



Horizon Europe - Research Infrastructures

Info Day on 2024 Calls in Work Programme 2023-2024



13 November 2023



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THE EU RESEARCH & INNOVATION PROGRAMME **2021 - 2027**



#HorizonEU

THE EU RESEARCH & INNOVATION PROGRAMME

2021 – 2027

RESEARCH INFRASTRUCTURES

CARMEN MARCUS-DOROBANTU

Research Infrastructures Info Day

13 November 2023

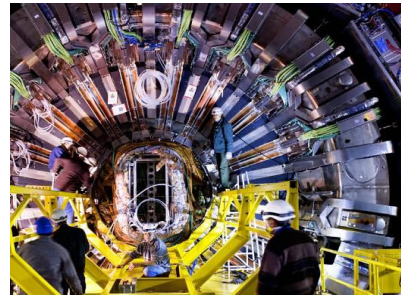
Research Infrastructures

Facilities providing resources and services for research communities to conduct research and foster innovation (single site, distributed, virtual). They provide **access to external users**.

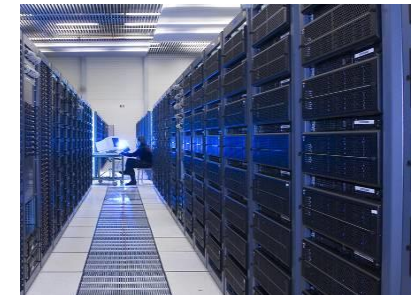
Knowledge-related facilities



Major scientific equipments



ICT infrastructures



E.g. archives, collections, data infrastructures, telescopes, research vessels, computing systems, communication networks

Inter alia, RIs contribute to:

- ✓ Extend the frontiers of knowledge
- ✓ Exchange and transmit knowledge
- ✓ Train the next generation of top researchers
- ✓ Support industrial innovation

Research Infrastructures in Horizon Europe

Pillar 1 Excellent Science

European Research Council

Marie Skłodowska-Curie Actions

Research Infrastructures
EUR 2,4 bn

Pillar 2 Global Challenges and European Industrial Competitiveness

- Clusters
- Health
 - Culture, Creativity and Inclusive Society
 - Civil Security for Society
 - Digital, Industry and Space
 - Climate, Energy and Mobility
 - Food, Bioeconomy, Natural Resources, Agriculture and Environment

Joint Research Centre

Pillar 3 Innovative Europe

European Innovation Council

European innovation
ecosystems

European Institute of Innovation
and Technology

Widening Participation and Strengthening the European Research Area

Widening participation and spreading excellence

Reforming and Enhancing the European R&I system

Research Infrastructures in Horizon Europe

Overall objective

- ***Empower Europe*** through an integrated ecosystem of world-class and accessible national and pan-European RIs, which help covering the continuum of needs from **fundamental knowledge creation to technology deployment and support the implementation of Open Science policies** as well as European technology leadership.

RIs Work Programme 2023-2024

Key priorities

- Consolidate existing capacities and develop new RIs to support **scientific breakthroughs** and **respond to new challenges**, notably in the field of **health and for the twin transition**;
- Provide **ERA** with an effective and sustainable RIs landscape, which will make it **increasingly attractive for researchers and talents from all over the world**;
- **Upsurge resilience of RIs**, particularly in the context of recovery from COVID-19 pandemic and the energy crisis;
- Contribute to **Open science & data policies** through a trusted virtual environment (European Open Science Cloud - EOSC) that offers high-speed connectivity to researchers;
- Address **global environmental, social and economic challenges**, in line with the renewed ERA;
- Develop **cutting-edge technologies** for RIs and **foster innovation**;
- Reinforce the **international dimension** of European RIs.

RIs WP 2023-2024 in a nutshell

Total budget
~657 M€:
2023: ~320 M€
2024: ~337 M€

5 Destinations:

- **INFRADEV:** Developing, consolidating, optimising European RIs landscape, 2 calls, 11 topics, call deadlines 09/03/2023, **12/03/2024**
- **INFRAEOSC:** Enabling an operational, open and fair EOSC ecosystem, 2 calls, 11 topics, call deadlines 09/03/2023, **12/03/2024**
- **INFRASERV:** RIs services to support health research, accelerate the green and digital transformation, and advance frontier knowledge, 1 call, 3 topics, call deadlines 09/03/2023
- **INFRATECH:** Next generation of scientific instrumentation, tools and methods and advanced digital solutions, 2 calls, 5 topics, call deadlines 09/03/2023, **12/03/2024**
- **INFRANET:** Network connectivity - enabler for collaboration without boundaries (SGA to the FPA)

Other actions:

- **8 GIBs:** ERIC monitoring, EOSC monitoring, presidency events, etc.;
- 2 expert contract actions.

**WP 2023-2024 was adopted on 6 December 2022 and amended on 31 March 2023*



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RESEARCH INFRASTRUCTURES

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HORIZON-INFRA-2024-DEV-01-01:

Research infrastructure concept development



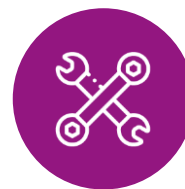
TYPE OF ACTION

- Research and Innovation Action (RIA)



INDICATIVE BUDGET

- EUR 12 million
- Expected EU contribution per project:
EUR 1-3 million



OTHER CONDITIONS

- Indicative number of projects expected to be funded: 5
- Eligible costs will take the form of a lump sum



TIMING

- Call opening:
6 December 2023
- Deadline:
12 March 2024

Research infrastructure concept development

Expected Outcome (all)

- **Support to planning and decision making** for RIs at the national level (e.g. funding bodies, governments) and European level (e.g. ESFRI), through solid **science cases** incl. expected scientific breakthrough, **gap analyses** and **feasibility/design studies** for future RIs (or major upgrades);
- Better alignment of the RIs landscape with the **advancement in excellent science, frontier research and technology innovation**;
- Increased **performance, scientific capacity** and **excellence** of the European RIs landscape;
- **New services and access opportunities** available to the research community allowing to **better tackle scientific and societal challenges**;
- Reduction of **environmental (incl. climate-related) impacts** as well as **optimization of resource and energy consumption** integrated in the very early phase of development of new RIs or major upgrades of existing ones.

Research infrastructure concept development

Scope

This topic aims at supporting the development of **new concepts** for the **next generation of RIs of European interest**, single/multi sited, distributed or virtual that none or few countries might individually be able to implement. All fields of research can be considered. Both new and major upgrades (if equivalent to new concepts) of the RIs may be considered.

