THE EU RESEARCH & INNOVATION PROGRAMME

2021 – 2027

REA.C.1

Info Day Cluster 1 - 17th January 2023

CALL COORDINATION TEAM

Key aspects of the evaluation process

European Commission

Evaluation process and principles

Fair and equal treatment of all proposers

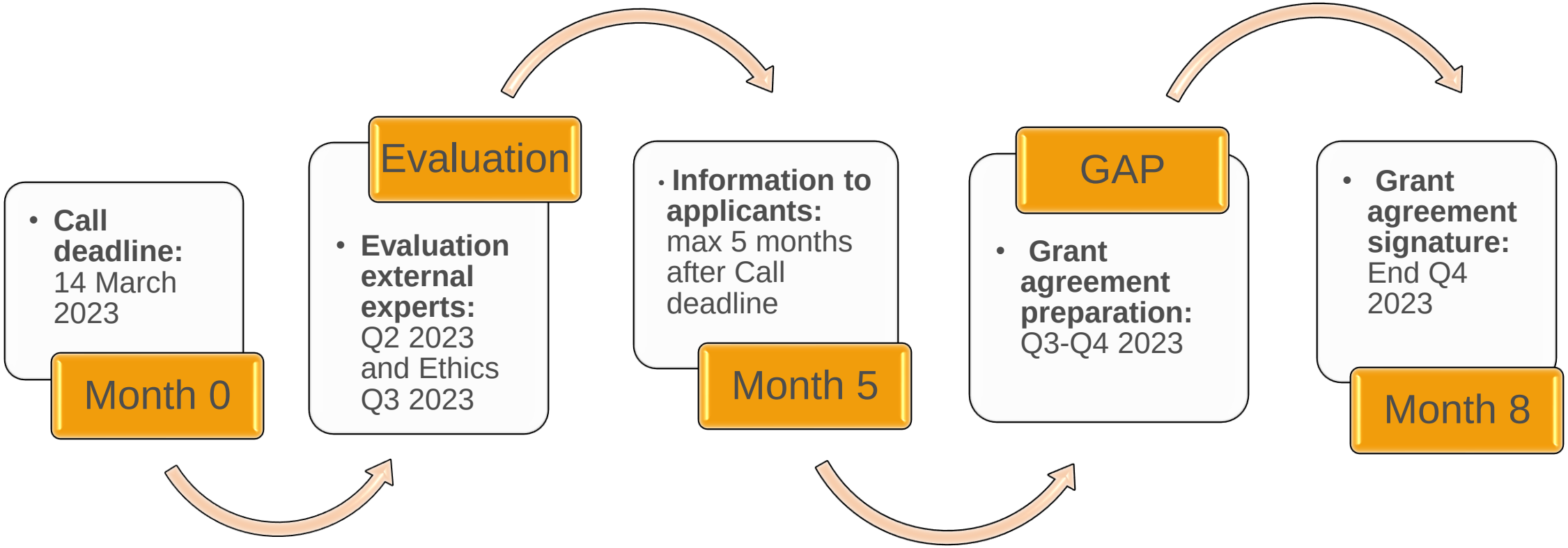
Based on the criteria announced in the Call

Confidential process, no conflicts of interest

Independent external experts

European Commission

Timeline



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Key documents on the Funding & Tenders Portal

Horizon Europe Cluster 2 Work Programme	• Background, topics and budgets (link)
General Annexes to the Work Programme	• List of countries, eligibility and admissibility conditions, award criteria and procedure, scoring and threshold (link)
Submissions forms and templates	• Essential forms and guides to draw up and submit your proposal (see relevant topic page)
Horizon Europe Programme Guide	• Informs applicants about the specificities of the programme (link to the guide)

Key principles

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 scientific methodology must take into account interdisciplinary, 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

Policy and horizontal considerations

Open Science across the programme

Gender dimension in R&I content

Pathway to impact

Measures to maximise impact

Artificial intelligence

These aspects must normally be considered in all Horizon Europe calls (unless explicitly mentioned in the topic description).

