#HorizonEU

THE EU RESEARCH & INNOVATION PROGRAMME

2021 – 2027

APPLYING TO HORIZON EUROPE

WIDENING EVENT

Prague, 18 June 2025

Beatrice PLAZZOTTA – EC RTD.H.3

European Commission

Research and Innovation

Outline

- Participation statistics
- Finding information
- Rules for participation
- The submission process
- Special cases (lump sums; 2-stage application)
- The evaluation process

Participation Statistics

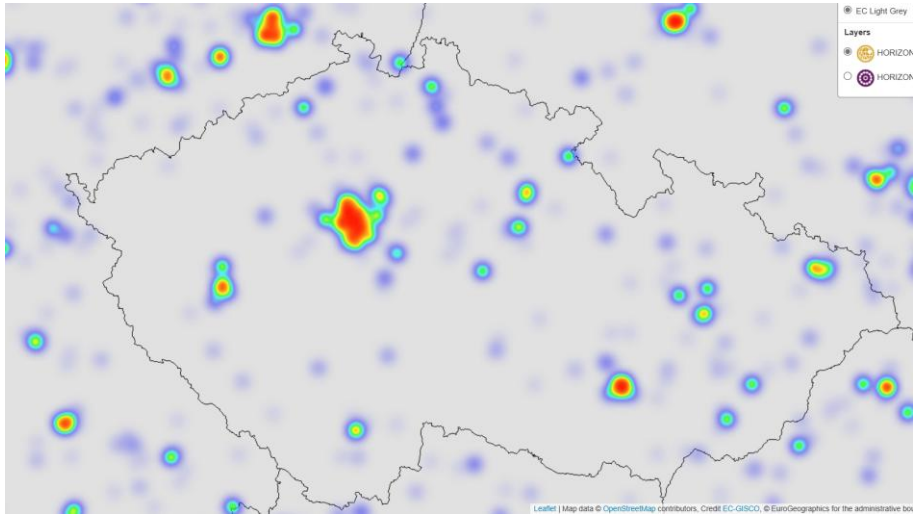
1045 Grants signed

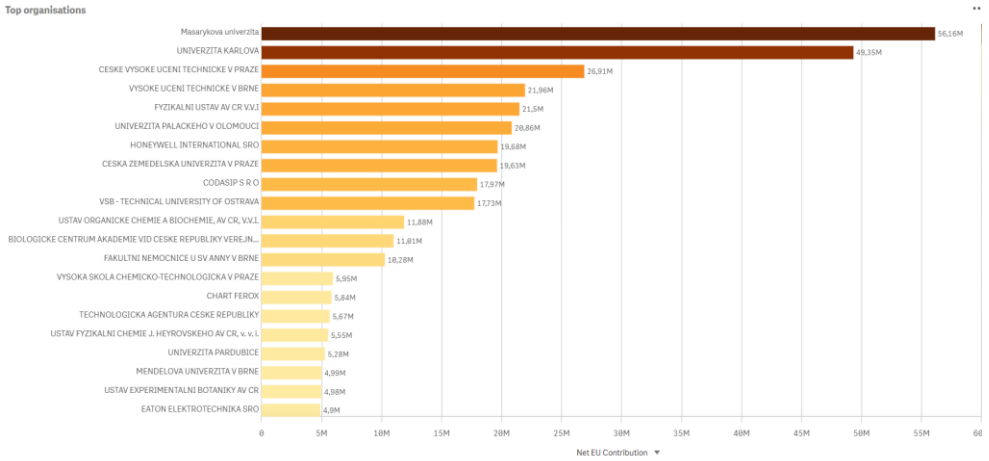
1450 organisations participating

18.78% success rate (average 18.97%)

332 experts contracted

145 seals of excellence awarded



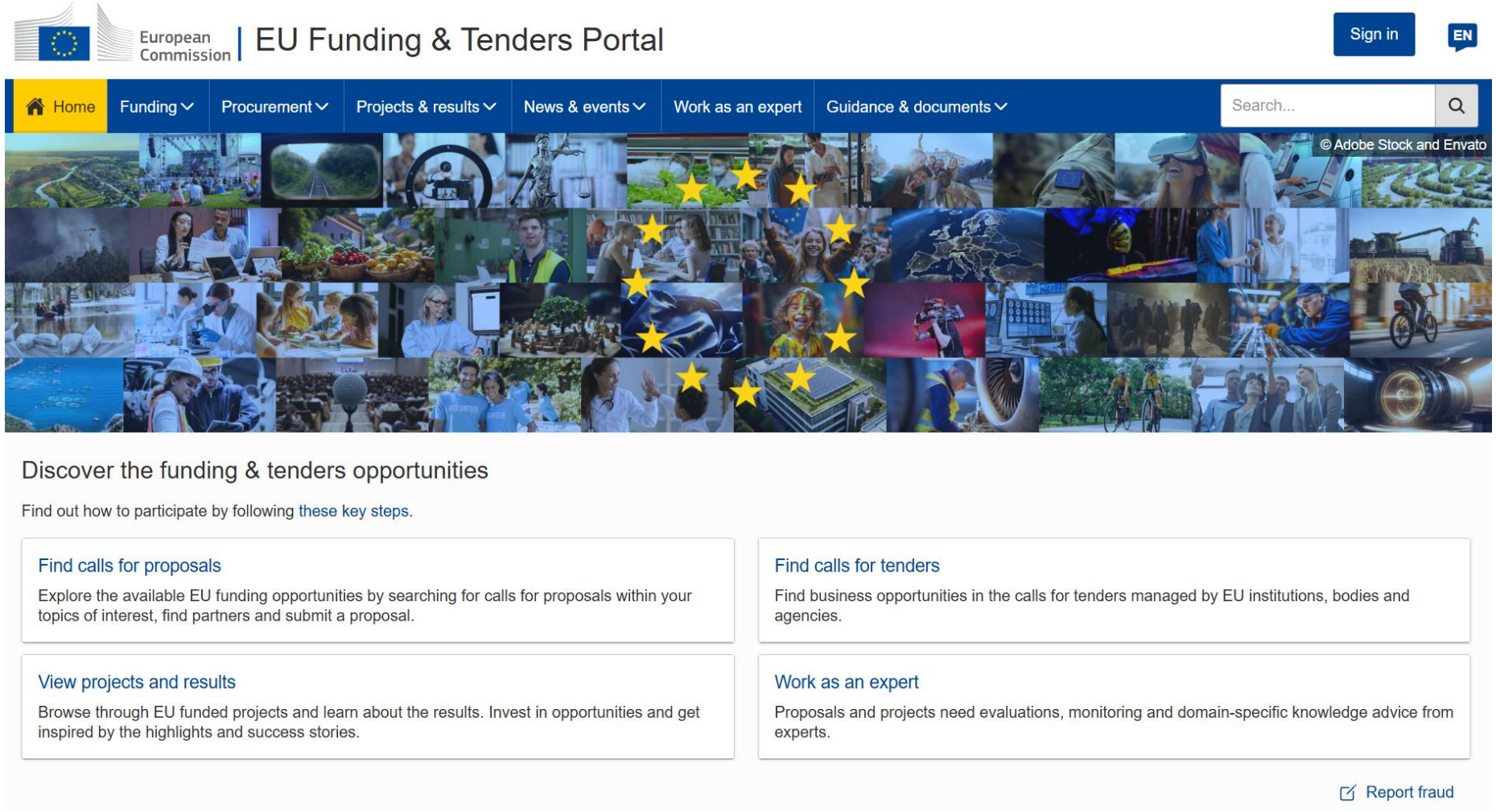


[R&I Country Profile - Key Figures - | Sheet - Qlik Sense]

