through the exchange, generation and transfer of knowledge among entities from a multidisciplinary approach (technological, environmental, social) and through the support to the development of public policies and regulatory frameworks towards climate neutrality. This general goal will be achieved by four specific goals that respond the multidisciplinary approach, in tune with the complexity of the energy transition. Therefore, the project supports technological R&I to overcome the existing limitations of renewable energies but acknowledging these developments may have an environmental and social impact which must be addressed. This proposal wants to come up with ideas about how to achieve an energy transition compatible with environment protection and social justice. Energy transition is at the top of the political agendas of both regions, EU and LAC, so this project may contribute to consolidating it as a priority area of interregional scientific cooperation. This project will be carried out by a heterogenous and interdisciplinary consortium composed of eleven partners with wide presence in the EU and LAC. They include ERICS and an international organization, among other entities, from different areas of knowledge. This way the complexity of the energy transition is better tackled. Under this scheme, EULAC ENERGYTRAN will create a network of an interconnected and sustainable EU and LAC research infrastructures that contributes to energy transition by technological, social and sustainably strengthening the performance of entities through shared knowledge and close interactions among researchers. This common effort will mean a step forward, in both regions, to reach a society that needs to be resilient.</p>

Keywords:

- EU-LAC; research infrastructures; energy transition; multidisciplinary; technology; sustainability; social science; scientific cooperation

Project number: 101131725

Project name: EULAC FOR ENERGY TRANSITION: RESEARCH INFRASTRUCTURES COOPERATION FOR ENERGY TRANSITION BETWEEN EUROPE AND LATINAMERICAN AND THE CARIBBEAN COUNTRIES

Project acronym: EULAC ENERGYTRAN

Call: HORIZON-INFRA-2023-DEV-01

Topic: HORIZON-INFRA-2023-DEV-01-06

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 January 2024

Project end date: 31 December 2025

Project duration: 24 months

Consortium agreement: Yes

2. Participants

List of participants:

Nº	Role	Short name	Legal name	Ctry	PIC	Max grant amount
1	COO	OEI	ORGANIZACION DE ESTADOS IBEROAMERICANOS PARA LA EDUCACION LA CIENCIA Y LA CULTURA	ES	927868924	466 194.40
2	BEN	EU-SOLARIS ERIC	EUROPEAN SOLAR RESEARCH INFRASTRUCTURE FOR CONCENTRATED SOLAR POWER	ES	883665733	199 750.00

N°	Role	Short name	Legal name	Ctry	PIC	Max grant amount
3	BEN	LifeWatch ERIC	E-SCIENCE EUROPEAN INFRASTRUCTURE FOR BIODIVERSITY AND ECOSYSTEM RESEARCH	ES	909022018	203 000.00
4	BEN	CSIC	AGENCIA ESTATAL CONSEJO SUPERIOR DE INVESTIGACIONES CIENTIFICAS	ES	999991722	151 253.75
5	BEN	IPS	INSTITUTO POLITECNICO DE SETUBAL	PT	995304003	74 937.50
6	BEN	INESC TEC	INESC TEC - INSTITUTO DE ENGENHARIA DE SISTEMAS E COMPUTADORES, TECNOLOGIA E CIENCIA	PT	999513706	74 937.50
7	BEN	PUC	PONTIFICIA UNIVERSIDAD CATOLICA DE CHILE	CL	999643201	75 000.00
8	BEN	TECNM	TECNOLOGICO NACIONAL DE MEXICO	MX	918939589	75 000.00
9	BEN	UNSAM	UNIVERSIDAD NACIONAL DE GENERAL SAN MARTIN	AR	966956335	49 790.00
10	BEN	CENAT	FUNDACION CENTRO DE ALTA TECNOLOGIA	CR	915207611	74 981.25
11	BEN	UNNE	UNIVERSIDAD NACIONAL DEL NORDESTE	AR	881192621	49 790.00
Total						1 494 634.40

Coordinator:

- ORGANIZACION DE ESTADOS IBEROAMERICANOS PARA LA EDUCACION LA CIENCIA Y LA CULTURA (OEI)

3. Grant

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

Maximum grant amount (Annex 2)	Maximum grant amount (award decision)
1 494 634.40	1 494 634.40

Grant form: Lump Sum

Grant mode: Action grant

Budget categories/activity types: Lump sum contributions

Cost eligibility options: n/a

Budget flexibility: No

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
					Final payment	90 days from receiving periodic report
1	1	24	Periodic report	60 days after end of reporting period		

Prefinancing payments and guarantees:

Prefinancing payment	
Type	Amount
Prefinancing 1 (initial)	1 195 707.52

Reporting and payment modalities (art 21, 22):

Mutual Insurance Mechanism (MIM): Yes

MIM contribution: 5% of the maximum grant amount (74 731.72), 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

No-profit rule: n/a

Late payment interest: ECB + 3.5%

Bank account for payments:

ES9601280016610100075145

Conversion into euros: n/a

Reporting language: Language of the Agreement

4.3 Certificates (art 24): n/a**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:

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)

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 2018/1046⁴ 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

⁴ 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".

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 2017/1371⁵ and Article 1 of the Convention on the protection of the European Communities' financial interests, drawn up by the Council Act of 26 July 1995⁶, 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 2988/95⁷.

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 **101131725 — EULAC ENERGYTRAN** ('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

⁵ 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).

⁶ OJ C 316, 27.11.1995, p. 48.

⁷ 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).

The grant is an action grant⁸ which takes the form of a lump sum grant for the completion of work packages.

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

Not applicable

5.4 Estimated budget, budget categories and forms of funding

The estimated budget for the action (lump sum breakdown) is set out in Annex 2.

It contains the estimated eligible contributions for the action (lump sum contributions), broken down by participant and work package.

Annex 2 also shows the types of contributions (forms of funding)⁹ to be used for each work package.

5.5 Budget flexibility

Budget flexibility does not apply; changes to the estimated budget (lump sum breakdown) always require an amendment (see Article 39).

Amendments for transfers between *work packages* are moreover possible only if:

- the work packages concerned are not already completed (and declared in a financial statement) and
- the transfers are justified by the technical implementation of the action.

ARTICLE 6 — ELIGIBLE AND INELIGIBLE CONTRIBUTIONS

6.1 and 6.2 General and specific eligibility conditions

Lump sum contributions are eligible ('eligible contributions'), if:

- (a) they are set out in Annex 2 and
- (b) the work packages are completed and the work is properly implemented by the beneficiaries and/or the results are achieved, in accordance with Annex 1 and during in the period set out in Article 4 (with the exception of work/results relating to the submission of the final periodic report, which may be achieved afterwards; see Article 21)

They will be calculated on the basis of the amounts set out in Annex 2.

⁸ 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".

⁹ See Article 125 EU Financial Regulation 2018/1046.

6.3 Ineligible contributions

‘Ineligible contributions’ are:

- (a) lump sum contributions that do not comply with the conditions set out above (see Article 6.1 and 6.2)
- (b) lump sum contributions for activities already funded 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 case:
 - (i) Synergy actions: not applicable
- (c) other:
 - (i) country restrictions for eligible costs: not applicable.

6.4 Consequences of non-compliance

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

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

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. Lump sum 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): not applicable
 - 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.

(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’¹⁰ (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)
- 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 contributions to the action (no lump sum contributions) and their costs are considered entirely covered by the lump sum contributions paid to the beneficiaries.

¹⁰ 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.”

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

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 beneficiaries' costs for subcontracting are considered entirely covered by the lump sum contributions for implementing the work packages (irrespective of the actual subcontracting costs incurred, if any).

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 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: use qualified external auditors which are independent and comply with comparable standards as those set out in EU Directive 2006/43/EC¹¹
- for the controls under Article 25: 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.).

¹¹ 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).

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.

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)
- 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
- 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 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).

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 2015/444¹² and its implementing rules).

Deliverables which contain classified information must be submitted according to special procedures agreed with the granting authority.

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

¹² 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).

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 2018/1725¹³.

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 2016/679¹⁴).

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.

¹³ 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 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).

¹⁴ 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).

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:

- (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 and
- (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 the EU support and display the European flag (emblem) and funding statement (translated into local languages, where appropriate):



Funded by the
European Union



Co-funded by the
European Union



Funded by the
European Union



Co-funded by the
European Union

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

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 lump sum 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
- (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 (proper implementation of the work and/or achievement of the results as described in Annex 1) in line with the accepted standards in the respective field (if any); beneficiaries do not need to keep specific records on the actual costs incurred.

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, lump sum 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 prefinancements (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.

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 statement (consolidated statement for the consortium)
- the explanation on the use of resources (or detailed cost reporting table): not applicable
- the certificates on the financial statements (CFS): not applicable.

The **financial statement** must contain the lump sum contributions indicated in Annex 2, for the work packages that were completed during the reporting period.

For the last reporting period, the beneficiaries may exceptionally also declare partial lump sum

contributions for work packages that were not completed (e.g. due to force majeure or technical impossibility).

Lump sum contributions which are not declared in a financial statement will not be taken into account by the granting authority.

By signing the financial statement (directly in the Portal Periodic Reporting tool), the coordinator confirms (on behalf of the consortium) that:

- the information provided is complete, reliable and true
- the lump sum contributions declared are eligible (in particular, the work packages have been completed, that the work has been properly implemented and/or the results were achieved in accordance with Annex 1; see Article 6)
- the proper implementation and/or achievement 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).

In case of recoveries (see Article 22), beneficiaries will be held responsible also for the lump sum contributions declared for their affiliated entities (if any).

21.3 Currency for financial statements and conversion into euros

The financial statements must be drafted in euro.

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

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).

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.

This will be done on the basis of work packages already completed in previous interim payments. Payments for ongoing/not yet completed work packages which the beneficiary was working on before termination (if any) will therefore be made only later on, with the next interim or final payments when those work packages have been completed.

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, on the basis of the beneficiary’s lump sum contributions for the work packages which were approved in previous interim payments.

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:

$$\begin{aligned} & \{\text{total accepted EU contribution for the beneficiary} \\ & \text{minus} \\ & \{\text{prefinancing and interim payments received (if any)}\} \}. \end{aligned}$$

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.

22.3.3 Interim payments

Interim payments reimburse the eligible lump sum contributions claimed for work packages implemented 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 and the work packages declared. Their approval does not imply recognition of compliance, authenticity, completeness or correctness of their content.

Incomplete work packages and work packages that have not been delivered or cannot be approved will be rejected (see Article 27).

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

Step 1 — Calculation of the total accepted EU contribution

The granting authority will first calculate the ‘accepted EU contribution’ for the action for the reporting period, by calculating the lump sum contributions for the approved work packages.

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 eligible lump sum contributions claimed for the implemented work packages (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 and the work packages declared. Their approval does not imply recognition of compliance, authenticity, completeness or correctness of their content.

Work packages (or parts of them) that have not been delivered or cannot be approved will be rejected (see Article 27).

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 lump sum contributions for the approved work packages.

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

Not applicable

Step 3 — Reduction due to the no-profit rule

Not applicable

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:

$$\begin{aligned} &\{\text{final grant amount} \\ &\text{minus} \\ &\{\text{prefinancing and interim payments made (if any)}\}\}. \end{aligned}$$

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
- 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:

$$\left\{ \left\{ \begin{array}{l} \text{total accepted EU contribution for the beneficiary} \\ \text{divided by} \\ \text{total accepted EU contribution for the action} \end{array} \right\} \times \text{final grant amount for the action} \right\},$$

minus

$$\left\{ \text{prefinancing and interim payments received by the beneficiary (if any)} \right\}$$

and

- (b) dividing the debt:

$$\left\{ \begin{array}{l} \text{amount calculated according to point (a) for the beneficiary concerned} \\ \text{divided by} \\ \text{the sum of the amounts calculated according to point (a) for all the beneficiaries identified according to point (a)} \end{array} \right\}$$

multiplied by

$$\text{the amount to be recovered}.$$

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 lump sum contributions (see Article 27) or reduces the grant (see Article 28), it will calculate the **revised final grant amount** for the beneficiary concerned.

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 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:

$$\left\{ \begin{array}{l} \text{\{total accepted EU contribution for the beneficiary} \\ \text{divided by} \\ \text{total accepted EU contribution for the action\}} \\ \text{multiplied by} \\ \text{final grant amount for the action\}}. \end{array} \right.$$

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 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 23.5, 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 2015/2366¹⁵ 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 reference rate applied by the European

¹⁵ 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).

Central Bank (ECB) for its main refinancing operations in euros, plus the percentage specified in the Data Sheet (Point 4.2). The ECB reference rate to be used 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).

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

Not applicable

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 lump sum contributions, deliverables and reports.

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. 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.

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) 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.

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 883/2013¹⁶ and No 2185/96¹⁷
- 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 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 findings

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

¹⁶ 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).

¹⁷ 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).

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

Findings 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 lump sum 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:
 - (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, lump sum 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

SECTION 1 REJECTIONS AND GRANT REDUCTION

ARTICLE 27 — REJECTION OF CONTRIBUTIONS

27.1 Conditions

The granting authority will — at interim payment, final payment or afterwards — reject any lump sum 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 lump sum 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 lump sum contributions, it will deduct them from the lump sum 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 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; see Article 25.5).

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 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.

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 (extension of findings; see Article 25.5).

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.

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. Moreover, no work may be done. Ongoing work packages must be interrupted and no new work packages may be started.

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, 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 (extension of findings; see Article 25.5)
- (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. Moreover, no work may be done. Ongoing work packages must be interrupted and no new work packages may be started.

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

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 lump sum contributions for activities implemented before the end of work date (see Article 22). Partial lump sum contributions for work packages that were not completed (e.g. due to technical reasons) may exceptionally be taken into account.

If the granting authority does not receive the report within the deadline, only lump sum contributions which are included in an approved periodic report will be taken into account (no 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)
- 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
- (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 reports submitted in previous interim payments (i.e. beneficiary's lump sum contributions for completed and approved work packages).

Lump sum contributions for ongoing/not yet completed work packages will have to be included in the periodic report for the next reporting periods when those work packages have been completed.

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).

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:
 - (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; see Article 25.5)
- (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).

The granting authority will calculate the final grant amount and final payment on the basis of the report submitted and taking into account the lump sum contributions for activities implemented before termination takes effect (see Article 22). Partial lump sum contributions for work packages that were not completed (e.g. due to technical reasons) may exceptionally be taken into account.

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 lump sum contributions which are included in an approved periodic report will be taken into account (no 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
- (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 reports submitted in previous interim payments (i.e. beneficiary's lump sum contributions for completed and approved work packages).

Lump sum contributions for ongoing/not yet completed work packages will have to be included in the periodic report for the next reporting periods when those work packages have been completed.

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, for instance, Articles 135 to 145 EU Financial Regulation 2018/1046 and Articles 4 and 7 of Regulation 2988/95¹⁸).

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.

¹⁸ 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).

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).

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 1182/71¹⁹, 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

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.

¹⁹ 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).

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 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

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



ANNEX 1



Horizon Europe (HORIZON)

Description of the action (DoA)

Part A

Part B

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:	101131725
Project name:	EULAC FOR ENERGY TRANSITION: RESEARCH INFRASTRUCTURES COOPERATION FOR ENERGY TRANSITION BETWEEN EUROPE AND LATINAMERICAN AND THE CARIBBEAN COUNTRIES
Project acronym:	EULAC ENERGYTRAN
Call:	HORIZON-INFRA-2023-DEV-01
Topic:	HORIZON-INFRA-2023-DEV-01-06
Type of action:	HORIZON-CSA
Service:	REA/C/04
Project starting date:	fixed date: 1 January 2024
Project duration:	24 months

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List of critical risks 25

Project reviews 26

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.

EULAC ENERGYTRAN intends to strengthen the cooperation between the European Union and Latin American and the Caribbean research infrastructures to tackle a common challenge: how to get a clean, sustainable and just energy transition. This project pursues its goal through the exchange, generation and transfer of knowledge among entities from a multidisciplinary approach (technological, environmental, social) and through the support to the development of public policies and regulatory frameworks towards climate neutrality.

This general goal will be achieved by four specific goals that respond the multidisciplinary approach, in tune with the complexity of the energy transition. Therefore, the project supports technological R&I to overcome the existing limitations of renewable energies but acknowledging these developments may have an environmental and social impact which must be addressed. This proposal wants to come up with ideas about how to achieve an energy transition compatible with environment protection and social justice.

Energy transition is at the top of the political agendas of both regions, EU and LAC, so this project may contribute to consolidating it as a priority area of interregional scientific cooperation.

This project will be carried out by a heterogenous and interdisciplinary consortium composed of eleven partners with wide presence in the EU and LAC. They include ERICS and an international organization, among other entities, from different areas of knowledge. This way the complexity of the energy transition is better tackled.

Under this scheme, EULAC ENERGYTRAN will create a network of an interconnected and sustainable EU and LAC research infrastructures that contributes to energy transition by technological, social and sustainably strengthening the performance of entities through shared knowledge and close interactions among researchers. This common effort will mean a step forward, in both regions, to reach a society that needs to be resilient.

LIST OF PARTICIPANTS

PARTICIPANTS

Grant Preparation (Beneficiaries screen) — Enter the info.

