



European Institute of
Innovation & Technology

HEI Initiative Innovation Capacity Building for Higher Education



A body of the European Union

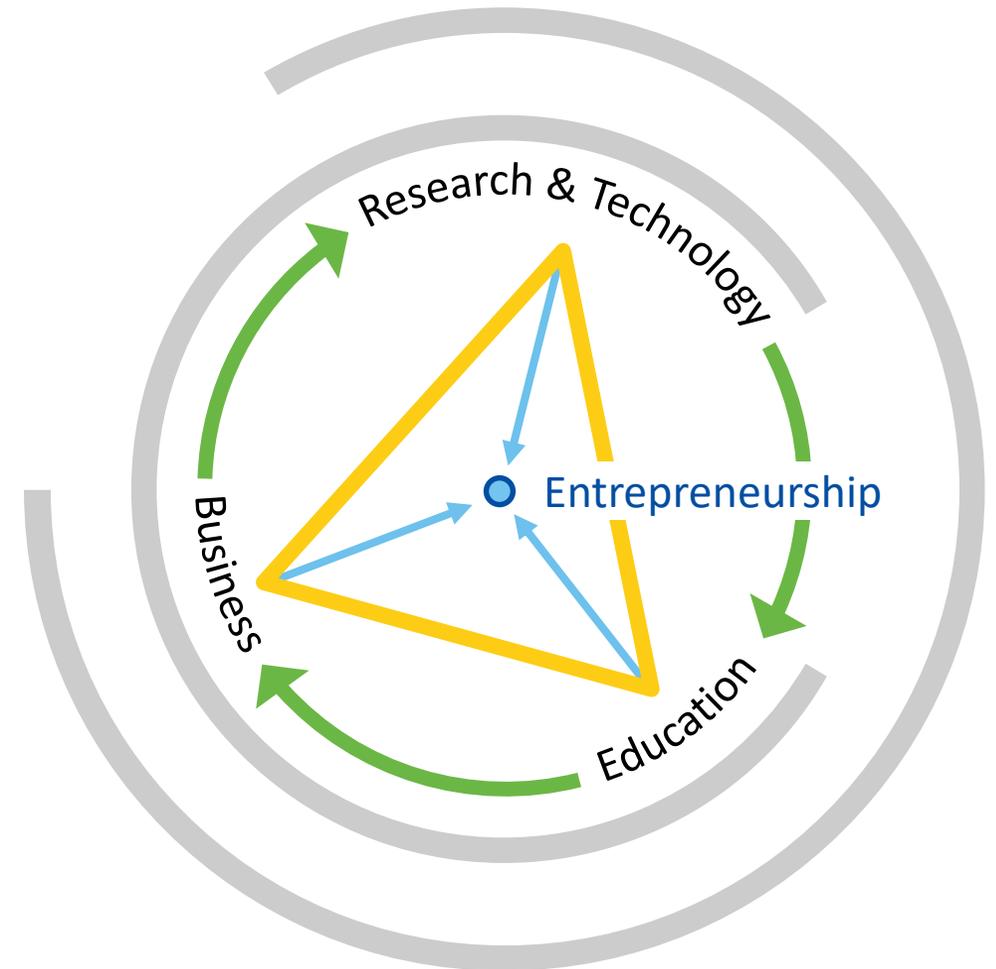
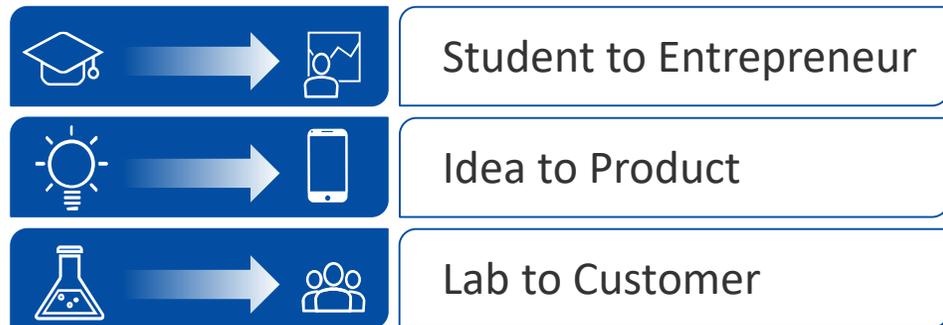


EIT (EUROPEAN INSTITUTE OF INNOVATION AND TECHNOLOGY)

The EIT is an EU body that enhances Europe's ability to innovate by nurturing young entrepreneurial talent and supporting new ideas through the Innovation Communities.