Proposals will tackle all key questions concerning the technical and conceptual feasibility of new/upgraded fully fledged user facilities:

- demonstrate **relevance** in relation to ERA and **advancement with respect to the state-of-the art**; highlight the **research challenges** and indicate the **gaps** in the RIs landscape the new/upgraded RI will cover and the **synergies with other existing RIs**; indicate, if relevant, potential impact at regional level.
- demonstrate that the project will effectively
 - identify: **technologies** and the **architecture** for developing the RI; scientific **user** communities that will benefit from access to RI services; **governance** options and **strategic** approaches for **commitment** and **engagement**.
 - develop: **initial financial plans** for the implementation and operation of the RI, ideas for **long-term sustainability** (synergies with other funds/programmes), plans for **data** curation and preservation and for the provision of access to data collected in line with **FAIR** principles.

Considering just a new component of a RI is not in scope of this topic.

“When relevant” **environmental** (incl. climate related) impacts, use of **resource and energy**.

HORIZON-INFRA-2024-DEV-01-02:

Strengthen the bilateral cooperation on research infrastructures with Africa



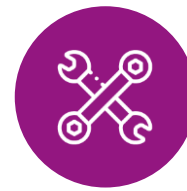
TYPE OF ACTION

- Coordination and Support Action (CSA)



INDICATIVE BUDGET

- EUR 3 million
- Expected EU contribution per project: around EUR 1.5 million



OTHER CONDITIONS

- Indicative number of projects expected to be funded: 2
- Eligible costs will take the form of a lump sum



TIMING

- Call opening: 6 December 2023
- Deadline: 12 March 2024

Strengthen the bilateral cooperation on research infrastructures with Africa

Expected Outcome

- Improve research capacities in Africa
- Foster Euro-African cooperation in science
- Aligned with EU Africa strategy

Strengthen the bilateral cooperation on research infrastructures with Africa

Scope

- Foster EU-Africa cooperation in research infrastructures, sharing of good practices and laying the ground for structuring RI capacities at pan-African level in fields other than those addressed by a previous call in 2021 (there is an ongoing project, until Sept 2025, on developing the knowledge base for climate change)
- Proposals should build on existing cooperation activities between African and European countries and take into account the outcomes of previous and ongoing collaborations. Along these lines, proposals that contribute to ongoing international initiatives are welcome.
- At least 2 legal entities from two different African Union countries in the consortium.

HORIZON-INFRA-2024-DEV-01-03:

Consolidation of the RI landscape – Individual support for evolution and long-term sustainability of pan-European research infrastructures



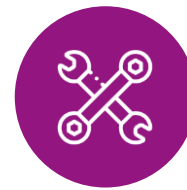
TYPE OF ACTION

- Research and Innovation Action (RIA)



INDICATIVE BUDGET

- EUR 8 million
- Expected EU contr. per project: EUR 2 – 4 million
- Funding rate **80%**



OTHER CONDITIONS

- at least one of the **ESFRI Landmarks** or **ERICs**
- Indicative number of projects expected to be funded: 2



TIMING

- Call opening: 6 December 2023
- Deadline: 12 March 2024

Consolidation of the RI landscape – Individual support for evolution and long-term sustainability of pan-European research infrastructures

Expected Outcome (several):

- better **structured and strengthened** European research infrastructure **landscape**;
- **new services** available to a wider user community, including participants in other parts of Horizon Europe, allowing **to better tackle scientific and societal challenges**;
- increased capacity to address **EU policy priorities** and/or **support EU industry**;
- reinforced **global competitiveness** of the **European Research Area**;
- reduction of **environmental (including climate-related) impacts** as well as optimisation of **resource and energy consumption** integrated through the **full life cycle** of research infrastructures;
- increased **long-term sustainability** of European research infrastructures.

Consolidation of the RI landscape – Individual support for evolution and long-term sustainability of pan-European research infrastructures

Scope:

- Consolidation of the EU RI landscape through the support to the **strengthening, long-term sustainability, reorientation or evolution of ESFRI Landmarks or other ERICs**. Specific scope could however be further defined to address **specific emerging needs** identified and agreed at EU level.
- Activities towards long-term sustainability include enlargement of the **membership** or broadening the base of participating countries, **international** cooperation, revision of **business/funding plan**, development of managerial and technical **skills** for RI staff, and structuring and strengthening of national **nodes**.
- Support can also be provided to the development of solutions helping the **recovery** from the COVID-19 pandemic consequences on service provision, such as extension of **remote and virtual access**, or on the **management** of the infrastructure itself.

Consolidation of the RI landscape – Individual support for evolution and long-term sustainability of pan-European research infrastructures

Scope (cont.):

- Activities for reorientation or evolution should **fill gaps in the RI landscape**, enabling the RI to address new research or societal challenges and/or serve new user communities, increasing and improving service capacity and/or integrating new resources/facilities.
- Proposals should explain any **synergies and complementarities with previous or current EU grants**.
- Specific attention should be given, where relevant, to the **greening** of technologies and methodologies used by the research infrastructure, to the **interaction with industry/SMEs**, to the fostering of the **innovation potential** – including the social innovation potential – of the infrastructures, and to their **integration into local, regional and global innovation ecosystems**.



QUESTIONS AND ANSWERS



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THE EU RESEARCH & INNOVATION PROGRAMME

2021 – 2027

RESEARCH INFRASTRUCTURES

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Research Infrastructure Infoday
13 November 2023

Destination INFRAEOSC: Enabling an operational, open and FAIR EOSC ecosystem

Aims:

- **Develop EOSC** in a cohesive manner and **operationalize it** realizing the vision of a web of FAIR data and services for science.
- Consolidate the role of EOSC as a **data space for science, research and innovation**, articulated with the other data spaces set forth in the European Strategy for Data.

Expected Impact:

- **Mainstream open science practices** among researchers (initially), enabling the wide and early sharing of research outputs (publications, data, software, etc.) within and across disciplines.
- Enable the **seamless access to and management of increasing volumes of data** and ensure that they are **as FAIR and as open as possible**.
- Increase the **FAIRness** and **openness** of research data in Europe.

