#HorizonEU

**THE EU
RESEARCH & INNOVATION
PROGRAMME**

2021 – 2027

Training for NCPs: Special webinar on Horizon Europe

10 DECEMBER 2021

Research and Innovation

Admissibility & Eligibility

Proposal page limit: Substantial reduction in maximum length:

RIAs and IAs	CSAs	COFUND	First stage proposals	EIC Pathfinder
45 pages	30 pages	70 pages	10 pages	17 pages

Check for exceptions in your topics!!!

Consortium composition (collaborative projects)

- at least one independent legal entity established in a Member State (MS), and
- at least two other independent legal entities each established either in a different MS or an Associated Country (AC).

- CSAs: may be submitted by one or more legal entities, which may be established in a MS, AC or, in exceptional cases and if provided for in the specific call conditions, in another third country.

Gender Equality Plan (starts being applicable in calls with deadline in 2022)

Participants that are public bodies, research organisations or higher education establishments from Members States and Associated countries **must have a gender equality plan**, covering minimum process-related requirements.

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Associated Countries

Countries for which association has started to take effect (status of 10 Dec 2021)

1. Georgia
2. Iceland
3. Israel
4. Moldova
5. Montenegro
6. Norway
7. Serbia
8. Turkey

Countries with which association negotiations are being processed or where association is imminent (status of 10 Dec 2021) – transitional arrangement
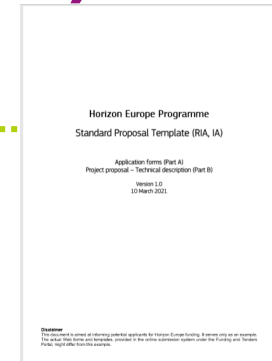
1. Albania
2. Armenia
3. Bosnia and Herzegovina
4. Faroe Islands
5. Kosovo
6. Morocco
7. North Macedonia
8. Tunisia
9. Ukraine
10. United Kingdom

Specific situation of CH

- Legal entities established in Switzerland are currently not covered by the transitional arrangement.

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Application form (proposal template)

Same structure

The proposal contains two parts:

- **Part A** (web-based forms) is generated by the IT system. It is based on the information entered by the participants through the submission system in the Funding & Tenders Portal.
- **Part B** is the narrative part that includes three sections that each correspond to an evaluation criterion. Part B needs to be uploaded as a PDF document following the templates downloaded by the applicants in the submission system for the specific call or topic.

Horizon Europe Programme

Standard Proposal Template (RIA, IA)

Application forms (Part A)
Project proposal – Technical description (Part B)

Version 1.0
10 March 2021

New features in the Horizon Europe proposal

NEW FIELDS IN PART A

- Researchers table – needed to follow up researchers careers (HE indicator)
- Role of participating organisation
- Self-declaration on gender equality plan

FIELDS MOVED FROM PART B TO PART A

- Ethics self-assessment
- Security questionnaire (**NEW!** in all HE proposals)
- Information on participants' previous activities related to the call

NEW IN PART B

- Glossary of terms.
- Consistency on the use of terminology is ensured in all project phases (from WP to proposal and reporting)
- Extensive explanations on what exactly should be included in each section.

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Problems in the Portal

- **The submission system in the portal** has encountered some technical problems in the past months mainly due to the extremely high traffic in conjunction with an unfortunate chain of incidents linked to the global infrastructure that supports it. **Most of the problems are currently solved and system is now stable**.
- Occasionally we still see cases of failure to submit a proposal. We give the highest priority to solve these cases. It is essential that participants submit a **complaint within four days after the call deadline**.
- We have put in place a new **notification function for NCPs**, that will allow us to address them quickly for informing on any issues.
- We have instructed the helpdesk not to suggest that participants contact their NCPs in the event of technical problems in the system.

The functionality to rearrange order of participants is temporarily discontinued until the problems with the submission system are fully solved.
Participants can be re-ordered during the GAP process if the consortium wish so.