The EIT is the first EU initiative bringing together the three sides of the 'knowledge triangle': Business (companies and SMEs), Higher Education Institutions and Research Centres.

The EIT aims to increase the cooperation and integration between education, business and research to facilitate the transition from:



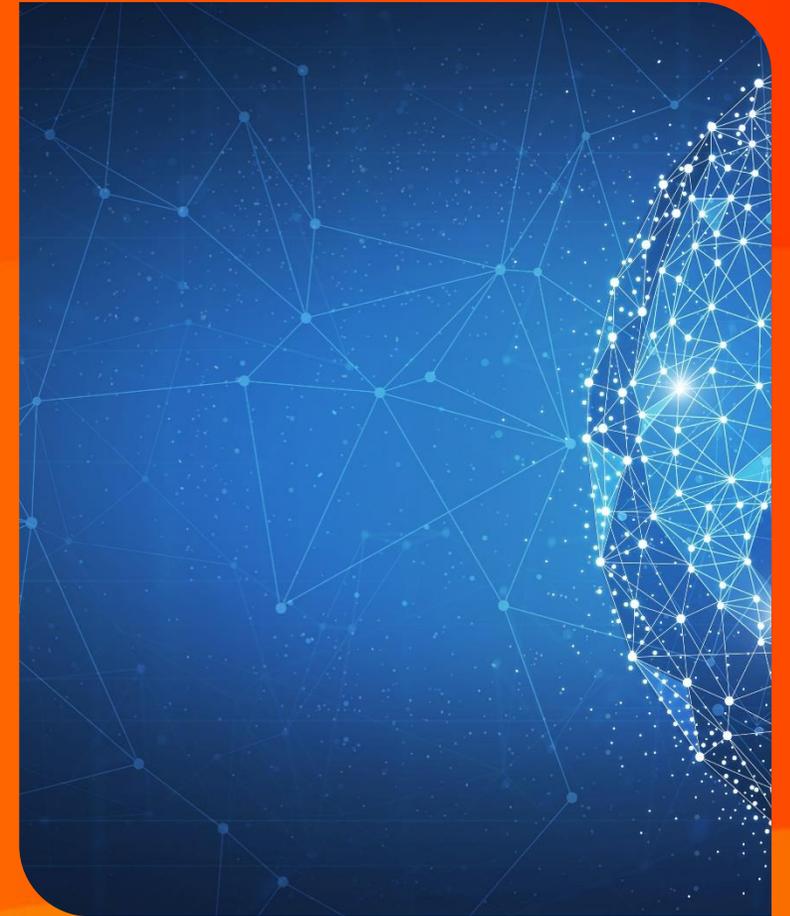
HEI INITIATIVE – THE POLICY CONTEXT

- As part of Horizon Europe and under the EIT Strategic Innovation Agenda 2021-2027, EIT and the KICs are expected to *raise the bar* in education
- Create systemic impact by engaging HEIs at *institutional* level
 - Strengthen the entrepreneurial and innovation capacity of HEIs at institutional level
 - Strengthen integration into innovation ecosystems
- HEIs will be empowered to become **engines of innovation** for the realisation of a carbon-neutral, digital, circular & inclusive society
- EIT and EIT KICs have established the **HEI Initiative: Innovation Capacity Building for Higher Education**



HEI INITIATIVE - AIMS

- Contribute to the EIT core mission of boosting sustainable economic growth and competitiveness by reinforcing the innovation capacity of Member States.
- Extend the impact of the EIT beyond individual faculties and programmes to all levels within the education value chain
- Leverage the innovation and entrepreneurial knowledge-base built in the EIT KICs thus far
- Bring together EIT KIC partners and non-partners to collaborate, co-create and mutually learn
- Encourage HEIs to look at their own practices and the opportunities for increasing their impact in their ecosystem
- Empower HEIs to take a significant step forward in increasing their entrepreneurial and innovation capacity



HEI INITIATIVE – BY THE NUMBERS

- The HEI Initiative is a 3-year pilot, steered by the EIT Governing Board; 2021 is considered the pre-pilot year
 - EIT Governing Board to determine if the HEI Initiative should be continued and scaled-up for 2024-2027
- The HEI Initiative is a cross-KIC project, involving all 8 EIT KICs, led by EIT RawMaterials
 - 4 individual EIT KICs are work package leaders
- The ambition is to reach 500+ HEIs under Horizon Europe
- HEIs will submit proposals to open Calls
- EUR 9,2 million available for the Pilot Call for Proposals