[Collaboration Network | Data Visualisation | CORDIS | European Commission]

European Commission

Finding opportunities



EU Funding & Tenders Portal

Horizon Implementation Day: Finding opportunities & submitting a proposal in Horizon Europe (2024)

European Commission

Finding information on existing projects

https://cordis.europa.eu/projects

collaborative network of organisations participating in Horizon projects

the eco-friendly and energy efficient way

5 May 2025

Supporting cooperation between Europe and Japan on AI-driven manufacturing technologies

12 May 2025

Download projects as open data

Datasets of all projects and participating organisations funded under Horizon Europe or Horizon 2020

Download all Horizon Europe projects

Download all Horizon 2020 projects

Download all FP7 projects

Visualisation and analysis tools

A powerful analytical tool to explore project and proposal data and other related statistics

Access the Horizon Dashboard

Horizon projects and results

Search and filter all Horizon projects, along with their related report summaries, deliverables and publications

See all HORIZON EUROPE projects

See all Horizon 2020 projects

See all FP7 projects

Projects & results | CORDIS | European Commission

European Commission

Horizon Europe info days

Home > Events > Horizon Europe info days

Horizon Europe info days

The EU research and innovation programme 2021 - 2027

The Horizon Europe info days give to prospective applicants and other stakeholders of EU research and innovation the opportunity to get information and ask questions about the main funding instruments, processes of Horizon Europe.

You can contact the Research Enquiry Service to find out more about research in Europe, the EU's research and innovation funding programmes as well as calls for proposals and project funding.

Upcoming info days

Upcoming (24 June):

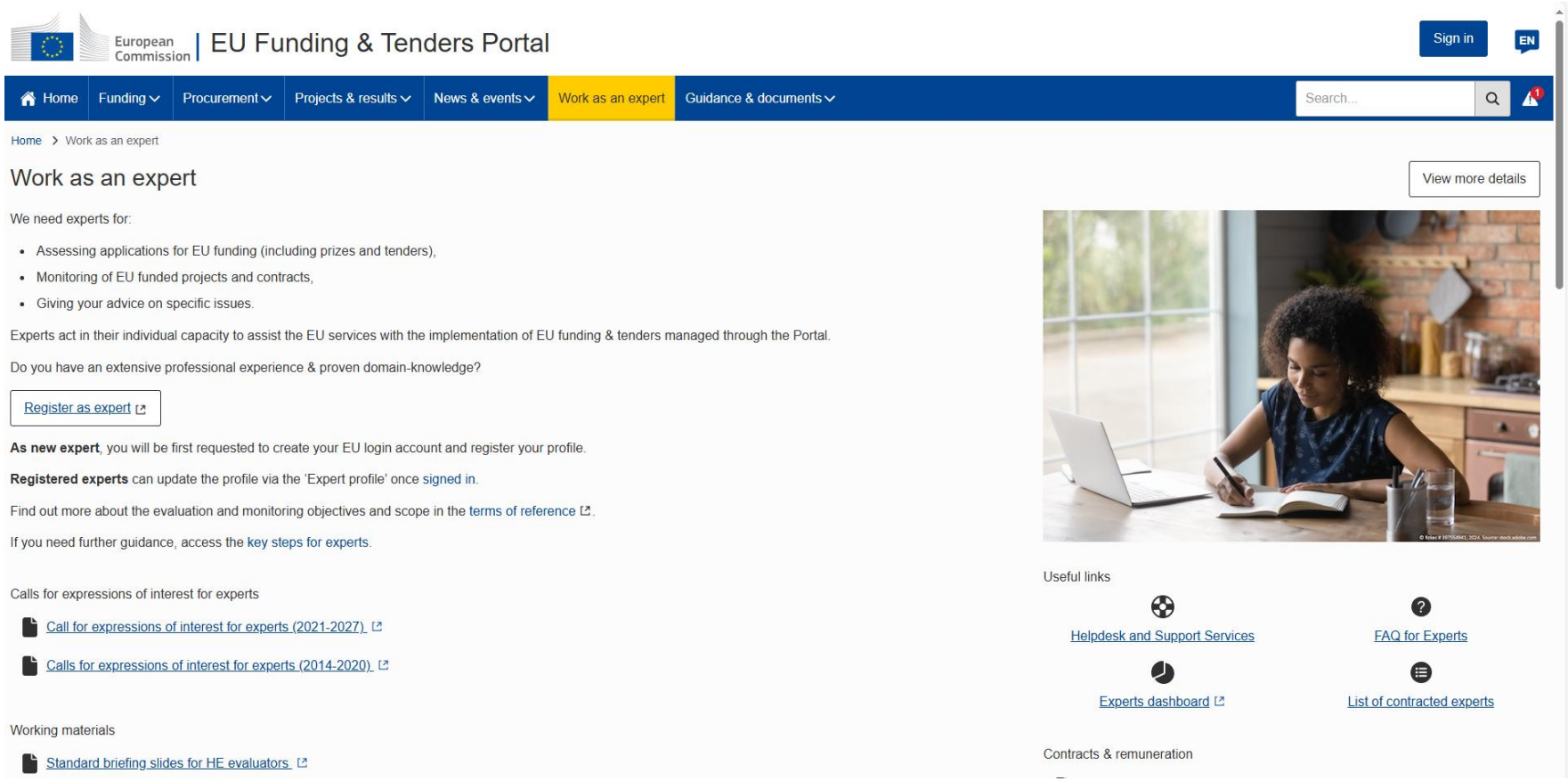
Horizon Europe - Marie Skłodowska-Curie Actions (MSCA) Doctoral Networks 2025 - Call info day

Recordings of previous info days are available (Cluster-specific info days, EU missions, WIDERA work programme, etc…)

Horizon Europe info days - European Commission

European Commission

Work as an expert



The best way to learn is by doing

You can register in the EU experts database at any time.

Click here to register!

European Commission

HORIZON EUROPE

The rules for participation

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Eligible Activities

Eligible activities are the ones described in the call conditions

Activities must **focus exclusively on civil applications** and **must not**:

- aim at human cloning for reproductive purposes;
- intend to modify the genetic heritage of human beings which could make such changes heritable (except for 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;
- lead to the destruction of human embryos.

Activities eligible for funding – Type of actions

Research and innovation action (RIA)

Activities to establish new knowledge or to explore the feasibility of a new or improved technology, product, process, service or solution.

Innovation action (IA)

Activities to produce plans and arrangements or designs for new, altered or improved products, processes or services.

Coordination and support actions (CSA)

Activities that contribute to the objectives of Horizon Europe. This excludes R&I activities, except for 'Widening participation and spreading excellence'

Programme co-fund actions (CoFund)

A programme of activities established or implemented by legal entities managing or funding R&I programmes, other than EU funding bodies.

