HORIZON-INFRA-2023-EOSC-01-01:
Build on the science cluster approach to ensure the uptake of EOSC by research infrastructures and research communities
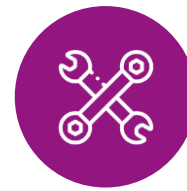
TYPE OF ACTION

- Research and Innovation Action (RIA)

BUDGET

- Total indicative budget for the topic: EUR 25 million

- Expected EU contribution per project: Around EUR 25 million

OTHER CONDITIONS

- Indicative number of projects expected to be funded: 1

TIMING

- Call opening: 7 December 2022 (tbc)

- Deadline: 9 March 2023

European Commission

Build on the science cluster approach to ensure the uptake of EOSC by research infrastructures and research communities

Focus: Cross-domain, cross-RI collaboration and continued EOSC alignment capitalizing on the experience gained by the H2020 science cluster projects in enabling open science practices, FAIR implementation and managing open calls for science projects.

Expected Outcomes:
- Support all European research communities to contribute to and benefit from a user-oriented EOSC;
- Populate EOSC Exchange with FAIR data, horizontal and thematic services;
- Develop and demonstrate scientific benefits of open science and FAIR practices through Open calls and cascading grants;
- Increase operational alignment of ESFRI and international RIs on the deployment of the EOSC Core and EOSC Exchange;
- Contribute to EOSC sustainability models;
- Provide feedback and requirements for the evolution of the EOSC ecosystem.

Scope:
- Consolidate common EOSC approaches between the RI communities involved in the 5 science clusters; sustain composable EOSC-onboarded services; and support community-based competence centres for continued EOSC-alignment and extended outreach towards new or underrepresented user communities;
- Demonstrate and pilot the use of EOSC resources by multiple research communities through cross-RI and/or cross-domain open science projects and services [This activity should be implemented through a cascading grant mechanism].

HORIZON-INFRA-2023-EOSC-01-02: Development of community-based approaches for ensuring and improving the quality of scientific software and code
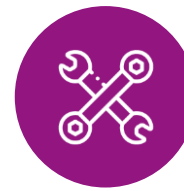
TYPE OF ACTION

- Research and Innovation Action (RIA)

BUDGET

- Total indicative budget for the topic: EUR 8 million

- Expected EU contribution per project: Around EUR 8 million

OTHER CONDITIONS

- Indicative number of projects expected to be funded: 1

TIMING

- Call opening: 7 December 2022 (tbc)

- Deadline: 9 March 2023

European Commission

Development of community-based approaches for ensuring and improving the quality of scientific software and code

Focus: Improvement of the quality of software and code, as well as the quality of other digital objects based on code such as workflows, computational models, etc.

Expected Outcomes:

- Establish and promote a framework of community curation that ensures quality of software and code across the different disciplines.

- Deploy infrastructure, tools and services that allow researchers to properly develop, describe with proper metadata, version, archive, share and reuse research software.

- Define the notion of software quality in the context of EOSC and build upon established practices by the FAIR and other communities.

- Define baseline quality indicators along the notion of "minimum quality" for the different types of digital objects targeted.

- Improve the quality of research software, in particular for EOSC services;

- Develop software in a sustainable way and maximise its reuse.

Development of community-based approaches for ensuring and improving the quality of scientific software and code

Scope:

- Foster alignment of existing initiatives by promoting coherence and developing community guidelines;
- Promote the use of already existing common technical specifications, standards or infrastructure.
- Define software delivering and packing best practices towards software reusability;
- Ensure integration of infrastructure, tools and services that is code-based, and also ensure their flexibility and scalability by making use of cloud technologies;
- Define a baseline of Source Code quality based on coding principles and coding best practices;
- Develop minimum quality certification frameworks through automated checks, pipelines and digital badges;
- Allow for the integration of automatic testing for security vulnerability and license infringements.
- Ensure optimal and sustainable software archival practices and mainstream software citation;
- Incentivise open software development;
- Develop FAIR metrics frameworks for digital objects;
- Develop or align pre-existing training materials.