HEI INITIATIVE – THE CALL

- The Pilot Call for Proposals submission **25 May 2021**, 23h59 CET
- Application portal is live on www.eit-hei.eu
- Max **EUR 9,2 million** will be available, funding max **23 pilot projects**
- Pilot projects will have a max duration of **24 months**, starting in July 2021
- 3 requirements to heed: Eligibility Criteria, The Phases, The IVAP



HEI INITIATIVE – THE METHODOLOGY

- HEIs to carry out an **HEInnovate** self-assessment to explore their innovative potential
- On the basis of the HEInnovate self-assessment results, HEIs create an **Innovation Vision Action Plan (IVAP)**
 - Long-term view towards innovation and entrepreneurial capacity
 - Address all actors and levels within the education value chain through concrete Actions
 - Co-create, innovate and use resources from the capacity building knowledge base in the EIT KICs – brought via EIT KIC partners + HEI Initiative repository
- Implement IVAP in **two phases**, with transferability plan illustrating how to scale
- Regional engagement and post-project opportunities through **RIIA** (The Regional Innovation Impact Assessment framework) and **Smart Specialisation**



heinnovate



HEInnovate guiding framework



The self-reflection tool

- A self-reflection tool for higher education institutions who wish to explore their entrepreneurial / innovative potential
- The simple purpose of helping higher education institutions identify their current situation and potential areas for action
- Eight broad areas, under which are statements for self-assessment

Select your preferred language

Expand the dimensions below to read more

- Leadership and Governance
- Organisational Capacity: Funding, People and Incentives
- Entrepreneurial Teaching and Learning
- Preparing and Supporting Entrepreneurs
- Digital Transformation and Capability
- Knowledge Exchange and Collaboration
- The Internationalised Institution
- Measuring Impact

Select one of the dimensions below to start a self-assessment



Download Concept Note >

What does it do?

- Allows individuals and institutions to **assess their HEIs in a systematic way**
- Diagnoses areas of strengths and weaknesses across eight areas, **42 different statements**
- Opens up **discussion and debate** associated with the entrepreneurial / innovative nature of your institution. (Also used for hackathons, stakeholders workshops...)
- Compares and contrasts **evolution over time**
- Provides **access to high quality learning materials**
- You can find on the website also the video tutorials on “[How to use the Heinnovate website](#)” and on “[How to use the group functions on HEInnovate](#)”

How is it used?

- Register online at <https://heinnovate.eu> or explore it as a guest user
- **Individually** - any individual can create a personal account and complete the self-assessment
- **As part of a group:**
 - Anyone can set up a group on HEInnovate and invite others (colleagues, external partners, students, etc.) to complete the self-assessment as part of the group
 - The group function allows contrasting and comparing the views of the groups members, and helps create a basis for structured dialogue

THE ELIGIBILITY CRITERIA



THE ELIGIBILITY CRITERIA - ELIGIBLE PARTICIPATING ORGANISATIONS

The following organisations are eligible for participation and funding:

- Higher Education Institutions (HEIs) – HEIs must hold a valid Erasmus Charter for Higher Education (ECHE) with its affiliated entities (if any) as full or associated partner.
- Public or private, small, medium or large enterprises (including social enterprises)
- Research institutes
- Public bodies at local, regional or national level
- Intermediary organisations or associations which represent Higher Education Institutions



THE ELIGIBILITY CRITERIA - GEOGRAPHICAL COVERAGE

To be eligible for participation and funding, consortium members must be established in one of the eligible countries, i.e.:

- the Member States of the European Union, including their outermost regions
- the Overseas Countries and Territories (OCTs) linked to the Member States
- eligible non-EU countries
- countries associated to Horizon Europe



THE ELIGIBILITY CRITERIA – CONSORTIUM COMPOSITION

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

A minimum of **three HEIs** from **three different countries**, as follows:

- One HEI must be the applicant/coordinator
- A minimum two other HEIs in the consortium must be full partners
- Minimum one HEI shall be an **existing partner** of an EIT KIC
- The majority of HEIs shall **not be partners** of an EIT KIC