Specific calls may include other aspects to take into account.

For more details read the Horizon Europe Programme Guide

Award Criteria

- If admissible and eligible, the proposals will be evaluated and ranked against the following award criteria, depending on the type of action:
    1. **Excellence**
    2. **Impact**
    3. **Quality and efficiency of the implementation**

- Each criterion is subdivided in a set of sub-criteria, which are adapted to the different types of action. (Check the respective evaluation form on the topic page.)

- Each award criterion refers to a specific section of the proposal where applicants need to demonstrate that they have adequately addressed the criterion in question.

Application form (proposal template)

Standard action grants

The proposal contains two parts:

- **Part A** consists of **web-based forms** generated by the IT system. It is based on the information entered by the participants through the submission system in the Funding & Tenders Portal. Check out the extended Part A information in advance (especially related to the Participants`data).

- **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. A strict **page limit** is applied! (CSAs 30 pages, RIA/IA 45 pages)

Lump sum topics
Proposal submission form specificities

Part A:

- Additional declaration related to lump sum costs
- Summary budget table

Part B:

- Higher page limit than the standard calls with a similar type of action for 2023 calls: **CSAs 33 pages, RIA/IA 50 pages**.

+ Additional Excel annex, detailed budget table!

Extra check to be done by the applicants: Consistency of budget totals between Part A, the detailed budget table and Part B!

Consortium composition – minimum eligibility criterion

Research and Innovation Actions (RIA), Innovation Actions (IA)

Unless otherwise provided for in the specific call conditions, legal entities forming a consortium are eligible to participate in actions provided that the consortium includes:

- at least one independent legal entity established in a Member State; and
- at least two other independent legal entities, each established in different MSs or ACs.

Coordination and Support Actions (CSA)

Applications for ‘Coordination and support’ actions 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.

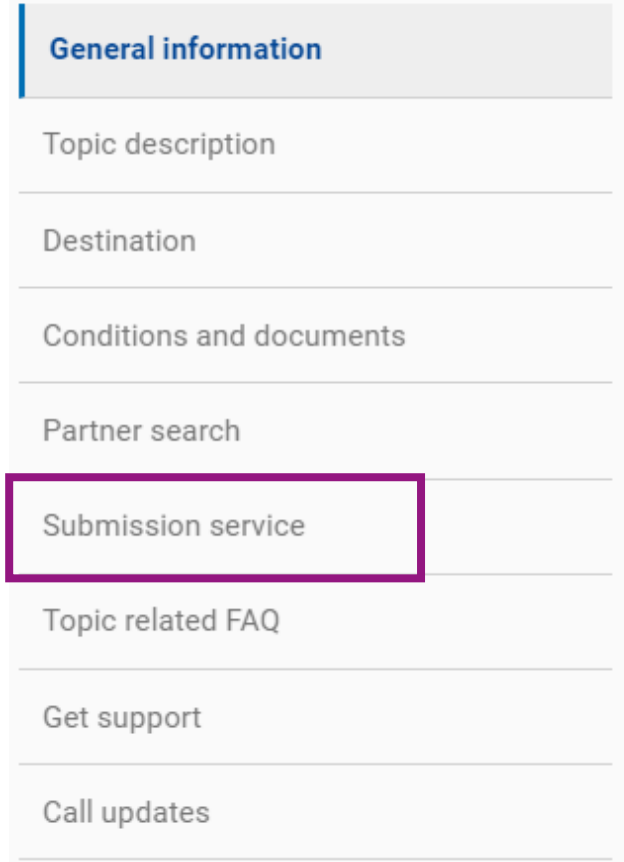
Proposal submission and tips

Agnes Hegyvarine Nagy

European Commission

Topic page
Proposal submission

- **The coordinator: creates the draft proposal starting from the Topic page after choosing the final type of action.**
- Partners will be invited by the coordinators.
- The **coordinator** can edit all sections, while the participants can edit only their own section. Uploading the Part B, inviting participants and submitting the proposal is reserved for the coordinator.
- Make sure to **leave sufficient time to prepare the extended Part A** information, not to miss any information that is essential for the evaluation, eg. researchers participating, experience, publications.
- **Submit the first version as early as possible**, not later than 48 hours before the deadline to avoid any technical issues. Any new submission overwrites the previous version.