European Commission

HORIZON-INFRA-2023-EOSC-01-03:
Planning, tracking, and assessing scientific knowledge production
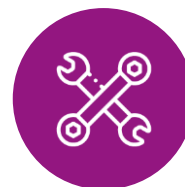
TYPE OF ACTION

- Research and Innovation Action (RIA)

BUDGET

- Total indicative budget for the topic: EUR 8 million

- Expected EU contribution per project: Around EUR 8 million

OTHER CONDITIONS

- Indicative number of projects expected to be funded: 1

TIMING

- Call opening: 7 December 2022 (tbc)

- Deadline: 9 March 2023

European Commission

Planning, tracking, and assessing scientific knowledge production

Focus: *Coherent methodologies, workflows and tools for planning research activities, tracking their impact and assessing their compliance with the FAIR principles*		
Machine-actionability of Data Management Plans and their automatic evaluation	Scientific Knowledge Graphs to monitor and track events of science linked to publishing, citation, data processing, data & software usage	Visualization and traceability of a wide range of digital objects beyond publications and data

Expected Outcomes:

- Standardised Data Management Plans (DMPs) across disciplines.

- Automation of the evaluation of DMPs (e.g relying on semantic web technologies) and building on existing and new evaluation metrics.

- Widely adopt Scientific Knowledge Graphs (SKGs) to enable a transparent research ecosystem.

- Policies, models, licencing frameworks, workflows, and tools enable a cross-country and cross-discipline collaborative implementation of metrics to assess and improve the FAIRness of a wide range of digital objects.

Scope:

- Planning of research activities by using machine-actionable DMPs and Knowledge Graphs;

- Tracking research contributions and their impact by enhancing the interoperability of different SKGs to link digital objects;

- Assessing compliance with the FAIR principles that leads to FAIR-by-design digital objects

HORIZON-INFRA-2023-EOSC-01-04:
Next generation services for operational and sustainable EOSC Core Infrastructure
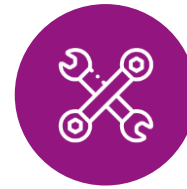
TYPE OF ACTION

- Research and Innovation Action (RIA)

BUDGET

- Total indicative budget for the topic: EUR 10 million

- Expected EU contribution per project: Around EUR 10 million

OTHER CONDITIONS

- Indicative number of projects expected to be funded: 1

TIMING

- Call opening: 7 December 2022 (tbc)

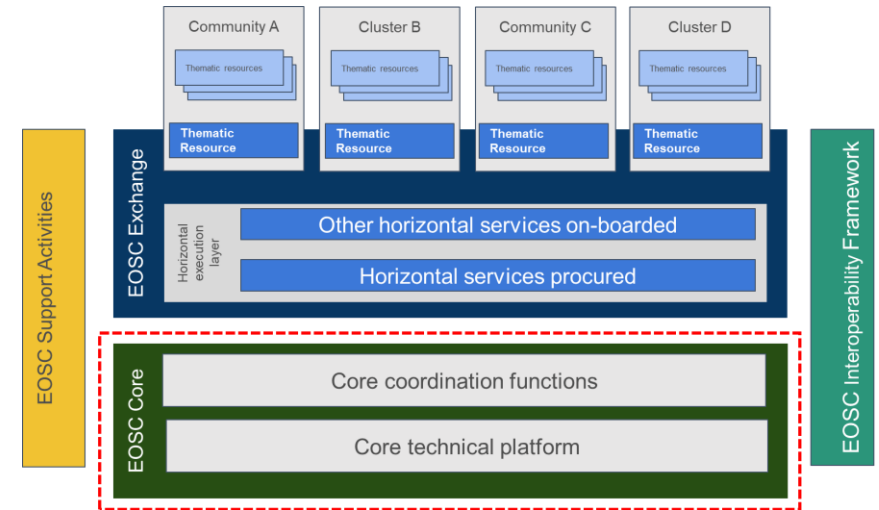- Deadline: 9 March 2023

European Commission

Next generation services for operational and sustainable EOSC Core Infrastructure

Context:

- Data-driven user experience as a fundamental aspect for further development of the EOSC Core, allowing user feedback for the continuous improvement of the EOSC platform's functionality in an open manner.

Expected Outcomes:

- Next generation of enabling infrastructure and services for EOSC Core, beyond the current Minimum Viable EOSC platform.

- Enhanced design of the EOSC Core functionalities taking into account the need of the data-driven scientific use cases and multi-disciplinary research projects.

- Advanced integration and composability of data sources, software tools, research outcomes and other assets within the EOSC execution framework that is enabled and supported by the next-generation of EOSC Core infrastructure.

- Sustainable service incubation and technology testbed infrastructure for developing and testing the next generation of the EOSC Core functionalities integrated and staged into the operational EOSC Core platform in production.

