



Horizonte Europa Cómo redactar una propuesta

El apartado de Excelencia



Advertencia

 Esta presentación no sustituye la información proporcionada en los documentos y guías oficiales





Documentos a tener en cuenta

Workprogramme

Proposal Template Proposal Evaluation Form







¡Usar la última versión - se van actualizando!

Funding and Tenders Portal – Reference Documents

https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/how-to-participate/reference-documents







Criterio de evaluación 1. Excellencia

Clarity and pertinence of the project's objectives, and the extent to which the proposed work is ambitious, and goes beyond the state of the art

Soundness of the proposed methodology, including the underlying concepts, models, assumptions, inter-disciplinary approaches, appropriate consideration of the gender dimension in research and innovation content, and the quality of open science practices, including sharing and management of research outputs and engagement of citizens, civil society and end users as appropriate







1.1 Objectives and ambition

- 1.1.1 Objectives
- 1.1.2 Progress beyond the state of the art
- 1.1.3 Position in terms of R&I maturity (TRL)

1.2 Methodology

- 1.2.1 Overall methodology
- 1.2.2 Research and innovation activities that will feed into the project
- 1.2.3 Interdisciplinary approaches
- 1.2.4 Integration of Social Sciences and Humanities (for topics where this is indicated in the Workprogramme)
- 1.2.5 Gender dimension in the research and innovation content (mandatory except if otherwise indicated in the WorkProgramme)
- 1.2.6 Open Science practices
- 1.2.7 Research data management and management of research outputs
- 1.2.8 Engagement of citizens, civil society and end users (aparece en los criterios de evaluación y es una de las "Open Science practices")
- 1.2.9 Artificial Intelligence

(if the project involves the use and/or development of Al-based systems and/or techniques)







1.1 Objectives and ambition

1.1.1 Objectives

- Claros y pertinentes para el topic
- Medibles y verificables
- Realistas y alcanzables



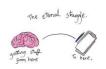
Table 1.1.1.a "Project objectives"

Objectives				
1.				
2.				

1.1.3 Position in terms of R&I maturity (TRL)

Table 1.1.3.a "TRL of the project developments"

Project development	Start TRL	Target TRL



1.1.2 Progress beyond the state of the art

Indicate any:

- · Ground-breaking R&I
- · Novel concepts and approaches
- New products and services
- · New business and organisational models
- Refer to any patent or publication search carried out

Table 1.1.2.a "Summary of advances in the project"

Technological	Current	Progress thanks
development	State-of-the Art	to the project







1.2 Methodology

1.2.1 Overall methodology

- Including concepts, models and assumptions that underpin your work
- Explain how this methodology will enable you to deliver your project's objectives
- · Refer to challenges identified in the methodology and how you intend to overcome them
- "Do no significant harm principle" (where relevant)

1.2.2 Research and innovation activities that will feed into the project

Table 1.2.2 a "Projects related to xxx"

Project	Partners involved	European, national or local/regional level	Relation to the project
XXX Year of finalisation: Web:		Horizon 2020	Si los resultados de este proyecto will feed into the new project and how that link will be established
YYY		National	









Do no significant harm principle (DNSH)

European Green Deal In line with the European Green Deal objectives, the research and innovation activities should not make a significant harm to any of the six environmental objectives (EU Taxonomy Regulation)

Evaluation process: The DNSH principle is addressed in part B: section 1 – Excellence (Methodology) and section 2 – Impact (Project outcomes and Impacts). **However, compliance is not mandatory unless explicitly stated in the WP. Now only in the EIC WP 2021**

Practical implications: The application of the DNSH principle is <u>voluntary at project level</u>. The inclusion of the DNSH consideration in the project description will have <u>no impact on the scoring of the proposal</u>

The six environmental objectives to which no significant harm should be done:



Climate change mitigation



Sustainable use & protection of water & marine resources



Pollution prevention & control



Climate change adaptation



Transition to a circular economy



Protection and restoration of biodiversity & ecosystems







1.2 Methodology

1.2.3 Interdisciplinary approaches

Explain:

- How expertise and methods from different disciplines will be brought together and integrated in pursuit of your objectives
- If you consider that an interdisciplinary approach is unnecessary => provide a justification



1.2.4 Integration of Social Sciences and Humanities (SSH)

(for topics where this is indicated in the Workprogramme)

- Show the role of these disciplines in the project or
- Provide a justification if you consider that these disciplines are not relevant to your project
- Economics and political science => relevant for socio-economic evaluation of climate-change impact
- Psychology, cultural considerations, ethics => possible components of the research











1.2 Methodology

1.2.5 Gender dimension in the research and innovation content

(mandatory except if otherwise indicated in the WorkProgramme)

- Describe how the gender dimension (i.e. sex and/or gender analysis) is taken into
 account in the research and innovation content => how the findings of the project
 affect women and men differently
- Sex => refers to biological characteristics
- Gender => refers to social/cultural factors
- If you do not consider such gender dimension to be relevant in your project => provide a justification
- This question does not relate to gender balance in the teams in charge of carrying out the project











Eligibility: Gender Equality Plan



Evaluation Criteria: Integration of the gender dimension



Ranking Criteria: Gender balance







HORIZON EUROPE ELIGIBILITY CRITERION

Gender Equality Plans





Eligibility Criterion

Gender Equality Plan (applicable from 2022 onwards)

Participants that are **public bodies**, **research organisations** or **higher education institutions*** established in a Member State or Associated Country **must have a gender equality plan** in place, fulfilling **mandatory process-related requirements**

- A self-declaration will be requested at proposal stage (for all categories of participants)
- Included in the entity validation process (based on self-declaration)
- * Private-for-profit entities (incl. SMEs), NGOs, Civil Society Organisations, as well any type of organisations from non-associated third countries, are **exempted for the criterion**
 - See legal categories definitions in the Funding & Tenders Portal <u>here</u>







Mandatory GEP process requirements



Public document

- Formal document
- Signed by top management
- Published on the institution's website
- Disseminated through institution



Dedicated resources

- Funding for gender equality positions or teams
- Reserved time for others to work on gender equality



Data collection and monitoring

- Data on sex or gender of staff across roles and leadership
- Annual reports and evaluation of progress and outcomes



Training and capacity building

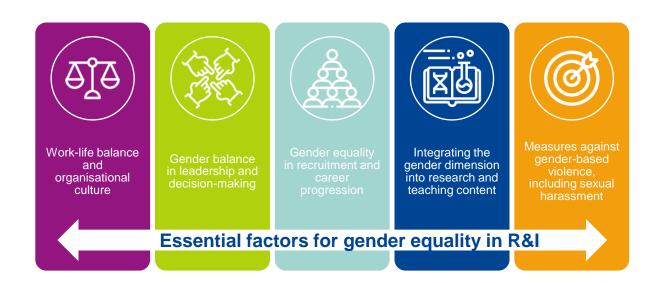
- Whole organisation engagement
- Tackle gender biases of people and decisions
- Joint action on specific topics







Recommended GEP content areas









The eligibility criterion steps

Self-declaration by Horizon Europe applicants through GEP eligibility criterion questionnaire*

Equivalent strategic documents may meet the GEP eligibility criterion Random eligibility compliance checks on beneficiaries during Horizon Europe











The GEP must be in place for the signature of the Grant Agreement (for calls with deadlines from 2022 onwards) Grant Agreement
commits beneficiaries
to taking measures to
promote gender
equality in
implementation of
action and, where
applicable, in line with
their GEP