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Best practices for the use of the submission system

Which pitfalls should I avoid in using the electronic proposal submission system? (FAQ: Funding & tenders (europa.eu))

- SUBMIT a (next to) final version of your proposal SEVERAL DAYS BEFORE THE DEADLINE!

- AVOID editing (your part of) the proposal with MORE THAN ONE USER from your organisation at the same time!

- DO NOT edit the proposal in MORE THAN ONE BROWSER TAB/WINDOW at the same time!

- SAVE your changes FREQUENTLY! No data is saved until you click on SAVE.

- DO NOT USE file names containing SPECIAL CHARACTERS for files you upload. Only alphanumerical characters: A-Z, a-z, 0-9, _ (underscore), - (dash), . (dot) or space are allowed.

- DO NOT ENCRYPT or DIGITALLY SIGN your PDF files.

- DOUBLE-CHECK AFTER UPLOAD of files whether they can be opened without problems.

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FAQ on proposal template

Participants in proposal:

- **Main participants or Beneficiaries**: sign the GA. They are the only participants that count towards the minimum eligibility criteria for consortium composition.

- **Affiliated entities:** receive funding but do not sign the GA. They must be included in the proposal with their own PIC. The budget allocated to them should be detailed in the budget table in proposal Part A and in the Part B affiliated entities must give details on the budget categories as any other participant. No edit rights in the IT tools.

- **Associated partners:** Entities which participate in the action without signing the grant agreement, and without the right to charge costs or claim contributions. We do not need any details on budget categories for these type of partners in the Part B of the proposal. They give details of 'own resources' or 'financial contributions' in budget table (part A). No edit rights in the IT tools.

Description of individual participants:

- Information included only in proposal part A (researchers, role, five publications, five projects and a list of relevant infrastructure)

- No need to include CVs or letters of support (unless specifically mentioned in the call conditions)

In-kind contributions:

In kind contributions provided by third parties free of charge:

- may be declared as eligible direct costs by the beneficiaries which use them in the corresponding cost category (e.g. personnel costs or purchase costs for equipment)

- Details are given in Table 3.1j of proposal part B

H2020 category 'in kind contribution against payment' is in HE a special case of purchase costs or personnel costs.

Participant Number/Short Name			
Third party name	Category	Cost (€)	Justification
	Select between		
	Seconded personnel		
	Travel and subsistence		
	Equipment		
	Other goods, works and services		
	Internally invoiced goods and services		

FAQ on proposal template

Researchers table:

- Q: What to do if researchers are not yet identified at the time of proposal is submitted?
- A: No need to include any name or placeholder. If the proposal is funded, table can be completed at GAP stage or continuous reporting.

- Q: What will information in researchers table be used for?
- A: The main purpose of the data in the researchers table is to be able to answer an indicator related to the researchers career for the evaluation of the HE Programme as a whole. However, the information will also be made available to experts in evaluations and can be used to monitor projects.

Is there a maximum number of deliverables?

- The Online Manual mentions '*Limit the number of deliverables to max 10-15 for the entire projec*t'

- Online Manual is now corporate, i.e. it is valid for all EU Programmes.

- This information is also applicable to HE. However it is just a **recommendation**. It is perfectly possible that a proposal includes more than the recommended number of WPs and deliverables, if it is justified by the nature of the proposed activities.

Is the canvas table 2.3 in the part B template mandatory?

It is not mandatory, but it is highly recommended to include it.

It helps participants to design the appropriate pathway to impact for their proposal.

It will also be of great help for experts since it shows a good overview of the expected results and impact of the proposal.

FAQ on proposal template

New columns in budget table:

- Proposal budget table must be **in balance** (meaning 'expenditure' = 'income').

- New columns included for the participants to provide information on the **financing source balancing the estimated costs additional to the EU contribution** (Revenues, Own resources or (other) Financial contributions).

- Note that the income (the sum of EU contribution + Revenues + Own resources + (other) Financial contributions) must be equal to the total costs of the project (budget in balance). Participants that receive 100% funding rate and also foresee to have revenues, own resources or other financial contributions must request a lower EU contribution than the calculated maximum EU contribution to balance the budget.