A minimum of one actor from another side of the **Knowledge Triangle** (e.g. VET organisations, RTOs, SMEs and start-ups)

Organisations may participate as a **full partner** or **associated partner**

An organisation may only participate in one proposal

THE ELIGIBILITY CRITERIA – COMMITMENT

Commitment of top management and faculty deans / department heads

- Top management of each HEI (Rector, Chancellor, Vice-Rector/Chancellor, or someone else in the senior management of the HEI)
- Minimum **two faculties** or **two departments** within each of the HEIs must be involved in the submission of the application and implementation of the selected HEI projects

Commitment demonstrated through signed “Commitment Letters”

THE ELIGIBILITY CRITERIA – HEINNOVATE

Self-assessment performed to drive the choice of selected Actions

- HEIs must provide supporting documents which illustrate HEInnovate was used
- HEIs must download their results in a pdf format and upload them with the application
- www.heinnovate.eu



THE PHASES



THE PHASES - INTRODUCTION

- Selected pilot projects implemented in **two phases**
- The proposal should be designed for a 24-month period
 - Clear distinction between the activities and results in Phase 1 and those in Phase 2
- Continuation of the pilot projects and additional budget to Phase 2 will be subject to approval of the HEI Initiative budget for 2022 and 2023



THE PHASES - PHASE 1

- Phase 1: July – 31 December 2021
 - Total maximum budget per pilot project for is EUR 400.000
 - Minimum of 65% of the Phase 1 budget must be allocated to HEIs in the consortium not already existing partners of an EIT KIC
- The following criteria must be fulfilled to be extended into Phase 2
 - Delivery and validation of the EIT Core KPIs described in Section 2.2 of the Pilot Call
 - Achievement of key milestones in Phase 1 in the multi-annual HEI transferability plan to achieve institutional change in Phase 2
 - Submission of an updated IVAP

THE PHASES – PHASE 2

If criteria are fulfilled from Phase 1, a project may be extended to Phase 2

- Phase 2: January 2022 – July 2023
 - Total maximum budget per pilot project for is EUR 800.000
 - Minimum of 65% of the Phase 2 budget must be allocated to HEIs in the consortium not already existing partners of an EIT KIC
- EIT KICs to provide guidance to pilot projects on post-project follow-up, in addition to the post-project plans of the consortia

THE PHASES – PHASE 1&2

| | Max Duration | Month and Year | Max Budget |
|---------|---------------------|--------------------------|-------------------|
| Phase 1 | 6 months | July – December 2021 | EUR 400.000 |
| Phase 2 | 18 months | January 2022 – July 2023 | EUR 800.000 |
| Total | 24 months | | EUR 1,2 million |

THE IVAP



THE IVAP – INTRODUCTION

- All pilot projects are required to create an **Innovation Vision Action Plan (IVAP)** as part of their application
- The IVAP takes a long-term view towards **innovation and entrepreneurial capacity at institutional level**
- You will design your IVAP on the basis of the HEInnovate self-assessment:
 - All participating HEIs must carry out the HEInnovate self-assessment
 - The self-assessment results drive the consortium choice of Actions proposed for funding and the foreseen institutional change within the participating HEIs



THE IVAP – KEY FACTS

- There is **no IVAP template** – you will articulate your IVAP through the responses given in the HEI Application Form
- The HEI Application Form is based on the Horizon Europe framework
- You are required to articulate a **Vision** for 2030 with a clear, step-by-step **Action Plan** leading to lasting **Impact**
 - Work packages, deliverables, milestones, stakeholders, beneficiaries, budget
 - Indicators and processes to track results and impact
 - Risk management and IPR plan
- **IVAP Workshop in July** for alignment with EIT Impact Framework



THE IVAP – VISION 2030

- **Key item of the application** which will **shape the type of actions** to be included in the IVAP
- The Vision articulates the **consortium's ambition to produce HEI institutional change until 2030**. It articulates where HEIs want to be beyond the scope of the HEI Initiative Pilot Call (ending in 2023)
- Create a clear, concise, stable, challenging and inspiring statement such as:

EIT's vision '...is to become the leading European initiative that empowers innovators and entrepreneurs to develop world-class solutions to societal challenges and creates growth and skilled jobs.'