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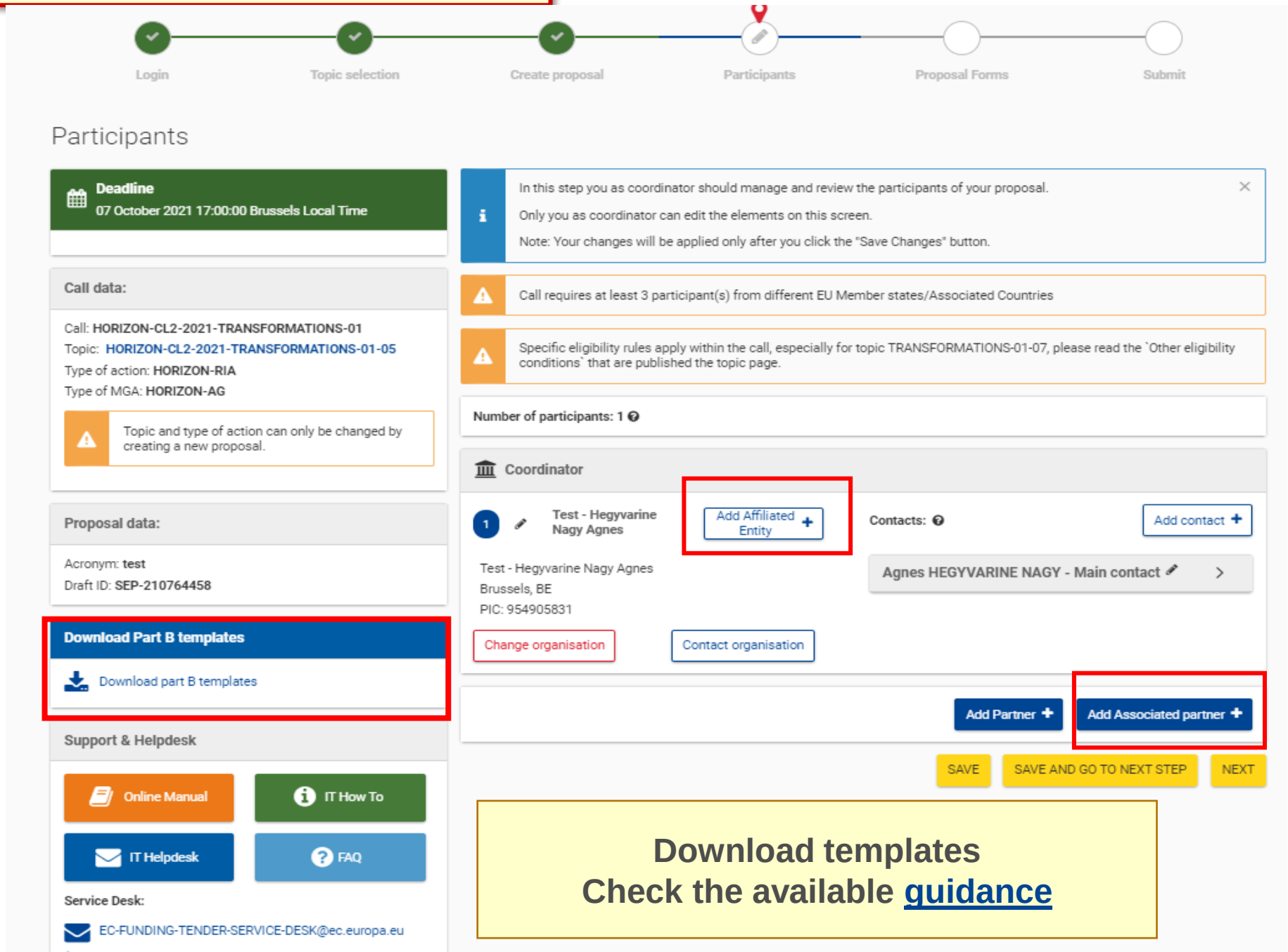
Submission system



Download templates
Check the available guidance

Eligibility warnings:
For information

The precise topic conditions are in the topic page!