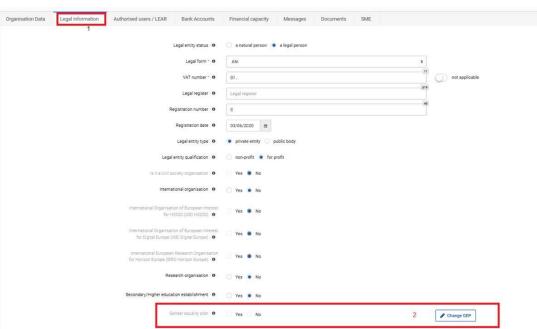






GEP online questionnaire – cómo cambiar un "No" por un "Yes"

• The GEP online questionnaire is available in the Participant Register in the Funding & Tenders portal



Filled by the Legal Entity Appointed Representative (LEAR)







Supporting GEP practice

Extensive knowledge and support on GEPs already available

- <u>The GEAR tool</u> ('Gender Equality in Academia and Research'): a step-by-step online guidance co-developed by DG RTD and the European Institute for Gender Equality:
 - Action toolbox: key themes to consider in a GEP
 - Concrete examples of good practices, building on GEP projects funded under FP7 and Horizon 2020
 - Who is involved in GEPs.
 - Legislative and policy backgrounds in each Member State
- Horizon Europe Guidance on GEPs











HORIZON EUROPE EVALUATION CRITERIA

Integration of the gender dimension in R&I content





Evaluation Criteria: Integration of the gender dimension

Excellence criterion for RIAs/IAs

Clarity and pertinence of the project's objectives, and the extent to which the proposed work is ambitious, and goes beyond the state of the art

Soundness of the proposed methodology, including the underlying concepts, models, assumptions, inter-disciplinary approaches, appropriate consideration of the gender dimension in research and innovation content, and the quality of open science practices, including sharing and management of research outputs and engagement of citizens, civil society and end users as appropriate









Integration of the gender dimension in R&I content

Gender Dimension

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

Why is the gender dimension important?

- Does it make sense to design car safety equipment only on the basis of male body standards?
- Is it ethical to develop Artificial Intelligence products that spread gender and racial biases due to a lack of diversity in the data used in training Artificial Intelligence applications?
- Is it normal that household travel surveys, and thus mobility analysis and transport planning, underrate trips performed as part of caring work, which are predominantly undertaken by women?
- 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?
- Sales figures of an energy-efficient smart heating solution (thermostat) increased after incorporating a design agency to
 investigate the values, motivation and needs of women in relation to technology and product development. Women valued air
 quality control and the aesthetics of the thermostat design







Report "Gendered Innovations"

- ➤ 15 new case studies in health, AI & robotics, climate change, energy, transport, urban planning, waste management, agriculture, taxation, venture funding, building on Horizon 2020 funded projects
- Refined methodologies on the integration of sex/gender based analysis in R&I content

→ Full Policy Review Report and Factsheet released on 25 November 2020







Información adicional. Manuales y guías

- <u>Guía práctica</u> para la inclusion de la perspectiva de género en los contenidos de la Investigación (Fundación CIREM)
- Manual "<u>El Género en la Investigación</u>" (Yellow Window Management Consultants. Traducido por el MCIN)



<u>Universidad de Standford</u> (web)







HORIZON EUROPE PROPOSAL RANKING CRITERIA

Gender balance in research teams







Ranking Criteria for ex aequo proposals (General Annexes)

By order of priority

- 1. Aspects of the call that have not otherwise been covered by more highly ranked proposals
- 2. Scores on 'Excellence' then on 'Impact' (for IAs, scores on 'Impact' then 'Excellence')
- 3. Gender balance among personnel named in the proposal who will be primarily responsible for carrying out the research and/or innovation activities, and who are included in the researchers table in the proposal
- 4. Geographical diversity, defined as the number of Member States or Associated Countries represented in the proposal, not otherwise receiving funds from projects higher up in the ranking list (and if equal in number, then by budget)
- 5. The panel may decide other factors. For example, enhanced quality of the project portfolio, involving SMEs





HORIZON EUROPE GENDER

Useful Resources





Gender equality in R&I – web page

Gender equality in research and innovation

Achieving gender equality in research, how it relates to the European Research Area, networks and news.