Number	Role	Short name	Legal name	Country	PIC
1	COO	OEI	ORGANIZACION DE ESTADOS IBEROAMERICANOS PARA LA EDUCACION LA CIENCIA Y LA CULTURA	ES	927868924
2	BEN	EU-SOLARIS ERIC	EUROPEAN SOLAR RESEARCH INFRASTRUCTURE FOR CONCENTRATED SOLAR POWER	ES	883665733
3	BEN	LifeWatch ERIC	E-SCIENCE EUROPEAN INFRASTRUCTURE FOR BIODIVERSITY AND ECOSYSTEM RESEARCH	ES	909022018
4	BEN	CSIC	AGENCIA ESTATAL CONSEJO SUPERIOR DE INVESTIGACIONES CIENTIFICAS	ES	999991722
5	BEN	IPS	INSTITUTO POLITECNICO DE SETUBAL	PT	995304003
6	BEN	INESC TEC	INESC TEC - INSTITUTO DE ENGENHARIA DE SISTEMAS E COMPUTADORES, TECNOLOGIA E CIENCIA	PT	999513706

PARTICIPANTS*Grant Preparation (Beneficiaries screen) — Enter the info.*

Number	Role	Short name	Legal name	Country	PIC
7	BEN	PUC	PONTIFICIA UNIVERSIDAD CATOLICA DE CHILE	CL	999643201
8	BEN	TECNM	TECNOLOGICO NACIONAL DE MEXICO	MX	918939589
9	BEN	UNSAM	UNIVERSIDAD NACIONAL DE GENERAL SAN MARTIN	AR	966956335
10	BEN	CENAT	FUNDACION CENTRO DE ALTA TECNOLOGIA	CR	915207611
11	BEN	UNNE	UNIVERSIDAD NACIONAL DEL NORDESTE	AR	881192621

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	Mobilities for Technology	2 - EU-SOLARIS ERIC	33.10	1	24	D1.1 – Inventory of RI for energy transition D1.2 – Monitoring report for technology mobilities I D1.3 – Monitoring report for technologies mobilities II
WP2	Research and innovation actions for Technology	2 - EU-SOLARIS ERIC	46.50	13	24	D2.1 – Paper about solar thermal energy assessment D2.2 – Monography about RI for green hydrogen and lithium D2.3 – Report about lithium extraction D2.4 – Conclusions on the on-line international workshop D2.5 – Conclusions on the virtual thematic event
WP3	Coordination, Management, Quality Control, Dissemination, Exploitation and Communication	1 - OEI	43.60	1	24	D3.1 – Project webpage D3.2 – Ethic Plan D3.3 – Data Management Plan D3.4 – Gender equality plan D3.5 – Plan for dissemination and exploitation D3.6 – Policy brief I D3.7 – Memorandums of Understanding D3.8 – Updated plan for dissemination and exploitation D3.9 – Policy brief II D3.10 – Project Management Handbook D3.11 – Quality Assurance Plan

Work packages <i>Grant Preparation (Work Packages screen) — Enter the info.</i>						
Work Package No	Work Package name	Lead Beneficiary	Effort (Person-Months)	Start Month	End Month	Deliverables
WP4	Mobilities for sustainability	3 - LifeWatch ERIC	20.60	1	24	D4.1 – E-learning course on open science D4.2 – Monitoring report for sustainability mobilities I
WP5	Research and innovation actions for sustainability	3 - LifeWatch ERIC	40.50	13	24	D5.1 – Software for the SDG achievement on research D5.2 – Development of the research platform of climate change and diversity for energy transition D5.3 – Monitoring report for sustainability mobilities II
WP6	Mobilities for social impact	4 - CSIC	11.00	1	24	D6.1 – Monitoring report for social impact mobilities I D6.2 – Monitoring report for social impact mobilities II
WP7	Research and innovation actions for social impact	4 - CSIC	16.00	13	24	D7.1 – Ethnographic research about the social impacts of energy transition

Work package WP1 – Mobilities for Technology

Work Package Number	WP1	Lead Beneficiary	2. EU-SOLARIS ERIC
Work Package Name	Mobilities for Technology		
Start Month	1	End Month	24

Objectives
<p>Specific objective:</p> <p>To promote the exchange and generation of knowledge among European and Latin American research infrastructures innovating through the modernization of the technologies developed by the energy research infrastructures to supply solutions for a progressive electrification, integrating decarbonized and low emission energy carriers such as renewable hydrogen and lithium technologies.</p> <p>Expected results:</p> <ul style="list-style-type: none"> - To promote Scientific Cooperation Networks between Latin American R&I entities and European research infrastructures able to create innovative solutions to transform energy sector. - To generate dialogue and exchange with local context (indigenous, rural communities, etc.) in order to generate capacities on how to use clean energy (as solar thermal energy) on social needs (i.e. water desalination).

Description
<p>a) Mobilities</p> <ul style="list-style-type: none"> - At least, 15 mobilities from LAC entities to European research infrastructures and one from European research infrastructures to LAC R&I entities to promote Scientific Cooperation Networks between Latin American R&I entities and European research infrastructures focused on energy sector. - These mobilities from LAC entities will be used to one-on-one research mentoring over roughly 1-month periods. These mobility actions strengthen both, dissemination, as the students will carry the knowledge and experiences with them after graduating, and exploitation, as the mobility will strengthen scientific excellence, collaboration, and synergies among the partners. - The mobility planned from Europe to LAC R&I entities will be mainly used to carry out a detailed scrutiny of the existing capabilities in the field of solar RIs and to initiate a dialogue with local stakeholders in order to identify the most suitable applications of high temperature solar process heat in the LAC socio-economic environment. The ultimate goal is the establishment of a permanent Scientific Cooperation Network between all interested parties from both sides of the Atlantic and keep going in the support of the achievement of Sustainable Development Goals on a peer-to-peer basis. <p>b) Technical assistance for the capacity building of indigenous and rural communities about the use of green energy (as solar thermal energy) on social needs (i.e. water desalination) will be provided by the EU-SOLARIS ERIC's scientists with the support and guidance of the LAC colleagues.</p> <p>c) Elaboration of an inventory of research infrastructure (i.e., equipment, research groups) available in Latin America and Europe to support the implementation and consolidation of green hydrogen production and lithium supply chains. This inventory will allow identification of the research capabilities and limitations of LAC and EU countries and promote international collaborations for research and innovation to achieve a sustainable energy transition agenda.</p>

Work package WP2 – Research and innovation actions for Technology

Work Package Number	WP2	Lead Beneficiary	2. EU-SOLARIS ERIC
Work Package Name	Research and innovation actions for Technology		
Start Month	13	End Month	24

Objectives
<p>Specific objective:</p> <p>To promote the exchange and generation of knowledge among European and Latin American research infrastructures innovating through the modernization of the technologies developed by the energy research infrastructures to supply solutions for a progressive electrification, integrating decarbonized and low emission energy carriers such as renewable hydrogen and lithium technologies.</p> <p>Expected results:</p> <ul style="list-style-type: none"> - To bring innovative solutions to energy transitions in form of intellectual products and scientific works such as, monography on the capacities and limitations of research infrastructures or a paper about the assessment on which are the most viable, useful and urgent possible application of solar thermal energy in LAC and EU countries and with a greater impact in the environment and the decarbonization of their economies, the capabilities and limitations of LAC and EU countries for the production of green hydrogen and the lithium supply chain for energy applications, and other sources of sustainable energy covered in this project.

Description
<p>In this WP the activities will be carried out are the following ones:</p> <ul style="list-style-type: none"> - Joint assessment on which are the most viable, useful and urgent possible application of solar thermal energy in LAC and EU countries and with a greater impact in the environment and the decarbonization of their economies to bring innovative solutions to energy transitions in form of a research and other academic papers about the scientific areas of knowledge generated in cooperation thanks to the mobilities. This effort will be carried out in a coordinated way between scientists of the EU-SOLARIS ERIC and the identified LAC research infrastructures or entities involved in the project. - Virtual thematic event related to technology in energy transition: A virtual thematic event shall be organized where evidences of the critical issues to be addressed will be discussed and decisions on the most significant areas of further work will be made. Also, at this event, the results of the mobility actions carried out will be presented and discussed. - In addition, an on-line international workshop on the green hydrogen production and lithium valorization and exploitation for energy production in LAC and EU countries. This event will involve plenary lectures, short courses and poster presentations from academia, industry and government. It will be a free event of 2 – 3 day that will promote national and international collaboration for energy transition. An electronic book will be published with the best papers of this workshop.

Work package WP3 – Coordination, Management, Quality Control, Dissemination, Exploitation and Communication

Work Package Number	WP3	Lead Beneficiary	1. OEI
Work Package Name	Coordination, Management, Quality Control, Dissemination, Exploitation and Communication		
Start Month	1	End Month	24

Objectives
<p>Specific objective:</p> <p>To foster the scientific cooperation between the European Union and Latin America energy research infrastructures effectively takes place with an ethical and quality way and to transfer the results of that cooperation to make energy transition a key perspective for the main stakeholders (policy makers, researchers, enterprises...) involved on the energy sector transformation.</p> <p>Expected results:</p> <ul style="list-style-type: none"> - To foster internal project coordination and external dissemination.

- To propose policy recommendations and guidelines about how to carry out a clean, sustainable and just energy transition destined to be transferred to Latin-American and European policy makers.
- To elaborate and implement smart specialization strategies for energy transition based on the knowledge generated during the project

Description

This workpackage includes all the activities about coordination, management, exploitation and dissemination:

- Coordination activities: At the beginning, it will be organized a meeting with all the partners, in a kick-off meeting format, that will take place in-person, hosted by a LAC entity of the consortium, with the goal of meeting each other, organizing the consortium, defining the concrete versions of the work packages and its calendars. It will be also created a steering committee that will be composed by one representant of each partner. We will have a virtual meeting each month. Besides, each month the OEI will organize meetings with the entities implicated in each work package in order to carry out a follow-up of the processes. At the end of the project, together with the final public international congress, we will meet in-person in Spain or Portugal, in order to have a final internal meeting that supports the evaluation of the whole project and the organization of its sustainability.

- Management activities: With a wide experience in quality assurance in different areas, the OEI will establish a quality plan composed by indicators to measure the quality of the processes carried out in the development of the activities and other issues related to DMP, ethic, security and gender. It will include areas of quality demanded specifically by the EU, considering ethics and security, gender policies and data management plan taking into account the 'do no significant harm' principle. In order to develop a monitoring and evaluation system, during the project, OEI, as leader of this WP, will demand to the rest of the leading entities three kind of reports: the first as a specific definition of the development of each work package; the second, an intermediate monitoring, one per WP, once it is finished; the third, a final one, that gathers a final resume of the activity carried out by each partner. To facilitate this task, OEI counts with an open software to the project management (GesprOEI) based on the methodology GONG. Finally, an evaluation will be carried out in order to determine the success of the project, detect errors and chance to improve, as well as new opportunities of collaboration. This last task will be carried out together with the elaboration of policy recommendations and guidelines destined to European and LAC researchers and policy makers about a clean and just energy transition, and about how to improve scientific cooperation between both regions, taking into account the work and learnings extracted from the project.

- Exploitation activities: In order to accomplish with the task of assuring that the process and the results reach IberoAmerican policy-makers, the OEI will be responsible of informing them in spaces like High Level Political Forum or other meeting organized by OEI and European Commission. This action pursues to strengthen the scientific cooperation between LAC and Europe and the continuance of the project. A report including political recommendations and guidelines will be published to facilitate this exploitation of the project's results. In addition, as part of a specific way to transfer scientific development must give way to a science that places the center of attention on systemic, natural, social and cultural relationships. For this reason, Smart Specialization Strategies in LAC and European context will be carried out as part of the project. Greater sectorial connection is required in the formulation of public policies, not only from an internal perspective in terms of how the different phases of the same policy are defined, but also from an external one, that is, alignment between policies and the generation of spaces for highlevel reflection. Smart specialization strategies focus attention on improving innovation capabilities through participatory and collective reflection processes to facilitate decision-making in terms of public research and innovation policies about energy transition. The proposal considers for this action the collaboration with JRC due to its relevant services and expertise in LAC countries implementing Smart Specialization Strategies.

- Dissemination activities: The OEI, as leader of this WP, will develop a specific role in the task of transfer and dissemination. In order guarantee a continuous communication of the project and its outcomes, the OEI will be in charge of the creation a specific webpage. Besides, the communication plan previously described will be developed and concreted, generating planification for each communicative action. In order to achieve this, the OEI will put in service of the project its communicative capacities. Currently, the OEI counts with approximately 20 agreements and more than 30 stable spaces of dissemination in media of the whole Ibero-American region. There are more than 530 thousands of followers consuming, interacting and communicating the content of the OEI. In social media, we act through Instagram, Twitter, LinkedIn, Facebook and YouTube, having a growth of public in each of them, but standing out YouTube, where, during the last two years, the subscriptions have augmented a 290%. In addition to this, the OEI will also disseminate the work carried out in this project among the partners that the organization counts with and in other science events and projects as the IberoAmerican Researchers' Night. Moreover, this project will be disseminated through an international

event that will take place at the end of the 24 months with the aim of sharing results with all the actors of the energy sector, as well as other stakeholders.

Work package WP4 – Mobilities for sustainability

Work Package Number	WP4	Lead Beneficiary	3. LifeWatch ERIC
Work Package Name	Mobilities for sustainability		
Start Month	1	End Month	24

Objectives

Specific objective:

To stand out the environmental dimension on the energy transition to make it compatible, to assure new energy sources are really sustainable and environmentally friendly.

Expected results:

- To train researchers from European research infrastructures and LAC R&I entities on how to incorporate environmental care on their research about energy technologies.
- To promote scientific Cooperation Networks between Latin American R&I entities and European research infrastructures.

Description

The activities carried out in this WP are:

- At least 10 mobilities from LAC R&I entities to European research infrastructures and 5 from European research infrastructures to LAC R&I entities.
- E-learning course oriented to researchers on how to incorporate open science, specially focused on energy transition, natural capital and climate change (including a face-to-face pilot course with a LAC entity to verify the training methodology). This course will be done with the objective of promoting the NDICI instrument 'Neighborhood, Development and International Cooperation instrument' with indigenous and regional communities, supporting in the Indigenous Knowledge Research Infrastructure (IKRI) in order to work collaboratively. At least one pilot course will be done (Costa Rica) but it will be developed in a hybrid way and open to other EU and LAC countries (inside and outside from the consortium). The final objective of the course is to create researchers' capacity building about the environments in which they carry out their investigations.

Work package WP5 – Research and innovation actions for sustainability

Work Package Number	WP5	Lead Beneficiary	3. LifeWatch ERIC
Work Package Name	Research and innovation actions for sustainability		
Start Month	13	End Month	24

Objectives

Specific objective:

To stand out the environmental dimension on the energy transition to make it compatible, to assure new energy sources are really sustainable and environmentally friendly.

Expected results:

To exchange know-how related to scientific results and data on energy transition among LAC and EU researchers.

Description
<p>The activities carried out in this WP are:</p> <ul style="list-style-type: none"> - Adaptation and development of the already exist research platform of Life Watch ERIC (Virtual Research Environment) focused on climate change and diversity for energy transition to exchange knowhow related to scientific results and data. The platform will be open access and centralizes the main actors of Latin American and Caribbean research with Europe. It allows searching for researchers with whom to cooperate on the specific theme of the project. On the platform it will be possible to share data, resources, etc., on energy transition, diversity and climate change. The technological capacity provided by the platform is that it unifies data interoperability between LAC (Costa Rica and Uruguay – expand to other countries in the region-) and the EU. - Software to generate traceability chains (blockchain, mobilities traceability, etc.), about the SDG achievement on research mainly focused on clean and just energy transition. Similar to my.lifewatch.eu tool, the software will be key to consolidating the dialogue among Research Infrastructures, Universities, Policy Makers and other relevant actors in the international cooperation in science and technology between the European Union and the countries of Latin America and the Caribbean. - Virtual thematic event about how to incorporate environmental perspective in energy transition: A virtual thematic event shall be organized where evidences of the critical issues to be addressed will be discussed and decisions on the most significant areas of further work will be made. Also, at this event, the results of the mobility actions carried out will be presented and discussed.

Work package WP6 – Mobilities for social impact

Work Package Number	WP6	Lead Beneficiary	4. CSIC
Work Package Name	Mobilities for social impact		
Start Month	1	End Month	24

Objectives
<p>Specific objective:</p> <p>Research and promote social methods and public policies to make the energy transition highly beneficial for societies by approaching it from an integral perspective. This must consider at least two levels of reflection: a) a dimension of territorial justice, which is beneficial to the local communities involved in energy transition policies; b) a dimension of international economic justice, which serves the country promoting energy transition policies to implement clearly positive development strategies, both at the level of endogenous industrialization and balanced trade exchanges.</p> <p>Expected results:</p> <ul style="list-style-type: none"> - Trained researchers from European research infrastructures and LAC R&I entities on how to incorporate social perspective on their research about energy technologies.

Description
<p>In this WP, it will be carried out the phase I (design) and phase II (fieldwork) of an ethnographic study comparing case studies of specific policies focused on lithium, green hydrogen and renewable energies in three countries of the consortium. The phases of the research will be as follows:</p> <p>Months 1-3: establishment of the relevant case studies and the research design.</p> <p>Months 4-12 ethnographic fieldwork (combination of online interviews with five research stays in LAC/five research trips in Spain-Portugal).</p> <p>In the research will participate:</p> <ul style="list-style-type: none"> - Emilio Santiago, senior scientist at the Institute of Language, Literature and Anthropology, specialized in climate and

energy transition anthropology, co-author of the Annual Report of the Ibero-American State on Science (2022) and IP2 of the Energy Humanities research project, who will be responsible for the work package.

- Pedro Tomé, research scientist at the Institute of Language, Literature and Anthropology, specialized in social impacts of energy infrastructures.

- Cesar Rendueles, senior scientist at the Institute of Philosophy of the CSIC, sociologist specializing in studies of inequality and common goods.

- Jaime Vindel, historian at the Institute of History, IP1 of the Energy Humanities research project and specialist in cultural imaginaries of energy. Jaime Vindel is a Ramón y Cajal researcher at the CSIC, cofunded by the European Union (RYC2018-024943-I), so although he will be charged in the project, he will not be charged in costs, in order not to incur double funding.

To this team, whose dedication to the project will be 7% of their working hours for two years, will be added a one-year full-time postdoctoral contract (from months six to eighteen), preferably a woman, who will develop one of the research stays in LAC as the bulk of the work of transcription of interviews, qualitative data analysis and systematization. As the main part of this work package, 10 mobilities will be carried out to develop in-depth interviews and fieldwork (5 in Latin America and 5 in Spain-Portugal), combining online methodologies with short research stays that allow a qualitatively relevant contact with the processes studied.

Work package WP7 – Research and innovation actions for social impact

Work Package Number	WP7	Lead Beneficiary	4. CSIC
Work Package Name	Research and innovation actions for social impact		
Start Month	13	End Month	24

Objectives

Specific objective:

Research and promote social methods and public policies to make the energy transition highly beneficial for societies by approaching it from an integral perspective. This must consider at least two levels of reflection: a) a dimension of territorial justice, which is beneficial to the local communities involved in energy transition policies; b) a dimension of international economic justice, which serves the country promoting energy transition policies to implement clearly positive development strategies, both at the level of endogenous industrialization and balanced trade exchanges.

Expected results:

Ethnographic research and subsequent publication on the social impacts of energy transition in case studies of specific policies focused on lithium, green hydrogen and renewable energies.

Description

In this WP, it will be carried out the phase III (systematization and paper writing) and the phase IV (publication and presentation of results) of ethnographic research on the social impacts of energy transition in specific policy case studies focusing on lithium, green hydrogen and renewable energies. The phases of the research will continue as follows:

Months 13-18: systematization of data and writing of the ethnographic document.

Months 19-24: publication of the ethnography and presentation of results in thematic event of the work package.

Activities that will be carried out in this work package are the following ones:

- Comparative ethnographic study, of relevant cases in three countries, on how social issues (territorial justice, international economic insertion) are being incorporated in European research infrastructures and in LAC research entities working in the energy sector (CSIC). The final book of the research will be published by an academic publisher of high scientific prestige.