Innovation and market deployment actions (IMDA)

Activities that embed an innovation action and other activities necessary to deploy an innovation on the market. (EIC)

Training and mobility actions (TMA)

Activities that aim to improve the skills, knowledge and career prospects of researchers, based on mobility between countries and, if relevant, between sectors or disciplines. (MSCA)

Pre-commercial procurement actions/ (PCP)

Activities that aim to help a buyers' group to strengthen the public procurement of research, development, validation and, possibly, the first deployment of new solutions

Public procurement of innovative solutions actions (PPI)

Activities that aim to strengthen the ability of a buyers' group to deploy innovative solutions early

European Commission

Eligibility conditions

Slido question:
What is the difference between project coordinator and technical coordinator?

Gender Equality Plan

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.

- A self-declaration will be requested at proposal stage (for all types of participants).
- Included in the entity validation process (based on self-declaration)

Consortium composition (collaborative projects)

At least three legal entities independent from each other and each established in a different country as follows:

- at least one independent legal entity established in a Member State, and
- at least two other independent legal entities each established either in a different Member State or an Associated Country.
- the coordinator must be a project beneficiary

General eligibility rule - participations

- Any legal entity, regardless of its place of establishment, including legal entities from non-associated third countries is eligible to participate (with specific exceptions).
- Specific limitations to participation may be laid down in the call/topic conditions

Slido question:

- Can we add the Joint Research Center as a beneficiary?
- What is the difference between associated partner and beneficiary requesting zero funding?

Eligibility for funding

EU COUNTRIES

- Member States (MS) including their outermost regions
- The Overseas Countries and Territories (OCTs) linked to the MS.

NON-EU COUNTRIES

- Countries associated to Horizon Europe (AC)
- Low- and middle-income countries
- Other countries when announced in the call or exceptionally if their participation is essential

SPECIFIC CASES

- Affiliated entities established in countries eligible for funding.
- EU bodies
- International organisations (IO):
  - International European research organisations are eligible for funding.
  - IO in a MS or AC are eligible for funding for Training and mobility actions and when announced in the call conditions

Check HE Programme Guide and WP General Annexes for up to date information

European Commission

Maximum funding rates

Type of Action	Funding rate
Research and innovation action	100%
Innovation action	70% (except for non-profit legal entities, where a rate of up to 100% applies)
Coordination and support action	100%
Programme co-fund action	Between 30% and 70%
Innovation and market deployment	70% (except for non-profit legal entities, where a rate of up to 100% applies)
Training and mobility action	100%
Pre-commercial procurement action	100%
Public procurement of innovative solutions action	50%

Other funding rates may be set out in the specific call conditions

European Commission

Get familiar with the topic

Slido question:
What is the reasoning behind the increase in budget per project for Pillar II calls?

Some general tips

- Have you identified the call/topic you want to submit your proposal? Check the Funding &Tenders Portal
- Check carefully the Type of action since this will define the type of activity requested in the call/topic
- Check the type of funding of the call/topic. If it is a Lump sum call, you would need to provide a detailed budget table in proposal.
- Check carefully the general conditions and specific conditions of the call – these are not directly published in the Funding & Tenders Portal page; you need to open the Work Programme relevant part.
    - Expected EU contribution per project
    - Exceptions to standard rules for proposal page limit (e.g. 45 pages for Research and innovation actions (RIA) and Innovation actions (IA); 30 pages for Coordination and support actions (CSA))
    - Expected Technology Readiness Levels (TRLs) at the start and end of the project
    - Additional eligibility conditions

Example of topic specific conditions

HORIZON-CL4-2024-TWIN-TRANSITION-01-05: Technologies/solutions to support circularity for manufacturing (Made in Europe Partnership) (RIA)

Specific conditions	
Expected EU contribution per project	The Commission estimates that an EU contribution of between EUR 4.00 and 6.00 million would allow these outcomes to be addressed appropriately. Nonetheless, this does not preclude submission and selection of a proposal requesting different amounts.
Indicative budget	The total indicative budget for the topic is EUR 36.00 million.
Type of Action	Research and Innovation Actions
Admissibility conditions	The conditions are described in General Annex A. The following exceptions apply: In order to include a business case and exploitation strategy, the page limit in General Annex A of the General Annexes is exceptionally extended by 3 pages.
Eligibility conditions	The conditions are described in General Annex B. The following exceptions apply: If projects use satellite-based earth observation, positioning, navigation and/or related timing data and services, beneficiaries must make use of Copernicus and/or Galileo/EGNOS (other data and services may additionally be used).
Technology Readiness Level	Activities are expected to start at TRL 4 and achieve TRL 6 by the end of the project – see General Annex B.

HORIZON EUROPE

The submission process

European Commission

My area

My profile
F&T user profile
Expert profile
Content centre
Notifications
Subscriptions
Bookmarks
Saved searches
My organisations
Formal notifications
Grants centre
Proposals
Projects
Procurement centre
Submissions
Contracts
Technical Support Instrum...
Monitor requests
Monitor projects
Tasks

Calls for proposals
Participant register
Partner search
EU programmes
Funding updates
Horizon4Ukraine

nt Register

articipant register is now multilingual! Select your preferred language from the top right corner of the Portal.

articipate in a call for proposals or in a call for tenders with eSubmission, your organisation needs to be registered and have a 9-digit Participant ode (PIC). Please quote your PIC in all correspondence with the Commission.

ntains all participants of EU programmes.

nisation already registered? PIC search

Please check whether your organisation has already been registered. If so, no need to register it again.

Find a registered organisation

Register your organisation

To register your organisation or as a natural person, you need to login into the Portal or, if you are a new user, create your account.

Check what information you need to register in the Online Manual - and keep it to hand during the registration procedure. To start registration, click on the button below.

Register your organisation

You can suspend the registration process at any time: the data entered can be saved as draft and you can continue your registration later. To return to your registration, please log in and get into My Organisation(s) in the My Area section. Incomplete, draft registrations are automatically deleted after one year.

Additionally, for actions where the SME status is an eligibility criterion (like, e.g. the EIC Accelerator) you must also carry out the SME self-assessment.

Should your project or tender be successfully evaluated, the registered data will be verified by the Central Validation Service team before the signature of the Grant Agreement or of the Framework Contract.

How to register in the Participant Register

Identification (duplicate check)

(e.g. legal name, VAT number)