Affiliated entity:
Previously called linked third party
Linked to a participant with related tasks and budget.
No contacts to be added.

Associated partner:
To be added to the proposal, cannot fill in budget table.
No contacts to be added.
See definition in the WP General Annex.

Optimising the chances for success

Optimise the time available to prepare the proposal

- Last minute preparations are often reflected in a lower quality which largely reduces the chances of success
- Download the templates from the submission system
- Start a draft early + submit on time

Completeness

- One section missing could make your proposal inadmissible or result
- Address each Part A section and all sub-criterion in the Part B

Be clear and explicit

- Evaluators must judge only what they read and not on the proposal potential. They have limited time

Consortium

- Check the type of action to meet the minimum eligibility requirements when preparing the partnership

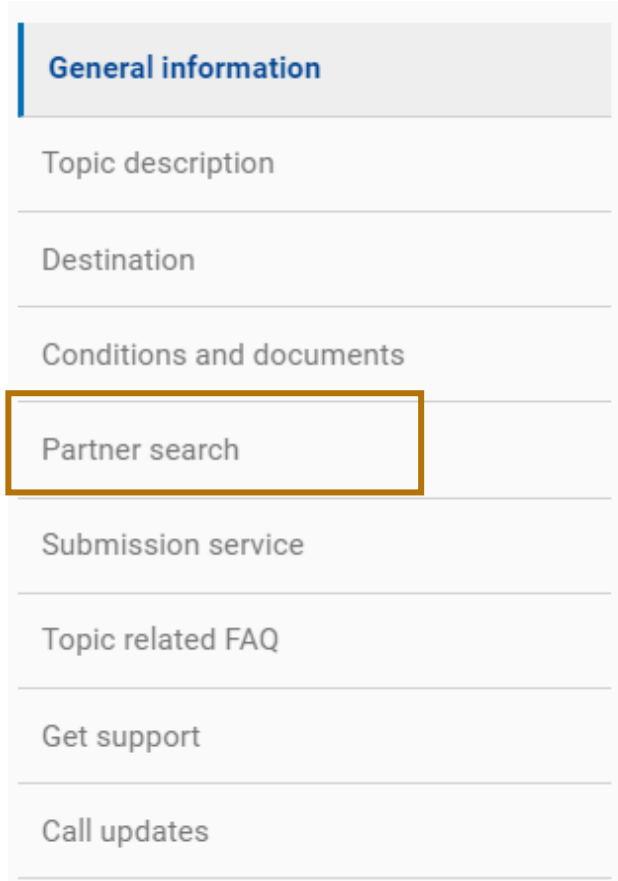
Page limit

- Keep the page limit for the Part B and the required format/font size!

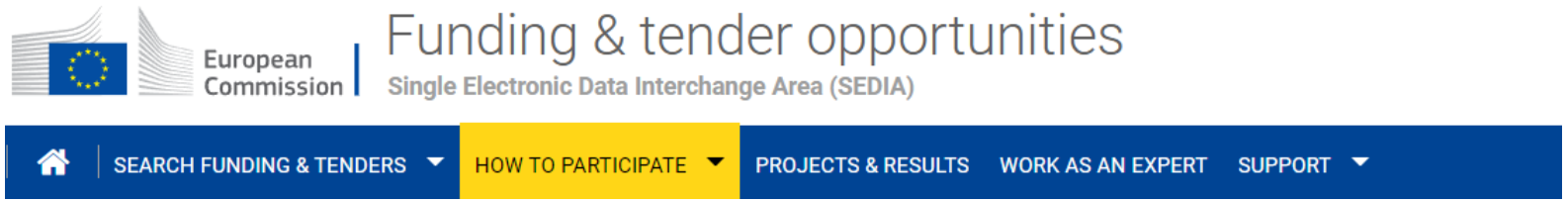
Partner Search

1. Find partner organisations for specific topics directly on the **topic pages via the Partner search announcements**

   Complete your **Person Profile** to be able to publish partner searches in your name as a person/researcher (Login – My AREA, left hand side menu) from next year.