HE RI WP – Topics under Destination INFRAEOSC

	Research Infrastructures Work Programme	
2021	Destination #2: INFRAEOSC	
	- EOSC-ready digitally skilled workforce	
	- Supporting the EOSC Partnership: engagement, strategic agenda	
	- Deploying EOSC-Core components for FAIR	
	- Innovative and customisable services for EOSC	
	- Enabling discovery and interoperability of federated research artefacts across communities	
	- FAIR & open data in support of cancer research	
	- Services and tools to underpin a research assessment system that incentivises OS practices	
2022	- Improving & coordinating technical infrastructure for institutional OA publishing	
	- FAIR & open data in support of healthy oceans, seas, costal and inland waters	
	- Support for initiatives helping to generate global standards, specifications and recommendations for open sharing of FAIR research data, publications and SW	
	- Other actions: Delivering the EOSC core infrastructures and services (public procurement)	

HE RI WP – Topics under Destination INFRAEOSC

Research Infrastructures Work Programme

Destination #2: INFRAEOSC

2023

- Build on the science cluster approach to ensure the uptake of EOSC by research infrastructures and research communities
- Development of community-based approaches for ensuring and improving the quality of scientific software and code
- Planning, tracking, and assessing scientific knowledge production
- Next generation services for operational and sustainable EOSC Core Infrastructure
- Trusted environments for sensitive data management in EOSC

2024

- FAIR and open data sharing in support of the mission adaptation to climate change
- Supporting the EOSC Partnership in further consolidating the coordination and sustainability of the EOSC ecosystem
- Enabling a network of EOSC federated and trustworthy repositories and enhancing the framework of generic and discipline specific services for data and other research digital objects
- Long-term access and preservation infrastructure development for EOSC, including data quality aspects
- Innovative and customizable services for EOSC Exchange

HORIZON-INFRA-2024-EOSC-01-01:

FAIR and open data sharing in support of the mission adaptation to climate change



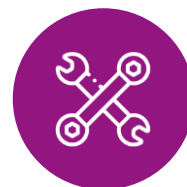
TYPE OF ACTION

- Research and Innovation Action (RIA)



INDICATIVE BUDGET

- EUR 16 million
- Expected EU contribution per project: EUR 6-8 million



OTHER CONDITIONS

- Indicative number of projects expected to be funded: 2



TIMING

- Call opening: 6 December 2023
- Deadline: 12 March 2024

FAIR and open data sharing in support of the mission adaptation to climate change

Context:

- Support the strategic mission area on climate adaptation and accelerate research and innovation by promoting links with EOSC infrastructures and mainstreaming Open Science and FAIR data practices in synergy with the EOSC European Partnership.

Expected Outcomes:

- Researchers, providers of operational data facilities (e.g. Copernicus services) and other stakeholders contributing to climate adaptation regularly interact with EOSC to store, share, access, analyse and process research data and other digital objects from their own discipline, across disciplines and national borders;
- Open and FAIR data are the new norm for research conducted under this mission area;
- EU-wide sharing of research data relevant to this area is shown to be a critical mechanism to facilitate climate adaptation across Member States and Associated Countries with involvement of regional and local authorities;
- EOSC grows into a trusted research and innovation data space and service platform in Europe that interconnects with the Green Deal European data space and supports the interdisciplinary community involved in this mission area.

FAIR and open data sharing in support of the mission adaptation to climate change

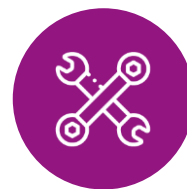
Scope:

- Accelerate research and innovation under this mission area through better access, management, interoperability and reuse of digital information.
- Use and integrate EOSC resources ranging from EOSC federated infrastructures, services and data to guidelines, best practices, tools and metrics for the management of FAIR and open data.
- Cross-domain strategic use cases of direct relevance to the mission areas to contribute to the modular development of EOSC through user environments.
- Special attention on aspects of data harmonisation, data quality assurance, data privacy and security, big-data analysis and machine learning methods, as well as on the socio-economic dimension.

Synergies: HE cluster 5 activities, European Data Spaces, Destination Earth, ESFRI clusters or European Partnerships. Close alignment with the EOSC Partnership and collaboration with topic HORIZON-INFRA-2021-EOSC-01-05.

HORIZON-INFRA-2024-EOSC-01-02:

Supporting the EOSC Partnership in further consolidating the coordination and sustainability of the EOSC ecosystem



TYPE OF ACTION

- Coordination and Support Action (CSA)

INDICATIVE BUDGET

- EUR 4 million
- Expected EU contribution per project: around EUR 4 million

OTHER CONDITIONS

- Indicative number of projects expected to be funded: 1
- Eligible costs will take the form of a lump sum

TIMING

- Call opening: 6 December 2023
- Deadline: 12 March 2024

Supporting the EOSC Partnership in further consolidating the coordination and sustainability of the EOSC ecosystem

Expected Outcomes:

- EOSC increases the level of coordination of national and European initiatives, creating mechanisms of mutual learning, replication of best practices and joint activities.
 - EOSC increases the level of coordination and directionality among EOSC-related initiatives and Horizon Europe funded actions, ensuring a more proactive and impactful approach towards attaining the SRIA objectives.
 - Step forward towards a more sustainable EOSC that enables smooth transnational access to data and services, through the test and implementation of coherent business models;
 - Facilitated access to information to and from all EOSC stakeholders across countries, institutions, networks and initiatives is increasingly enabled
- *Expected outcomes 1 and 2 will be achieved mainly through financial support to third parties in the form of cascading grants*

Supporting the EOSC Partnership in further consolidating the coordination and sustainability of the EOSC ecosystem

Scope:

- Support the further implementation of an effective pan-European cooperation framework and a thriving EOSC ecosystem
- Support the EOSC community at large by reinforcing the coordination mechanisms that link the EOSC partnership with the Member States and the network of providers and users' representatives
- Support coordination and synergies between activities by the EOSC Association and its members, initiatives and EU-funded projects
- Enhance the EOSC coordination to targeted investments and contributions. Cascade funding to:
 - Kick-start the coordination nodes in countries where similar structure that could act as nodes have not yet been established;
 - Promote and/or coordinate joint actions and investments between countries or distributed infrastructures;
 - Coordinate international initiatives that aim at further strengthen the EOSC ecosystem

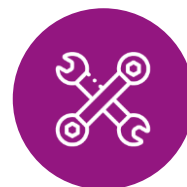
Supporting the EOSC Partnership in further consolidating the coordination and sustainability of the EOSC ecosystem