Next generation services for operational and sustainable EOSC Core Infrastructure

Scope:

- Improve the EOSC Core execution framework;

- Design and develop components of a comprehensive EOSC Integration Service suite as part of the next-generation EOSC Core;

- Provide open API registry, management, development and testing workflow, platform and tools for EOSC Core service users;

- Support custom-made front-end portal development environment for various scientific communities, utilizing the EOSC Core portal back-end functions via integration services;

- Facilitate an independent EOSC service incubator and technology development environment that can serve as an open experimentation "testbed" for the EOSC stakeholders;

- Ensure financial sustainability assurance and readiness assessment processes, tools, workflows and services applied for the next-generation of EOSC Core and horizontal services.

European Commission

HORIZON-INFRA-2023-EOSC-01-05: EOSC Architecture and Interoperability Framework
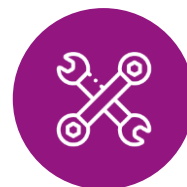
TYPE OF ACTION
- Coordination and Support Action (CSA)

BUDGET
- Total indicative budget for the topic: EUR 3 million
- Expected EU contribution per project: Around EUR 3 million

OTHER CONDITIONS
- Indicative number of projects expected to be funded: 1

TIMING
- Call opening: 7 December 2022 (tbc)
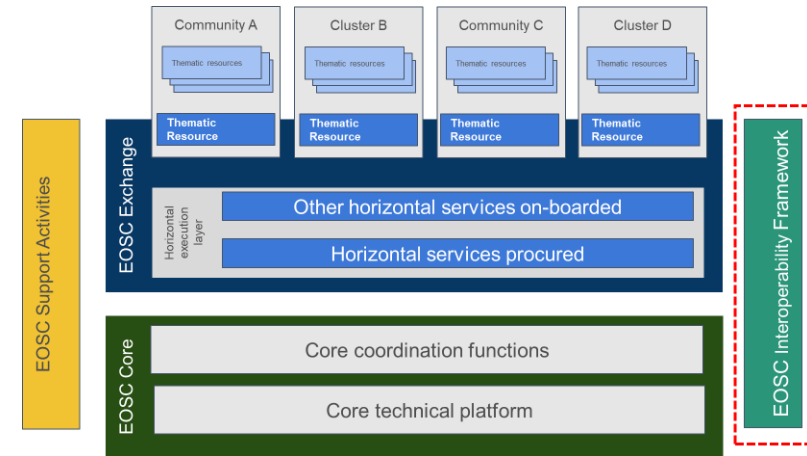- Deadline: 9 March 2023

European Commission

EOSC Architecture and Interoperability Framework

Context:

- The EOSC Architecture and Interoperability Framework coordination and governance seeks to ensure that interoperability is built, encouraged and maintained with structure, fairness and transparency.

Expected Outcomes:

- Robust governance structure, coordination and maintenance of the EOSC Interoperability Framework and guidelines to support operations;

- Well-established design, specification and review processes for the EOSC architectural building blocks that compose the EOSC Interoperability Framework;

- Independent, multi-stakeholder Architecture Board collecting feedback and functional requirements from cross-community use cases to share, access, analyse and re-use resources via services;

- Support for standards development, adoption and certification. EOSC cannot enable FAIR and support interoperability without standards to describe and understand digital objects;

- Scientific and research community engagement for the EOSC Interoperability Framework.

European Commission

EOSC Architecture and Interoperability Framework

Scope:

- Provide structure to manage, update, circulate and promote the EOSC IF and guidelines to support and enable interoperability within EOSC;

- Coordinate the establishment of IFs and the making of existing IFs available through a library/repository, support the dialogue on establishing Ifs;

- Support communities in making their IFs available through EOSC IF library;

- Provide organizational framework for establishing an independent, multi-stakeholder Architecture Board that can collect feedback and recommendations from the stakeholders, oversee and advice the EOSC MVE deployment and operation;

- Define processes and guidelines to enable EOSC Core delivery and to ensure openness of EOSC so that it can adapt with the evolving requirements of the EOSC stakeholders.