2. Or via the How to **Participate → Partner search page** using the search criteria.

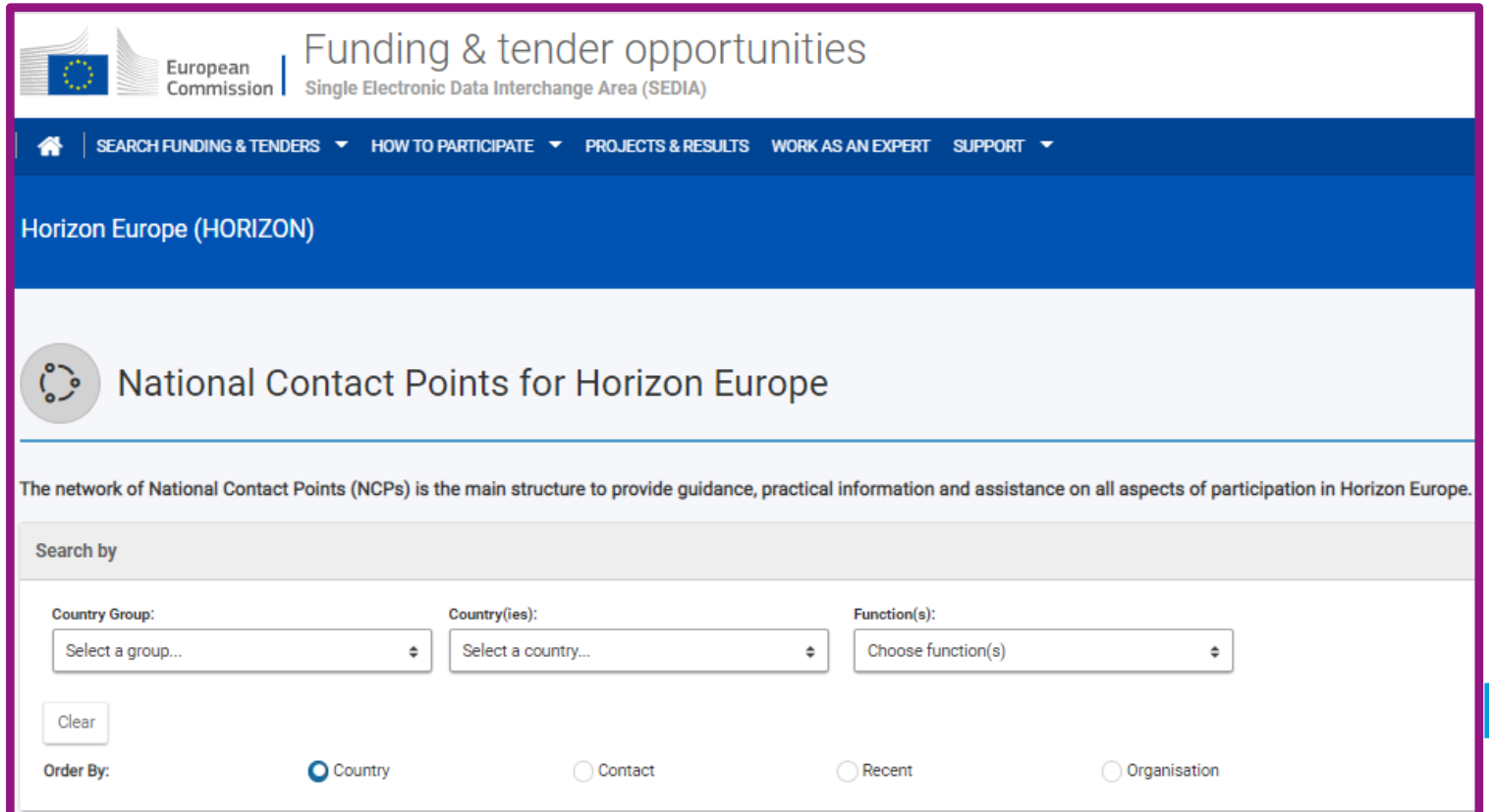


National Contact Points of Horizon Europe