- Virtual thematic event: A virtual thematic event shall be organized where evidences of the critical issues related to social impact of energy transition will be discussed and decisions on the most significant areas of further work will be made.

STAFF EFFORT

Staff effort per participant <i>Grant Preparation (Work packages - Effort screen) — Enter the info.</i>								
Participant	WP1	WP2	WP3	WP4	WP5	WP6	WP7	Total Person-Months
1 - OEI	5.00	5.00	25.00	5.00	5.00	5.00	5.00	55.00
2 - EU-SOLARIS ERIC	10.00	10.00	4.00					24.00
3 - LifeWatch ERIC	1.00	0.50	1.50	3.50	4.50	0.50	0.50	12.00
4 - CSIC			3.00			5.50	10.50	19.00
5 - IPS	4.00	10.00	1.00	3.00	9.00			27.00
6 - INESC TEC	4.00	10.00	1.00	3.00	9.00			27.00
7 - PUC	4.00		2.00					6.00
8 - TECNM	0.10	6.00	0.10	0.10	6.00			12.30
9 - UNSAM	2.50	2.50	1.00					6.00
10 - CENAT			4.00	6.00	7.00			17.00
11 - UNNE	2.50	2.50	1.00					6.00
Total Person-Months	33.10	46.50	43.60	20.60	40.50	11.00	16.00	211.30

LIST OF DELIVERABLES

Deliverables <i>Grant Preparation (Deliverables screen) — Enter the info.</i> <i>The labels used mean:</i> <i>Public — fully open (🚩 automatically posted online)</i> <i>Sensitive — limited under the conditions of the Grant Agreement</i> <i>EU classified —RESTREINT-UE/EU-RESTRICTED, CONFIDENTIEL-UE/EU-CONFIDENTIAL, SECRET-UE/EU-SECRET under Decision 2015/444</i>						
Deliverable No	Deliverable Name	Work Package No	Lead Beneficiary	Type	Dissemination Level	Due Date (month)
D1.1	Inventory of RI for energy transition	WP1	8 - TECNM	R — Document, report	PU - Public	18
D1.2	Monitoring report for technology mobilities I	WP1	1 - OEI	R — Document, report	PU - Public	12
D1.3	Monitoring report for technologies mobilities II	WP1	1 - OEI	R — Document, report	PU - Public	24
D2.1	Paper about solar thermal energy assessment	WP2	2 - EU-SOLARIS ERIC	R — Document, report	PU - Public	24
D2.2	Monography about RI for green hydrogen and lithium	WP2	8 - TECNM	R — Document, report	PU - Public	18
D2.3	Report about lithium extraction	WP2	7 - PUC	R — Document, report	PU - Public	24
D2.4	Conclusions on the on-line international workshop	WP2	8 - TECNM	R — Document, report	PU - Public	24
D2.5	Conclusions on the virtual thematic event	WP2	2 - EU-SOLARIS ERIC	R — Document, report	PU - Public	24
D3.1	Project webpage	WP3	1 - OEI	DEC — Websites, patent filings, videos, etc	PU - Public	6
D3.2	Ethic Plan	WP3	1 - OEI	OTHER	PU - Public	6
D3.3	Data Management Plan	WP3	1 - OEI	DMP — Data Management Plan	PU - Public	6

Deliverables

Grant Preparation (Deliverables screen) — Enter the info.

The labels used mean:

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)
D3.4	Gender equality plan	WP3	1 - OEI	OTHER	PU - Public	12
D3.5	Plan for dissemination and exploitation	WP3	1 - OEI	R — Document, report	PU - Public	6
D3.6	Policy brief I	WP3	1 - OEI	R — Document, report	PU - Public	12
D3.7	Memorandums of Understanding	WP3	1 - OEI	OTHER	SEN - Sensitive	24
D3.8	Updated plan for dissemination and exploitation	WP3	1 - OEI	R — Document, report	PU - Public	14
D3.9	Policy brief II	WP3	1 - OEI	R — Document, report	PU - Public	24
D3.10	Project Management Handbook	WP3	1 - OEI	R — Document, report	PU - Public	3
D3.11	Quality Assurance Plan	WP3	1 - OEI	R — Document, report	PU - Public	3
D4.1	E-learning course on open science	WP4	3 - LifeWatch ERIC	DEM — Demonstrator, pilot, prototype	PU - Public	12
D4.2	Monitoring report for sustainability mobilities I	WP4	1 - OEI	R — Document, report	PU - Public	12
D5.1	Software for the SDG achievement on research	WP5	3 - LifeWatch ERIC	OTHER	PU - Public	13
D5.2	Development of the research platform of climate change and diversity for energy transition	WP5	3 - LifeWatch ERIC	DATA — data sets, microdata, etc	PU - Public	13

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)
D5.3	Monitoring report for sustainability mobilities II	WP5	1 - OEI	R — Document, report	PU - Public	24
D6.1	Monitoring report for social impact mobilities I	WP6	1 - OEI	R — Document, report	PU - Public	12
D6.2	Monitoring report for social impact mobilities II	WP6	1 - OEI	R — Document, report	PU - Public	24
D7.1	Ethnographic research about the social impacts of energy transition	WP7	4 - CSIC	R — Document, report	PU - Public	13

Deliverable D1.1 – Inventory of RI for energy transition

Deliverable Number	D1.1	Lead Beneficiary	8. TECNM
Deliverable Name	Inventory of RI for energy transition		
Type	R — Document, report	Dissemination Level	PU - Public
Due Date (month)	18	Work Package No	WP1

Description
Inventory of research infrastructure on green energy production and lithium valorization and supply chain for energy transition.

Deliverable D1.2 – Monitoring report for technology mobilities I

Deliverable Number	D1.2	Lead Beneficiary	1. OEI
Deliverable Name	Monitoring report for technology mobilities I		
Type	R — Document, report	Dissemination Level	PU - Public
Due Date (month)	12	Work Package No	WP1

Description
First monitoring report for technology mobilities.

Deliverable D1.3 – Monitoring report for technologies mobilities II

Deliverable Number	D1.3	Lead Beneficiary	1. OEI
Deliverable Name	Monitoring report for technologies mobilities II		
Type	R — Document, report	Dissemination Level	PU - Public
Due Date (month)	24	Work Package No	WP1

Description
Final monitoring report for technology mobilities carried out

Deliverable D2.1 – Paper about solar thermal energy assessment

Deliverable Number	D2.1	Lead Beneficiary	2. EU-SOLARIS ERIC
Deliverable Name	Paper about solar thermal energy assessment		
Type	R — Document, report	Dissemination Level	PU - Public
Due Date (month)	24	Work Package No	WP2

Description
Paper about the assessment on which are the most viable, useful and urgent possible application of solar thermal energy in LAC and EU countries and with a greater impact in the environment and the decarbonization of their economies and other academic papers about the scientific areas of knowledge generated in cooperation thanks to the mobilities.

Deliverable D2.2 – Monography about RI for green hydrogen and lithium

Deliverable Number	D2.2	Lead Beneficiary	8. TECNM
Deliverable Name	Monography about RI for green hydrogen and lithium		
Type	R — Document, report	Dissemination Level	PU - Public
Due Date (month)	18	Work Package No	WP2

Description
Monography on the capabilities and limitations of research infrastructure available in LAC and EU countries to support and consolidate the green hydrogen production and lithium supply chains.

Deliverable D2.3 – Report about lithium extraction

Deliverable Number	D2.3	Lead Beneficiary	7. PUC
Deliverable Name	Report about lithium extraction		
Type	R — Document, report	Dissemination Level	PU - Public
Due Date (month)	24	Work Package No	WP2

Description
Report about the best strategy to develop Lithium extraction in the LAC Lithium triangle (Chile, Bolivia, Argentina) taking into account the technological alternatives, social and environmental impact.

Deliverable D2.4 – Conclusions on the on-line international workshop

Deliverable Number	D2.4	Lead Beneficiary	8. TECNM
Deliverable Name	Conclusions on the on-line international workshop		
Type	R — Document, report	Dissemination Level	PU - Public
Due Date (month)	24	Work Package No	WP2

Description
An electronic book will be published with the best papers of this workshop.

Deliverable D2.5 – Conclusions on the virtual thematic event

Deliverable Number	D2.5	Lead Beneficiary	2. EU-SOLARIS ERIC
Deliverable Name	Conclusions on the virtual thematic event		
Type	R — Document, report	Dissemination Level	PU - Public
Due Date (month)	24	Work Package No	WP2

Description
Conclusions on the virtual thematic event, concerning the critical issues about technology in energy transition discussed.

Deliverable D3.1 – Project webpage

Deliverable Number	D3.1	Lead Beneficiary	1. OEI
Deliverable Name	Project webpage		
Type	DEC — Websites, patent filings, videos, etc	Dissemination Level	PU - Public
Due Date (month)	6	Work Package No	WP3

Description
Project webpage with all dissemination deliverables

Deliverable D3.2 – Ethic Plan

Deliverable Number	D3.2	Lead Beneficiary	1. OEI
Deliverable Name	Ethic Plan		
Type	OTHER	Dissemination Level	PU - Public
Due Date (month)	6	Work Package No	WP3

Description
Ethic & Plan (as part of the Quality Plan).

Deliverable D3.3 – Data Management Plan

Deliverable Number	D3.3	Lead Beneficiary	1. OEI
Deliverable Name	Data Management Plan		
Type	DMP — Data Management Plan	Dissemination Level	PU - Public
Due Date (month)	6	Work Package No	WP3

Description
Data Management Plan

Deliverable D3.4 – Gender equality plan

Deliverable Number	D3.4	Lead Beneficiary	1. OEI
Deliverable Name	Gender equality plan		
Type	OTHER	Dissemination Level	PU - Public
Due Date (month)	12	Work Package No	WP3

Description
Gender equality plan (as part of the Quality Plan).

Deliverable D3.5 – Plan for dissemination and exploitation

Deliverable Number	D3.5	Lead Beneficiary	1. OEI
Deliverable Name	Plan for dissemination and exploitation		
Type	R — Document, report	Dissemination Level	PU - Public
Due Date (month)	6	Work Package No	WP3

Description
First version of the plan for dissemination and exploitation including communication activities

Deliverable D3.6 – Policy brief I

Deliverable Number	D3.6	Lead Beneficiary	1. OEI
Deliverable Name	Policy brief I		
Type	R — Document, report	Dissemination Level	PU - Public
Due Date (month)	12	Work Package No	WP3

Description
First part of political recommendations and guidelines about energy transition

Deliverable D3.7 – Memorandums of Understanding

Deliverable Number	D3.7	Lead Beneficiary	1. OEI
Deliverable Name	Memorandums of Understanding		
Type	OTHER	Dissemination Level	SEN - Sensitive
Due Date (month)	24	Work Package No	WP3

Description
Memorandums of Understanding (MoU)

Deliverable D3.8 – Updated plan for dissemination and exploitation

Deliverable Number	D3.8	Lead Beneficiary	1. OEI
Deliverable Name	Updated plan for dissemination and exploitation		
Type	R — Document, report	Dissemination Level	PU - Public
Due Date (month)	14	Work Package No	WP3

Description
Second version of the plan for dissemination and exploitation including communication activities

Deliverable D3.9 – Policy brief II

Deliverable Number	D3.9	Lead Beneficiary	1. OEI
Deliverable Name	Policy brief II		
Type	R — Document, report	Dissemination Level	PU - Public
Due Date (month)	24	Work Package No	WP3

Description
Second part of political recommendations and guidelines about energy transition.

Deliverable D3.10 – Project Management Handbook

Deliverable Number	D3.10	Lead Beneficiary	1. OEI
Deliverable Name	Project Management Handbook		
Type	R — Document, report	Dissemination Level	PU - Public
Due Date (month)	3	Work Package No	WP3

Description
Document whose aim is the description of the internal management of the project.

Deliverable D3.11 – Quality Assurance Plan

Deliverable Number	D3.11	Lead Beneficiary	1. OEI
Deliverable Name	Quality Assurance Plan		
Type	R — Document, report	Dissemination Level	PU - Public
Due Date (month)	3	Work Package No	WP3

Description
Document with the aim of describing the plan for assuring the different quality aspects of the project.

Deliverable D4.1 – E-learning course on open science

Deliverable Number	D4.1	Lead Beneficiary	3. LifeWatch ERIC
Deliverable Name	E-learning course on open science		
Type	DEM — Demonstrator, pilot, prototype	Dissemination Level	PU - Public
Due Date (month)	12	Work Package No	WP4

Description
Materials for the e-learning course oriented to researchers on how to incorporate open science, specially focused on energy transition, natural capital and climate change.

Deliverable D4.2 – Monitoring report for sustainability mobilities I

Deliverable Number	D4.2	Lead Beneficiary	1. OEI
Deliverable Name	Monitoring report for sustainability mobilities I		
Type	R — Document, report	Dissemination Level	PU - Public
Due Date (month)	12	Work Package No	WP4

Description
Monitoring report including mobilities carried out

Deliverable D5.1 – Software for the SDG achievement on research

Deliverable Number	D5.1	Lead Beneficiary	3. LifeWatch ERIC
Deliverable Name	Software for the SDG achievement on research		
Type	OTHER	Dissemination Level	PU - Public
Due Date (month)	13	Work Package No	WP5

Description
Software to generate traceability chains (blockchain, mobilities traceability, etc.), about the SDG achievement on research mainly focused on clean and just energy transition.

Deliverable D5.2 – Development of the research platform of climate change and diversity for energy transition

Deliverable Number	D5.2	Lead Beneficiary	3. LifeWatch ERIC
Deliverable Name	Development of the research platform of climate change and diversity for energy transition		
Type	DATA — data sets, microdata, etc	Dissemination Level	PU - Public
Due Date (month)	13	Work Package No	WP5

Description
Adaptation and development of the already existing research platform of LIFEWATCH ERIC focused on climate change and diversity for energy transition (including indigenous Knowledge de IKRI.org de FILAC).

Deliverable D5.3 – Monitoring report for sustainability mobilities II

Deliverable Number	D5.3	Lead Beneficiary	1. OEI
Deliverable Name	Monitoring report for sustainability mobilities II		
Type	R — Document, report	Dissemination Level	PU - Public
Due Date (month)	24	Work Package No	WP5

Description

Final part of the monitoring report for sustainability mobilities.

Deliverable D6.1 – Monitoring report for social impact mobilities I

Deliverable Number	D6.1	Lead Beneficiary	1. OEI
Deliverable Name	Monitoring report for social impact mobilities I		
Type	R — Document, report	Dissemination Level	PU - Public
Due Date (month)	12	Work Package No	WP6

Description

Monitoring report including mobilities carried out

Deliverable D6.2 – Monitoring report for social impact mobilities II

Deliverable Number	D6.2	Lead Beneficiary	1. OEI
Deliverable Name	Monitoring report for social impact mobilities II		
Type	R — Document, report	Dissemination Level	PU - Public
Due Date (month)	24	Work Package No	WP6

Description

Final part of the monitoring report for social impact mobilities.

Deliverable D7.1 – Ethnographic research about the social impacts of energy transition

Deliverable Number	D7.1	Lead Beneficiary	4. CSIC
Deliverable Name	Ethnographic research about the social impacts of energy transition		
Type	R — Document, report	Dissemination Level	PU - Public
Due Date (month)	13	Work Package No	WP7

Description

Ethnographic research and subsequent publication on the social impacts of energy transition, as one of the main pillars of the project.

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	Mobilities report delivered	WP7, WP3, WP1, WP5	1-OEI	Report and commitment letter for each mobility.	12
2	Research and innovation actions follow up reports delivered	WP7, WP3, WP1, WP5	1-OEI	Report for each research and innovation actions included on the WP.	24
3	Thematic events held	WP7, WP3, WP1, WP5	1-OEI	Report for each thematic event.	24
4	Qualitative interim assessment	WP4	1-OEI	Qualitative interim assessment report on technology sustainability and social impact assessment	12
5	Qualitative final assessment	WP4	1-OEI	Qualitative final assessment report on technology sustainability and social impact assessment	24
6	E – learning materials delivered	WP4	3-LifeWatch ERIC	E-course sessions records	12
7	Research platform developed and adapted	WP5	3-LifeWatch ERIC	Research platform improvements	24
8	Project website created	WP3	1-OEI	Project website	6

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	Changes in presidential elections in LAC countries towards a political climate uncertain, in particular on foreign policy: (i) medium; (ii): high.	WP3	To strengthen partnership with the government of the region, not only at high level but also with technicians.
2	Insufficiently planned and coordinated inside the research infrastructures and LAC entities could have a negative impact on the appropriation of the project: (i) low; (ii): high.	WP7, WP2, WP3, WP1, WP6, WP5, WP4	Steering Committee will organize all management plans and activities workflows with detailed checklist for each activity, addressing, each step, roles and responsibilities.
3	Obstacles to implement the monitoring and evaluation activities through the system that it will be elaborated being impossible to measure appropriately the impact of EULAC FOR ENERGY TRANSITION project (i) medium; (ii): medium	WP3	A variety of monitoring and evaluation tools will be used, both qualitative and quantitative ones.
4	Heads of governmental institutions responsible for science and technology should consider necessary to have political recommendations regarding energy transition: (i) low (ii)high	WP7, WP2, WP3, WP1, WP6, WP5, WP4	EULAC FOR ENERGY TRANSITION project will promote a consensus in LAC and the EU on the need to make a fair and clean energy transition. There are EU and LAC countries in which there is already a national strategy in this regard. In addition, a large majority of the OEI countries have signed the Paris Agreements.