Scope:

- Strengthen collaboration and alignment within the portfolio of EU-funded projects, activities conducted by the EOSC Association and its members and other initiatives contributing to the objectives of the EOSC SRIA. Cascading funding related – but not limited - to:
 - Support additional collaborative activities amongst EU-funded projects and the EOSC Association
 - Build strategic and operational synergies within and beyond the EOSC ecosystem
- Implementation of clear financial models to support for long term financial sustainability of the main building blocks of EOSC
- Capitalise on:
 - the results of the topic HORIZON-INFRA-2021-EOSC-01-02 and on the work of the EOSC Task Force on sustainability
 - the existing financial and accounting practices of the European Research Infrastructures and other initiative
 - the virtual access mechanism based on the projects funded under the topic H2020-INFRAEOSC-07-03.
- Collaboration with projects funded under the topic HORIZON-INFRA-2023-EOSC-01-01

HORIZON-INFRA-2024-EOSC-01-03:

Enabling a network of EOSC federated and trustworthy repositories and enhancing the framework of generic and discipline specific services for data and other research digital objects



TYPE OF ACTION

- Coordination and Support Action (CSA)

INDICATIVE BUDGET

- EUR 5 million
- Expected EU contribution per project: around EUR 5 million

OTHER CONDITIONS

- Indicative number of projects expected to be funded: 1
- Eligible costs will take the form of a lump sum

TIMING

- Call opening: 6 December 2023
- Deadline: 12 March 2024

Enabling a network of EOSC federated and trustworthy repositories and enhancing the framework of generic and discipline specific services for data and other research digital objects

Expected Outcomes:

- A European network of trustworthy repositories is established that will enhance the EOSC ecosystem, contribute to the consolidation of Open Science practices and support European researchers.
- The concept and requirements of trustworthy repositories are harmonised and therefore support the European funders in better addressing the Open Science provisions in their programmes
- The data depositing ecosystem in Europe is adequately supported, providing a common voice for research digital repositories to better interact with the research and innovation policy making and to respond in a more coordinated and cohesive manner to the need of the European researchers.

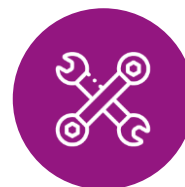
Enabling a network of EOSC federated and trustworthy repositories and enhancing the framework of generic and discipline specific services for data and other research digital objects

Scope:

- Create a European network of trustworthy digital repositories following FAIR-enabling principles.
- Build a lean governance for the network to moderate, coordinate and provide common directionality and a common legal understanding within the repositories.
- Enhance the technical federation with standards, APIs and solutions that could improve the access to resources.
- Boost the framework of services of repositories in the network notably for storage, curation and also for innovative solutions (such as on-demand or in-house provisioning of digital repositories as a service) that will support institutions and communities;
- Promote stable general and discipline-oriented initiatives to support consolidation of metadata schemas and vocabularies, standards in formats and services and to foster interoperability.

HORIZON-INFRA-2024-EOSC-01-04:

Long-term access and preservation infrastructure development for EOSC, including data quality aspects



TYPE OF ACTION

- Research and Innovation Action (RIA)

INDICATIVE BUDGET

- 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: 6 December 2023
- Deadline: 12 March 2024

Long-term access and preservation infrastructure development for EOSC, including data quality aspects

Expected Outcomes:

- Practices, standards and tools for long-term preservation are mainstreamed in the EOSC ecosystem.
- The emergence of a European distributed infrastructure for long-term preservation and access is adequately supported.
- The sustainability of long-term preservation among the European scientific community is significantly enhanced.
- Common requirements for data quality that are valid across disciplines are defined.

Long-term access and preservation infrastructure development for EOSC, including data quality aspects

Scope:

- Establish a minimum set of practices and a general framework to identify what data is candidate to long term preservation based on their use, benefit and quality.
- Support the creation of long-term preservation and access strategies and processes among the different scientific disciplines.
- Engage and collaborate with domain specific networks, creating new ones where necessary, that will strengthen long-term access and preservation and support reproducibility, integrity and validity.
- Build upon existing services and enrich EOSC with tools to store and access digital data for long periods, automate and federate certain specialised curation and preservation tasks.
- Create an expert curation network (discipline oriented) that will enhance and facilitate the curation process and the digital preservation actions to ensure data remain accessible as technology changes.

HORIZON-INFRA-2024-EOSC-01-05:

Innovative and customizable services for EOSC Exchange



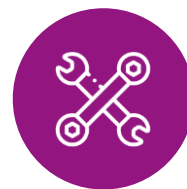
TYPE OF ACTION

- Research and Innovation Action (RIA)



INDICATIVE BUDGET

- EUR 28 million
- Expected EU contribution per project: around EUR 7 million



OTHER CONDITIONS

- Indicative number of projects expected to be funded: 4



TIMING

- Call opening: 6 December 2023
- Deadline: 12 March 2024

Innovative and customizable services for EOSC Exchange

Expected Outcomes:

- Next generation EOSC provides researchers with the means to easily access complete datasets and analysis platforms and provide services that support reproducibility, as well as ensuring long-term preservation and long-term availability of these research data and tools.
- Ecosystem of novel tools and services, as many new FAIR-by-design datasets as possible, whereby researchers are able to deliver much more rapidly the outputs of each part of the research lifecycle, including data and software, with the same level of precision as they deliver publications today.
- Enhanced services and tools for researchers to lower the bar and underpin the initial research planning and preparation phase (i.e. entry phase) of the research lifecycle.

Innovative and customizable services for EOSC Exchange

Guiding principles:

- The aim is to provide researchers with a set of highly innovative new services via the EOSC Exchange.
 - These would exploit, in a structural way, the **EOSC EU Node** services in production.
 - The proposed services should be integrated in the EOSC Exchange service platform and proposals should include sufficient provisions to address the integration, including appropriate IPR and licence agreements.
- Developments should be tested against 2-3 real life use cases from a variety of scientific domains.
 - The proposals should cooperate with the EOSC core testbed facility (to be funded under **HORIZON-INFRA-2023-EOSC-01-04**) as well as other relevant and related projects and e-Infrastructures and large user communities. Joint use cases and testing across individual project boundaries are encouraged.