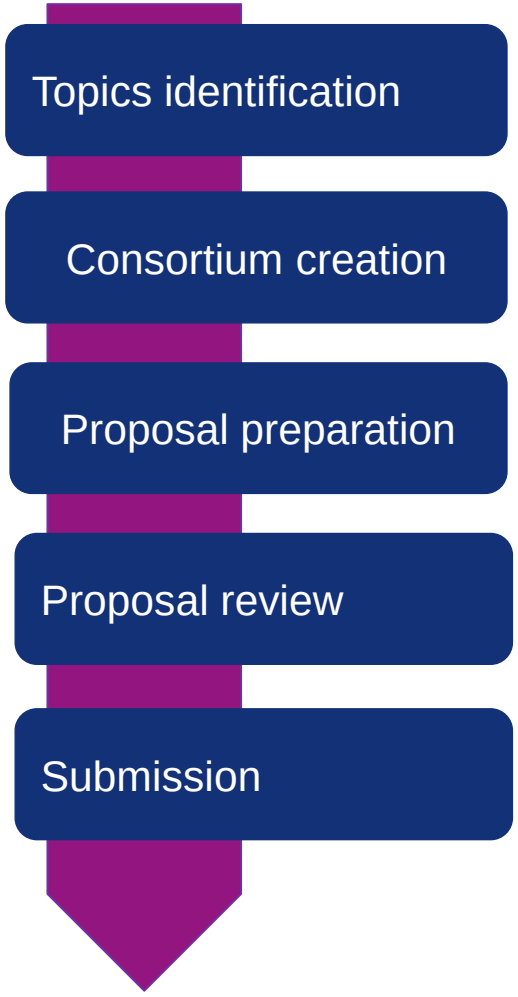
Who are they?

National contact points providing information and on-ground advice to applicants and beneficiaries in their own language