- Participants that receive less than 100% funding rate will use these columns to tell us the source for financing the part of the costs that are not covered by the HE project. They also need to adjust the requested EU contribution to balance the budget.

FAQ: Funding & tenders (europa.eu)

3 – Budget for the proposal

- **Revenues**: expected income generated by the project (e.g. the sale of assets bought for the action and sold during the action duration).
- **Own resources:** refer to the own resources at the disposal of a beneficiary that are not linked specifically to the action submitted for funding under Horizon Europe. Typical examples could be financial resources that a beneficiary draws directly from its commercial activity; or resources coming from the beneficiary's annual operating allocation (like a public university receiving a general annual subsidy from its national Ministry).
- **Financial contributions:** refer to funding given by third parties to a beneficiary for being used specifically for the same action as the one submitted for funding under Horizon Europe (e.g. a specific nationally-funded grant/donation to a beneficiary that covers the same action).

FAQ on proposal template

Purchase costs:

- In table 3.1h of the proposal applicants give details of **major costs items** under the category of Purchase costs.

Example:

- Participant budget table.

- Personnel costs: 280 000 € (15 % is 42 000 €)
- Total purchase costs: 220 000 €
- Purchase costs exceed the 15%¨of personnel costs, applicants must give details of purchase costs in table 3.1h.
- For this, they must start giving details of the most expensive item, and will stop giving details when the remaining costs are below the 15% of personnel costs (EUR 42.000).
- They must start with the most expensive one:
    1. Equipment: EUR 200.000

    The rest of purchase costs are already below the 15% of personnel costs -> No need to give more details

Participant Number/Short Name		
	Cost (€)	Justification
Travel and subsistence		
Equipment	200.000	Depreciation costs for laser equipment used in tasks XXX for YYYY
Other goods, works and services		
Remaining purchase costs (<15% of pers. Costs)	20.000	
Total	220.000	

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What is new in the evaluation process?

Evaluation (award) criteria

**Same criteria as in H2020**

Same three award criteria: '**Excellence**', '**Impact**' and '**Quality and efficiency of the implementation**'. Excellence only for ERC.

Adapted following lessons learnt

- The number of '**aspects to be taken into account**' have been **reduced**, ensuring that the same aspect is not assessed twice
- **Open Science** practices assessed as part of the scientific methodology in the excellence criterion
- **New approach to impact**: Key Impacts Pathways (KIPs)
- The assessment of the **quality of applicants** is assessed under 'implementation', rather than as a separate binary assessment of operational capacity
- Assessment of **management structures** has been removed.

Pilot on Right-to-react (rebuttal)

Individual evaluation → Reaction → Consensus group → Panel review → Finalisation
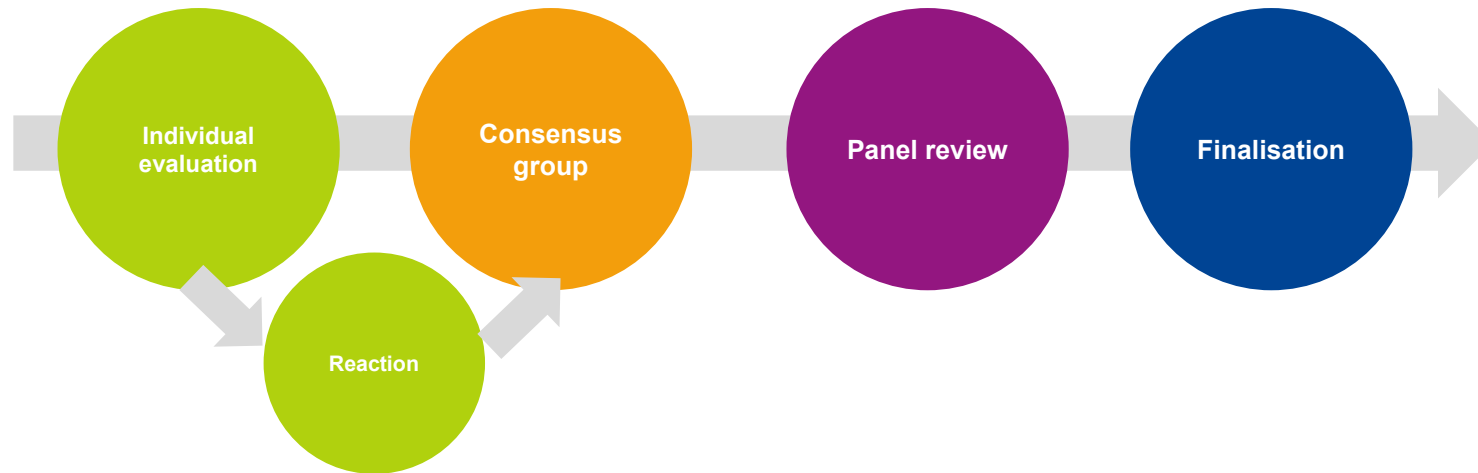
Right-to-react (Rebuttal)