PAGE CONTENTS

The Commission's gender equality strategy

Gender equality in the European Research Area (ERA)

Gender equality and coronavirus

She Figures monitoring report

Networks

Publications Latest

Related links

The Commission's gender equality strategy

The European Commission is committed to promoting gender equality in research and innovation.

It is part of the European Commission <u>Gender Equality Strategy</u> for 2020-2025, which sets out the Commission's broader commitment to equality across all EU policies.

In addition, the EU has a well-established regulatory framework on gender equality, including binding directives, which apply widely across the labour market including the research sector.



For questions specific to the GEP eligibility criterion, please contact:

RTD-HORIZON-EU-GENDER-EQUALITY-PLAN@ec.europa.eu

For other questions and further information on gender equality provisions, please contact:

RTD-GENDERINRESEARCH@ec.europa.eu

https://ec.europa.eu/info/research-and-innovation/strategy/gender-equality-research-and-innovation en







1.2 Methodology

1.2.6 Open Science practices

- Describe how appropriate open science practices are implemented as an integral part of the methodology
- Show how the choice of practices and their implementation are adapted to the nature of your work, in a way that will increase the chances of the project delivering its objectives
- If you believe none of these open science practices apply to your project => you have to provide a justification









Open Science versus Open Access

Open Access (Horizon 2020)

Open Access is online access at not cost for the end user of research outputs such as scientific publications, data or other outcomes and processes (e.g. software, models, algorithms, protocols and electronic notebooks)

Open Science (Horizon Europe)

Open Science is an approach to the scientific process based on an open cooperative work and systematic sharing of knowledge and tools as early and widely as possible in the process, including active engagement of society





Open Science practices*

- **1. early and open sharing** of research (for example through preregistration, registered reports, pre-prints, or crowd-sourcing)
- 2. research output management including research data management
- 3. measures to ensure reproducibility of research outputs
- 4. providing **open access** to research outputs (e.g. publications, data, software, models, algorithms, and workflows) through deposition in trusted repositories
- 5. participation in open peer-review
- **6. involving all relevant knowledge actors** including citizens, civil society and end users in the co-creation of R&I agendas and contents (such as citizen science)
- * Listed in the proposal template
- ** Mandatory and non-mandatory practices. Mandatory in Model Grant Agreement and WorkProgramme









Mandatory Open Science practices

(art. 17 Model Grant Agreement)

- 1. Open access to scientific publications
- 2. Research Data Management
- 3. Information about the research outputs/tools/instruments needed to validate the conclusions of scientific publications or to validate/re-use research data
- 4. Digital or physical access to the results needed to validate the conclusions of scientific publications, unless exceptions apply















Open Access to scientific publications (1/3)

H2020 **Horizon Europe** Open access to Immediate open publications access to publications 6 months embargo (12 for • Under CC BY SSH) licence or equivalent Publication fees Only publication are eligible costs fees in full open access venues are eligible costs







Open Access to scientific publications (2/3)

Beneficiaries must <u>ensure</u> **OA to peer-reviewed scientific publications** relating to their results. In particular, **they must ensure**:

- at the latest upon publication, deposition of the AAM* or VoR* in a <u>trusted repository</u> + immediate open access via the repository under CC BY or equivalent (CC BY-NC/CC BY-ND* are allowed for long-text formats)
- information via the repository about any research output/tools/instruments needed to validate the conclusions of the scientific publication

<u>Trusted repository</u>: new term for HE; explained in the Annotated Grant Agreement; seek assistance from your library to assess whether a repository is trusted



^{*} CC BY-ND: Creative Commons BY Non Derivative







^{*} AAM: Author Accepted Manuscrit

^{*} VoR: Version of Record

^{*} CC BY-NC: Creative Commons BY Non Commercial

Open Access to scientific publications (3/3)