HORIZON-INFRA-2023-EOSC-01-06:
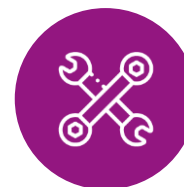# Trusted environments for sensitive data management in EOSC

TYPE OF ACTION

- Research and Innovation Action (RIA)

BUDGET

- Total indicative budget for the topic: EUR 15 million

- Expected EU contribution per project: Around EUR 5 million

OTHER CONDITIONS

- Indicative number of projects expected to be funded: 3

TIMING

- Call opening: 7 December 2022 (tbc)

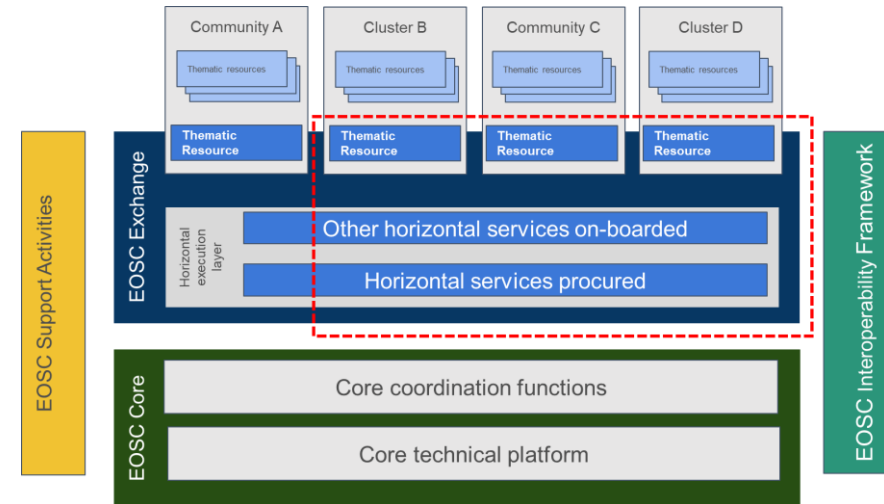- Deadline: 9 March 2023

European Commission

Trusted environments for sensitive data management in EOSC

Context:

- Developing and implementing a robust set of methods, practices and environments to effectively enable sensible data sharing/processing.

Expected Outcomes:

- Expansion of EOSC's access to resources provided by public authorities, including national agencies, in highly sensitive areas, such as the health sector, governmental statistics or geo-spatial applications;

- Emergence of trusted environments for management and sharing of sensitive data in order to facilitate new ways of using sensitive data sets;

- Demonstration that FAIR data workflows with sensitive data are securely possible and can benefit both the data providers and the wider science community.

Trusted environments for sensitive data management in EOSC

Scope:

- Explore the possibility of creating specific Public Authorities' Government Zones in EOSC, providing tailored access control and engaging closely with public authorities to establish safe and secure access to their data for FAIR data processing.

- Focus on: secure data storage, data anonymization and publishing anonymized data into compliant repositories, processing workflows for sensitive data, using sensitive data in cloud hosted workflows across computer centers in different countries/regions.

European Commission

QUESTIONS AND ANSWERS

Join the QnA at slido.com with #RIID2022

HORIZON EUROPE

What is new in the submission process?

European Commission

Admissibility

Same general admissibility conditions

- Applications must be submitted before the call deadline, **electronically** via the Funding & Tenders Portal

- Applications must be **complete, readable, accessible and printable**, and include a **plan for the exploitation and dissemination of results**, unless provided otherwise in the specific call conditions.

Proposal page limit
Substantial reduction in maximum length:

- RIAs and IAs type of actions: limit for a full application is **45 pages**

- CSAs: limit is **30 pages**

- Exceptions, if any, would be specified in the call text.

European Commission

Eligibility

Consortium composition (collaborative projects)

- 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.

Gender Equality Plan (applicable only from 2022 on)

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)

European Commission

Associated Countries

For the purposes of the eligibility conditions, applicants established in Horizon 2020 Associated Countries(*) or in other third countries negotiating association to Horizon Europe will be treated as entities established in an Associated Country, if the Horizon Europe association agreement with the third country concerned applies at the time of signature of the grant agreement.

(*) Legal entities established in Switzerland are currently not covered by these transitional arrangements**.**

European Commission

Activities eligible for funding

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;

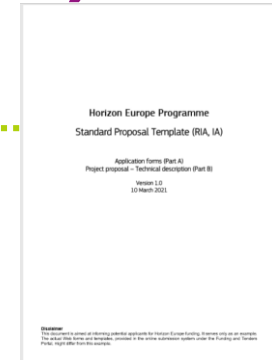- lead to the destruction of human embryos.

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.

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.

European Commission

Maximum funding rates

Type of Action	Funding rate
Research and innovation action (RIA)	100%
Coordination and support action (CSA)	100%

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

European Commission

Evaluation (award) criteria

Same criteria as in H2020

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

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.