Innovative and customizable services for EOSC Exchange

Scope:

- Improve the TRL of the EOSC Exchange components in testing, development and staging.
- Further develop the ecosystem of research data and related services, covering the whole data lifecycle, from discovery and mining to storage, management, analysis and reuse.
- Facilitate the collection and analysis of heterogeneous and/or large-scale data sets right from the sources where they are produced.
- Support automatic production of FAIR data at the research instruments and support infrastructures by metadata atomization tools and techniques available via EOSC Exchange.
- Add layers to the federated EOSC Data Lake that collects unstructured, semi-structured and structured data sets in order to provide customizable Data Warehouse and Data Mart services used by researchers to prepare for data analytics.
- Support data streaming and real-time data management and analytics integration into EOSC Exchange. Provide an integrated workflow for historical batch data and real-time streaming data management and analytics.
- Propose scalable and reliable messaging/event hubs, based on the publish-subscribe principle, for real-time data sources to be integrated into EOSC.



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CARMEN MARCUS-DOROBANTU

Research Infrastructures Info Day

13 November 2023

Financial Support to third parties - “Cascading grants” (1)

- **FSTP** = the support received via the EU grant is passed on to recipients that are not part of the grant agreement (also called ‘cascade funding’)



- **For 2024 INFRA calls**, financial support to third parties is possible under the topics:
 - HORIZON-INFRA-2024-EOSC-01-02 : Supporting the EOSC partnership in further consolidating the coordination and sustainability of the EOSC system
 - HORIZON-INFRA-2024-EOSC-01-03: Enabling a network of EOSC federated and trustworthy repositories and enhancing the framework of generic and discipline specific services for data and other research digital objects.

Financial Support to third parties (2)

- Please refer to the relevant parts of General Annexes of the Horizon Europe Work Programme 2023/4 and the **Annotated Grant Agreement!!!**

https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/aga_en.pdf

- For the costs to be eligible under the action, they must be compliant with Article 6.2.D.1 of the HE AGA, which requires in particular that the beneficiaries set and respect the criteria and procedures for giving financial support;
- Considering that these criteria and procedures should respond to the objectives set out in the call conditions, it is for the consortium to elaborate on them and to implement them. This includes ensuring that the recipients fulfil the conditions, and paying the recipients;
- All calls for third parties and all calls that are implemented by third parties must be published on the Funding & Tenders Portal, and on the beneficiaries' websites'.

Financial Support to third parties (3)

- **Proposal must detail the conditions which will apply for providing financial support to third parties;**
- **Call conditions must ensure objective and transparent selection procedures and include at least the following (for grants or similar):**
 - i. the maximum amount of financial support for each third party ('recipient'); this amount may not exceed the amount set out in the Data Sheet or otherwise agreed with the granting authority
 - ii. the criteria for calculating the exact amount of the financial support
 - iii. the different types of activity that qualify for financial support, on the basis of a closed list
 - iv. the persons or categories of persons that will be supported and
 - v. the criteria and procedures for giving financial support

Financial Support to third parties (4)

- The consortium has to describe in their proposal who amongst themselves will be responsible for organising the calls for financial support to third parties;
- It is up to the consortium to define the template for the agreements between the HE beneficiaries and third parties receiving financial support;
- In principle, beneficiaries/affiliated entities of the consortia awarded can NOT also be final recipients of financial support to third parties. However, there are cases where exceptions are permitted, under certain conditions:

→ Proposals must explain how they will ensure that such beneficiaries/affiliated entities are not involved in the selection procedure of the calls, in order to avoid conflicts of interest and maintain confidentiality

- The HE beneficiaries have to provide a commitment on the availability of funds when submitting the results of the calls to the Commission;
- The costs reported have to fulfil the general conditions for actual costs to be eligible (i.e. **incurred during the action duration**, necessary, linked to the action, etc

→ the underlying projects / financial support to third parties has to be finalised and paid within the duration of the HEU GA.



QUESTIONS AND ANSWERS



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THE EU RESEARCH & INNOVATION PROGRAMME **2021 - 2027**



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THE EU RESEARCH & INNOVATION PROGRAMME

2021 – 2027

RESEARCH INFRASTRUCTURES

RENE MARTINS
PATRICIA POSTIGO-MCLAUGHLIN
JAKUB DABROWSKI

Research Infrastructures Infoday
13 November 2023

HORIZON-INFRA-2024-TECH-01-01:

R&D for the next generation of scientific instrumentation, tools, methods, solutions for RI upgrade



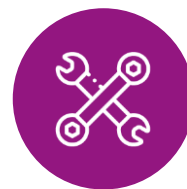
TYPE OF ACTION

- Research and Innovation Action (RIA)



INDICATIVE BUDGET

- EUR 63,50 million
- Expected EU contribution per project: EUR 5-10 million
- Indicative number of projects funded: 8



OTHER CONDITIONS

- Consortia must include at least 3 different RIs being ESFRI RIs, ERICs, or other RI being intergovernmental organisation of European interest.



TIMING

- Call opening: 6 December 2023
- Deadline: 12 March 2024

R&D for the next generation of scientific instrumentation, tools, methods, solutions for RI upgrade

Expected Outcomes:

- Enhanced scientific competitiveness of European research infrastructures;
- Enhanced RI capacities to address research challenges & EU policy priorities;
- Foundations for the development of innovative companies;
- Increased collaboration of research infrastructures with universities, research organisations and industry;
- Increase technological level of industry through the co-development of advanced technologies for research infrastructures and creation of potential new markets;
- Integration of research infrastructures into local, regional & global innovation systems; promotion of entrepreneurial culture.

R&D for the next generation of scientific instrumentation, tools, methods, solutions for RI upgrade

Scope:

- Deliver innovative scientific instrumentation, tools, methods & solutions to advance state-of-art of RIs in the EU and AC & show transformative potential in RIs operation. Underpin the provision of improved & advanced services & lead research infrastructures to support new areas of research and/or a wider community of users, including industrial users.
- Cutting-edge technologies will enhance the potential of RIs to help address EU policy objectives and socio-economic challenges.
- Proposals should **ensure complementarity** with actions funded under the previous 2022 call (topic **HORIZON-INFRA-2022-TECH-01-01** in the 2021-2022 work programme), **targeting different instrumentation, tools, methods and solutions**.
- Consortia to be built around a leading core of at least 3 world-class research infrastructures (see above), and can include a wider set of RIs. Other technological partners, including industry and SMEs, should also be involved, to promote innovation & knowledge sharing through co-development of new technical solutions for research infrastructures.
- Proposals may include PCP subcontracting activities as described in part H of the General Annexes of the work programme.