Organisation data

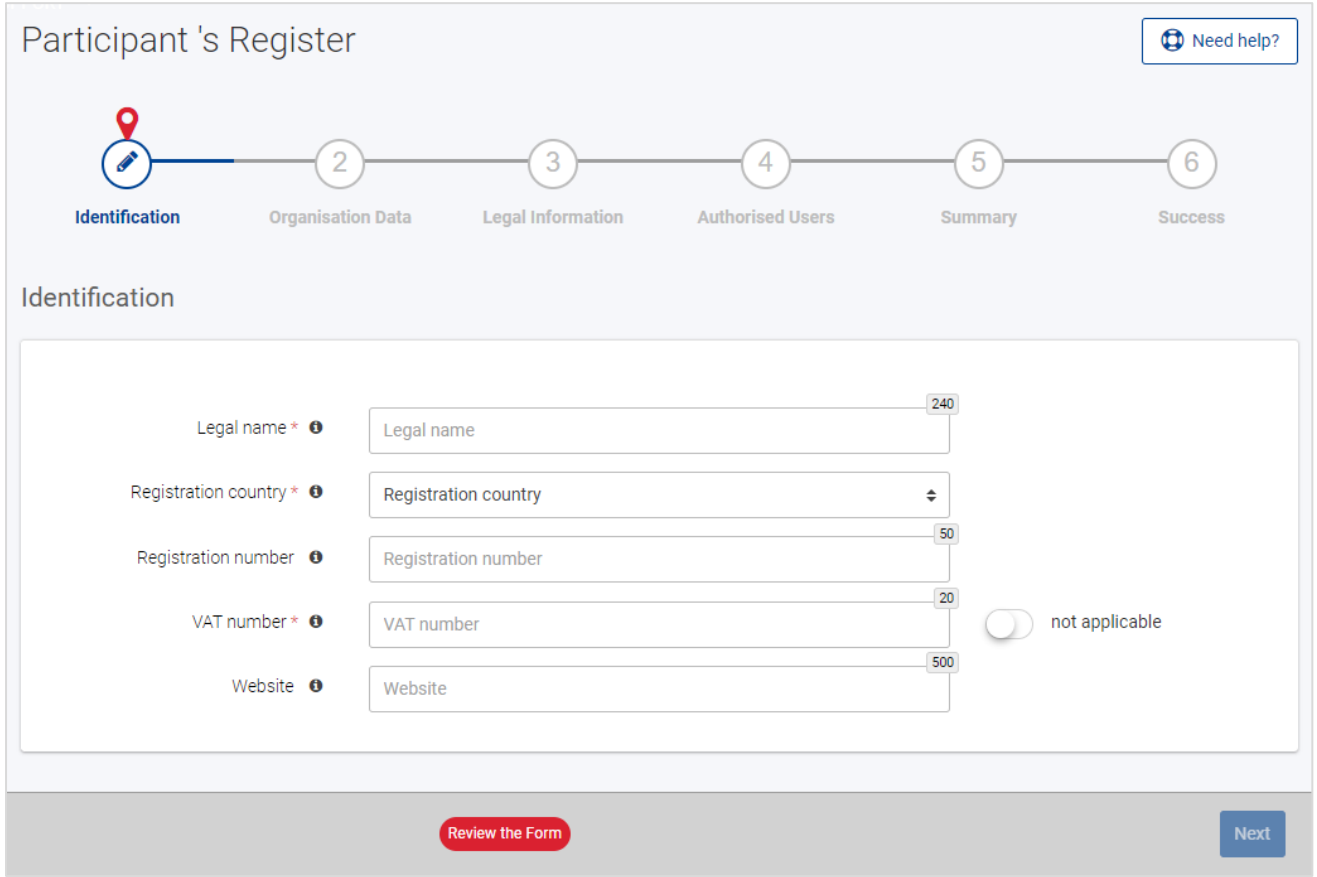
Legal information

Authorised users

(e.g. name, e-mail address
of the self-registrant and the back-up)

Registration completed

New Participant Identification Code (PIC) in a “declared” status



European Commission

How to register in the Participant Register

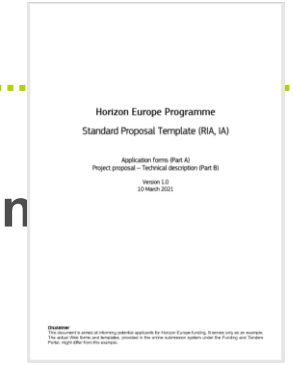
- The person who registers an organisation receives the **Self-Registrant role**: this person is the **contact person with the Commission services** for this organisation **until a LEAR is appointed**

- When the registration is completed, the PIC number is **provisional** (status 'Declared'), meaning that the submitted data still needs to be validated by the Validation Services.

- Validation is done once, when the entity has to sign its first grant agreement of contract.

Application form (proposal template)

Slido question:
Is it possible/appropriate to attach voluntary annexes?



Standard templates per type of action are published in the F&T Portal
The actual template that applies to a call/topic is the one you download in Submission system for that specific call/topic.

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.

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Application form – Part A (web-based forms)

Slido questions:

Why full capitalized costs are not always allowed, even in calls requiring prototyping? Where do we indicate the researchers involved in the activities?

- **General information on the proposal:** Title, acronym, abstract, duration, keywords
- **Participants:** organisation details are filled-in automatically from data in our participant registry. Contact persons, identity of researchers involved, role of the participant in the project, participants' previous activities related to the call, and declaration of gender equality plan.
- **Budget of the proposal**
- **Ethics and security** questionnaires and self-assessment
- **Other questions** depending on the call (e.g. clinical trials, second stage proposals, etc.)
- **Declarations** signed by project coordinator on behalf of the consortium

Application form – Part B (PDF)

Slido questions:
Can we describe all costs and not only those above 15% of personnel costs?

- Template must be **downloaded from submission tool** (templates published in the F&T Portal are for information purpose only)
- The template includes extensive **instructions**, and its structure follows the **evaluation criteria**
- It is normally subject to **page limits**. Actual page limit applicable are clearly announced in the topic text. Page limits are applied automatically:
    - If you attempt to upload a proposal longer than the specified limit before the deadline, you will receive an automatic warning and will be advised to shorten and re-upload the proposal. After the deadline, excess pages (in over-long proposals) will be automatically made invisible and will not be taken into consideration by the evaluators.

The use of generative AI tools in the preparation of proposals

General disclaimer included in the latest version of the proposal templates

When considering the use of generative artificial intelligence (AI) tools for the preparation of the proposal, it is imperative to exercise caution and careful consideration. The AI-generated content should be thoroughly reviewed and validated by the applicants to ensure its appropriateness and accuracy, as well as its compliance with intellectual property regulations. **Applicants are fully responsible for the content of the proposal** (even those parts produced by the AI tool) and must be transparent in disclosing which AI tools were used and how they were utilised.

Specifically, **applicants are required** to:

- **Verify the accuracy, validity, and appropriateness** of the content and any citations generated by the AI tool and correct any errors or inconsistencies.
- **Provide a list of sources used to generate content and citations**, including those generated by the AI tool. Double-check citations to ensure they are accurate and properly referenced.
- **Be conscious of the potential for plagiarism** where the AI tool may have reproduced substantial text from other sources. Check the original sources to be sure you are not plagiarising someone else's work.
- **Acknowledge the limitations of the AI tool** in the proposal preparation, including the potential for bias, errors, and gaps in knowledge.

Key principles to write a proposal

Your proposed work must be within the scope of a work programme topic

You need to demonstrate that your idea is ambitious and goes beyond the state of the art

Your methodology must consider interdisciplinarity, gender dimension and open science practices.

You should show how your project could contribute to the outcomes and impacts described in the work programme (the pathway to impact)

You should describe the planned measures to maximise the impact of your project ('plan for the dissemination and exploitation including communication activities')

You should demonstrate the quality of your work plan, resources and participants

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Evaluation criteria (RIAs and IAs)

EXCELLENCE

- ✓ Clarity and pertinence of the **project's objectives**, and the extent to which the proposed work is ambitious, and goes beyond the state-of-the-art.
- ✓ Soundness of the proposed **methodology**, including the underlying concepts, models, assumptions, inter-disciplinary approaches, appropriate consideration of the **gender dimension** in research and innovation content, and the quality of **open science practices** including sharing and management of research outputs and engagement of citizens, civil society and end users where appropriate.

IMPACT

- ✓ Credibility of the **pathways** to achieve the expected **outcomes and impacts** specified in the work programme, and the likely scale and significance of the contributions due to the project.
- ✓ Suitability and quality of the **measures to maximize expected outcomes and impacts**, as set out in the dissemination and exploitation plan, including communication activities.