PROJECT REVIEWS

Project Reviews			
Grant Preparation (Reviews screen) — Enter the info.			
Review No	Timing (month)	Location	Comments
RV1	24	TBC	



Horizon Europe Programme Application Form (HE CSA)

Project proposal – Technical description (Part B)

**Version 3.2
6 March 2023**

Part B: technical description

EULAC FOR ENERGY TRANSITION: RESEARCH INFRASTRUCTURES COOPERATION FOR ENERGY TRANSITION BETWEEN EUROPE AND LATINAMERICAN AND THE CARIBBEAN COUNTRIES

(EULAC ENERGYTRAN)

#@APP-FORM-HECSA@#

List of participants

Participant No. *	Participant organisation name	Country
1 (Coordinator)	Organization of Ibero-American States for Education, Science and Culture (OEI)	Legal entity established in most of the countries of the LAC region, as well as in Spain (headquarter) and Portugal
2	EU-SOLARIS ERIC (EU-SOLARIS)	ERIC
3	LIFEWATCH ERIC (LIFEWATCH)	ERIC
4	Centre of Social and Human Science of the CSIC of Spain (CSIC)	Spain
5	Polytechnic Institute of Setubal (IPS)	Portugal
6	Institute for Systems and Computer Engineering, Technology and Science (INESCTEC)	Portugal
7	Energy Research Center of the Pontifical Catholic University of Chile (PUC)	Chile
8	Technological Institute of Aguascalientes of the National Technological of Mexico (TECNM-ITA)	Mexico
9	National University of Saint Martin (UNSAM)	Argentina
10	High Technology Center Foundation (FUNCENAT)	Costa Rica
11	National University of the Northeast (UNNE)	Argentina

1. Excellence #@REL-EVA-RE@#

1.1 Objectives #@PRJ-OBJ-PO@#

For the last year, since the Russian invasion of Ukraine, the European Union (EU) has been fighting an “energy war” against Russia, European Commission President Ursula von der Leyen said February 15 at the European Parliament. The EU had repositioned itself and freed itself from dependence on Russian oil and gas. This means the EU is investing in clean energies as never before and needs new allies, reliable allies equally committed to the goal of a green and just energy transition. The EU needs to modernize the energy networks to support energy system integration and to integrate other decarbonized and low-emission energy carriers, such as renewable hydrogen and lithium technologies (according to the Paris Agreement). International problems require international solutions, and Latin-America and the Caribbean (LAC) region is the key and natural partner of the EU in this matter. The European Union (EU) has been developing for more than a decade an active policy of energetic transition, in support of its efforts to mitigate the effects of climate change. Now the energetic transition is a priority in Europe through the European Green Deal proposal, to make Europe the first continent climatically neutral. The contribution of Latinamerican countries to achieve it is essential. For this reason, the contribution of the proposal to the ERA is clearly justified.

LAC is one of the regions of the world that has been suffering the most from climate change: lost crops, new public health problems, extreme meteorological phenomena, or the proliferation of sixth-generation fires. The energy transition implies both a need and an opportunity for the LAC region. The so-called “lithium triangle”, integrated by Argentina, Bolivia and Chile, represents the 56% of the global resources. It is also estimated LAC may produce 12% of green hydrogen demand by 2050. However, LAC has not the resources or the knowledge to exploit the full potential of those technologies on its own. The EU-LAC cooperation on energy transition must start by the cooperation among European and Latin American research infrastructures.

One of the objectives of this proposal is guarantying a different role for LAC than the pure extractive one it still has regarding other raw materials. It is important these countries can move up in the value chain of lithium and green hydrogen, as well as of sources of energy like solar-thermal one, so they can overcome the so-called Commodity Resource Curse. On the other hand, the EU needs a quick development of renewable energies research to resolve some of their limitations, such as their intermittency.

This proposal aims to encourage a multidisciplinary approach to the energy transition. For that reason, it is not only focused on the scientific or technical obstacles preventing from a more intensive exploitation of renewable energies. It aims to take also into account the environmental and social dimension of the phenomenon, integrating research infrastructures leaders in areas such as natural science, or social science and humanities. This proposal attends to other important issues connected to the energy transition like, for instance, the social and environmental impact of lithium mining and hydrogen production; the economic management of energetic transition or the demands of education and training in this sector. This comprehensive approach is an added-value of the proposal and explained because EU and LAC shared a common concern about the possible costs it may have from an environmental or social point of view.

For these reasons, the EULAC FOR ENERGY TRANSITION objectives are the following ones. The structure of the proposal is based on the Specific Objectives (SO). Those SO match with one of the needs already mentioned, and every Work Package (WP) has been designed to address one SO.

General objective:

To address a common challenge such as the energy transition through the exchange, generation, and transfer of knowledge among EU and LAC research infrastructures from a multidisciplinary approach (technological, environmental, social) and to support the development of public policies and regulatory frameworks promoting climate neutrality and a clean, sustainable, and just transition of the energy sector to advance to a resilient society.

Specific objectives:

- To promote the exchange and generation of knowledge among European and Latin American research infrastructures innovating through the modernization of the technologies developed by the energy research infrastructures to supply solutions for a progressive electrification, integrating decarbonized and low emission energy carriers such as renewable hydrogen and lithium technologies.
- To foster the scientific cooperation between the European Union and Latin America energy research

infrastructures; to transfer the results of that cooperation to make energy transition a key perspective for the main stakeholders (policy makers, researchers, enterprises...) involved on the energy sector transformation, and ensure it effectively takes place with an ethical and quality approach.

- To stand out the environmental dimension on the energy transition to make it compatible, to assure new energy sources are sustainable and environmentally friendly.
- To research and promote social methods and public policies to make the energy transition highly beneficial for societies by approaching it from an integral perspective. This must consider at least two levels of reflection: a) a dimension of territorial justice, which is beneficial to the local communities involved in energy transition policies; b) a dimension of international economic justice, which serves the country promoting energy transition policies to implement clearly positive development strategies, both at the level of endogenous industrialization and balanced trade exchanges.

To control and guarantee the achievement of the objectives, the project includes a monitoring and evaluation system managed by OEI with the inputs supplied by the partners, as mentioned in WP3.

#\$PRJ-OBJ-PO\$#

1.2 Coordination and/or support measures and methodology #@CON-MET-CM@# #@COM-PL-CP@#

• Coordination and/or support measures

This proposal answers, firstly, to the mandate the Organization of Ibero-American States for Education, Science, and Culture (OEI) received from both the Community of Latin American and Caribbean States (CELAC) Science Ministers Conference and the Ibero-American High-level Forum for Science and Technology hold in Buenos Aires (Argentina) in October 2022. Energy transition was identified then as a top priority and the authorities entrusted OEI with the mission of increasing scientific cooperation and enhance Research, Development and Innovation capacities in this domain.

The two meetings took place within the broader framework of International Science and Technology Week, organized by the OEI and the Ministry for Science, Research and Innovation of the Republic of Argentina. This event, with the aim of promoting strategies based on the quadruple helix model, brought together researchers, representatives of academia, government, business and civil society in the different activities so all they can contribute to the in-depth dialogue ministers were having at the Ministerial Conference and the Ibero-American High-Level Forum.

This is a key feature of the OEI, being able to coordinate and operate with actors at different levels. The OEI is an intergovernmental organization but deeply rooted into the educative, scientific and culture communities of the Ibero-American countries after more than 70 years working on the ground. The OEI receives mandates from the governmental authorities of its Member States and translates them into cooperation projects to be implemented with schools, universities, research infrastructures cultural entities, etc. This is the case of this proposal, pursuant to fulfill the mandate of the CELAC Science Minister Conference and the Ibero-American High-level Forum for Science and Technology by coordinating 10 research infrastructures from 6 Ibero-American countries to foster the research about energy transition from a multidisciplinary approach.

The OEI, through the [Observatory of Science, Technology and Society \(OCTS\)](#), supports the production of regional statistical information on science, technology, innovation and higher education, which are already a regional public good, and that it is also responsible for some of the main regional programs in science and technology, such as the [FORCYT program](#) for the strengthening of Research and Innovation (R&I) systems and the [Ibero-American Researchers' Night](#), both in collaboration with the EU. Therefore, the OEI was the organization chosen by the CELAC Science Minister Conference, and the Ibero-American High-level Forum for Science and Technology to implement the mandate emanated from these meetings, confirming the OEI is the leading organization for science cooperation in LAC and Ibero-America.

This mandate explains the origin of the EULAC FOR ENERGY TRANSITION and contemplates also other relevant goals:

1. Strengthen the capacities of Ibero-American governments for the design, monitoring and evaluation and R&I policies. The OEI will intensify work with ministerial teams at both technical and policymaker level to help make their R&D&I programmes more relevant and effective. Support will continue to be given to the statistical production systems of science and technology of Ibero-American countries, reinforcing science, innovation and

higher education indicators, strengthening networks coordinated from OEI through the Ibero-American Network of Science and Technology Indicators ([RICYT](#)) and the activities carried out in conjunction with the specialised statistical offices of Ibero-American countries. It will also accompany ministries that want to strengthen their R&I policy monitoring and evaluation systems.

2. Develop multi-actor operative strategies which lead to the creation of research communities and ecosystems of innovation. This demands a higher participation of the private sector and civil society organizations into the R&I activities. The OEI, through its Centre for Innovation and Digital Transformation in Colombia, plays an active role in quadruple helix strategies through agreements and alliances which allow projects to be developed from the strategic capacities of each actor of the Ibero-American R&I ecosystems. The OEI will also promote innovation models based on the work of researchers and entrepreneurs who develop start-ups or spin-offs, supporting the articulation of actors and sources of funding, both from the public and private sectors.
3. Promote, in collaboration with the OEI's Ibero-American Institute for Productivity Education and the Ibero-American Forum of Cooperation Indicators, initiatives promoting the cooperation among the university, the scientific and technological system and the socio-economic environment. In addition, the OEI will enhance its activities in training and promotion of cooperation and technology transfer, as a continuation of the activities already initiated under the FORCYT Program.
4. Continue, from the OCTS, the development of specific indicators for Ibero-America to analyse and monitor the progress of digital transformation processes and the so-called knowledge economy, as a tool to support the design and monitoring of policies and strategies for the development of the region. The OEI Centre for Innovation and Digital Transformation in Colombia is already advising governmental institutions and educative and research infrastructures about how to undertake or complete their digital transformation.
5. At the request of the Ministry of Science, Technology and Innovation of Argentina the OEI is tasked with carrying out a diagnosis of the legislative initiatives, their implementation through policy instruments and their impact on institutional systems in the Ibero-American region, including incentives for greater articulation, for example, of public-private alliances as a mechanism to guarantee the stability of financing for science, technology and education. This request has been already fulfilled by the OEI through the development of the platform [PolíticasCTI](#).

The mandate has been built on **the technical experience and expertise of the OEI and the contributions** of all the actors participating in the International Science and Technology Week, as it was already explained.

It was especially useful the OEI publications on the topics addressed, being worth highlighting the [Diagnostic Report on Higher Education and Science post COVID-19](#) in Ibero-America 2022. This document, created by the OEI in collaboration with Latin America Development Bank (CAF), analyses the impact of the pandemic on the region's R&I systems and suggests future proposals.

Other relevant example is the [Annual Report of the Ibero-American State on Science \(2022\)](#) that analyses the statistical data of science, technology and innovation, generated within the framework of RICYT. This report is mainly focused on Energy Transition and their most significant conclusions and recommendations are the following ones:

- Developing green technologies to reduce emissions without considering other ecological considerations implies a weak sustainability perspective. It is necessary to follow a comprehensive methodology based on a strong sustainability, a more systemic approach to achieving sustainability where the substitution of technologies is complemented by important social reforms. This perspective seeks to address the multidimensionality of the ecological crisis in its different interrelated problems, including climate change and an indicator such as atmospheric CO₂.
- Secondly, it is necessary to deploy a leap of scale in terms of circular economy. This would have economic implications (plants for the recovery of critical minerals, still very rare, involve huge investments) but also technical-legislative: the design of modern devices lacks standards that facilitate disassembly to recover the minerals dispersed in them at the end of the Lifecycle.

Following these orientations, EULAC FOR ENERGY TRANSITION project has been designed by our consortium as a relevant proposal to answer the main needs related to modernize energy technologies, to develop international solutions, to mitigate climate change and to considering social impact: a climate transition requires substantial efforts in research and innovation in the fields of clean energy technologies and just transitions. To achieve it, the general objective that is to address a common challenge such as the energy transition through the exchange, generation, and transfer of knowledge among European and LAC research infrastructures from a multidisciplinary approach (technological, environmental, social) and to support the development of public policies and regulatory frameworks promoting climate neutrality and a clean, sustainable, and just transition of the energy sector to advance to a resilient society.

This proposal is mainly aligned with the objective of cluster 3 “climate, energy and mobility” included in the [Strategic Plan 2021-2024 of the HE Programme](#) that is the ambition to achieve climate neutrality in Europe by 2050. According to this, our methodology will support the implementation of the Paris Agreement, the European Green Deal through sustainable technological development and societal transformation. For this reason, our work methodology will be based on four principles: horizontal cooperation, inclusiveness, socially relevant impact and participative methodologies.

- **Horizontal cooperation:** As it is also mentioned on the Strategic Plan “international cooperation is crucial to ensure access to talent, knowledge, knowhow, facilities and markets worldwide, to effectively tackle global challenges, to influence and build coalitions with like-minded and strategic partners, as well as to implement global commitments and to ensure global standards, environmental protection, inter-operability and a level playing field. Cooperation with third countries and international organisations/initiatives will be based on common interest, mutual benefit and global commitments to implement the Paris Agreement and the SDGs. This will strengthen the EU’s research and innovation excellence, attractiveness and economic and industrial competitiveness, contribute to tackle global challenges, and to support the Union’s external policies while leveraging additional resources from third countries”. EULAC FOR ENERGY TRANSITION put particular attention on international research and innovation cooperation that will support countries to implement effective climate mitigation strategies in line with their commitments under the Paris Agreement, as well as adaptation and environmental protection strategies, cooperating with international partners on innovative solutions for energy transition.
- **Inclusiveness:** Gender equality on science and other disadvantage issues (disability, ethnicity, LGBTIQ) is a cross-cutting priority in Horizon Europe Program as it is mentioned on the Strategic Plan 2021-2024. But not only for this reason, but also due to our conscience on the barriers to reach an inclusive science, our consortium will be worked on integrating gender and inclusive dimension across the project. All projects’ results (intellectual products, technologies, etc.) will be written with inclusive language and considering gender differences and other disadvantages.
- **Participative methodologies:** Following multi-stakeholder participatory approach such as those focused on strengthening the nexus among science, policy and society allows including the perspective of several stakeholders on R&I activities. Methodologies as citizen’s science will be used throughout the different project’s results.
- **Social relevant impact:** The objective of this principle is to strengthen that R&I meets three specific characteristics: science with social impact; science at the service of public policies and society; and science in alliance. Strengthening science, technology and innovation focused on improving the quality of life of our society and its well-being, reducing inequalities, mitigating climate change and promoting sustainable development, that is, science with social impact, is the way to follow to transform the productive and social systems in our region.

In addition, the project methodology complies with the ‘do no significant harm’ principle gathered in Article 17 of [Regulation \(EU\) No 2020/852](#); this means that the methodology is designed in a way that it is not significantly harming for any of the six environmental objectives of the EU Taxonomy Regulation. It must be taken into account that two of the specific objectives of this project are destined to guarantee energy transition, the general objective

pursued, is achieved in a green and just way. This integral view of the main theme wants to prevent, as it was said, any other harm to the planet and to people in the process of the energy transition. In the concrete activities that are part of this project, the whole consortium, under the quality plan followed-up by the OEI, is going to consider those six goals when carrying out their work.

Some activities may present risks in these aspects, but in the creation of this proposal the highest mitigation has been pursued. For example, transnational travels for mobilities and international events have been organized considering the six objectives, reducing to the minimum this action by establishing the thematic events as virtual. Besides, although the chosen methodology has some challenges and risks like academic or policy resistance, the proposal also includes actions to overcome them: 1) promoting a common understanding of methods and contents, 2) developing policy environment to reducing gaps and 3) take into account the specific reality of scientists in different countries.

In relation to intellectual property (IPR) management, for all the deliverables, the credits of them will be assigned to whom generates the content, recognizing the elaboration frame of them and the European funding as established by the European Union.

- **Open science practices**

Open science will be an essential part of the proposed methodology due to the nature way to work of the entities and research infrastructures involved in the consortium. The open science requirement will be accomplished following the recommendation [The European Open Science Cloud](#).

Projects' results and data used during the project will be open access. In addition, project's implementation will be based on cooperative and sharing knowledge through internships among partners and developing technical tools that allows peer learning and exchange of multidisciplinary knowledge provided by partners from different areas of knowledge (public policy, energy, environment and social science). As it was mentioned on project's principles description, plus the scientific collaboration and sharing of information, relevant actors such as policy makers, citizens and social society will be involved in the co-creation of innovation solutions related to energy transition.

Considering the [UNESCO Recommendations about Open Science](#) as the international framework to make multilingual scientific knowledge openly available, accessible and reusable for everyone, the key pillars of the EULAC FOR ENERGY TRANSITION project will be: open scientific knowledge, open research infrastructures, science communication (explained on communication and dissemination part), open engagement of societal actors and open dialogue with other knowledge systems.

- Open scientific knowledge refers to open access to scientific publications, research data, metadata, open educational resources, software, and source code and hardware that are available in the public domain or under copyright and licensed under an open licence that allows access, re-use, repurpose, adaptation and distribution under specific conditions, provided to all actors immediately or as quickly as possible regardless of location, nationality, race, age, gender, income, socio-economic circumstances, career stage, discipline, language, religion, disability, ethnicity or migratory status or any other grounds, and free of charge. It also refers to the possibility of opening research methodologies and evaluation processes.
- Open research infrastructures refer to shared research infrastructures (virtual or physical, including major scientific equipment or sets of instruments, knowledge-based resources such as collections, journals and open access publication platforms, repositories, archives and scientific data, current research information systems, open bibliometrics and scient metrics systems for assessing and analysing scientific domains, open computational and data manipulation service infrastructures that enable collaborative and multidisciplinary data analysis and digital infrastructures) that are needed to support open science and serve the needs of different communities.
- Open engagement of societal actors refers to extended collaboration between scientists and societal actors beyond the scientific community, by opening up practices and tools that are part of the research cycle and by making the scientific process more inclusive and accessible to the broader inquiring society based on new forms of collaboration and work such as citizens' science. Public sector has a leading role to play in the implementation of open science.

In addition, encourage multilingualism in the practice of science, in scientific publications and in academic communications will be highlighted in this proposal focused on the collaboration among European and Latin American and the Caribbean countries. For this reason, Portuguese and Spanish will be the vehicular language for this project.

- **Research data management and management of other research outputs**

This project aims to generate and collect data and other outputs in the different work packages, following different specific goals, but mainly with the aim of carrying out investigations - through collecting - and scientifically enriching the research infrastructures and the energy sector as a whole – by generating and disseminating -. Taking this into account, that the objective of these practices is not going to be different from those in this project, the management of data and research outputs is going to respond to FAIR principles, in alignment with the General Data Protection Regulation 2016/679 (GDPR), using practices as the following ones:

- Findable: outputs will be identified with concrete and unique names, and metadata will be enriched and related to the name. With these characteristics, outputs will be communicated in order to improve their presence in platforms.
- Accessible: The outputs will be retrievable through their identifiers.
- Interoperable: The (meta)data will share a language and vocabulary that accomplish FAIR principles.
- Reusable: (Meta)data will expose its characteristics of provenance, usage license and ethics and security in order that they are susceptible of being replicated or combined with other data.

All (meta) data management will be developed in accordance with the Research Data Alliance recommendations and the practices of ENVRI-FAIR proposals.