THE IVAP – ACTION PLAN

- **Endorsement** in writing by top management of **at least 2 faculties** in each HEI, demonstrating **commitment** (eligibility criterion) Clear link established from the results of the HEInnovate self-assessment
- Establish a **clear link** between the **results of the HEInnovate** self-assessment and the implementation of **six Actions** from those listed in the four Domains in Section 2.3 of Pilot Call for Proposals
- Demonstrate contribution to the **strategic objectives** and missions of at least **two EIT KICs**
- Commitment to achieve a pre-defined **minimum number of EIT Core KPIs within 2021**
- Inclusion of a **transferability plan** demonstrating:
 - How the selected Actions will be transferred and scaled within the institution **during** the pilot project
 - Outline a detailed plan for further institutionalisation of the IVAP **beyond** the pilot project duration
- Develop a **Training** for at least one of the selected Actions (Training handbook and other training materials must be made available to the HEI Initiative)
- Use existing innovation & entrepreneurial capacity building resources within the EIT KICs (KIC partner within each consortium to liaise with KICs management teams)

THE IVAP – THE DOMAINS AND ACTIONS

- Building on the HEInnovate self-assessment results, each consortium will select a total of **6 Actions**, with at least **one Action from each of the four Domains**. The remaining two Actions will be selected from two Domains of choice in a constellation that best suits the needs of participating HEIs.
- The IVAP is expected to generate **institutional-level impact** through the mix of Actions implemented.
- While by articulating its Vision a consortium defines its aspirational targets for 2030, by picking and linking Actions from different Domains it articulates its strategy to achieve **measurable impact during Phase 1 and Phase 2** of the HEI Initiative Pilot Call, as evidenced by the commitment to **achieve a number of minimum KPIs**.



THE IVAP – DOMAINS AND ACTIONS

Domain 1 – Fostering institutional engagement and change

Secure & maintain institutional engagement

Student engagement activities

Infrastructure development

Multi-disciplinary support structures

Set up or improve organisational units

Domain 2 – Strengthening partnerships (knowledge triangle integration)

New collaborations

Exchange good practices

Collaborate with the EIT KICs

Domain 3 - Contribution to developing innovations and businesses

Structures for creating start-ups

Structures for innovation-driven research

Testbeds & Platforms

Domain 4 – Enhancing the quality of innovation and entrepreneurial education

Innovation and entrepreneurial curricula

Assessment of teaching and learning practices

Training programmes and mentoring schemes

Internships in businesses

THE IVAP – IMPACT: KIC STRATEGIC OBJECTIVES

- IVAPs should demonstrate contribution to the strategic objectives and missions of at least two EIT KICs

The HEI Initiative is supported by EIT's Knowledge and Innovation Communities under Horizon Europe

Coordinated by



THE IVAP – IMPACT: EIT KPIS

- Commitment to achieve a pre-defined minimum number of EIT Core KPIs within 2021
 - Min 2 start-ups/scale-ups supported
 - Min 130 students trained, with a view to innovation & entrepreneurship; thereof, 6 students mentored
 - Min 12 academic staff members trained, with a view to innovation and entrepreneurship; thereof, 4 academic staff mentored
 - Min 12 non-academic staff(e.g. professional staff , support staff) trained, with a view to innovation and entrepreneurship; thereof, 4 non-academic staff mentored
- The EIT Core KPIs must be increased in 2022 and 2023.



THE IVAP – IMPACT: OTHER KEY ISSUES

- Define **indicators** for monitoring, collecting and measuring the results, outcomes and impact achieved during Phase 1 & Phase 2
- Identify your specific **target groups**
- Identify the potential **barriers and risks** for achieving impact
- Explain the **baselines, benchmarks and assumptions** used
- Describe a **transferability plan within the HEIs** (for Phase 1 & Phase 2)
- Outline your **communication strategy**
- Identify potential **feedback to policy initiatives / decisions**
- **IPR strategy** (if selected, Consortium Agreement needed!)