Open Science across the programme

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 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

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
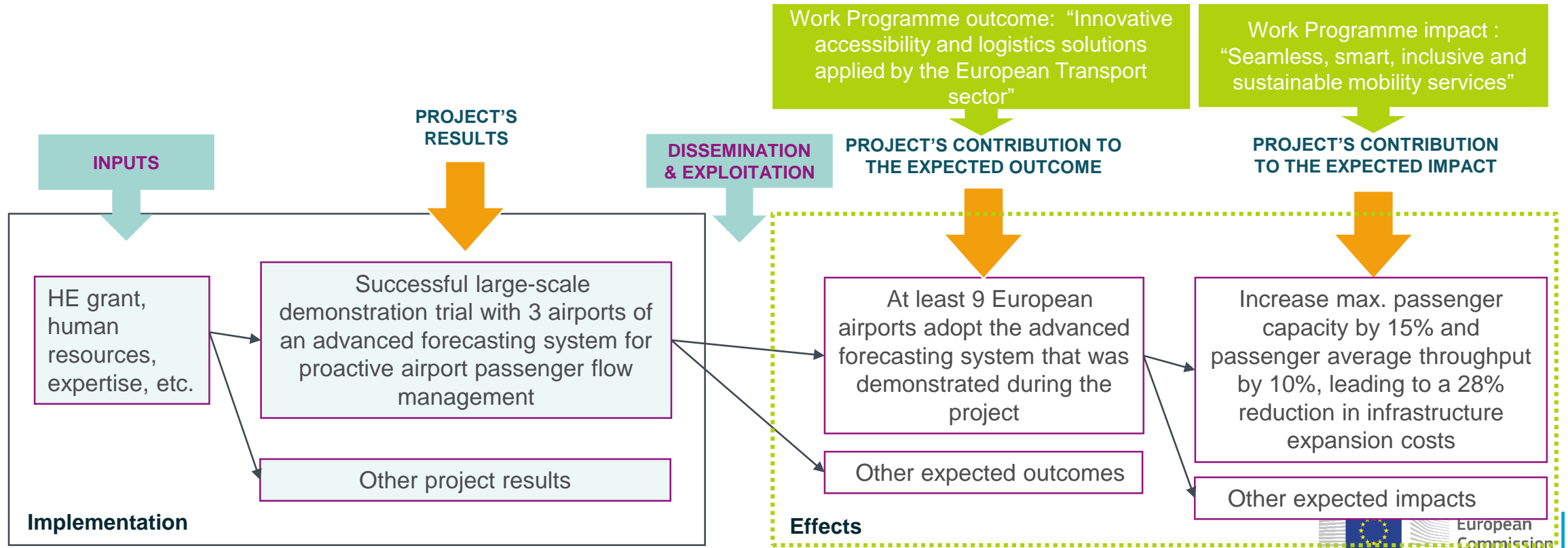
Why is gender dimension important?

- Why do we observe differences between women and men in infection levels and mortality rates in the COVID-19 pandemic?
- Does it make sense to study cardiovascular diseases only on male animals and on men, or osteoporosis only on women?
- Does it make sense to design car safety equipment only on the basis of male body standards?
- Is it responsible to develop AI products that spread gender and racial biases due to a lack of diversity in the data used in training AI applications?
- Is it normal that household travel surveys, and thus mobility analysis and transport planning, underrate trips performed as part of caring work?
- Did you know that pheromones given off by men experimenters, but not women, induce a stress response in laboratory mice sufficient to trigger pain relief?
- And did you know that climate change is affecting sex determination in a number of marine species and that certain populations are now at risk of extinction?

Describing the impact of your proposal

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.

Work Programme outcome: "Innovative accessibility and logistics solutions applied by the European Transport sector"

Work Programme impact : "Seamless, smart, inclusive and sustainable mobility services"

INPUTS

PROJECT'S RESULTS

DISSEMINATION & EXPLOITATION

PROJECT'S CONTRIBUTION TO THE EXPECTED OUTCOME

PROJECT'S CONTRIBUTION TO THE EXPECTED IMPACT

HE grant, human resources, expertise, etc.

Successful large-scale demonstration trial with 3 airports of an advanced forecasting system for proactive airport passenger flow management

At least 9 European airports adopt the advanced forecasting system that was demonstrated during the project

Increase max. passenger capacity by 15% and passenger average throughput by 10%, leading to a 28% reduction in infrastructure expansion costs

Other project results

Other expected outcomes

Other expected impacts

Implementation

Effects

European Commission

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.

ean
ission

Artificial intelligence

| Trustworthy Artificial Intelligence | Due diligence is required regarding the trustworthiness of all AI-based systems/ techniques used or developed in projects funded under Horizon Europe. |

Under Horizon Europe, the technical robustness* of the proposed AI based systems must be evaluated under the excellence criterion.