#§CON-MET-CM§# #§COM-PL-CP§# #§REL-EVA-RE§#

2. Impact

2.1 Project's pathways towards impact

According to the Theory of Change of EULAC FOR ENERGY TRANSITION, it is expected that the activities explained on the chapter “work programme” undertaken by the project contribute to a chain of effects: results in the short term; and outcomes in the medium term that lead to the intended impacts.

Activities carried out by the project are mainly focused on the generation of innovative technological solutions for clean and social energy transition. By this way, the project's research outputs in form of scientific publication (papers, monography, books) about energy transition with a just and environmental perspective and other outputs such as the pilot e-learning course, platform, software, e-book and political recommendations for energy transition in LAC and EU countries will generate know-how to enhance the capacities of the main actors on energy transition: researchers, policy makers, enterprises and civil society.

These actors will be the final users of the research outputs and results of the project. Therefore, through the measures of the dissemination, exploitation and communication plan (explained on the chapter below), the EULAC FOR ENERGY TRANSITION expects to improve the knowledge about what are the most viable, useful and urgent possible applications of solar thermal energy and low-emission energy carriers (renewable hydrogen and lithium technologies) in different contexts (European, Latin American and the Caribbean countries) with a greater impact on the environmental and the decarbonisation of its economies. Apart from the knowledge generated with the project, multi-governance and inter-regional international policy coordination will be improved through the incorporation of Smart Specialization Strategies, policy recommendations and guidelines in the R&I political agendas of EU and LAC countries governments. At last, thanks to the project researchers will be trained on how to incorporate environmental and social perspective in their research infrastructures and projects so it will be expected they will effectively incorporate this dimension on their research. After the project other researchers may benefit from this training because the OEI will keep on offering it through the OEI [Training Institute for Ibero-American Cooperation](#).

Ultimately, the project's pathway allows contributing to address a long term effects that is the common challenge of the energy transition promoting climate neutrality and a clean, sustainable, and just transition of the energy sector to advance to a resilient society. This expected impact responds to the Strategic Plan of HE 2021-2024 and to four needs that are the base of the proposal. On one hand, the European Union needs to modernize the energy networks to support energy system integration and to integrate other decarbonized and low-emission energy carriers, such as renewable hydrogen and lithium technologies (according to the Paris Agreement). On the other hand, international problems require international solutions and, thus, more international cooperation. Latin America is one of the regions of the world that has been suffering the most from climate change, becoming then a key ally for the European Union in its plans for dealing with it. Climate change is more than an environmental problem. It is also an economic, political, social and security matter. For this reason, energy transition must be a green transition. Energy transition is a path born from different scenarios. One of the most remarkable causes is climate change; therefore, any step-in favor of energy transition cannot be taken to the detriment of the Earth. Nevertheless, there are several processes of that transition that highly impact environments. Finally, our proposal responds to the importance of a just transition to assure that energy transition generates equal well-being benefits.

As indicator of the project contribution to the expected outcomes and impacts, 50 researchers from European research infrastructures and Latin-American research entities will incorporate social and environmental perspective on their research about energy transition. The accelerated expansion of lithium and the imminent irruption of green hydrogen in the industrial framework of the Ibero-American states can generate important opportunities economic, but there are also "underlying threats". Baselines used for our estimations are the recommendations provided on the [Annual Report of the Ibero-American State on Science \(2022\)](#) mainly focused on increasing the cooperation of all the actors in the process of designing the different roadmaps with respect to these two technologies (including reaching State pacts that make it possible to shield minimum agreements) or the consolidation of certifications and guarantees. In specific relation to the technical-scientific field, crucial in these technologies, the problem of Latin America's deficits in public scientific resources to be able to respond is highlighted. For this reason, it is advisable to derive part of the international investment to these areas in the countries or also "to promote regional scientific and technical collaboration to share resources, accelerate learning and take advantage of synergies between science systems." In this sense, it is also important to broaden the concept of R&D towards the social sciences; update professional training and address "the lack of training in the challenges of decarbonization of public administration officials." Science is the connecting thread running all these issues, the one can provide answers to all of them.

It is necessary that the new technological cycles associated with the energy transition are framed within a rethinking of the sustainable development paradigm, born with the Brundtland report in 1987 and popularized and institutionalized after the Rio 92 summit. Our historical moment is different. The attempt to harmonize environmental protection, social cohesion and the ways of understanding economic growth that have been predominant in the last 30 years has not met the goal that had originally been set. After three decades of implementation of the idea of sustainable development, the ecological capacity of future generations to satisfy their own needs, which is the heart of its definition, has been violently challenged by the way in which present generations have satisfied ours. For this reason, in the third decade of the 21st century, quantitatively and contrastingly reducing the material impacts of human activity on the biosphere has become the main impact that must oriented all other development objectives.

Some potential barriers on this long-term orientation connect with the idea of critical minerals and circular economy. Beyond the socio-environmental impacts associated with the excessive size of renewable facilities that a country that exports green hydrogen must aspire to, which in themselves are problematic, scenarios of high penetration of renewables are being discussed by a growing number of studies. They are skeptical about the possibility that the geological reserves of some elements can cover the expected demand. According to these studies, certain minerals may represent bottlenecks in the deployment plans of a national renewable energy plant that produces green hydrogen and certain scenarios such as 2DS of the International Energy Agency will imply very high risks of supply (demand in excess of known resources) of tellurium. And high supply risks (demand greater than known reserves) of twelve other elements: silver, cadmium, cobalt, chromium, copper, gallium, indium, lithium, manganese, nickel, platinum and zinc. This potential scarcity, together with the socio-environmental impacts of renewable infrastructures and mining, combine to frame future green hydrogen public policies in a broader deliberation: how to adjust future green hydrogen and lithium exploitations to be strongly sustainable.

The EULAC FOR ENERGY TRANSITION project will incorporate mitigating measures thanks to a monitoring system to follow up the forecasted results and outcomes that sum up to an assessment will allow to verify the contributions to the proposal to the expected impacts and address new barriers and prove the project's assumptions. In addition, sustainability is guaranteed thanks to the integration of the projects' results in the own partners' strategies and thanks to the relation with other R&I work within Horizon Europe and other frameworks. For instance, e-learning course elaborated in the project oriented to research infrastructures about Open Science for Energy Transition will be integrated as part of the training plans of partners. In addition, OEI will hold the course by its Institute of Formation; therefore, including it as part of its catalogue. The results of the project will also being incorporated on a database, webpage and platform already created by the partners (i.e. Ikri platform of Life Watch ERIC). Finally, the project's results will generate multiplicative effects inside and outside the consortium because research infrastructures are already installed in the energy and environmental sector.

2.2 Measures to maximise impact - Dissemination, exploitation and communication #@COM-DIS-VIS-CDV@#

This project will have two-direction communication: internal and external. As it will be explained in the Work Package 2, the OEI will oversee and being responsible of this part of the project, although the responsibility is shared in different grades with the rest of the partners.

Internally, the OEI will destinate part of its resources in assuring that the communication among the members of the consortium is taking place, providing support to entities implicated when they need to organize a project they lead but also informing the rest of members of the whole consortium when they are invited to participate in an activity of a WP different from theirs. The OEI will assure both kind of internal communication take place via email, virtual calls and periodic general meetings.

Externally, we will pursue the objective of informing, inviting to participate and supporting the transparency of the project. Each member will contribute to communicate through its social media, contact base, external conferences and other tools they find relevant for the dissemination of the work, such as traditional media. In order to maintain a common action, a special effort will be made to promote coordination among each communication team. Therefore, the communication plan of this project will be transversal, multiplatform and transnational-regional.

All partners will participate in the actions included on the dissemination, exploitation and communication plan. The OEI will be leading the WP3 focused on coordination and communication of the results of the whole project, as well as incentivising the support of the rest of the partners in this task. Besides, the OEI will create a webpage of the project that will be, firstly, disseminated through the own webpage of the organization and, periodically, updated with results, events or other communicable items. This tool will guarantee that results of the first 24 months, as well as the ones achieved after the end of that period continue being disseminated.

This project will communicate its work trying to reach different targets, both in Europe and in LAC, that settle the goals of the action:

- Policy makers: as intergovernmental organization, in response to the ministers' mandate entrusted and in order to extend the cooperation beyond this project, we will assure, through personal communications, that LAC and European policy makers are conscious of the activities in favour of energy transition this consortium is working on. The OEI will also share with the governmental representatives the results of the projects in the meetings or events organized or promoted, like the [CILAC Forum](#).
- Researchers - RI: following the principles of open data and good practices, this project will try to reach other RI and individual researchers with the objective of expanding the work in energy transition initiated here. We also want other LAC and European researchers being aware of the benefits of working interregional, promoting the role of European Union in science.
- Civil Society: the OEI works actively in favour of science communication, citizen science and social appropriation of knowledge. The OEI will open those working lines to the EULAC FOR ENERGY TRANSITION to train and improve the researchers communication skills, or to participate in the Ibero-American Researchers' Night, the top science communication in LAC organized by OEI. In 2022 almost 400 researchers from 12 countries (Argentina, Brazil, Chile, Costa Rica, Colombia, Equator, Guatemala,

México, Paraguay, Peru, República Dominicana and Uruguay) participated in the event, which takes place simultaneously with the European Research's Night. This is another example of the OEI commitment and experience promoting EU LAC inter-regional cooperation. In 2023, a new space in the webpage of this event will be created in order to present in the IV edition each partner of the EULAC ENERGYTRAN project; in 2024 and 2025 editions, different videos exposing the work carried out in the project will be uploaded in the webpage as activities of the Ibero-American Researchers' Night, with the aim of reaching civil society.

- Enterprises: a big part of the energy sector is formed by energy enterprises, that is why a specific effort will be made to ease these actors are informed of the results of the project, as well as aiming their active participation.

The own project as such counts with activities that are themselves a platform of communication.

- Thematic event per work package: as virtual events, they will share the contents of the investigations carried out in the technological, sustainable, and social work packages. The communication of those events will be made by all the partners through the collaboration of the communication area of each entity. Social networks and letters of invitation will be used to reach the interested ones (experts and general public). After each event, as well as own pieces of news and dissemination through media, a piece of audio-visual material will be uploaded as memory of the event.
- The creation of a webpage: Using it, we intend to disseminate project results among the partners and other European and LAC research infrastructures. Its webpage will be communicated through websites and social media in order to discover it to interested public.
- Social networks: All projects' results will be efficiently communicated through social networks. It will be uploaded to the webpage of the project and personally sent to stakeholders.
- Traditional media: It will also be offered expertise interviews to traditional media and opinion articles in newspapers.
- Elaboration of videos focused on different users: civil society (to approach science to society) and key stakeholders such as policy makers, enterprises and researchers.
- Link with other OEI and Ibero-American projects: considering the rest of the projects that the partners of this initiative carry out, the activities can also be disseminated in other events as well as among other partners.
- Final international event: it will take place at the end of the 24 months, in order to gather and disseminate all the work done. It will be hybrid in order to reach a greater quantity of people from both regions. As the previous events, this one will also need a coordinated action by all the communication areas of the partners, with the use of social networks and webpages. Besides, in order to reach researchers and public servants, personal invitations will be also sent. A final report will be extracted from the event and uploaded to the webpage, as well as the recordings.

According with the requirements of the call, a plan for dissemination and exploitation including communication activities will be elaborated within the first 6 months of the project considering available templates on the EU Funding & Tenders manual.

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2.3 Summary

KEY ELEMENT OF THE IMPACT SECTION

SPECIFIC NEEDS	EXPECTED RESULTS	D & E & C MEASURES
<p>Need 1: European Union needs to modernize the energy networks to support energy system integration and to integrate other decarbonized and low-emission energy carriers, such as renewable hydrogen and lithium technologies (according to the Paris Agreement).</p>	<p>1.1. To promote Scientific Cooperation Networks between Latin American R&I entities and European research infrastructures able to create innovative solutions to transform energy sector.</p> <p>1.2. To bring innovative solutions to energy transitions in form of intellectual products and scientific works such a paper about the assessment on which are the most viable, useful and urgent possible application of solar thermal energy in LAC and EU countries and with a greater impact in the environment and the decarbonization of their economies, the capabilities and limitations of LAC and EU countries for the production of green hydrogen and the lithium supply chain for energy applications, and other sources of sustainable energy covered in this project.</p> <p>1.3. To generate dialogue and exchange with local context in order to generate capacities on how to use solar thermal energy on social needs.</p>	<p>1.1. - Exploitation: Stablishing a work plan among entities in order to define an effective collaboration.</p> <p>- Dissemination towards the energy sector: Publishing the results obtained.</p> <p>- Communication towards citizens and policy makers: Exposing the results in an intermediate thematic event and final international event.</p> <p>1.2. - Dissemination towards the energy sector: Publishing a scientific paper.</p> <p>- Communication towards citizens and policy makers: Exposing the results in an intermediate thematic event and final international event.</p> <p>1.3. - Exploitation: Exporting the model to other interested communities.</p> <p>- Dissemination towards the energy sector: Publishing the project in the webpage.</p> <p>- Communication towards citizens and policy makers: Presenting the project in a public act.</p>
<p>Need 2: International problems require international solutions. Latin America is one of the regions of the world that has been suffering the most climate change and that has more chance to become a key ally for the European Union in its plans for dealing with it.</p>	<p>2.1. To propose policy recommendations and guidelines about how to carry out a clean, sustainable and just energy transition destined to be transferred to Latin-American and European policy makers.</p> <p>2.2. To propose policy recommendations and guidelines for a better science cooperation between EU-LAC destined to be transferred to Latin-American and European researchers and</p>	<p>2.1. - Exploitation: Concretizing new projects in collaboration with policy makers that put in action the recommendations and guidelines shared.</p> <p>- Dissemination towards policy makers: Collecting those recommendations and guidelines in a document that is shared with policy makers.</p> <p>- Communication towards policy makers: Sharing those recommendations and guidelines in a final international event and with the Ibero-American countries ministries and governments.</p>

	<p>policy makers.</p> <p>2.3. To foster internal project coordination and external dissemination.</p> <p>2.4. To elaborate and implement smart specialization strategies for energy transition based on the knowledge generated during the project.</p>	<p>2.2. - Exploitation: Concretizing projects with policy makers that put in action the recommendations and guidelines shared.</p> <ul style="list-style-type: none"> - Dissemination towards policy makers: Collecting those recommendations and guidelines in a document addressed to policy makers. - Communication towards policy makers: Sharing those recommendations and guidelines in a final international event and with the Ibero-American governments. <p>2.3. - Dissemination towards general public: Using the webpage and social media.</p> <ul style="list-style-type: none"> - Communication with the general public: Exposing results in intermediate and final events. <p>2.4. - Exploitation: Building new projects with the main stakeholders involved during the project: training courses (e.g.).</p> <ul style="list-style-type: none"> - Dissemination towards general public and energy sector: using the website and social media.
<p>Need 3: Climate change is not just an environmental problem, but also an economic, political, social and security one. Energy transition needs to be green transition. Energy transition is a path born from different scenarios. One of the most remarkable causes is climate change; therefore, any step-in favor of energy transition cannot be taken to the detriment of the Earth. Nevertheless, there are several processes of that transition that highly impact environments.</p>	<p>3.1. To train researchers from European research infrastructures and LAC R&I entities on how to incorporate environmental care in their research about energy technologies.</p> <p>3.2. To promote scientific Cooperation Networks between Latin American R&I entities and European research infrastructures.</p> <p>3.3. To exchange know-how related to scientific results and data about clean and just energy transition.</p>	<p>3.1. - Dissemination in the energy sector: Publishing the results obtained.</p> <ul style="list-style-type: none"> - Communication towards citizens and policy makers: Exposing the results in an intermediate thematic event and final international event. <p>3.2. - Exploitation: Stablishing a work plan among entities in order to define an effective collaboration.</p> <ul style="list-style-type: none"> - Dissemination towards the energy sector: Publishing the results obtained in the collaboration. - Communication towards citizens and policy makers: Exposing the results in an intermediate thematic event and final international event. <p>3.3. - Exploitation: Expanding the platform for new uses or thematic areas of investigation.</p> <ul style="list-style-type: none"> - Dissemination towards the energy sector and general public: Organizing an act of launch and disseminating through the webpage and social media.

<p>Need 4: Related to Social Impact: The importance of comparatively systematizing lithium, green hydrogen and renewable energy policies to ensure that a policy guided by principles of just transition is being produced in the countries of the consortium, both for local communities and for the country as a whole in terms of trade and development opportunities.</p>	<p>4.1. To train researchers from European research infrastructures and LAC R&I entities on how to incorporate social perspective on their research about energy technologies. A comparative ethnographic research process on energy transition policies among relevant case studies from three countries of the consortium. The result of the process will be a monographic scientific publication offering academic, socially and politically relevant information on just transition at the territorial and global level.</p>	<p>4.1. - Dissemination in the energy sector: Publishing the results obtained. - Communication towards citizens and policy makers: Exposing the results in an intermediate thematic event and final international event. 4.2. - Exploitation: Bringing the recommendations presented by the monographic in other investigations. - Dissemination towards the energy sector: Disseminating through the website and social media. - Communication with citizens and policy makers: Presenting the publication in specific events.</p>
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TARGET GROUPS	OUTCOMES	IMPACTS
Research infrastructures: partners and others	<ul style="list-style-type: none"> • At least, 10 research infrastructures from LAC and EU countries adopt the challenge of decarbonization through a strong sustainable approach based on green and just transition (measured with a questionnaire). • At least, 10 research infrastructure assuming the international cooperation as a methodological way to address the generation of know how about clean and just energy transition (measured with the agreements signed among entities involved in the project). 	<ul style="list-style-type: none"> • To contribute to address a common challenge of the energy transition promoting climate neutrality and a clean, sustainable, and just transition of the energy sector to advance to a resilient society. • To strengthen the European Research Area on energy sector with LAC countries.
Researchers: participants and others	<ul style="list-style-type: none"> • At least, 50 LAC and EU researchers incorporate social and environmental perspective on their research about energy transition (measured with a questionnaire). • High use of project's results (publications, papers, platform, software, ...) by other researchers (measured with citation index, participation in congress, references on media). 	<ul style="list-style-type: none"> • To rethink new technological cycles associated with the energy transition within a new sustainable development paradigm.
EU and LAC policy makers	<ul style="list-style-type: none"> • LAC governments members of OEI consider the recommendations and guidelines for energy transitions in their political agendas. • EU member states take notice of the recommendations and guidelines for energy transitions in their political agendas. 	To foster legal frameworks and political measures that contribute to circular economy.
Civil society	<ul style="list-style-type: none"> • A high awareness about the multidimensionality of the ecological crisis in its different interrelated problems: environment and social ones. 	<ul style="list-style-type: none"> • To promote that methods for carrying out the energy transition not only are not harmful for societies but highly beneficial, tackling this transition from an integral perspective.