QUALITY AND EFFICIENCY OF THE IMPLEMENTATION

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

Proposals aspects are assessed to the extent that the proposed work is within the scope of the work programme topic

The excellence criterion

Focus on the **project's objectives**:

- Are they clear and pertinent to the topic?
- Are they measurable and verifiable?
- Are they realistically achievable?
- Is the proposed work ambitious and goes beyond the state-of-the-art?
- Does the proposal include ground-breaking R&I, novel concepts and approaches, new products, services or business and organisational models?
- Is the R&I maturity of the proposed work in line with the topic description?

Please bear in mind that advances beyond the state of the art must be interpreted in the light of the positioning of the project. For example, expectations will not be the same for RIAs at lower TRL, compared with Innovation Actions at high TRLs.

The excellence criterion

Focus on the **scientific methodology**:

- Is the scientific methodology (i.e. the concepts, models and assumptions that underpin the work) clear and sound?
- Is it clear how expertise and methods from different disciplines will be brought together and integrated in pursuit of the objectives? if applicants justify that an inter-disciplinary approach is unnecessary, is it credible?
- Has the gender dimension in research and innovation content been properly taken into account?
- Are open science practices implemented as an integral part of the proposed methodology?
- Is the research data management properly addressed?
- For topics indicating the need for the integration of social sciences and humanities, is the role of these disciplines properly addressed?

Open Science across the programme

Slido questions:
When should we prepare the data management plan?

Open Science

Open science is an approach based on open cooperative work and systematic sharing of knowledge and tools as early and widely as possible in the process. Including active engagement of society

Mandatory immediate Open Access to publications: beneficiaries must retain sufficient IPRs to comply with open access requirements;

Data sharing as 'open as possible, as closed as necessary': mandatory deliverable Data Management Plan for FAIR (Findable, Accessible, Interoperable, Reusable) research data

- Work Programmes may incentivize or oblige to adhere to **open science practices** such as involvement of citizens, or to use the **European Open Science Cloud**
- Assessment of open science practices through the **excellence award criteria** for proposal evaluation. Under **quality of participants** previous experience on open sciences practices will be evaluated positively.
- Dedicated support to **open science policy actions**
- **Open Research Europe** publishing platform

European Commission

Gender dimension in R&I content

Gender Dimension

Addressing the gender dimension in research and innovation entails taking into account sex and gender in the whole research & innovation process.

The integration of the gender dimension into R&I content is mandatory, unless it is explicitly mentioned in the topic description

Examples

- Is there a risk of gender bias and how will you address it?
- Does gender influence the result of experiments in any possible way?

Example: pheromones given off by men experimenters, but not women, induce a stress response in laboratory rodents which may affect their perception of pain.

- Are there possible effects on gender or sex in your field of study?

Example: climate change affects sex determination of various marine species and certain populations are at risk of extinction

- Why do we observe differences between women and men in infection levels and mortality rates in the COVID-19 pandemic?
- Which body standards should be used as a basis for the design of car safety equipment?
- Are AI applications trained on data diverse enough to avoid spreading gender biases?

The impact criterion

Slido question:
What are the most common shortcomings in the impact section?

Focus on the proposed **pathways towards impact**:

- Is the contribution of the project towards the 1) expected outcomes of the topic and 2) the wider impacts, in the longer term, as specified in the respective destinations of the Horizon Europe Work Programme, credible?
- Are potential barriers to the expected outcomes and impacts identified (i.e. other R&I work within and beyond Horizon Europe; regulatory environment; targeted markets; user behavior), and mitigation measures proposed? Is any potential negative environmental outcome or impact (including when expected results are brought at scale, such as at commercial level) identified? Is the management of the potential harm properly described?
- Are the scale and significance of the project's contribution to the expected outcomes and impacts estimated and quantified (including baselines, benchmarks and assumptions used for those estimates)?
    - Scale' refers to how widespread the outcomes and impacts are likely to be. For example, in terms of the size of the target group, or the proportion of that group, that should benefit over time;
    - 'Significance' refers to the importance, or value, of those benefits. For example, number of additional healthy life years; efficiency savings in energy supply.

The impact criterion

Focus on the **measures to maximise impact** - Dissemination, exploitation and communication :

- Are the proposed dissemination, exploitation and communication measures suitable for the project and of good quality? All measures should be proportionate to the scale of the project and should contain concrete actions to be implemented both during and after the end of the project.
- Are the target groups (e.g. scientific community, end users, financial actors, public at large) for these measures identified?
- Is the strategy for the management of intellectual property properly outlined and suitable to support exploitation of results?
    - If exploitation is expected primarily in non-associated third countries, is it properly justified how that exploitation is still in the Union's interest?

Describing the impact of your proposal

Link between policy priorities and project results

Strategic Planning and Programming (EC)

STRATEGIC PLAN

WORK PROGRAMME

EU POLICY PRIORITIES	Overall priorities of the European Union (Green Deal, Fit for the Digital Age,…)
KEY STRATEGIC ORIENTATIONS	Set of strategic objectives within the EC policy priorities where R&I investments are expected to make a difference
IMPACT AREAS	Group of expected impacts highlighting the most important transformation to be fostered through R&I
EXPECTED IMPACTS = DESTINATIONS	Wider long term effects on society (including the environment), the economy and science, enabled by the outcomes of R&I investments (long term). It refers to the specific contribution of the project to the work programme expected impacts described in the destination. Impacts generally occur some time after the end of the project.
EXPECTED OUTCOMES = TOPICS	The expected effects, over the medium term, of projects supported under a given topic. The results of a project should contribute to these outcomes, fostered in particular by the dissemination and exploitation measures. This may include the uptake, diffusion, deployment, and/or use of the project's results by direct target groups. Outcomes generally occur during or shortly after the end of the project.
PROJECT RESULTS	What is generated during the project implementation. This may include, for example, know-how, innovative solutions, algorithms, proof of feasibility, new business models, policy recommendations, guidelines, prototypes, demonstrators, databases and datasets, trained researchers, new infrastructures, networks, etc. Most project results (inventions, scientific works, etc.) are 'Intellectual Property', which may, if appropriate, be protected by formal 'Intellectual Property Rights'

PROJECT PROPOSALS

Application process (researchers)

European Commission

Horizon Europe Expected Impacts

Green Transition | **Digital Transition** | **A more Resilient, Competitive, Inclusive, & Democratic Europe**

CLUSTER 1 — Health

1. Staying healthy in a rapidly changing society
2. Living and working in a health-promoting environment
3. Tackling diseases and reducing disease burden
4. Ensuring equal access to innovative, sustainable, and high-quality healthcare
5. Developing and using new tools, technologies and digital solutions for a healthy society
6. Maintaining an innovative, sustainable, and competitive EU health industry

CLUSTER 2 — Culture, Creativity & Inclusive Society

7. Reinvigorating democratic governance
8. Realising the full potential of cultural heritage, arts, and cultural and creative sectors
9. Strengthening social and economic resilience and sustainability
10. Boosting inclusive growth and reducing vulnerabilities effectively

CLUSTER 3 — Civil Security for Society

11. Reducing losses from natural, accidental and human-made disasters
12. Facilitating legitimate movement of passengers and goods into the EU, while preventing illicit acts
13. Tackling crime and terrorism more effectively and increasing the resilience of infrastructures
14. Increasing cybersecurity and making the online environment more secure