R&D for the next generation of scientific instrumentation, tools, methods, solutions for RI upgrade

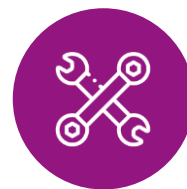
Scope (cont.):

Proposals should address the following aspects, as relevant:

- Research & development of new scientific instrumentation, tools & methods for research infrastructures taking into account resource efficiency (e.g. energy consumption) & environmental (including climate-related) impacts. Could include the development of new, more sustainable & efficient methods of collecting data and/or of providing access, including remote & digital, as well as digitalisation of instrumentation, services and results;
- Their technology validation and prototyping;
- Training of RI staff for operation & use of these new solutions. When relevant, developing skills on technical validation to industrial standards;
- The innovative potential for industrial exploitation of the solutions and/or for the benefits of society, including facilitating proof of concept for use by SMEs.

HORIZON-INFRA-2024-TECH-01-02:

Development of tools, solutions, modules to enable R&I on the social aspects of the green transition



TYPE OF ACTION

- Research and Innovation Action (RIA)

INDICATIVE BUDGET

- EUR 5 million
- Expected EU contribution per project: EUR 5 million

OTHER CONDITIONS

- Indicative number of projects expected to be funded: 1
- Eligible costs will take the form of a lump sum

TIMING

- Call opening: 6 December 2023
- Deadline: 12 March 2024

Development of tools, solutions, modules to enable R&I on the social aspects of the green transition

Expected Outcomes:

- Enhanced RI capacities to address research challenges and EU policy priorities, in particular the green transition;
- New RI services and data related to the social aspects of the green transition;
- Increased support of RI services for the EU Missions and Partnerships linked to the green transition;
- Harmonised data sets that are accessible and complemented by tools that facilitate the collection, analysis, and visualization of the data;
- Strengthened collaborations between research infrastructures and broader stakeholders, including civil society, in addressing sustainability challenges at multiple scales.

Development of tools, solutions, modules to enable R&I on the social aspects of the green transition

Scope:

- Deliver innovative tools, solutions and modules to enable research infrastructures to support studies & assessment on the social aspects of the green transition.
- May include: energy & transport poverty, green jobs & skills, gender & equality aspects of the green transition, or other aspects of the fair transition towards climate neutrality.
- Proposals should link new modules on the green transition to the data collection of European surveys, integrating and harmonising what already exists at national & EU level.

Development of tools, solutions, modules to enable R&I on the social aspects of the green transition

Scope (cont.):

- Their validation, prototyping and deployment
- The development of a sustainability plan for the new modules.
- The innovative potential for their exploitation for the benefits of the society.
- At least 2 world-class research ESFRI /ERIC, or other world-class research infrastructures that are intergovernmental organisations of European interest (can include a wider set of RIs and other technological partners).

HORIZON-INFRA-2024-TECH-01-03:

New digital twins for Destination Earth



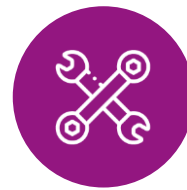
TYPE OF ACTION

- Research and Innovation Action (RIA)



INDICATIVE BUDGET

- EUR 45 million
- Expected EU contribution per project: EUR 15 million



OTHER CONDITIONS

- Royalty free access to IPRs which are needed for further developing, implementing and monitoring the Destination Earth Initiative



TIMING

- Call opening: 6 December 2023
- Deadline: 12 March 2024

New digital twins for Destination Earth

Context:

Destination Earth, for which the operational capacity building is funded from the Digital Europe Programme, aims to develop a high precision digital model of the Earth to model, monitor and simulate natural phenomena and related human activities. As part of the build-up of Destination Earth, continuous preparatory scientific and technical developments need to be carried out to ensure integration of new digital twins, covering new areas, into the Destination Earth digital twin framework.

Expected Outcomes:

- Emergence of new science-based digital twin infrastructures to be gradually integrated in Destination Earth;
- Establishment of new digital standards for software (including simulation and simulation-observation data fusion) and data for Destination Earth;
- Standards - and science-based approach for modelling, predicting and assessing the Earth systems and their socio-economic impact.

New digital twins for Destination Earth

Scope:

- Development of additional and/or improved, advanced, very high-resolution, complex Earth-system model components representing, for example, atmosphere, ocean, land surface, hydrology, cryosphere and biosphere in the Earth-system simulation framework of Destination Earth;
- Collecting advanced Earth observation data from satellites, established airborne and ground-based observatories as well as novel technologies (for example drones, buoys, IoT sensors) linked for use in the data fusion framework of Destination Earth for simulation and observation;
- Ensure appropriate representation of uncertainty to produce reliable estimates of both monitored and predicted states of the new components;
- Development of scientific components of impact models associated with the new topical components for the management of user specific applications in areas such as renewable energy, food, water and health;
- Development of software and data handling infrastructures that use and enhance the extreme-scale computing and data handling infrastructure of the Digital Twin Engine of Destination Earth; support and enhance both the workflow management established by the existing Digital Twin Engine and its operation through the DestinE Core Service Platform and the data handling established by the existing Digital Twin Engine and its operation through the DestinE Data Lake.

HORIZON-INFRA-2024-TECH-01-04:

AR/VR-empowered digital twins for modelling complex phenomena in new RI application areas



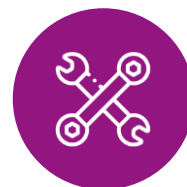
TYPE OF ACTION

- Research and Innovation Action (RIA)



INDICATIVE BUDGET

- EUR 24 million
- Expected EU contribution per project: around EUR 12 million



OTHER CONDITIONS

- Royalty free access to IPRs which are needed for further developing, implementing and monitoring the Destination Earth Initiative



TIMING

- Call opening: 6 December 2023
- Deadline: 12 March 2024

AR/VR-empowered digital twins for modelling complex phenomena in new RI application areas

Context:

The aim of this topic is to deliver digital twin solutions which advance the state-of-art of European RIs and show transformative potential in RI operations. The solutions should pave way for new ways to conduct experiments by the RIs through AR/VR (augmented reality/virtual reality) empowered digital twins. Mixed reality (XR) technologies can also be considered. The focus is on newer application areas, such as healthcare, safety and security, to understand complex real-world systems, particularly in application areas constrained by specific physical limitations.