(*) Technical robustness refers to technical aspects of AI systems and development, including resilience to attack and security, fullback plan and general safety, accuracy, reliability and reproducibility.

AI-based systems or techniques should be, or be developed to become:

- **Technically robust**, **accurate and reproducible**, and able to deal with and inform about possible failures, inaccuracies and errors, proportionate to the assessed risk posed by the AI-based system or technique.
- **Socially robust**, in that they duly consider the context and environment in which they operate.
- **Reliable and function as intended**, minimizing unintentional and unexpected harm, preventing unacceptable harm and safeguarding the physical and mental integrity of humans.
- Able to provide a suitable explanation of its **decision-making process**, whenever an AI-based system can have a significant impact on people's lives.

an
ssion

Ethics review

Same criteria as in H2020

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**.

Adapted following lessons learnt

- Focus mainly on complex/serious cases
- Reduce number of ethics requirements in funded projects.

European Commission

🔒 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.

European Commission

#HorizonEU

THE EU
RESEARCH & INNOVATION
PROGRAMME

2021 – 2027

RESEARCH INFRASTRUCTURES

ELENI ZERVOU

Research Infrastructures Info Day

6 December 2022

Research and
Innovation

INFRA – Admissibility specificities

- The **plan for the exploitation and dissemination of results**, is not required for the **SERV** call topics as the main objective of these actions is the service provision.

INFRA Proposals (Part B) page limit

- Standard RIAs : limit is **45 pages**

- Access provision RIAs (SERV Calls) : limit is **100 pages**

- Standard CSAs: limit is **30 pages**

- Lump Sum RIAs : limit is **50 pages**

- Lump Sum CSAs: limit is **33 pages**

Annexes are not included in the page limit. Check appropriate format before submitting!

2023 Novelty: For **SERV** call, Access Provision **Calculator** Excel Sheets **not compulsory. Available** for facilitation in the background documents at the Call/topic page.

INFRA – Eligibility Specificities

Additional Eligibility criteria for specific topics of INFRA Calls apply:

- **HORIZON-INFRA-2023-DEV-01** (topics 03, 04, 06, 07) and **HORIZON-INFRA-2023-TECH-01** require the participation as beneficiaries of specific number of ESFRI and/or ERIC infrastructures owners
- **HORIZON-INFRA-2023-DEV-01** (Topics: 06, 07) Require additionally specific countries participation

- **Gender Equality Plan – GEP -** only self declaration at proposal level

INFRA – Evaluation Specificities

Additional Evaluation Criteria for specific Calls

In **EOSC Calls : Additional Sub criterion for IMPACT**

- The extent to which the proposed work incorporates the necessary coordination efforts and resources with other relevant projects and the European Open Science Cloud (EOSC) governance structure in the context of the EOSC Partnership.

In **SERV Calls : Additional Sub criteria for EXCELLENCE**

- The extent to which the access activities (trans-national and/or virtual access) will offer access to the state-of-the-art infrastructures of European interest in the field, high quality services, and will enable users to conduct excellent research.

- The extent to which the project will contribute to facilitating and integrating the access procedures, to improve the services the infrastructures provide and to further develop their on-line services.

INFRA Evaluation planning 2023

HORIZON-INFRA-2023- DEV-01 (8 topics), HORIZON-INFRA-2023- EOSC-01 (6 topics)
HORIZON-INFRA-2023- SERV-01 (3 topics), HORIZON-INFRA-2023-TECH-01 (1 topic)

- Submission of proposals **6 December 2022** until **9 March 2023**
- Evaluation of proposals from **10 March** until **6 June 2023**
- Results to be announced to PC and applicants - **July 2023**
- Grants to be signed (TTG) – **8 November 2023**

Call deadline / GAP opening	Remote phase (IERs)	Central phase (CMs & Review CRs)
EC bank holidays	Remote phase (Draft CRs)	Central phase (Crossreadings & Panel meetings
OCE, Eligibility, COI and Allocation	Live briefing, Q&A experts	Ethics screening

European Commission

Key elements

Your proposed work must be within the scope of a work programme topic- Read the WP carefully – every word matters. Keep close to topic objectives and indicated budget