CLUSTER 4 — Digital, Industry & Space

15. Achieving global leadership in climate-neutral, circular and digitised industrial and digital value chains
16. Achieving technological leadership for Europe's open strategic autonomy in raw materials, chemicals and innovative materials
17. Developing an agile and secure single market and infrastructure for data-services and trustworthy artificial intelligence services
18. Achieving open strategic autonomy in digital and emerging enabling technologies
19. Achieving open strategic autonomy in global space-based infrastructures, services, applications, and data
20. Digital and industrial technologies driving human-centric innovation

CLUSTER 5 — Climate, Energy & Mobility

21. Advancing science for a fair transition to a climate-neutral and resilient society
22. Facilitating the clean and sustainable transition of the energy and transport sectors towards climate neutrality through cross-cutting solutions
23. Ensuring more efficient, sustainable, secure, and competitive renewable and decarbonised energy supply
24. Using energy in buildings and industry in an efficient, affordable and sustainable way
25. Achieving sustainable, inclusive, and competitive transport modes
26. Developing multimodal systems and services for climate-neutral, smart, inclusive, and safe mobility

CLUSTER 6 — Food, Bioeconomy, Natural Resources, Agriculture & Environment

27. Fostering mitigation of and adaptation to climate change in areas and sectors covered by Cluster 6
28. Putting biodiversity on a path to recovery, and protecting and restoring ecosystems and their services
29. Achieving healthy soils and forests, as well as clean air, fresh and marine water, whilst ensuring water resilience and the transition to a clean, competitive and circular economy and sustainable bioeconomy
30. Ensuring healthy food and nutrition security by making agriculture, fisheries, aquaculture and food systems sustainable, resilient, inclusive and within planetary boundaries
31. Sustainably developing rural, urban and coastal areas
32. Developing innovative governance models and tools enabling sustainability and resilience

[Horizon Europe strategic plan 2025-2027 - Publications Office of the EU]

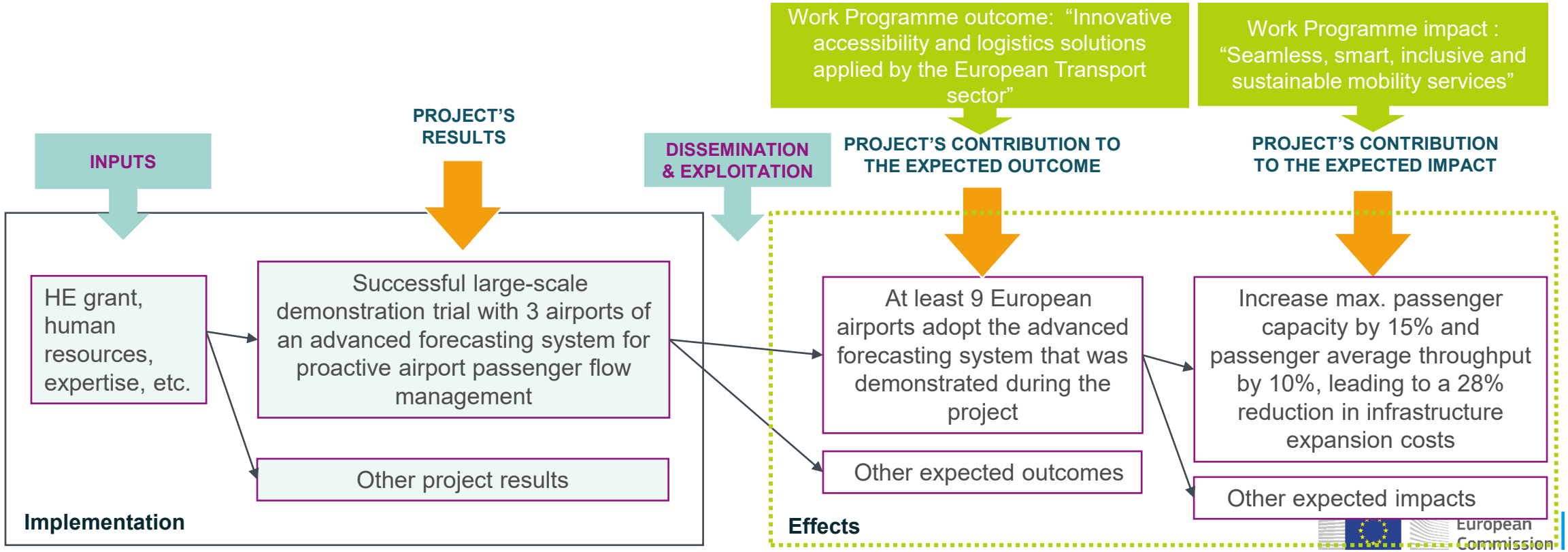
European Commission

Describing the impact of your proposal

Slido question:
What is expected in the pathways to impact?

Project's pathway towards impact

…by thinking about the specific contribution the project can make to the expected outcomes and impacts set out in the Work Programme.



Measures to maximise impact

Dissemination, exploitation and communication

To include a draft plan in proposal is an admissibility condition, unless the work programme topic explicitly states otherwise.

All measures should be proportionate to the scale of the project, and should contain concrete actions to be implemented both during and after the end of the project

Elements of the D&E&C plan

- **Planned measures** to maximise the impact of projects
- **Target groups** (e.g. scientific community, end users, financial actors, public at large) and **proposed channels** to interact
- **Communication measures** for promoting the project and its findings throughout the full lifespan of the project
- **Policy feedback** measures to contribute to policy shaping and supporting the implementation of new policy initiatives and decisions
- Follow-up plan to foster **exploitation/uptake** of the results
  - Comprehensive and feasible strategy for the **management of the intellectual property** (the provision of a results ownership list is mandatory at the end of the project)
  - If exploitation is expected primarily in non-associated third countries, give a convincing justification that this is still in the Union's interest.

The Quality of implementation

Slido questions:
- What is the difference between risk/barriers in impact and implementation?
- Should we consider a financially weak partner as a risk?

Focus on the proposed **work plan**, and the **effort and resources**:

- Is the work plan of good quality and effective?
- Does it include quantified information so that progress can be monitored?
- Does it follow a logic structure (for example regarding the timing of work packages)?
- Are the resources allocated to the work packages and resources overall in line with their objectives and deliverables?
- Are critical risks, relating to project implementation, identified and proper risk mitigation measures proposed?

The Quality of implementation

Focus on the **quality of participants and the consortium** as a whole:

- Does the consortium match the project's objectives and bring together the necessary disciplinary and inter-disciplinary knowledge.
- Does the consortium include expertise in open science practices, and gender aspects of R&I, as appropriate?
- For topics flagged as 'Social sciences and humanities' (SSH) relevant, does the consortium include expertise in social sciences and humanities?
- Do the partners have access to critical infrastructure needed to carry out the project activities?
- Are the participants complementing one another (and cover the value chain, where appropriate)?
- In what way does each of them contribute to the project? Does each of them have a valid role, and adequate resources in the project to fulfil that role (so they have sufficient operational capacity)?
- Is there industrial/commercial involvement in the project to ensure exploitation of the results?