3. Quality and efficiency of the implementation #@QUA-LIT-QL@# #@WRK-PLA-WP@#

3.1 Work plan and resources

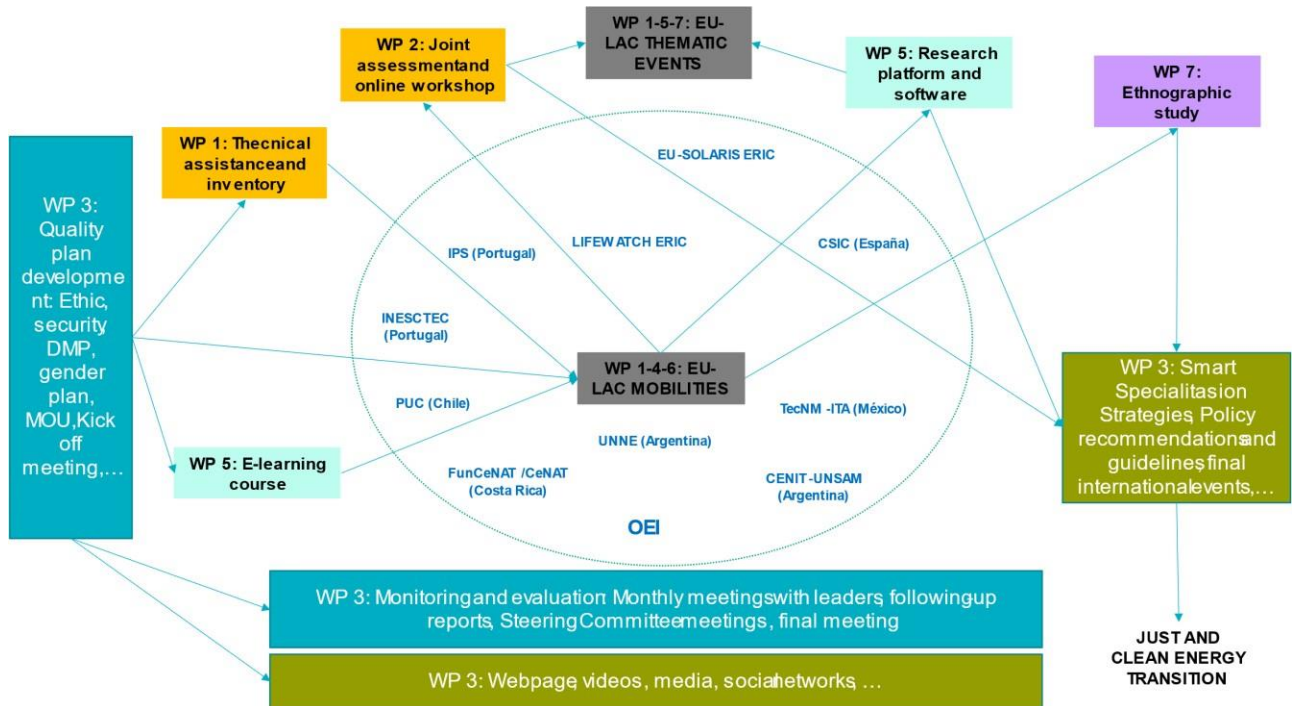
This project is divided into 7 work packages. Responding all of them to the general objective, the first and the second one, regarding technology, respond to the first specific objective and to the first need; the third WP, in charge of coordination, management, exploitation and dissemination, deals with the second specific objective and with the second need; the fourth and fifth WPs, concerning sustainability, respond to the third specific objective and to the third need; finally, the sixth and the seventh WPs, about the social pillar, pursue the fourth specific objective and tackles the fourth need.

Each thematic WP is led by a specialized partner of the consortium (OEI, EU-SOLARIS, LIFEWATCH, CSIC), although all members of the consortium participant actively in the WP depending on their expertise. Actually, this cross-participation among WP is going to be fostered by the OEI as responsible of coordinating the project. Each area (technology, environmental and social), as it was reflected, is divided into two work packages: one composed by the actions of mobility and the other one by the actions of research and innovation. Concerning WP 3, it represents a transversal one, led by the coordinator of the consortium (OEI) to maintain coherence with its role and basically oriented to provide political transfer and coordination among European and Latin-American and Caribbean countries for improving energy transition. Every partner is expected to participate in the activities led by them and in other activities depending on their expertise. They are actions that involve the whole consortium, especially when referring to dissemination, quality, milestones accomplishment, internal meetings and international events.

Through this organization, this project wants to come up with the expected results following this calendar:

WORKPACKAGES AND ACTIVITIES	1-6 months	7-12 months	13-18 months	19-24 months
WP 1: Mobilities for Technology				
Mobilities	X	X	X	X
Technical assistance	X	X		
Inventory of research infrastructure	X	X		
WP 2: Research and innovation actions for Technology				
Joint assessment			X	X
Virtual thematic event				X
On-line international workshop			X	
WP3: Coordination, Management, Exploitation and Dissemination				
Coordination activities	X	X	X	X
Management activities	X	X	X	X
Exploitation activities	X	X	X	X
Dissemination activities	X	X	X	X
WP 4: Mobilities for sustainability				
Mobilities	X	X	X	X
E-learning course	X	X		
WP 5: Research and innovation actions for sustainability				
Research platform			X	X
Software			X	X
Virtual thematic event				X
WP 6: Mobilities for social impact				
Mobilities	X	X	X	X
WP 7: Research and innovation actions for social impact				
Ethnographic study			X	X
Virtual thematic event				X

Following we include a graphical presentation of the components showing how they inter-relate.



As the chart shows, the project will start with coordination and managements tasks in order to have a homogeneous orientation about how to work together. After that, technical assistance from one research infrastructures to others and the inventory of research infrastructures will be carried out in order to exchange know – how and to have a depth knowledge about the research infrastructures on energy sector in LAC and EU countries. Also, e-learning course about environment in energy sector will be carried out before the EU-LAC researchers mobilities for preparing the researchers to the exchange. On the second year, an online international workshop and research about technology for energy transition (i.e. joint assessment paper and monography) will be carried out on the WP2, plus the ethnographic study to take into account social effects on energy transition (WP7) and the development of a platform to data exchange and a software to researchers that will be perfectly complementary to the inventory of research infrastructures on energy sector elaborated on first year. During the project, three thematic online events (about technology, environment and social perspective on energy transition) will be carried out plus the actions at national and international level for coordination, management and dissemination. Finally, on the last semester of the project, main actions for project’s exploitation will be implement (i.e. Smart Specialisation Strategies and policy recommendations report) involving other stakeholders such as Joint Research Center for the European Commission.

3.2 Capacity of participants and consortium as a whole #@CON-SOR-CS@# #@PRJ-MGT-PM@#

Cooperating by sharing research capacities (personnel, facilities, knowledge) is a frequent suggestion in the various documents that seek to advise political decision-makers on the challenges of new technologies focused on transforming energy sector. But the possibilities of this horizon of regional collaboration are not limited to European research infrastructures. The transversal challenges are much broader. The capacity for synergies and symbiosis as well. Latin-American countries have a very important role in lithium and green hydrogen production, as well as other technologies and materials related to energy transition. In addition, Spain and Portugal, besides sharing a historic relation with LAC, are currently acquiring a growing role in energy within the framework of the European Green Deal. Therefore, they have the chance to act as a firsthand in the energy cooperation between LAC and the rest of Europe.

Considering this context, in order to carry out this project, a group of European research infrastructures and LAC entities have joined pursuing the commonly settled general objective of addressing the shared challenge of the energy transition through the exchange, generation, and transfer of knowledge among their research infrastructures from a multidisciplinary approach (technological, environmental, social), with the intention of translating this work to the development of public policies and regulatory frameworks. The consortium is formed by different kind of entities whose main areas of research are related to the topic of the project, creating cooperative dynamics in a structure that addresses the four specific objectives.

This consortium is composed by eleven entities from Europe and Latin America and the Caribbean. It is characterized by the disciplinary and interdisciplinary knowledge and by the complementarity of its partners. When forming the consortium, minimum standards of action have been assured. Among them, the agreement to act with open science practices, as well as the respect to FAIR principles in (meta)data management and practices concerning ethic, security, as the “do not significant harm” principle and the gender policy consideration and accomplishment. Besides, it has been also agreed that the exploitation of the results of the proposal is going to be related to the public sector; therefore, although there is not going to be industrial/commercial involvement in the project, civil society is represented by some of the LAC entities and public government through the project’s leader OEI that is composed by LAC, Spanish, Portuguese and Andorra governments. In fact, both, society and public government will be the main users of the project’s effects.

Taking this into account, it is important to underline the interdisciplinarity that partners can supply, as we count with entities with important technological capacity, as EU-SOLARIS ERIC; with a deep experience in environmental care, as LIFEWATCH ERIC; with a wide social expertise, as the Centre of Social and Human Science of the CSIC; and with a historical political incidence, as the OEI. Besides, the other partners represent transversal entities, with expertise in many of those main areas. Moreover, our consortium is heterogeneous when referring to the sizes and typologies of the allies: it counts with an intergovernmental organization that represents public institutions (OEI), two ERICs (EU-SOLARIS and LIFEWATCH), technological and research centers (CSIC and INESC TEC), a foundation (FUNCENAT) and higher education institutions (IPS, PUC, TECN-MIT, UNNE and UNSAM). In addition, some of them have a large experience implementing R&I projects funded by the EU projects as key players in the development of the European Research Area (i.e. EU-SOLARIS ERIC, LIFEWATCH ERIC, CSIC, IPS, INESC TEC and OEI). Finally, it is also relevant the geographic presence the consortium has in Europe through the ERICs, OEI and the rest of the partners involved (Spain, Portugal, Belgium, Bulgaria, Cyprus, France, Germany, Greece, Italy, the Netherlands and Slovenia) and in LAC (Argentina, Chile, Costa Rica, Mexico, as well as the rest of member states of the OEI). From this overview, the roles and budget among all the partners were distributed, considering the infrastructures and other resources that each one already counts with, that actually represent an own supply to the common budget.

Addressing the first specific objective, **technological perspective (WP 1 and WP 2)**, the leading research infrastructure will be EU-SOLARIS. This energy ERIC has presence in Spain, France, Germany and Cyprus plus Portugal as an observer; it is formed by institutions, as PROMES-CNRD, DLR Institute of Solar Research and PROTEAS, whose contribution to the project will be coordinated by the leading one. These multi-site distributed research infrastructures are experienced in electricity generation but also in many other thermal applications. In relation to LAC, this ERIC counts with main solar thermal labs and outdoor large-scale testing facilities, as well as a multi-national and multidisciplinary team of scientists and engineers with very different specializations. Its expertise will allow to identify the key processes in LAC where solar thermal energy would be applicable, which is possible through an exchange of information with LAC scientists through stays at EU-SOLARIS sites and technical visits to selected LAC locations. In order to respond to the requirements of the project, taking into account its own capacities, EU-SOLARIS will receive 200.000 euros.

The **sustainability objective (WP 4 and WP 5)**, as a transversal one, in response to the third specific objective, will be led by the environmental LIFEWATCH ERIC. In order to come up with the expected results this ERIC responds to, it will receive 200.000 euros. It is an entity that provides e-Science research facilities to scientists investigating biodiversity and ecosystem functions and services. It works in specialised knowledge, open and FAIR data, semantic resources and tools, BIG DATA analysis, computational power, web services and training, among others, in topics as energy supply and climate change. This ERIC is composed by centres in Spain, Portugal, Belgium, Bulgaria, Greece, Italy, the Netherlands and Slovenia.

Tackling the fourth specific objective, the **social transversal pillar (WP 6 and WP 7)** is going to be led by the

Centre of Social and Human Science (CCHS) of the Spanish CSIC, the main supplier of the expertise in social science and humanities. The CSIC is the largest public research organisation in Spain, the fourth-largest public research institution in the EU and the sixth in the world. The CSIC has an annual average of 13,000 publications in internationally renowned scientific journals, being Q1 more than 70%. It actively participates in different infrastructures included in the ESFRI, as well as in other R&I projects funded by the EU. This wide experience backs the research project of its CCHS *Energy Humanities: Energy and socio-cultural imaginaries between the industrial revolution and the ecosocial crisis (PID2020-113272RA-I00)*, a pioneer in the introduction of energy humanities in the Spanish scientific field; two leading researchers will participate in this project. To carry out its activities in this project, the Center for Human and Social Sciences will receive 200.000 euros.

Under this structure, the rest of the partners will participate in the different pillars considering their expertise.

Firstly, the Polytechnic Institute of Setubal (IPS) of Portugal, through its Centre for Energy and Environment Research, will participate in activities related to technology and sustainability, with the intention of innovating, thanks to its energy and environment laboratories, through the modernization of the technologies developed by the RIs. For these actions, the IPS will receive 75.000 euros.

Secondly, the Portuguese INESC TEC will participate by the Centre for Power and Energy Systems (CPES), which has a track-record in fundamental and applied research in the energy area, working with different actors from regions as Europe and LAC. It will contribute with its resources and experience in exchange programmes, consultancy and innovation. It will participate in technology and environment pillars, receiving to carry its actions 100.000 euros.

Thirdly, the Energy Research Center of the Pontifical Catholic University of Chile (PUC) will participate in activities related to technology, considering the career and resources this entity has; for the development of its work, the PUC will receive 75.000 euros. Besides, it will participate in the field research of the social pillar. It counts with more than 40 researchers in several areas of energy, especially in energy transition, energy storage and renewable energy. Besides, it includes several research laboratories in areas of Lithium purification and extraction, power and electronics for electromobility, Solar Energy Lab, Green Hydrogen and Ammoniac units, and more.

Also concerning technology, the Technological Institute of Aguascalientes of Mexico (TECNM-ITA), as well as the National University of the Northeast of Argentina (UNNE) and National University of Saint Martin of Argentina (UNSAM) will actively participate in WP 1 and WP 2, as well as support the field research of the WP 7. TECN-ITA, concerning energy transition and environment, has already participated in national and international consortiums to perform research projects, exchanges between students and researchers, and educational training. The team involved in this proposal is currently developing projects, with relevant infrastructure, on hydrogen storage and intensification of the lithium valorization chain in Mexico. This partner will receive 75.000 euros.

The National University of the Northeast of Argentina (UNNE) counts with a group for research, development and technological transfer of sustainable energy and the environment, with large infrastructure and analytical equipment. They disseminate, manage and develop projects related to the application of solar energy in thermal systems, the generation of energy from biomass and environmental care from the reuse and recycling of materials. Considering their capacities, UNNE will receive 50.000 euros for participating in this project.

The other Argentina University involved on the project, UNSAM, is a high education institution that counts with important resources in different areas of knowledge. They have already participated in interdisciplinary Horizon calls, providing a wide experience in knowledge generation, on their own and in cooperation, with networks that research in topics related to energy transition. According to its role in this project, this entity will receive 50.000 euros. Specifically, UNSAM count with the Research Center for Transformation (CENIT) that will be participate directly in the project. CENIT aims to promote practices and actions that contribute to said processes, such as open and collaborative production and science, technology, and innovation policies.

Finally, the High Technology Center Foundation of Costa Rica (FUNCENAT) is an inter-university coordination body specialized in the development of research and technological innovation projects. FUNCENAT counts with the research infrastructures of the five Costa Rica public universities and, through Red Clara, with the main Latin American research infrastructures. This entity will participate in the WPs related to sustainability, in close cooperation with LIFEWATCH; for developing that work, it will receive 75.000 euros. Besides, as the rest of LAC

partners, FUNCENAT will support the field research carried out by CSIC in the social pillar.

Considering the context explained, the three pillars addressed and the interrelation among partners, a dome partner in charge of making successful the coordination, management, exploitation, and dissemination of the project is essential. The Organization of Ibero-American States for Education, Science and Culture (OEI) carries out this role, leading the WP 3 that fosters the scientific cooperation between the European Union energy research infrastructures and Latin-American and the Caribbean research entities. In this work package all the partners will participate, as it gathers transversal actions as monitoring, evaluation or transnational events. Nevertheless, it is led by the OEI because of its experienced career, of more than 70 years, in promoting cooperation among Latin American and European countries in the field of education, science, technology and culture, in a context of comprehensive development, democracy and regional integration. It is an international organization formed by 23 member states¹ – all of them have signed the Paris Agreement, assuming the objective of achieving carbon neutrality in the year 2050. Its headquarters is in Madrid and has also 19 national offices (Portugal on the European side and the other 17 in LAC). Those offices have a deep inside of the local needs, constrains and opportunities as well as a deep knowledge of the main local stakeholders, best service subcontractors, etc. In our main areas of expertise, we work with actors from different sectors: Governments and public servants (which form the OEI executive council), enterprises, centers of investigation, higher education institutions, foundations, other NGOs, civil society, etc. Therefore, we got decades of experience in cooperation in our main topics brought by the key actors of LAC, and a solid experience of EU-LAC inter-regional cooperation. The OEI has the expertise and means to bring together outstanding research infrastructures from the most relevant LAC countries affected by energy transition creating the consortium on which this proposal is based, and coordinate them ensuring a multidisciplinary approach, the cooperation among all the partners, the organization of the work, and the professional, ethic and secure development of the objectives settled.

Besides its role as coordinator, concerning dissemination, exploitation and sustainability in time, it is important to consider that the own conception of the OEI, which is the leading role of Ibero-American ministries, covers the absence of public entities in this consortium; the OEI will be the actor that assures the transfer of this project to policy makers, recognizing this task as essential for the success and sustainability of this project. Therefore, this entity represents a bridge-institution with the capacity to conceive, facilitate and deploy different forms of mutual aid between two global regions that share high potential to exercise energy leadership in a post-carbon world. In order to carry out required actions to achieve that objective, this partner will receive 500.000 euros.

In the task of coordinating, the OEI has a similar experience applied to the already mentioned FORCYT program and other projects funded by the European Union, which has been implemented since 2020 with the support of the EU (DG INTPA Development in Transition facility) with the goal of strengthening the systems of science and technology in LAC countries in cooperation with Europe. One of the partners, the TECNMI-ITA, is also leading one of the research networks created within the FORCYT program, plus UNNE that is also part of a funded FORCYT network. These previous experiences and cross-connections among OEI science cooperation programs to enhance a multiply each other results is another added-value of this organization. Besides, in the task of dissemination towards governments, the OEI has, as said, a deep connection to policy makers, through bilateral or multilateral meetings, international events or specific actions as the Ministerial Conference and the Ibero-American High-Level Forum, previously mentioned, from where an action plan on science was entrusted to the OEI. This entity has the task to promote cooperation among key actors in specific topics, being energy transition one of the main ones, which justifies the mission and implication that the OEI takes with this project. For this reason, although OEI is an international organization, its participation is essential to successfully carry out the project and its added value related to the connection to public sector crucial to leading the EULAC FOR ENERGY TRANSITION project.