Use guidance available in proposal template and call page in Funding and Tenders Portal – Get help: contact your NCPs, Research Inquiry Service (RES), IT Helpdesk

Use the templates – fill out tables as required – follow instructions in submission page. Read yellow warnings - They do not prevent submission, but maybe critical alerts

Respect the page limit as mentioned in the proposal template. Excessive pages are blackened out and not evaluated

You can re-submit your proposal as many times as you wish, up until the deadline. Plan final submission 48 hours before deadline to avoid congestion and errors

European Commission

#HorizonEU

**THE EU
RESEARCH & INNOVATION
PROGRAMME**

2021 – 2027

**LUMP SUM FUNDING IN
HORIZON EUROPE**

INFO DAYS WP 2023/2024

EUROPEAN COMMISSION, DG RTD
Common Implementation Centre

Research and
Innovation

Why do we use lump sum funding?

Reducing the financial error rate

- Following the ECA annual reports 2019 and 2020, there is wide agreement that the error rate in the R&I Framework Programmes must be reduced
- Lump sums are a key measure to achieve this in Horizon Europe

Significant simplification potential

- Lump sums remove the obligation to report actual costs and resources
- Easier to use for beneficiaries with limited experience
- Funding based on reimbursement of real costs remains complex and error-prone. Little scope for further simplification
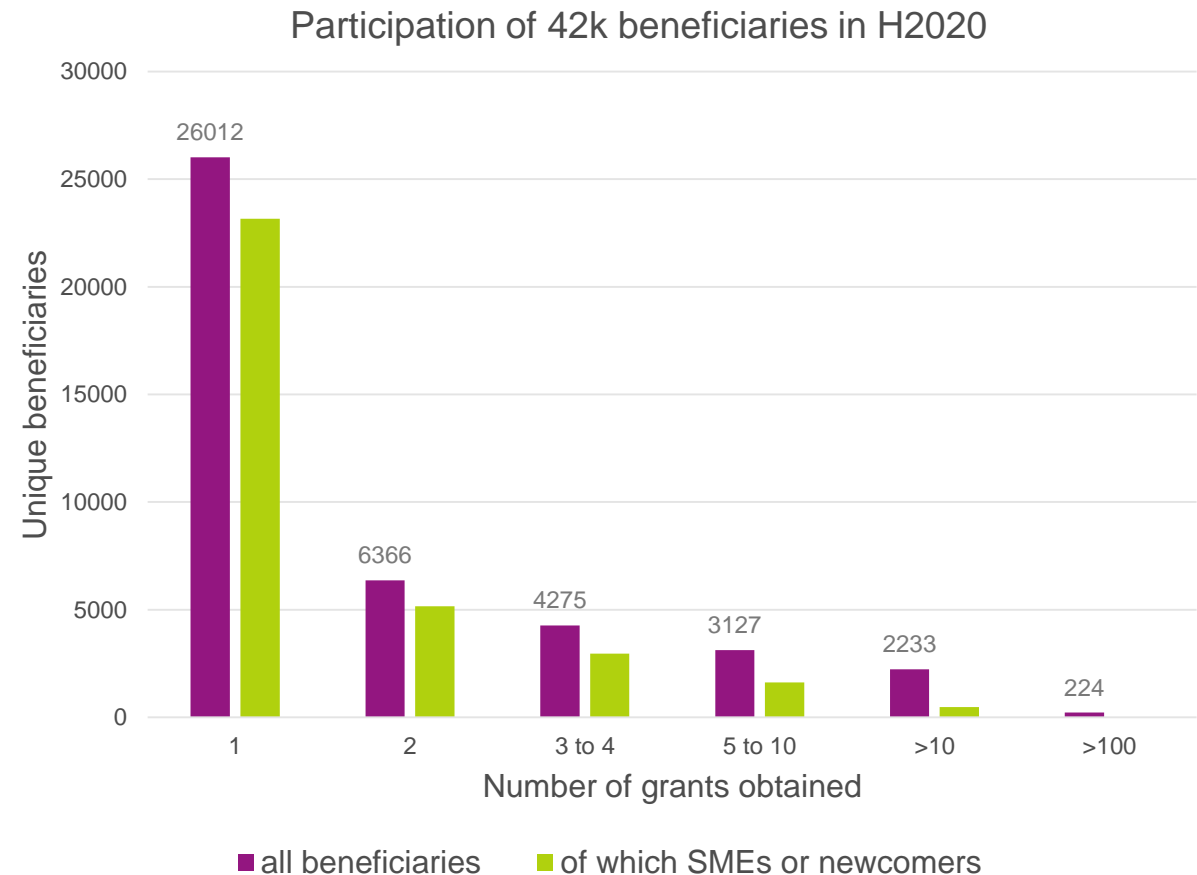
Focus on content

- Focus less on financial management and more on content

Why do we use lump sum funding?