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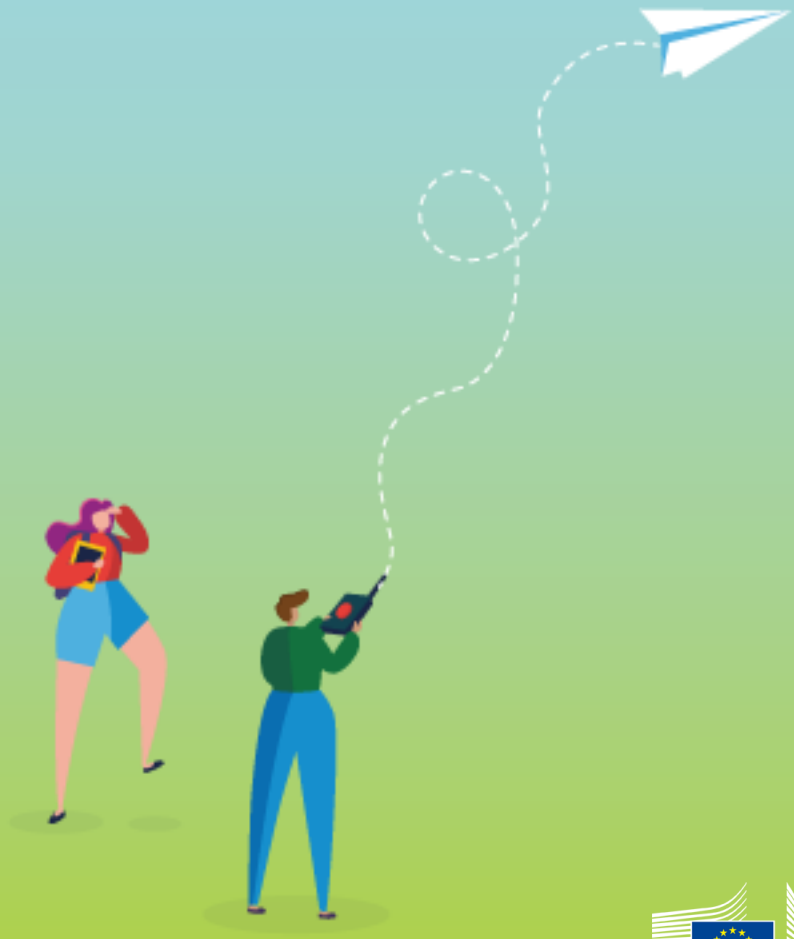
Special cases



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Writing a lump sum proposal

Slido questions:
How shall we use the lump sum dashboard for personnel costs?
What should be the length of the reporting periods?

- Lump sum proposals are nearly identical to actual cost proposal. The main difference is the need to submit a detailed budget table, providing **cost estimations for each cost category** per beneficiary (and affiliated entity if any) and per work package. You might also want to pay attention to the distribution of work packages across the proposed project timeline.

- The cost estimations must be an **approximation of your actual costs.** They:
  - are subject to the same eligibility rules as in actual costs grants
  - must be in line with your normal practices
  - must be reasonable / non-excessive
  - must be in line with and necessary for your proposed activities.

- The cost estimations are used to generate in the detailed budget table a **breakdown of lump sum shares** per work package and per participant.

- Details and instructions on how to fill in the lump sum detailed budget table are provided in the Funding & Tenders Portal.

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Payment schedule

Types of payments:

Pre-financing payment

- Same function and same rules as for other grants
- Coordinator distributes the amount according to consortium agreement

Interim payment(s)

- One or more
- We pay the shares of the lump sum set out in Annex 2 for the work packages completed & approved in the reporting period

Payment of the balance

- Closes the financial aspects of the grant
- Partial payment for partially completed WPs possible
- Releases the amount retained for the Mutual Insurance Mechanism

Evaluation of a lump sum proposal

- Your proposal will be evaluated by independent experts against the **standard evaluation criteria**: excellence, impact, and implementation.
- The cost estimations will be assessed against the proposed activities under the **implementation** criterion.
- Experts will:
  - ensure that the cost estimations are **reasonable and non-excessive**
  - evaluate whether the proposed resources and the split of the lump sum **allow completing the activities described in the proposal**.
- If the experts find overestimated costs, they make **concrete recommendations** on the budget that are recorded in the Evaluation Summary Report. This will be reflected in a modified lump sum amount in the grant agreement.
- Cost estimations that are clearly overestimated or underestimated lead to a **decreased score** under the implementation criterion.

2-stage calls

Slido questions:
What changes can be done between stage 1 and 2 in 2-stage calls? Can we change the coordinator?

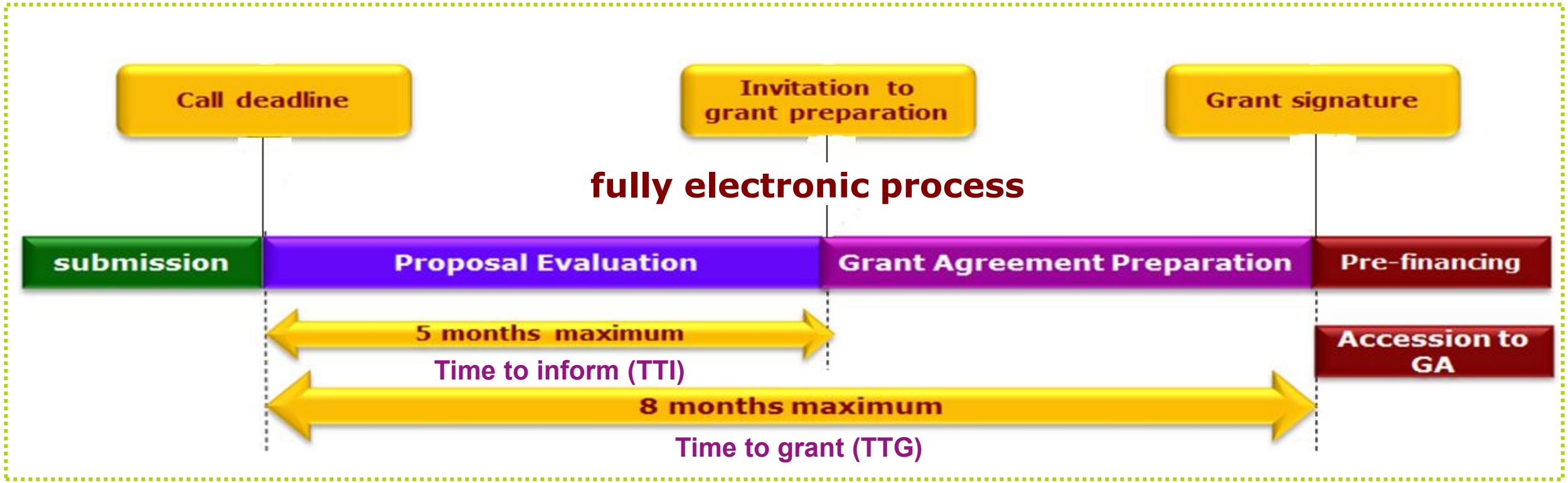
- A simplified submission (10 pages) followed by normal evaluation.
- The applicants must submit a short outline proposal for stage 1 which will be checked for eligibility and assessed on Excellence and Impact, but not Implementation
- The full stage 2-proposal must be consistent with the short outline proposal and may NOT differ substantially (i.e. obvious change concerning a substantial part of the proposed project) — otherwise it will be inadmissible. The full stage proposal will be assessed against all 3 criteria,

Examples (no substantial difference): the absence of one or two of the partners that had been mentioned at stage 1 (unless they are critical partners); the change of a coordinator (as reasonable, and unless critical partner)

Examples (substantial difference): conceptual basis, or methodology, has completely changed; objectives of the work have been significantly altered (especially if the degree of innovation/advance beyond the state-of-the-art is greatly reduced); expected impact no longer corresponds at all to that set out at stage 1

- 2-stage calls normally have a longer time to grant, as they include two application/evaluation rounds

Time to grant and time to inform



An additional submssion and evaluation stage should be considered for 2-stage proposals (usually 3+3 months)

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The evaluation process

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Type of calls and evaluation modalities

Standard calls or single-stage calls	- Single submission of full proposal - Full evaluation of three evaluation criteria.
Two-stage calls	- Submission of short proposal with evaluation of excellence and impact - Submission of full proposal for those that passed threshold in stage 1. Full evaluation of three evaluation criteria

Multi-steps calls	- Single submission of full proposal
	- Evaluation carried out in steps. For instances:
	  - Step 1: evaluation of excellence, only above threshold pass to next step. Proposals rejected at this step receive feedback only on criterion 1.
	  - Step 2: evaluation of impact and quality of implementation.
	- Other examples: when the evaluation includes hearings or interviews.