- Objective is to increase transparency, to correct any factual or major misunderstandings by experts at an early stage, and provide more detailed feedback to applicants.

- Applicants send their reactions to draft experts comments

- Experts take applicants' reaction into account before finalising their final assessment.

- Calls participating in the pilot:

  - HORIZON-EIC-2021-PATHFINDEROPEN-01,

  - HORIZON-CL6-2021-BIODIV-02;

  - HORIZON-WIDERA-2022-TALENTS-01;

  - HORIZONCL6-2022-COMMUNITIES-02

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Pilot on Blind evaluation

Blind evaluation

- With this pilot we want to tackle some understandable concerns that the evaluation process could be **perceived** as biased towards well-known organisations in countries with better performing Research and Innovation systems (A recent independent study has not revealed such a bias).

- The pilot aims to identify whether the implementation of blind evaluation within our legal requirements and operational context creates any difficulties. If this is not the case, it might lead to a modified approach, with a greater use of blind evaluations, which could effectively mitigate the risk of real, potential or perceived reputational bias

- It will be launched in the WP 2023-24

- All two-stages calls in 2023 and 2024 should take part in the pilot (except justified cases)

- Blind evaluations should be announced in the WP (specific eligibility criterion)
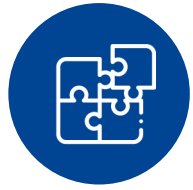
Briefing for experts

- [Standard briefing slides for experts](#) are published in the portal in the 'Work as an expert' page

- Coming soon: Short video tutorials for experts on how to evaluate the different policy considerations relevant in HE:

  - Open science

  - Gender dimension in R&I content

  - Social sciences and humanities

  - Do no significant harm principle (DNSH)

  - How to demonstrate impact in proposals

  - Management of intellectual property

  - Ethics issues and others

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Do you need more information?

For more information…

… check recorded webinars:

- **'How to prepare a successful proposal in Horizon Europe'** (24 March 2021). See recorded session here.
- **'A successful proposal for Horizon Europe: Scientific-technical excellence is key, but don't forget the other aspects'** (21 April 2021). Recorded session
- **'The Funding & Tenders Portal for beginners'** (27 May 2021). Recorded session
- **'All you need to know on D&E under Horizon Europe'** (9 June 2021). Recorded session
- **'How to prepare a successful innovation procurement proposal for Horizon Europe'** (22 June 2021). Recorded session
- **'Horizon Europe: key changes to the Ethics Appraisal Process'** (18 July 2021). Recorded session
- **R&I Days 2021: workshop on 'Tips and tricks while writing your HE proposal'** (23 June 2021). Recorded session
- **Thematic info-days per cluster** (June – July 2021). Event page

Check the news section of the F&T Portal regularly:
https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/home

Thank you!

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http://ec.europa.eu/horizon-europe