Easier access to the programme

- Very small share of beneficiaries have more than 100 grants:

  - Large entities

  - Dedicated staff and procedures to deal with actual costs

- Vast majority of beneficiaries have only 1 or 2 grants per programme

  - Most of them SMEs or newcomers

  - Little or no previous experience

  - Need a simple funding model

Participation of 42k beneficiaries in H2020

Number of grants obtained

■ all beneficiaries ■ of which SMEs or newcomers

European Commission

Basic principles

- **Lump sum grants follow the standard approach as much as possible**

  same: templates, evaluation criteria, payment scheme, technical reporting

- **One lump sum share per work package and beneficiary**

- **Very simple financial reporting**

- **Lump sum shares paid upon completion of work packages**

	WP1	WP2	WP3	WP4	WP5	WP6	WP7	WP8	Total
Beneficiary A	250.000			50.000	300.000	250.000		300.000	1.150.000
Beneficiary B		250.000	350.000	50.000			100.000	150.000	900.000
Beneficiary C	100.000	100.000		50.000		280.000			530.000
Beneficiary D		120.000		50.000			100.000	150.000	420.000
Total	350.000	470.000	350.000	200.000	300.000	530.000	200.000	600.000	3.000.000

Shares of the lump sum per beneficiary

Share of the lump sum per WP

Lump sum = Maximum grant amount

European Commission

Writing a lump sum proposal

- To write a lump sum proposal, applicants:

    - Use the standard Horizon Europe application form

    - Present the objectives and methodology of their project and address the expected outcomes and impacts as in any Horizon Europe proposal

    - Describe in detail the activities covered by each work package.

- To define and justify the lump sum, applicants must provide a **detailed budget table** with cost estimations.

- The detailed budget table is an **Excel file**. Applicants download it from the online submission system, fill it and submit it as an annex to the Part B application form.

European Commission

Writing a lump sum proposal – detailed budget

- In the detailed budget table, applicants provide **cost estimations for each cost category** per beneficiary (and affiliated entity if any) and per work package.

- The cost estimations must be an **approximation of their actual costs.** They:

  - are subject to the same eligibility rules as in actual costs grants
  - must be in line with applicants' normal practices
  - must be reasonable / non-excessive
  - must be in line with and necessary for the 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.

Project design – Work packages

Work package distribution

As many as needed but no more than what is manageable

A work package (WP) is a major sub-division of the work plan of the project.

- A single activity is not a WP
- A single task is not a WP
- A % of progress is not a WP (e.g. 50 % of the tests)
- A lapse of time is generally not a WP (e.g. activities of year 1)

Work packages with a long duration may be split along the reporting periods (e.g., Management, Dissemination and Exploitation, etc.). In this way, the relevant activities can be paid at the end of the reporting period.

European Commission

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.

Resources available

One dedicated **lump sum page** on the Funding &Tenters Portal with:

Guidance documents	• What do I need to know? & Quick guide • Frequently asked questions • Detailed guidance for applicants and beneficiaries • Lump sum briefing slides for experts
Reference documents	• Model Grant Agreement Lump Sum • Decision authorising the use of lump sum contributions under the Horizon Europe Programme
Studies	• European Commission assessment (October 2021) • European Parliament (STOA) study on lump sums in Horizon 2020 (May 2022)
Events	• Future events • Past events and recordings
Funding opportunities	• List of Horizon Europe topics using lump sum funding

HORIZON EUROPE

Lump Sum Grants

in Horizon Europe
Why do we need them
and how do they work
in practice?

Research and
Innovation

European Commission

Next steps

Improvements

- Higher page limit for lump sum proposals (from work programme 2023)
- Improved Excel tool for lump sum budget table
- Collection of best practices from lump sum beneficiaries (coming soon)

General

- Continuous monitoring of lump sum grants, adjustments if necessary
- Stepwise phasing in:
  - ➢ 27 lump sum topics in 2022
  - ➢ First significant wave of lump sum topics in 2023-2024

European Commission

QUESTIONS AND ANSWERS

Join the QnA at slido.com with #RIID2022