Calls with multiple cut-off dates	- Continuously open calls (e.g. Horizon EIC accelerator calls) with a final closure date and several intermediate cut-off dates that trigger evaluation.

Evaluation process in HE

Slido questions:

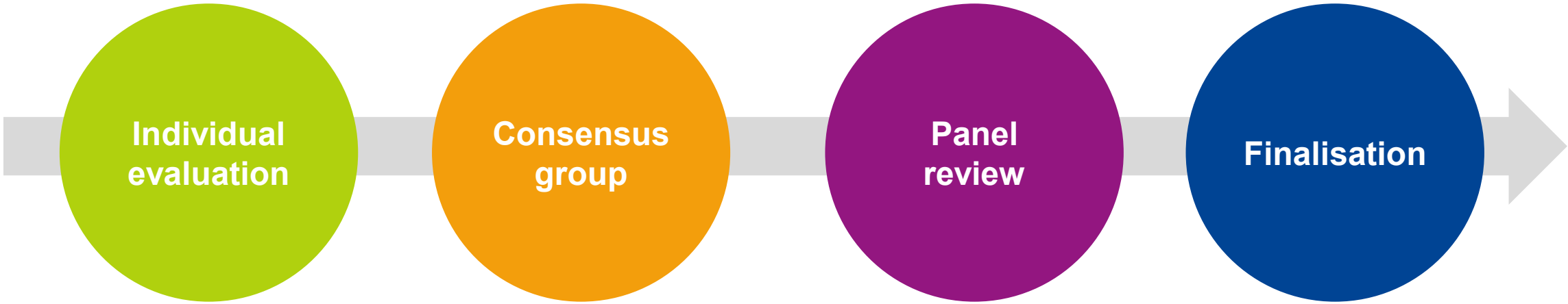
- How is the evaluation carried out when the call recommends including partners from China?
- Does resubmission have an impact on evaluation?

- Proposals in Horizon Europe are evaluated by **independent external experts** against clear criteria that are set out in the Work Programme (with some exceptions for EIC, missions and CSAs).
- A **minimum of three experts** evaluate each proposal (often we call for more than three experts).
- Individual experts agree in a **common opinion** which is the basis of the feedback the participants will receive.
- The panel of evaluators in a topic agree in the **ranking of proposals**. The budget available for the topic will be the basis to decide whether the proposal is:
  - Retained for funding and invited to start grant agreement preparation
  - Reserve list
  - Rejected because low funding available
  - Rejected because low quality

Observers in the evaluation process in HE

- All HE evaluations (with a few exceptions because disproportionate) are observed by one or more **independent experts**.
- The observers follow the whole evaluation, from the briefing of the evaluators to the panel review and have access to all documents. Their role is:
  - to check the functioning and execution of the overall process
  - to verify compliance with the procedures
  - to advise on the conduct and fairness of the evaluation sessions, how the evaluators apply the criteria, and how the procedures could be improved
  - to liaise with the staff members involved in the evaluation sessions and − if necessary, suggesting possible corrections that could be put into practice immediately (or for future evaluations).

Standard evaluation process



Experts assess proposals **individually**. Minimum of three experts per proposal (but often more than three).

All individual experts discuss together to agree on a **common position**, including comments and scores for each proposal.

The panel of experts reach an **agreement** on the scores and comments for all proposals within a call, checking **consistency across the evaluations**.

if necessary, resolve cases where evaluators were unable to agree.

Rank the proposals with the same score

The Commission/Agency reviews the results of the experts' evaluation and puts together the **final ranking list**.

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Proposals with identical scores

Slido questions:

Where are the information for the gender balance ex-aequo taken from?
How should we address the gender balance criteria?

For proposals with the same score, in particular for those around the budget threshold, the panel of experts agree in a ranking following the criteria announced in the Work Programme:

1. Proposals that address **aspects of the call that have not otherwise been covered** by more highly ranked proposals will be considered to have the highest priority.
2. The proposals identified under 1), if any, will themselves be prioritised according to the **scores** they have been awarded for 'Excellence'. When these scores are equal, priority will be based on scores for 'Impact'. (In the case of 'Innovation actions', priority will be given to the score for 'Impact', followed by that for 'Excellence').
3. If necessary, the **gender balance** among the personnel named in the proposal who will be primarily responsible for carrying out the research and/or innovation activities, and who are included in the researchers table in the proposal as lead researchers, will be used as a factor for prioritisation.
4. If necessary, any further prioritisation will be based on **geographical diversity**, defined as the number of Member States or Associated Countries represented in the proposal, not otherwise receiving funds from projects higher up the ranking list (and if equal in number, then by budget).
5. If a distinction still cannot be made, the panel may decide to further prioritise by considering **other factors** related to the objectives of the call, or to Horizon Europe in general. These may include, for example, enhancing the quality of the project portfolio through synergies between projects or, where relevant and feasible, involving SMEs.

Ethics review

- For all activities funded, ethics is an **integral part** of research from beginning to end, and **ethical compliance** is essential to achieve real research excellence.

- An ethics review process is carried out systematically in all Horizon Europe proposals, based on a **self-assessment** included in the proposal.

- Ethical research conduct implies the application of fundamental ethical principles and legislation in all possible domains of research. This includes the adherence to the highest standards of **research integrity** as described in the **European Code of Conduct for Research Integrity**.

Security scrutiny

New in Horizon Europe

Security issues will be checked **systematically** in all Horizon Europe proposals (in H2020 only proposals submitted to topics flagged as ‘security-sensitive’ were checked). The checks are based on a **self-assessment** included in the proposal. The focus is on:

- Whether the proposal uses or generates **EU classified information**
- Potential of **misuse** of results (that could be channeled into crime or terrorism)
- Whether activities involve information or materials subject to **national security restrictions**

The checks based on the self-assessment may trigger an in-depth security scrutiny.

Feedback to applicants

- Applicants are informed within 5 months after call deadline with an **evaluation result letter** and the **evaluation summary report**.
- The **outcome** of the evaluation can be:
  - Retained for funding
  - Reserve list
  - Rejected because no sufficient budget in the call
  - Rejected because low quality
- In **two-stages calls** applicants are informed about the results of the evaluation, but no evaluation summary report (ESR) is sent for successful stage 1 proposals. Instead, we publish generalised feedback as a call update in the Portal. The ESR from stage 1 is sent together with the ESR for stage 2.

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Thank you!

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