Find out who are NCPs in your country



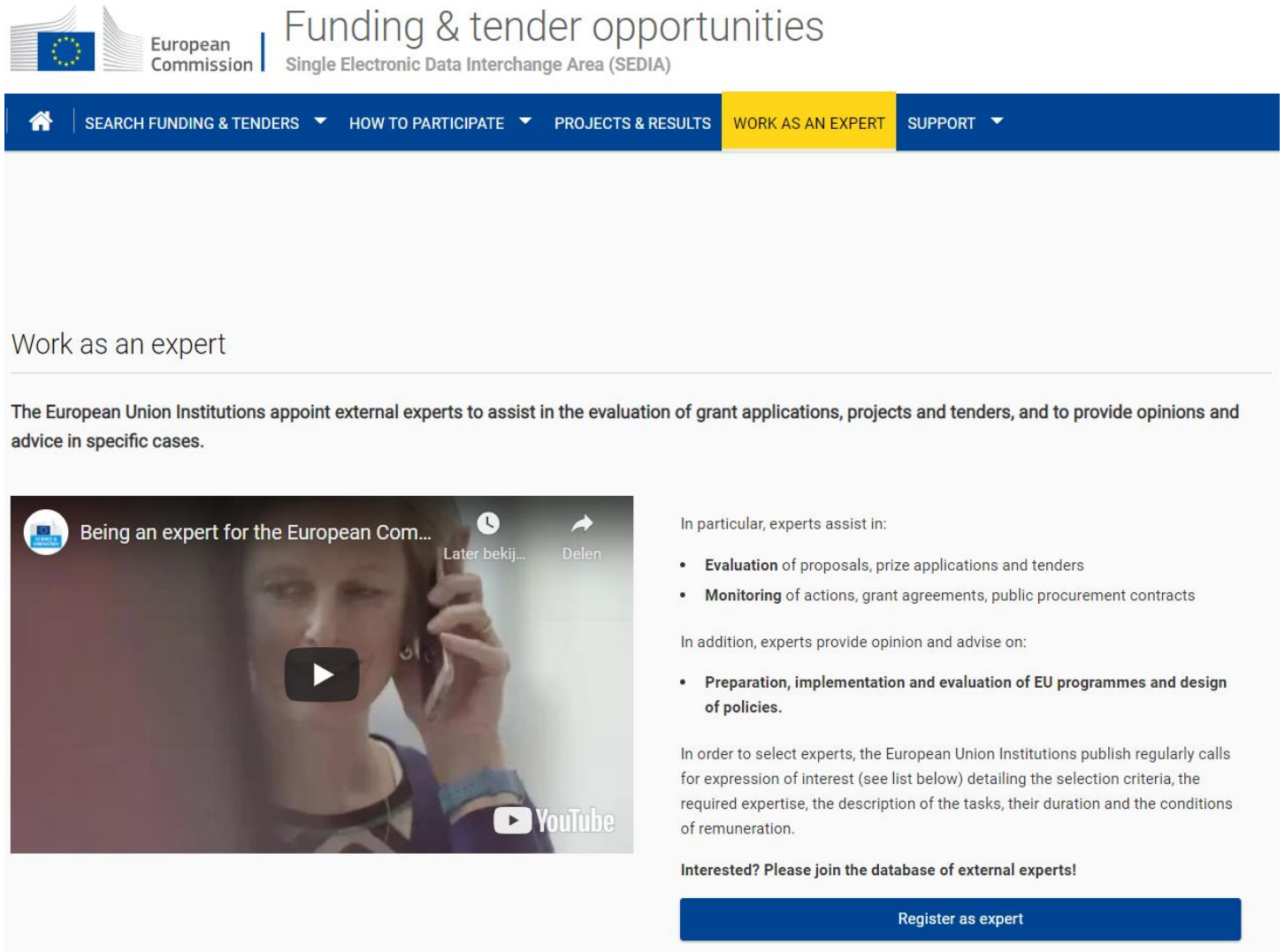
NCP Services



- Guidance on choosing relevant Horizon Europe topics
- Assistance in partner search
- Training and tailormade assistance on proposal writing
- Distribution of documentation (forms, guidelines, manuals etc.)
- Advice on administrative procedures and contractual issues
- Helping in proposal check (proposal prescreening, events)
- Knowledge of the Funding & Tender Opportunities Portal
- Organizing information activities (info-days, seminars, conferences, newsletters, web sites, brokerage events,…)

Experts

Register in the database of experts, new expertise is always welcome!



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For more information…

Short videos related to the use of the Portal and some aspects of the evaluation process

Check the recorded webinars on the events page of the Funding & Tenders Portal:

- **'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
- **'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

Thank you!

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

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THE EU RESEARCH & INNOVATION PROGRAMME

2021 – 2027

CRISTINA MARCUZZO

Info Day – Cluster 2

17 January 2023

European Commission

Research and Innovation

Ethics compliance in CL2 Horizon Europe

European Commission

Application: Ethics issues table

Part A – Section 4

4 – Ethics and Security

Ethics issues table

This table should be completed as an essential part of your proposal. Please go through the table and indicate which elements concern your proposal by answering 'Yes' or 'No'. If you answer 'Yes' to any of the questions,

- *indicate in the adjacent box at which page in your full proposal further information relating to that ethics issue can be found, and*
- *provide additional information on that ethics issue in the Ethics Self-Assessment section.*

For more information on each of the ethics issues and how to address them, including detailed legal references, see the guidelines 'How to Complete your Ethics Self-Assessment'.