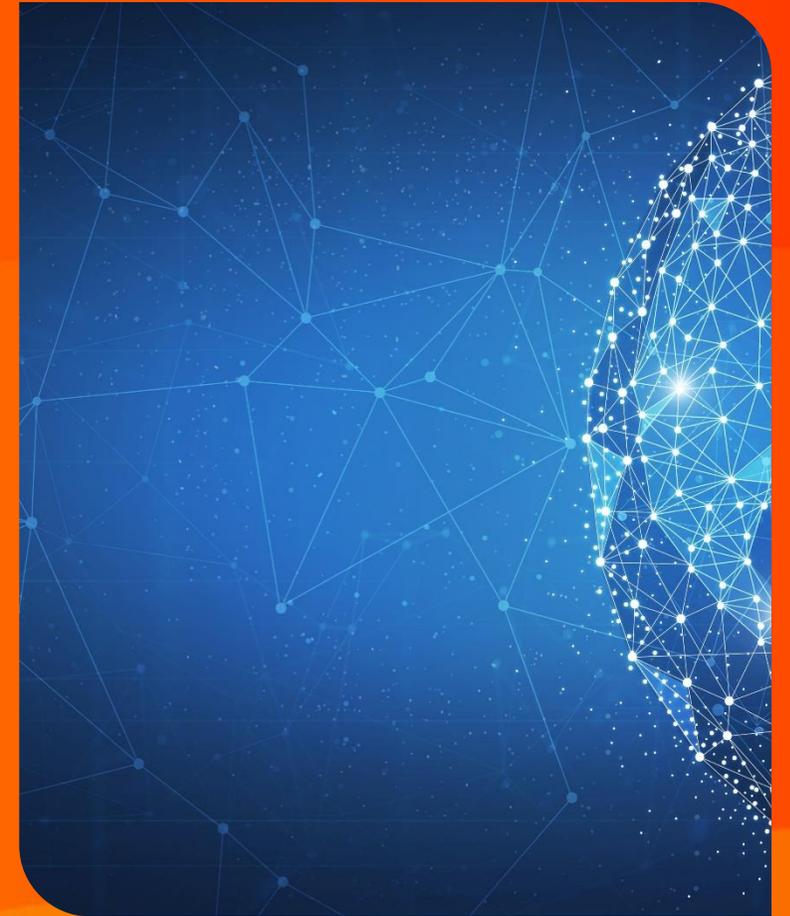
THE IVAP – IMPLEMENTATION

- Focus on the **added value of the proposal**
- Describe how the consortium will **implement the Actions** and establish the link between the Actions implemented and the overall project **Vision** aiming at **achieving Institutional Change**
- Provide a brief presentation of the overall structure of the **work plan** (work packages and their components, milestones, deliverables...)
- **Narrative** to be supplemented and qualified with data provided in the different tabs of the application portal
- Clearly **distinguish** between data relevant for **Phase 1 & Phase 2**
- Remember the need to secure **participating HEIs' top management written commitment!**



THE IVAP – CONSORTIUM ADDED VALUE

- Why this consortium? Describe how it best addresses **the project's objectives** mobilising the necessary **disciplinary and interdisciplinary knowledge**
- Describe how project participants complement one another and address the **integration of the Knowledge Triangle**
- Describe how all project participants will contribute to **address the participating HEIs' needs** evidenced by the HEInnovate results
- Demonstrate how each project partner has **a valid role**, adequate expertise, and sufficient resources to fulfil that role
- Make sure all project partners and the consortium as a whole fulfill the **eligibility criteria!**



THE IVAP – BUDGET

- Reimbursement of eligible costs follows **Horizon Europe Rules for Participation**.
- The funding rate that applies to the pilot projects selected for **funding is 100%**.
- The budget allocated to selected pilot projects will be based on the costs actually incurred by eligible consortium partners implementing eligible pilot project activities. 100% of all eligible costs may be covered.
- Co-funding brought by the consortium members will be evaluated positively.
- Clear breakdown of eligible costs **per work package, consortium member, and per project phase (Phase 1 & Phase 2)**; this information is included in the “Budget” tab of the Application Form.



PARTS OF APPLICATION

Section 1: EXCELLENCE

- Vision and Objectives (maximum 2 pages)
- Methodology (maximum 8 pages)

Section 2: IMPACT

- Project pathways toward impact (maximum 5 pages)
- Measures to maximize impact – Transferability, exploitation, dissemination and communication (maximum 5 pages) (AUGUSTÉ)

Section 3: QUALITY AND EFFICIENCY OF IMPLEMENTATION

- Quality and effectiveness of the work plan, assessment of risks, and appropriateness of the effort assigned to work packages, and the resources overall. (maximum 7 pages)
- Capacity and role of each participant, and the extent to which the consortium as a whole brings together the necessary expertise. (maximum 3 pages)

Attachments: (1) Gantt chart; (2) Graphical presentation of work packages; (3) Deliverable table; (4) Milestone table; (5) Risk table