- ✓ Beneficiaries (or authors) must retain sufficient intellectual property rights to comply with the OA requirements
- Publication in venue of choosing but publication fees are reimbursable only if publishing venue is full open access (publication fees in hybrids not reimbursed)









Plataforma "Open Research Europe"

- An open access publishing venue for EU-funded research
- Launched in March 2021 for Horizon 2020 and Horizon Europe beneficiaries
- High scientific standards (e.g. editorial policies+guidelines), expert Scientific
 Advisory Board across all fields of science
- Swift publication times and transparent processes (e.g. open peer-review)
 No cost to authors/beneficiaries (publication fees paid by the Commission)
- Optional: no obligation to publish there: but if you do, you comply with Horizon Europe policy



https://open-research-europe.ec.europa.eu/







Open Science - evaluation

"Excellence" criterion (Methodology)

- Up to 1 page to describe OS practices
- up to 1 page to describe research data/output management
- Evaluation of the quality of OS practices

"Quality of implementation" criterion (Capacity of participants and consortium as a whole)

• Explain expertise on OS, relevant to what is planned for the project

(list of achievements in part A)

- List publications, software, datasets, etc, relevant to the project with qualitative assessment and, where available, persistent identifiers
- Publications expected to be open access; datasets expected to be FAIR and 'as open as possible, as closed as necessary'.
- Significance of publications to be evaluated on the basis of qualitative assessment by the proposers and not per Journal Impact Factor of the venue they are published in

A clear explanation of how you will adopt recommended practices, as appropriate, will result in a higher evaluation score





1 – Excellence

1.2 Methodology

1.2.7 Research data management and management of research outputs

Applicants generating/collecting data and/or other research outputs during the project => must provide maximum 1 page on how the data/research outputs will be managed in line with the FAIR principles (Findable, Accessible, Interoperable, Reusable). Address the following:

- Types of data/research outputs (e.g. experimental, observational, images, text, numerical) and their estimated size; if aplicable, combination with and provenance of existing data
- **Findability of data/research outputs**: types of persistent and unique identifiers (e.g. digital object identifiers) and trusted repositories that will be used
- Accessibility of data/research outputs: IPR considerations and timeline for open access (if open access not provided, explain why); provisions for access to restricted data for verification purposes
- Interoperability of data/research outputs: standards, formats and vocabularies for data and metadata
- Reusability of data/research outputs: licenses for data sharing and re-use (e.g. Creative Commons, Open Data Commons); availability of tools/software/models for data generation and validation/Interpretation/re-use
- · Curation and storage/preservation costs: person/team responsable for data management and quality assurance









Research data management

Beneficiaries must manage the digital research data generated in the project in line with the FAIR principles and:

- establish and regularly update a Data Management Plan (DMP) for generated (and/or collected)
 data by month 6 of the project
- as soon as possible and within the deadlines set out in the DMP, deposit the data in a <u>trusted</u> <u>repository</u> (federated in the "European Open Science Cloud" if required in the call conditions) + ensure Open Access under CC BY, CC 0 or equivalent, following the principle "as open as possible as closed as necessary"
- provide information via the repository about any research output/tools/instruments needed to re-use or validate the data

Metadata must be open under CC 0 or equivalent (<u>to the extent</u> legitimate interests or constraints are safeguarded), **in line with the FAIR principles** and provide information about the licensing terms and persistent identifiers, amongst others.









Data Management Plan (DMP)

¿Qué es un Plan de Gestión de Datos?