##CON-SOR-CS## ##PRJ-MGT-PM##

¹ Andorra, Argentina, Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, Equator, Equatorial Guinea, El Salvador, Guatemala, Honduras, Mexico, Panama, Nicaragua, Paraguay, Peru, Portugal, Dominican Republic, Spain, Uruguay and Venezuela.

Tables for section 3.1

Table 3.1a: List of work packages

Work package No	Work Package Title	Lead Participant No	Lead Participant Short Name	Person-Months	Start Month	End month
1	Mobilities for Technology	2	EU SOLARIS		1	24
2	Research and innovation actions for Technology	2	EU SOLARIS		13	24
3	Coordination, Management, Quality Control, Dissemination, Exploitation and Communication	1	OEI		1	24
4	Mobilities for sustainability	3	LIFEWATCH		1	24
5	Research and innovation actions for sustainability	3	LIFEWATCH		13	24
6	Mobilities for social impact	4	CSIC		1	24
7	Research and innovation actions for social impact	4	CSIC		13	24

Table 3.1b: Work package description

For each work package:

Work package number	1
Work package title	Mobilities for Technology
Objectives Specific objective: <ul style="list-style-type: none"> To promote the exchange and generation of knowledge among European and Latin American research infrastructures innovating through the modernization of the technologies developed by the energy research infrastructures to supply solutions for a progressive electrification, integrating decarbonized and low emission energy carriers such as renewable hydrogen and lithium technologies. Expected results: <ul style="list-style-type: none"> To promote Scientific Cooperation Networks between Latin American R&I entities and European research infrastructures able to create innovative solutions to transform energy sector. To generate dialogue and exchange with local context (indigenous, rural communities, etc.) in order to generate capacities on how to use clean energy (as solar thermal energy) on social needs (i.e. water desalination). 	

Description of work

a) Mobilities

- At least, 15 mobilities from LAC entities to European research infrastructures and one from European research infrastructures to LAC R&I entities to promote Scientific Cooperation Networks between Latin American R&I entities and European research infrastructures focused on energy sector.
- These mobilities from LAC entities will be used to one-on-one research mentoring over roughly 1-month periods. These mobility actions strengthen both, dissemination, as the students will carry the knowledge and experiences with them after graduating, and exploitation, as the mobility will strengthen scientific excellence, collaboration, and synergies among the partners.
- The mobility planned from Europe to LAC R&I entities will be mainly used to carry out a detailed scrutiny of the existing capabilities in the field of solar RIs and to initiate a dialogue with local stakeholders in order to identify the most suitable applications of high temperature solar process heat in the LAC socio-economic environment.
- The ultimate goal is the establishment of a permanent Scientific Cooperation Network between all interested parties from both sides of the Atlantic and keep going in the support of the achievement of Sustainable Development Goals on a peer-to-peer basis.

b) Technical assistance for the capacity building of indigenous and rural communities about the use of green energy (as solar thermal energy) on social needs (i.e. water desalination) will be provided by the EU-SOLARIS ERIC's scientists with the support and guidance of the LAC colleagues.

c) Elaboration of an inventory of research infrastructure (i.e., equipment, research groups) available in Latin America and Europe to support the implementation and consolidation of green hydrogen production and lithium supply chains. This inventory will allow identification of the research capabilities and limitations of LAC and EU countries and promote international collaborations for research and innovation to achieve a sustainable energy transition agenda.

Work package number	2
Work package title	Research and innovation actions for Technology

Objectives

Specific objective:

- To promote the exchange and generation of knowledge among European and Latin American research infrastructures innovating through the modernization of the technologies developed by the energy research infrastructures to supply solutions for a progressive electrification, integrating decarbonized and low emission energy carriers such as renewable hydrogen and lithium technologies.

Expected results:

- To bring innovative solutions to energy transitions in form of intellectual products and scientific works such as, monography on the capacities and limitations of research infrastructures or a paper about the assessment on which are the most viable, useful and urgent possible application of solar thermal energy in LAC and EU countries and with a greater impact in the environment and the decarbonization of their economies, the capabilities and limitations of LAC and EU countries for the production of green hydrogen and the lithium supply chain for energy applications, and other sources of sustainable energy covered in this project.

Description of work

In this WP the activities will be carried out are the following ones:

- **Joint assessment** on which are the most viable, useful and urgent possible application of solar thermal energy in LAC and EU countries and with a greater impact in the environment and the decarbonization of their economies to bring innovative solutions to energy transitions in form of a research and other academic papers about the scientific areas of knowledge generated in cooperation thanks to the mobilities. This effort will be carried out in a coordinated way between scientists of the EU-SOLARIS ERIC and the identified LAC research infrastructures or entities involved in the project.
- **Virtual thematic event** related to technology in energy transition: A virtual thematic event shall be organized where evidences of the critical issues to be addressed will be discussed and decisions on the most significant areas of further work will be made. Also, at this event, the results of the mobility actions carried out will be presented and discussed.
- In addition, an **on-line international workshop** on the green hydrogen production and lithium valorization and exploitation for energy production in LAC and EU countries. This event will involve plenary lectures, short courses and poster presentations from academia, industry and government. It will be a free event of 2 – 3 day that will promote national and international collaboration for energy transition. An electronic book will be published with the best papers of this workshop.

Work package number	3
Work package title	Coordination, Management, Quality Control, Dissemination, Exploitation and Communication

Objectives

Specific objective:

- To foster the scientific cooperation between the European Union and Latin America energy research infrastructures effectively takes place with an ethical and quality way and to transfer the results of that cooperation to make energy transition a key perspective for the main stakeholders (policy makers, researchers, enterprises...) involved on the energy sector transformation.

Expected results:

- To foster internal project coordination and external dissemination.
- To propose policy recommendations and guidelines about how to carry out a clean, sustainable and just energy transition destined to be transferred to Latin-American and European policy makers.
- To elaborate and implement smart specialization strategies for energy transition based on the knowledge generated during the project.

Description of work

This workpackage includes all the activities about coordination, management, exploitation and dissemination.

- **Coordination activities:**

At the beginning, it will be organized a meeting with all the partners, in a **kick-off meeting** format, that will take place in-person, hosted by a LAC entity of the consortium, with the goal of meeting each other, organizing the consortium, defining the concrete versions of the work packages and its calendars. It will be also created a **steering committee** that will be composed by one representant of each partner. We will have a **virtual meeting** each month. Besides, each month the OEI will organize meetings with the entities implicated in each work package in order to carry out a follow-up of the processes. At the end of the project, together with the final public international congress, we will meet in-person in Spain or Portugal, in order to have a **final internal meeting** that supports the evaluation of the whole project and the organization of its sustainability.

- **Management activities:**

With a wide experience in quality assurance in different areas, the OEI will establish a **quality plan** composed by indicators to measure the quality of the processes carried out in the development of the activities and other issues related to DMP, ethic, security and gender. It will include areas of quality demanded specifically by the EU, considering ethics and security, gender policies and data management plan taking into account the 'do no significant harm' principle. In order to develop a **monitoring and evaluation system**, during the project, OEI, as leader of this WP, will demand to the rest of the leading entities three kind of reports: the first as a specific definition of the development of each work package; the second, an intermediate monitoring, one per WP, once it is finished; the third, a final one, that gathers a final resume of the activity carried out by each partner. To facilitate this task, OEI counts with an open software to the project management (GesprOEI) based on the methodology [GONG](#). Finally, an evaluation will be carried out in order to determine the success of the project, detect errors and chance to improve, as well as new opportunities of collaboration. This last task will be carried out together with the elaboration of policy recommendations and guidelines destined to European and LAC researchers and policy makers about a clean and just energy transition, and about how to improve scientific cooperation between both regions, taking into account the work and learnings extracted from the project.

- **Exploitation activities:**

In order to accomplish with the task of assuring that the process and the results reach Ibero-American policy-makers, the OEI will be responsible of informing them in spaces like High Level Political Forum or other meeting organized by OEI and European Commission. This action pursues to strengthen the scientific cooperation between LAC and Europe and the continuance of the project. A report including **political recommendations and guidelines** will be published to facilitate this exploitation of the project's results.

In addition, as part of a specific way to transfer scientific development must give way to a science that places the center of attention on systemic, natural, social and cultural relationships. For this reason, **Smart Specialization Strategies** in LAC and European context will be carried out as part of the project. Greater sectorial connection is required in the formulation of public policies, not only from an internal perspective in terms of how the different phases of the same policy are defined, but also from an external one, that is, alignment between policies and the generation of spaces for high-level reflection. Smart specialization strategies focus attention on improving innovation capabilities through participatory and collective reflection processes to facilitate decision-making in terms of public research and innovation policies about energy transition. The proposal considers for this action the collaboration with JRC due to its relevant services and expertise in LAC countries implementing Smart Specialization Strategies.

- **Dissemination activities:**

The OEI, as leader of this WP, will develop a specific role in the task of transfer and dissemination. In order guarantee a continuous communication of the project and its outcomes, the OEI will be in charge of the creation a specific webpage. Besides, the communication plan previously described will be developed and concreted, generating planification for each communicative action. In order to achieve this, the OEI will put in service of the project its communicative capacities. Currently, the OEI counts with approximately 20 agreements and more than 30 stable spaces of dissemination in media of the whole Ibero-American region. There are more than 530 thousands of followers consuming, interacting and communicating the content of the OEI. In social media, we act through Instagram, Twitter, LinkedIn, Facebook and YouTube, having a growth of public in each of them, but standing out YouTube, where, during the last two years, the subscriptions have augmented a 290%. In addition to this, the OEI will also disseminate the work carried out in this project among the partners that the organization counts with and in other science events and projects as the Ibero-American Researchers' Night.

Moreover, this project will be disseminated through an international event that will take place at the end of the 24 months with the aim of sharing results with all the actors of the energy sector, as well as other stakeholders.

Work package number	4
Work package title	Mobilities for sustainability

Objectives

Specific objective:

- To stand out the environmental dimension on the energy transition to make it compatible, to assure new energy sources are really sustainable and environmentally friendly.

Expected results:

- To train researchers from European research infrastructures and LAC R&I entities on how to incorporate environmental care on their research about energy technologies.
- To promote scientific Cooperation Networks between Latin American R&I entities and European research infrastructures.

Description of work

The activities carried out in this WP are:

- At least 10 **mobilities** from LAC R&I entities to European research infrastructures and 5 from European research infrastructures to LAC R&I entities.
- **E-learning course** oriented to researchers on how to incorporate open science, specially focused on energy transition, natural capital and climate change (including a face-to-face pilot course with a LAC entity to verify the training methodology). This course will be done with the objective of promoting the NDICI instrument 'Neighborhood, Development and International Cooperation instrument' with indigenous and regional communities, supporting in the Indigenous Knowledge Research Infrastructure (IKRI) in order to work collaboratively. At least one pilot course will be done (Costa Rica) but it will be developed in a hybrid way and open to other EU and LAC countries (inside and outside from the consortium). The final objective of the course is to create researchers' capacity building about the environments in which they carry out their investigations.

Work package number	5
Work package title	Research and innovation actions for sustainability
Objectives Specific objective: <ul style="list-style-type: none"> To stand out the environmental dimension on the energy transition to make it compatible, to assure new energy sources are really sustainable and environmentally friendly. Expected results: <ul style="list-style-type: none"> To exchange know-how related to scientific results and data on energy transition among LAC and EU researchers. 	
Description of work The activities carried out in this WP are: <ul style="list-style-type: none"> Adaptation and development of the already exist research platform of Life Watch ERIC (Virtual Research Environment) focused on climate change and diversity for energy transition to exchange know-how related to scientific results and data. The platform will be open access and centralizes the main actors of Latin American and Caribbean research with Europe. It allows searching for researchers with whom to cooperate on the specific theme of the project. On the platform it will be possible to share data, resources, etc., on energy transition, diversity and climate change. The technological capacity provided by the platform is that it unifies data interoperability between LAC (Costa Rica and Uruguay – expand to other countries in the region-) and the EU. Software to generate traceability chains (blockchain, mobilities traceability, etc.), about the SDG achievement on research mainly focused on clean and just energy transition. Similar to my.lifewatch.eu tool, the software will be key to consolidating the dialogue among Research Infrastructures, Universities, Policy Makers and other relevant actors in the international cooperation in science and technology between the European Union and the countries of Latin America and the Caribbean. Virtual thematic event about how to incorporate environmental perspective in energy transition: A virtual thematic event shall be organized where evidences of the critical issues to be addressed will be discussed and decisions on the most significant areas of further work will be made. Also, at this event, the results of the mobility actions carried out will be presented and discussed. 	
Work package number	6
Work package title	Mobilities for social impact
Objectives Specific objective: <ul style="list-style-type: none"> Research and promote social methods and public policies to make the energy transition highly beneficial for societies by approaching it from an integral perspective. This must consider at least two levels of reflection: a) a dimension of territorial justice, which is beneficial to the local communities involved in energy transition policies; b) a dimension of international economic justice, which serves the country promoting energy transition policies to implement clearly positive development strategies, both at the level of endogenous industrialization and balanced trade exchanges. Expected results: <ul style="list-style-type: none"> Trained researchers from European research infrastructures and LAC R&I entities on how to incorporate social perspective on their research about energy technologies. 	

Description of work

In this WP, it will be carried out the phase I (design) and phase II (fieldwork) of an ethnographic study comparing case studies of specific policies focused on lithium, green hydrogen and renewable energies in three countries of the consortium. The phases of the research will be as follows:

- Months 1-3: establishment of the relevant case studies and the research design.
- Months 4-12 ethnographic fieldwork (combination of online interviews with five research stays in LAC/five research trips in Spain-Portugal).

In the research will participate:

- Emilio Santiago, senior scientist at the Institute of Language, Literature and Anthropology, specialized in climate and energy transition anthropology, co-author of the Annual Report of the Ibero-American State on Science (2022) and IP2 of the Energy Humanities research project, who will be responsible for the work package.
- Pedro Tomé, research scientist at the Institute of Language, Literature and Anthropology, specialized in social impacts of energy infrastructures.
- Cesar Rendueles, senior scientist at the Institute of Philosophy of the CSIC, sociologist specializing in studies of inequality and common goods.
- Jaime Vindel, historian at the Institute of History, IP1 of the Energy Humanities research project and specialist in cultural imaginaries of energy. Jaime Vindel is a Ramón y Cajal researcher at the CSIC, co-funded by the European Union (RYC2018-024943-I), so although he will be charged in the project, he will not be charged in costs, in order not to incur double funding.

To this team, whose dedication to the project will be 7% of their working hours for two years, will be added a one-year full-time postdoctoral contract (from months six to eighteen), preferably a woman, who will develop one of the research stays in LAC as the bulk of the work of transcription of interviews, qualitative data analysis and systematization. As the main part of this work package, 10 **mobilities** will be carried out to develop in-depth interviews and fieldwork (5 in Latin America and 5 in Spain-Portugal), combining online methodologies with short research stays that allow a qualitatively relevant contact with the processes studied.

Work package number	7
Work package title	Research and innovation actions for social impact

Objectives

Specific objective:

- Research and promote social methods and public policies to make the energy transition highly beneficial for societies by approaching it from an integral perspective. This must consider at least two levels of reflection: a) a dimension of territorial justice, which is beneficial to the local communities involved in energy transition policies; b) a dimension of international economic justice, which serves the country promoting energy transition policies to implement clearly positive development strategies, both at the level of endogenous industrialization and balanced trade exchanges.

Expected results:

- Ethnographic research and subsequent publication on the social impacts of energy transition in case studies of specific policies focused on lithium, green hydrogen and renewable energies.

Description of work

In this WP, it will be carried out the phase III (systematization and paper writing) and the phase IV (publication and presentation of results) of ethnographic research on the social impacts of energy transition in specific policy case studies focusing on lithium, green hydrogen and renewable energies. The phases of the research will continue as follows:

- Months 13-18: systematization of data and writing of the ethnographic document.
- Months 19-24: publication of the ethnography and presentation of results in thematic event of the work package.

Activities that will be carried out in this work package are the following ones:

- Comparative **ethnographic study**, of relevant cases in three countries, on how social issues (territorial justice, international economic insertion) are being incorporated in European research infrastructures and in LAC research entities working in the energy sector (CSIC). The final book of the research will be published by an academic publisher of high scientific prestige.
- Virtual thematic event:** A virtual thematic event shall be organized where evidences of the critical issues related to social impact of energy transition will be discussed and decisions on the most significant areas of further work will be made.