1. HUMAN EMBRYONIC STEM CELLS AND HUMAN EMBRYOS			Page
Does this activity involve Human Embryonic Stem Cells (hESCs)?		○ Yes ○ No	
If **YES**:	Will they be directly derived from embryos within this project?	○ Yes ○ No	
	Are they previously established cells lines?	○ Yes ○ No	
	Are the cell lines registered in the European registry for human embryonic stem cell lines?	○ Yes ○ No	
Does this activity involve the use of human embryos?		○ Yes ○ No	
If **YES**:	Will the activity lead to their destruction?	○ Yes ○ No	
2. HUMANS			**Page**
Does this activity involve human participants?		○ Yes ○ No	
If **YES**:	Are they volunteers for nonmedical studies (e.g. social or human sciences research)?	○ Yes ○ No	
	Are they healthy volunteers for medical studies?	○ Yes ○ No	
	Are they patients for medical studies?	○ Yes ○ No	
	Are they potentially vulnerable individuals or groups?	○ Yes ○ No	
	Are they children/minors?	○ Yes ○ No	
	Are they other persons unable to give informed consent?	○ Yes ○ No	
Does this activity involve interventions (physical also including imaging technology, behavioural treatments, etc.) on the study participants?		○ Yes ○ No	
If **YES**:	Does it involve invasive techniques?	○ Yes ○ No	
	Does it involve collection of biological samples?	○ Yes ○ No	

Example, not to complete

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Applicants' Ethics Self-Assessment

Part A – Section 4

Character limit applies (5,000 per box) - No ethics annexes allowed

ETHICS SELF-ASSESSMENT

If you have entered any issues in the ethics issue table, you must perform an ethics self-assessment in accordance with the guidelines "How to Complete your Ethics Self-Assessment" and complete the table below.

Ethical dimension of the objectives, methodology and likely impact
Explain in detail the identified issues in relation to: – objectives of the activities (e.g. study of vulnerable populations, etc.) – methodology (e.g. clinical trials, involvement of children, protection of personal data, etc.) – the potential impact of the activities (e.g. environmental damage, stigmatisation of particular social groups, political or financial adverse consequences, misuse, etc.)
Compliance with ethical principles and relevant legislations
Describe how the issue(s) identified in the ethics issues table above will be addressed in order to adhere to the ethical principles and what will be done to ensure that the activities are compliant with the EU / national legal and ethical requirements of the country or countries where the tasks are to be carried out. It is reminded that for **activities performed in a non-EU countries**, they should also be allowed in at least one EU Member State.

ample, not to complete

Tips for applicants

- Make sure that both the Ethics issues table and the Ethics self-assessment in Part A of the application form **are correctly and exhaustively filled in** (i.e. if « human respondents » are involved in the research, « Humans » should be ticked, etc.).→ reference document « How to complete your ethics self-assessment";

- In the application, ethics-relevant information may be provided in Part B as well, under relevant sections (methodology, WP tables, etc.);

- The resources necessary to comply with ethics may be added to the work packages that give rise to the underlying ethics issues, or to the Management WP. An « Ethics Compliance » task may be added to that WP;

- Flag in the application any ethics monitoring mechanism already foreseen in the consortium (if any, not mandatory), i.e. Ethics Mentor (staff member with relevant expertise) / Ethics Advisor or Ethics Board (independent expert(s) external to the consortium).

Useful reading

- **How-to complete your ethics self-assessment. (All guidance documents are hyperlinked).**
- Ethics and data protection
- Ethics in Social Science and Humanities
- Research Ethics in Ethnography/Anthropology Guidance note
- Research on refugees, asylum seekers and migrants
- Global code of conduct for research in resource-poor settings
- Assessment List for Trustworthy Artificial Intelligence
- Horizon Europe Model Grant Agreement (MGA) (Article 14 and Annex 5)

Thank you!

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