Expected Outcomes:

- Availability of advanced modelling and prediction capabilities aimed at industrial, scientific or policy end users on fundamental, complex and socio-economically relevant real-life phenomena, including consideration of the possibility to replace, where appropriate, the need for physical experiments and interventions by using digital twins.
- Enhanced competitiveness and improved effectiveness of European RIs;
- Better integration of RIs into local, regional and global innovation and decision support systems.

AR/VR-empowered digital twins for modelling complex phenomena in new RI application areas

Scope:

- Development of digital twin solutions for RIs that take advantage of AR/VR technologies for interactive visualisation and bring together the available relevant data resources in the specific topical area;
- Include technology validation and prototyping activities to cope with a large and representative application area to test the relevance of the solutions with the needs of relevant industrial, scientific or policy end users;
- Prepare for take-up of the developed solutions by clearly identified and involved industrial, scientific or policy end users, and include relevant training for the operation and use of these new solutions.



QUESTIONS AND ANSWERS



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2021 – 2027






RESEARCH INFRASTRUCTURES

CRISTIANA GROSARU

Research Infrastructures Info Day
13 November 2023

Submission, Evaluation and cross cutting issues

Key elements

-  The 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

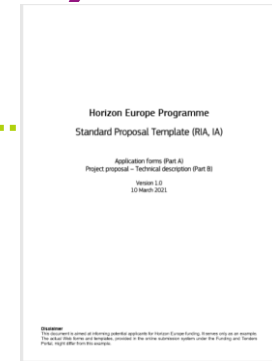


Application form (proposal template)

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.



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?

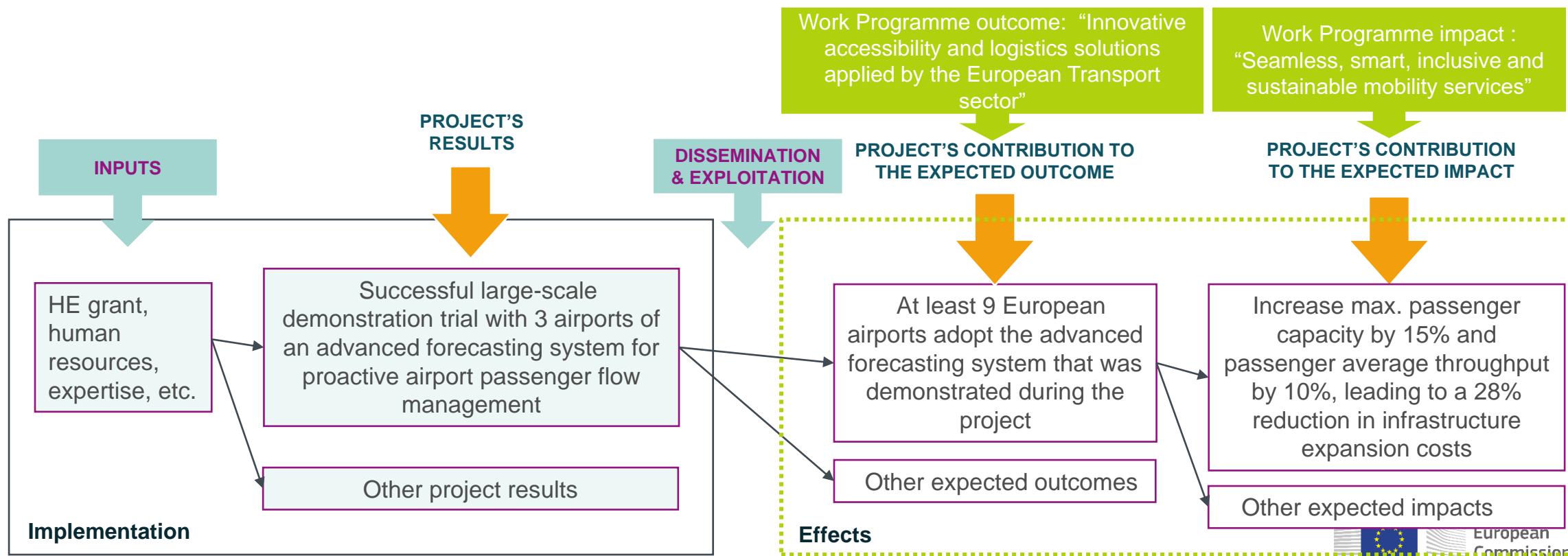
- Why do we observe differences between women and men in infection levels and mortality rates in the COVID-19 pandemic?
- Does it make sense to study cardiovascular diseases only on male animals and on men, or osteoporosis only on women?
- Does it make sense to design car safety equipment only on the 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.





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.



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, fallback 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.



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.



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.

Management of the Research Infrastructures calls



INFRA Evaluation planning 2024

- Submission of proposals **6 December 2023** until **12 March 2024**
- Evaluation of proposals from **13 March** until **14 June 2024**
- Results to be announced to PC and applicants – **July 2024**
- Grants to be signed (TTG) – **12 November 2024**

 Call deadline / GAP opening

 Live briefing (morning)

 Eligibility, COI and Allocation

 Remote phase (IERs)

 Remote phase (Draft CRs)

 Central phase (CMs)

 Central phase (Review CRs)

 Central phase (Review ESR, Crossreadings & Panels)

 Ethics screening

 EC bank holidays

March '24						
M	T	W	T	F	S	S
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

April '24						
M	T	W	T	F	S	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30					

May '24						
M	T	W	T	F	S	S
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

June '24						
M	T	W	T	F	S	S
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30



INFRA – Admissibility specificities

INFRA Proposals (Part B) page limit

- Standard RIAs : limit is **45 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!



INFRA – Eligibility specificities

Additional Eligibility criteria for specific topics of INFRA Calls apply:

- **HORIZON-INFRA-2024-DEV-01** (topic 03) and **HORIZON-INFRA-2024-TECH-01** (topics 01, 02): Require the participation as beneficiaries of a specific number of ESFRI and/or ERIC headquarter;
- **HORIZON-INFRA-2024-DEV-01** (topic 02): In order to achieve the expected objectives of the action, the consortium must include, as beneficiaries or associated partners, at least two legal entities established in two different African Union member states;
- **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.