Table 3.1c: List of Deliverables

Deliverable (number)	Deliverable name	Work package number	Short name of lead participant	Type	Dissemination level	Delivery date (in months)
1.1	Inventory of research infrastructure on green energy production and lithium valorization and supply chain for energy transition	1	TECNM-ITA	R	PU	18
1.2	Monitoring report including mobilities carried out	1	OEI	R	PU	12
1.3	Monitoring report for technology mobilities II	1	OEI	R	PU	24
2.1	Paper about the assessment on which are the most viable, useful and urgent possible application of solar thermal energy in LAC and EU countries and with a greater impact in the environment and the decarbonization of their economies and other academic papers about the scientific areas of knowledge generated in cooperation thanks to the mobilities.	2	EU-SOLARIS	R	PU	24
2.2	Monography on the capabilities and limitations of research infrastructure available in LAC and EU countries to support and consolidate the green hydrogen production and lithium supply chains.	2	TECNM-ITA	R	PU	18

2.3	Report about the best strategy to develop Lithium extraction in the LAC Lithium triangle (Chile, Bolivia, Argentina) taking into account the technological alternatives, social and environmental impact.	2	PUC	R	PU	24
2.4	Conclusions on the on-line international workshop	2	TECNM	R	PU	24
2.5	Conclusions on the virtual thematic event	2	EU SOLARIS	R	PU	24
3.1	Project webpage with all dissemination deliverables	3	OEI	DEC	PU	6
3.2	Ethic & Plan (as part of the Quality Plan)	3	OEI	ETHICS	PU	6
3.3	Data Management Plan	3	OEI	DMP	PU	6
3.4	Gender equality plan (as part of the Quality Plan)	3	OEI	OTHER	PU	12
3.5	Plan for dissemination and exploitation (including communication activities)	3	OEI	R	PU	6
3.6	Policy brief I	3	OEI	R	PU	12
3.7	Memorandums of Understanding (MoU)	3	OEI	SECURITY	SEN	24
3.8	Updated plan for dissemination and exploitation (including communication activities)	3	OEI	R	PU	14
3.9	Policy brief II	3	OEI	R	PU	24
3.10	Project Management Handbook	3	OEI	R	PU	3
3.11	Quality Assurance Plan	3	OEI	R	PU	3
4.1	Materials for the e-learning course oriented to researchers on how to incorporate open science, specially focused on energy transition, natural capital and climate change	4	LIFEWATCH	DEM	PU	12
4.2	Monitoring report including mobilities carried out	4	OEI	R	PU	12
5.1	Software to generate traceability chains (blockchain, mobilities traceability, etc.), about the SDG achievement on research mainly focused on clean and just energy transition.	5	LIFEWATCH	OTHER	PU	12

5.2	Adaptation and development of the already existing research platform of LIFEWATCH ERIC focused on climate change and diversity for energy transition (including indigenous Knowledge de IKRI.org de FILAC)	5	LIFEWATCH	DATA & DMP	PU	12
5.3	Monitoring report for sustainability mobilities II	5	OEI	R	PU	24
6.1	Monitoring report for social impact mobilities I	6	OEI	R	PU	12
6.2	Monitoring report for social impact mobilities II	6	OEI	R	PU	24
7.1	Ethnographic research and subsequent publication on the social impacts of energy transition	7	CSIC	R	PU	12

Table 3.1d: List of milestones

Milestone number	Milestone name	Related work package(s)	Due date (in month)	Means of verification
1	Quantitative Mobilities Reports delivered	1,3,5 y 7	12	Report and commitment letter for each mobility
2	Research and innovation actions follow up reports delivered	1,3,5 y 7	24	Report for each research and innovation actions included on the WP
3	Thematic events held	1,3,5 y 7	24	Report for each thematic event
4	Qualitative Interim assessment	4	12	Qualitative interim assessment report on technology sustainability and social impact assessment
5	Qualitative Final Assessment	4	24	Qualitative final assessment report on technology sustainability and social impact assessment
6	E – learning materials delivered	4	12	E-course sessions records
7	Research platform developed and adapted	5	24	Research platform improvements
8	Project website created	3	6	Project website

Table 3.1e: Critical risks for implementation #@RSK-MGT-RM@#

Description of risk (indicate level of (i) likelihood, and (ii) severity: Low/Medium/High)	Work package(s) involved	Proposed risk-mitigation measures
Changes in presidential elections in LAC countries towards a political climate uncertain, in particular on foreign policy: (i) medium; (ii): high	WP3	To strengthen partnership with the government of the region, not only at high level but also with technicians. Intensifying efforts in the concrete work with technicians will guarantee certain stability in the implementation of the project, although changes in presidential
Insufficiently planned and coordinated inside the research infrastructures and LAC entities could have a negative impact on the appropriation of the project: (i) low; (ii): high	WP1,WP2, WP3, WP4, WP5, WP6 and WP7	Steering Committee will organize all management plans and activities workflows with detailed checklist for each activity, addressing, each step, roles and responsibilities.
Obstacles to implement the monitoring and evaluation activities through the system that it will be elaborated being impossible to measure appropriately the impact of EULAC FOR ENERGY TRANSITION project (i) medium; (ii): medium	WP3	In order to guarantee a minimum monitoring and evaluation, a variety of tools will be used, both qualitative and quantitative ones. It will allow to have different ways of action if some obstacles affect the main planned activities.

<p>Heads of governmental institutions responsible for science and technology should consider necessary to have political recommendations regarding energy transition: (i) low (ii)high</p>	<p>WP1,WP2, WP3, WP4, WP5, WP6 and WP7</p>	<p>EULAC FOR ENERGY TRANSITION project will promote a consensus in LAC and the EU on the need to make a fair and clean energy transition. There are EU and LAC countries in which there is already a national strategy in this regard. In addition, a large majority of the OEI countries have signed the Paris Agreements.</p>
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Table 3.1f: Summary of staff effort

	WP1	WP2	WP3	WP4	WP5	WP6	WP7	Total Person-Months per Participant
BE1: OEI	5	5	25	5	5	5	5	55
BE2: EU-SOLARIS	10	10	4	0	0	0	0	24
BE3: LIFEWATCH	1	0.5	1.5	3.5	4.5	0,5	0,5	12
BE4: CSIC	0	0	3	0	0	5.5	10.5	19
BE5: IPS	4	10	1	3	9	0	0	27
BE6: INESC TEC	4	10	1	3	9	0	0	27
BE7: PUC	4	0	2	0	0	0	0	6
BE8: TECNIM-ITA	0.1	6	0.1	0.1	6	0	0	12.3
BE9: UNSAM	2.5	2.5	1	0	0	0	0	6
BE10: FUNCENAT	0	0	4	6	7	0	0	17
BE11: UNNE	2.5	2.5	1	0	0	0	0	6
Total Person Months	33.1	46.5	43.6	20.6	40.5	11	16	211.3

Table 3.1g: ‘Subcontracting costs’ items

Participant Number/Short Name		
	Cost (€)	Description of tasks and justification
Subcontracting	-	Not included

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HISTORY OF CHANGES TABLE: EULAC ENERGYTRAN

Date	Page/Section	Changes
Changes in the DoA (including changes proposed in ESR)		
11/08/23	p. 3	Added information about the contribution of the proposal to the ERA
11/08/23	p. 4	Added information about how objectives will be achieved and quantified
11/08/23	p. 7	Added reference about IPR management
11/08/23	p.11	Added plan for collaboration with the Ibero-American Researchers' Night
11/08/23	p.12 and 13	Extended the description of exploitation measures 1.1., 2.1., 2.2.,2.4, 3.2.
11/08/23	p. 16 and 21	Extended the duration of the WP1, WP4 and WP6 for the mobility actions
11/08/23	p. 18	Explained the consideration of EU-SOLARIS ERIs to the project
11/08/23	p. 21 and 23	Changed the name of the WP 3 to “Coordination, Management, Quality Control, Dissemination, Exploitation and Communication”
11/08/23	p. 31 and 32	Extended the description of the first and the third mitigation measures
11/08/23	p. 33	Added staff effort from BE8 to WP1, WP3 and WP4
Deliverable changes		
11/08/23	p. 28	Changed D1.1 name to “Inventory of research infrastructure on green energy production and lithium valorization and supply chain forenergy transition” and WP to 1
11/08/23	p. 28	Changed D1.2 dissemination level to PU
11/08/23	p. 28	Added D1.3 called “Monitoring report for technology mobilities II”
11/08/23	p. 29	Changed D2.3 delivery date to month 24
11/08/23	p. 29	Added D2.4 called “Conclusions on the on-line international workshop”
11/08/23	p. 29	Added D2.5 called “Conclusions on the virtual thematic event”
11/08/23	p. 29	Changed D3.1 delivery date to month 6
11/08/23	p. 29	Changed D3.2 dissemination level to PU
11/08/23	p. 29	Changed D3.3 dissemination level to PU and its delivery date to month 6
11/08/23	p. 29	Changed D3.4 type to OTHER, its dissemination level to PU and its delivery date to month 12
11/08/23	p. 29	Changed D3.5 type to R and its dissemination level to PU
11/08/23	p. 29	Changed D3.6 name to “Policy brief I” and its delivery date to month 12
11/08/23	p. 29	Added D3.8 called “Updated plan for dissemination andexploitation (including communication activities)”
11/08/23	p. 29	Added D3.9 called “Policy brief II”
11/08/23	p. 29	Added D3.10 called “Project Management

		Handbook”
11/08/23	p. 29	Added D3.11 called “Quality Assurance Plan”
11/08/23	p. 29	Changed D4.1 dissemination level to PU
11/08/23	p. 29	Changed D4.2 dissemination level to PU
11/08/23	p. 30	Added D5.3 called “Monitoring report for sustainability mobilities II”
11/08/23	p. 30	Added D6.1 called “Monitoring report for social impact mobilities I”
11/08/23	p. 30	Added D6.2 called “Monitoring report for social impact mobilities II”
11/08/23	p. 30	Changed D7.1 dissemination level to PU
Milestone changes		
11/08/23	p. 31	Changed M1 name to “Quantitative Mobilities Reports delivered”
11/08/23	p. 31	Changed M2 name to “Research and innovation actions follow up reports delivered”
11/08/23	p. 31	Changed M3 name to “Thematic events held”
11/08/23	p. 31	Changed M4 name to “Qualitative Interim assessment” and means of verification to Qualitative interim assessment report on technology sustainability and social impact assessment
11/08/23	p. 31	Changed M5 name to “Qualitative Final Assessment” and means of verification to Qualitative final assessment report on technology sustainability and social impact assessment
11/08/23	p. 31	Added M6 called “E– learning materials delivered”
11/08/23	p. 31	Added M7 called “Research platform developed and adapted”
11/08/23	p. 31	Added M8 called “Project website created”
17/08/23	p.33, 34, 35 y 36	Removed tables 3.1h, 3.1i, 3.1j

ANNEX 2

ESTIMATED BUDGET (LUMP SUM BREAKDOWN) FOR THE ACTION

Forms of funding	Estimated EU contribution							Maximum grant amount ¹
	Estimated eligible lump sum contributions (per work package)							
	WP1 Mobilities for Technology	WP2 Research and innovation actions for Technology	WP3 Coordination, Management, Quality Control, Dissemination, Exploitation and Communication	WP4 Mobilities for sustainability	WP5 Research and innovation actions for sustainability	WP6 Mobilities for social impact	WP7 Research and innovation actions for social impact	
	Lump sum contribution	Lump sum contribution	Lump sum contribution	Lump sum contribution	Lump sum contribution	Lump sum contribution	Lump sum contribution	
	a	b	c	d	e	f	g	h = a + b + c + d + e + f + g
1 - OEI	27 040.40	27 040.40	303 952.00	27 040.40	27 040.40	27 040.40	27 040.40	466 194.40
2 - EU-SOLARIS ERIC	85 000.00	78 750.00	36 000.00	0.00	0.00	0.00	0.00	199 750.00
3 - LifeWatch ERIC	7 656.25	3 937.50	35 968.75	101 718.75	45 843.75	3 937.50	3 937.50	203 000.00
4 - CSIC	0.00	0.00	17 818.75	0.00	0.00	81 717.50	51 717.50	151 253.75
5 - IPS	10 000.00	23 000.00	11 937.50	8 500.00	21 500.00	0.00	0.00	74 937.50
6 - INESC TEC	10 000.00	23 000.00	11 937.50	8 500.00	21 500.00	0.00	0.00	74 937.50
7 - PUC	53 125.00	0.00	21 875.00	0.00	0.00	0.00	0.00	75 000.00
8 - TECNIM	9 375.00	29 375.00	15 625.00	9 375.00	11 250.00	0.00	0.00	75 000.00
9 - UNSAM	26 658.13	8 658.13	14 473.74	0.00	0.00	0.00	0.00	49 790.00
10 - CENAT	0.00	0.00	28 157.50	21 140.00	25 683.75	0.00	0.00	74 981.25
11 - UNNE	26 658.13	8 658.13	14 473.74	0.00	0.00	0.00	0.00	49 790.00
Σ consortium	255 512.91	202 419.16	512 219.48	176 274.15	152 817.90	112 695.40	82 695.40	1 494 634.40

¹ The 'maximum grant amount' is the maximum grant amount fixed in the grant agreement (on the basis of the sum of the beneficiaries' lump sum shares for the work packages).

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

EUROPEAN SOLAR RESEARCH INFRASTRUCTURE FOR CONCENTRATED SOLAR POWER (EU-SOLARIS ERIC), PIC 883665733, established in CARRETERA A SENES KM 4, Tabernas 04200, Spain,

hereby agrees

to become beneficiary

in Agreement No 101131725 — EULAC ENERGYTRAN ('the Agreement')

between ORGANIZACION DE ESTADOS IBEROAMERICANOS PARA LA EDUCACION LA CIENCIA Y LA CULTURA (OEI) **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

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

E-SCIENCE EUROPEAN INFRASTRUCTURE FOR BIODIVERSITY AND ECOSYSTEM RESEARCH (LifeWatch ERIC), PIC 909022018, established in PLAZA DE ESPANA S/N, SECTOR II-III, SEVILLA 41071, Spain,

hereby agrees

to become beneficiary

in Agreement No 101131725 — EULAC ENERGYTRAN ('the Agreement')

between ORGANIZACION DE ESTADOS IBEROAMERICANOS PARA LA EDUCACION LA CIENCIA Y LA CULTURA (OEI) **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

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

AGENCIA ESTATAL CONSEJO SUPERIOR DE INVESTIGACIONES CIENTIFICAS (CSIC), PIC 999991722, established in CALLE SERRANO 117, MADRID 28006, Spain,

hereby agrees

to become beneficiary

in Agreement No 101131725 — EULAC ENERGYTRAN ('the Agreement')

between ORGANIZACION DE ESTADOS IBEROAMERICANOS PARA LA EDUCACION LA CIENCIA Y LA CULTURA (OEI) **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

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

INSTITUTO POLITECNICO DE SETUBAL (IPS), PIC 995304003, established in EDIFICIO SEDE CAMPUS DO IPS, SETUBAL 2910-761, Portugal,

hereby agrees

to become beneficiary

in Agreement No 101131725 — EULAC ENERGYTRAN ('the Agreement')

between ORGANIZACION DE ESTADOS IBEROAMERICANOS PARA LA EDUCACION LA CIENCIA Y LA CULTURA (OEI) **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

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

INESC TEC - INSTITUTO DE ENGENHARIA DE SISTEMAS E COMPUTADORES, TECNOLOGIA E CIENCIA (INESC TEC), PIC 999513706, established in RUA DR ROBERTO FRIAS CAMPUS DA FEUP, PORTO 4200 465, Portugal,

hereby agrees

to become beneficiary

in Agreement No 101131725 — EULAC ENERGYTRAN ('the Agreement')

between ORGANIZACION DE ESTADOS IBEROAMERICANOS PARA LA EDUCACION LA CIENCIA Y LA CULTURA (OEI) **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

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

PONTIFICIA UNIVERSIDAD CATOLICA DE CHILE (PUC), PIC 999643201, established in AVENIDA LIBERTADOR BERNARDO O'HIGGINS 340, SANTIAGO 8331150, Chile,

hereby agrees

to become beneficiary

in Agreement No 101131725 — EULAC ENERGYTRAN ('the Agreement')

between ORGANIZACION DE ESTADOS IBEROAMERICANOS PARA LA EDUCACION LA CIENCIA Y LA CULTURA (OEI) **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

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

TECNOLOGICO NACIONAL DE MEXICO (TECNM), PIC 918939589, established in AV. UNIVERSIDAD NO. 1200, 5° PISO COLONIA XOCO, CIUDAD DE MEXICO 03330, Mexico,

hereby agrees

to become beneficiary

in Agreement No 101131725 — EULAC ENERGYTRAN ('the Agreement')

between ORGANIZACION DE ESTADOS IBEROAMERICANOS PARA LA EDUCACION LA CIENCIA Y LA CULTURA (OEI) **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

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

UNIVERSIDAD NACIONAL DE GENERAL SAN MARTIN (UNSAM), PIC 966956335, established in MARTIN DE IRIGOYEN 3100, SAN MARTIN BUENOS AIRES 1650, Argentina,

hereby agrees

to become beneficiary

in Agreement No 101131725 — EULAC ENERGYTRAN ('the Agreement')

between ORGANIZACION DE ESTADOS IBEROAMERICANOS PARA LA EDUCACION LA CIENCIA Y LA CULTURA (OEI) **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

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

FUNDACION CENTRO DE ALTA TECNOLOGIA (CENAT), PIC 915207611, established in 1.3 KM NORTE DE LA EMBAJADA DE LOS ESTADOS UNIDOS EDIFICIO FRANKLIN CHAN, SAN JOSE 1174 1200, Costa Rica,

hereby agrees

to become beneficiary

in Agreement No 101131725 — EULAC ENERGYTRAN ('the Agreement')

between ORGANIZACION DE ESTADOS IBEROAMERICANOS PARA LA EDUCACION LA CIENCIA Y LA CULTURA (OEI) **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

ANNEX 3

ACCESSION FORM FOR BENEFICIARIES

UNIVERSIDAD NACIONAL DEL NORDESTE (UNNE), PIC 881192621, established in 25 DE MAYO 868 CORREINTES, BUENOS AIRES 3400, Argentina,

hereby agrees

to become beneficiary

in Agreement No 101131725 — EULAC ENERGYTRAN ('the Agreement')

between ORGANIZACION DE ESTADOS IBEROAMERICANOS PARA LA EDUCACION LA CIENCIA Y LA CULTURA (OEI) **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

FINANCIAL STATEMENT FOR THE ACTION FOR REPORTING PERIOD [NUMBER]

EU contribution												
Eligible lump sum contributions (per work package)												Requested EU contribution
	WP1 [name]	WP2 [name]	WP3 [name]	WP4 [name]	WP5 [name]	WP6 [name]	WP7 [name]	WP8 [name]	WP9 [name]	WP10 [name]	WP [XX]	
Forms of funding	[Lump sum contribution// Financing not linked to costs]	[Lump sum contribution// Financing not linked to costs]	[Lump sum contribution// Financing not linked to costs]	[Lump sum contribution// Financing not linked to costs]	[Lump sum contribution// Financing not linked to costs]	[Lump sum contribution// Financing not linked to costs]	[Lump sum contribution// Financing not linked to costs]	[Lump sum contribution// Financing not linked to costs]	[Lump sum contribution// Financing not linked to costs]	[Lump sum contribution// Financing not linked to costs]	[Lump sum contribution// Financing not linked to costs]	
Status of completion	COMPLETED	COMPLETED	COMPLETED	COMPLETED	COMPLETED	COMPLETED	COMPLETED	PARTIALLY COMPLETED	PARTIALLY COMPLETED	COMPLETED	NOT COMPLETED	
	a	b	c	d	e	f	g	h	i	j	k	$l = a + b + c + d + e + f + g + h + i + j + k$
1 – [short name beneficiary]												
1.1 – [short name affiliated entity]												
2 – [short name beneficiary]												
2.1 – [short name affiliated entity]												
X – [short name associated partner]												
Total consortium												

The consortium hereby confirms that:

The information provided is complete, reliable and true.

The lump sum contributions declared are eligible (in particular, the work packages have been completed and the work has been properly implemented and/or the results were achieved; see Article 6).

The proper implementation of the action/achievement of the results 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, 21 and 25).

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 2015/444¹ 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)

¹ 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).

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 Integrity².

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).

- 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.

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.

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).

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:

- 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

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.

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

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 non-competitive 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.

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 Common 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)

- 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 non-exclusive 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

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 Researchers³, 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

³ 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).

for education or public services, and they may be ‘single-sited’, ‘virtual’ or ‘distributed’⁴:

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.

⁴ See Article 2(1) of the Horizon Europe Framework Programme Regulation 2021/695.

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 short-list 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.

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 traceability⁵ 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).

⁵ 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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