INFRA – Financial specificities

- **HORIZON-INFRA-2024-DEV-01** (topic 03): The **funding rate is 80%** of the eligible costs in order to prove the endorsement by the RI funders, which should provide the remaining share, of the developments covered by the Grant Agreements and foster their sustainability
- **HORIZON-INFRA-2024-EOSC-01** (topic 02, 03): Beneficiaries may provide financial support to third parties - cascade funding.



INFRA – Novelty – taxonomy for INFRA calls

- The applicant has to select **min 3 - max 5 descriptors**;
- It is mandatory to select descriptors to proceed further with the proposal submission;
- **1 Descriptor comprised of:**
 - **Discipline:** Research Infrastructures
 - **Subdiscipline (to choose from the 7 thematic areas)**
 - **Keywords/subareas**
- Please select the descriptors that fits more closely the activities of the proposal;
- The descriptors can be across different subdisciplines (multi-disciplinary projects).



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THE EU RESEARCH & INNOVATION PROGRAMME

2021 – 2027

RESEARCH INFRASTRUCTURES

ANDREIA CHICOS

Research Infrastructures Info Day

13 November 2023

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

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

Writing a lump sum proposal

- To write a lump sum proposal, you:
 - 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, you need to provide a **detailed budget table** with cost estimations.
- The detailed budget table is an **Excel file**. You must download it from the online submission system, fill it and submit it as an annex to the Part B application form.

Writing a lump sum proposal – detailed budget

- In the detailed budget table, you 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 your 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.

Splitting work packages - example

Single long-duration work package

WP no	WP name	YEAR 1												YEAR 2												YEAR 3												YEAR 4											
		Reporting Period (RP) 1																		Reporting Period (RP) 2																		Reporting Period (RP) 3											
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48
WP1	Management																																																

Split work packages, same content



WP no	WP name	YEAR 1												YEAR 2												YEAR 3												YEAR 4																							
		Reporting Period (RP) 1																		Reporting Period (RP) 2																		Reporting Period (RP) 3																							
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48												
WP1	Management (RP1)																																																												
WP2	Management (RP2)																																																												
WP3	Management (RP3)																																																												

- * Splitting WPs along the boundaries of reporting periods allows activities to be reimbursed at intermediate payments.
- * It is possible that the resulting work packages contain the same tasks (e.g. project management). In this case, there is **no need to repeat** the same description for each split work package in the proposal (part B, table 3.1b).

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 & Tenders 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

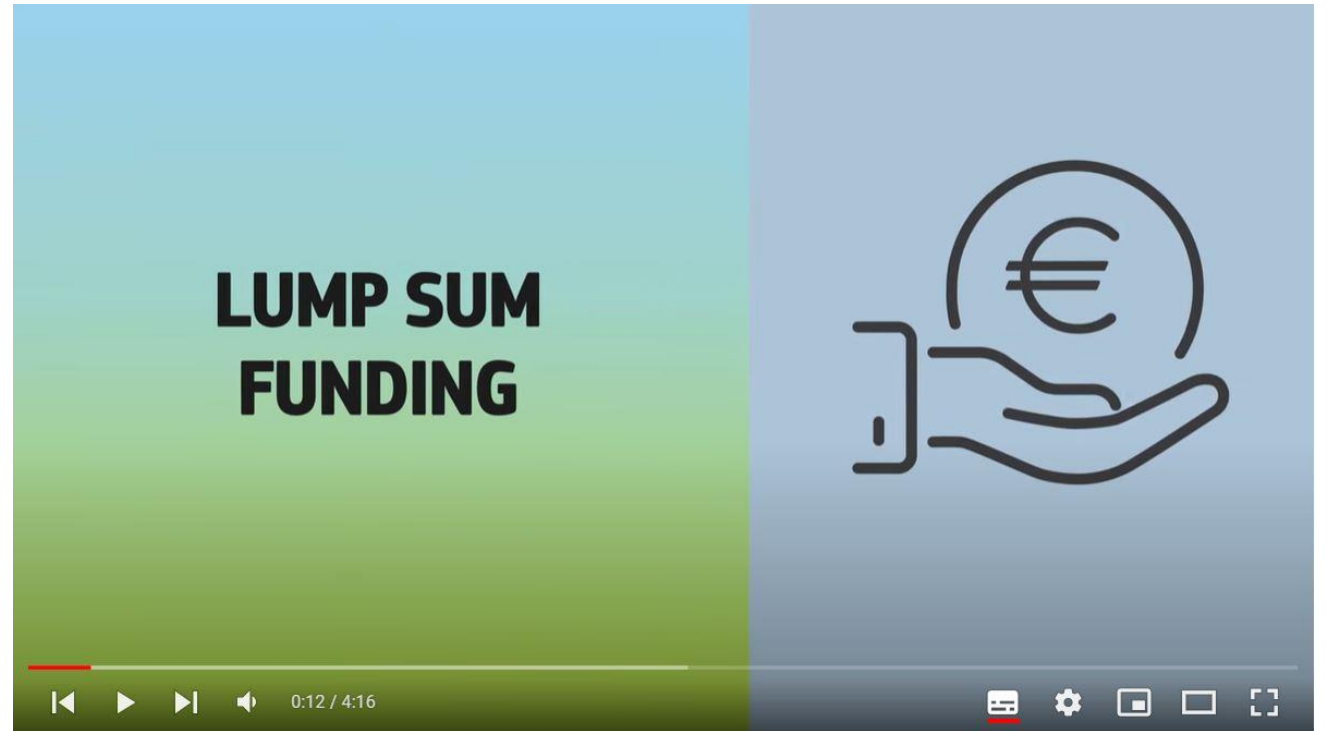


Video tutorial for experts and applicants

NEW!

3 lump sum videos targeted to experts but also useful for applicants:

- Overview of lump sum funding (published)
- Detailed budget table (published)
- Personnel costs dashboard (coming soon)



You can watch the tutorial via [EU Science & Innovation YouTube channel](#)

Next steps

Improvements

- Higher page limit for lump sum proposals (from work programme 2023)
- Improved Excel tool for lump sum budget table
- Videos with instructions for experts evaluating lump sum proposals

General

- Continuous monitoring of lump sum grants, adjustments if necessary
 - A follow-up study to the 2021 assessment is in preparation
- Stepwise phasing in:
 - 2% lump sums in 2021-2022
 - > 10% lump sums in 2023
 - > 20% lump sums in 2024
 - possible further increase from 2025



QUESTIONS AND ANSWERS



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Thank you for participation!

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