- Cómo se van a gestionar los datos de investigación recopilados o generados
- Cómo se producen, recopilan, procesan, comparten y archivan los datos
- También aborda aspectos presupuestarios, éticos, legales y de seguridad
- Deliverable a los 6 meses, revised towards the end of the project's lifetime

Plantilla y herramientas:

- Template => Project Reporting Templates in the Reference Documents of the Funding Portal https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/how-to-participate/reference-documents;programCode=HORIZON
- Herramienta DPMonline, desarrollada por el Digital Curation Centre (DCC) dpmonline.dcc.ac.uk
- Herramienta PGDonline, desarrollada por el consorcio Madroño (y basada en DPMonline) https://pgd.consorciomadrono.es/









Repositorios de datos y Punto de contacto para Open Science

- Repositorio más habitual en la disciplina
- re3data.org => re3data.org registro internacional de repositorios de datos de investigación
- => <u>www.zenodo.org</u> repositorio de datos multidisciplinar
- # si en las condiciones de la convocatoria se requiere que el repositorio esté

 "federado en la EOSC" buscar en https://marketplace.eosc-portal.eu/



OpenAIRE => https://www.openaire.eu/

Te ayuda a dar acceso abierto a los datos y a las publicaciones

"Open Access Desk" en España => Pilar Rico, Jefa de la Unidad de Acceso Abierto, Repositorios y Revistas. FECYT https://www.openaire.eu/contact-noads







1 – Excellence

1.2 Methodology

1.2.8 Engagement of citizens, civil society and end users (if appropriate)

(Aparece en los criterios de evaluación y es una de las "Open Science practices")

Types of engagement activities:

- Co-design activities, such as workshops, focus groups or other means to develop R&I agendas, roadmaps and policies
- Co-creation activities, involving citizens and/or end-users directly in the development of new knowledge or innovation, for instance through citizen science or use-led innovation
- Co-assessment activities, such as assisting in the monitoring, evaluation and feedback to governance of a project



Engagement will require resources and expertise and is often conducted by dedicated interlocutor organisations or staff with relevant expertise







1 – Excellence

1.2 Methodology

1.2.9 Artificial Intelligence

Evaluators must answer a question on whether the project involves the use and/or development of Al-based systems and/or techniques



- ✓ If the answer is "Yes" => The technical robustness of the AI based systems must be evaluated under the "Excellence" criterion
- ✓ **Technical robustness refers to** technical aspects of AI systems, including resilience to attack and security, fullback plan and general safety, accuracy, reliability and reproducibility

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

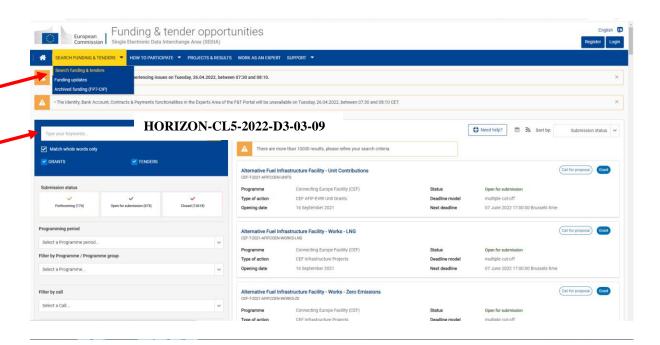
- **Technically robust, accurate and reproducible**, and able to deal with and inform about possible failures, inaccuracies and errors, proportionate to the assessed risk posed by the Al-based system or technique
- Socially robust, in that they duly consider the context and environment in which they 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







Revisar el topic en el Funding Portal

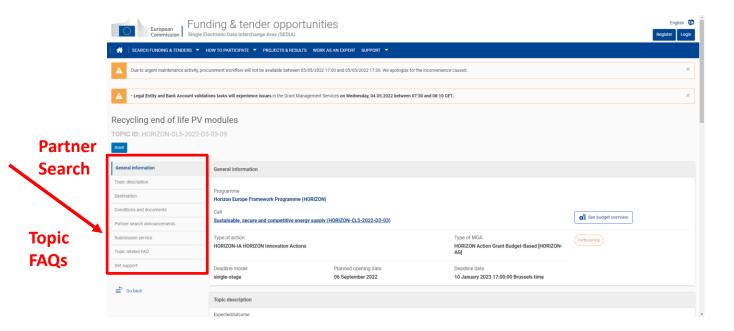








Revisar el topic en el Funding Portal

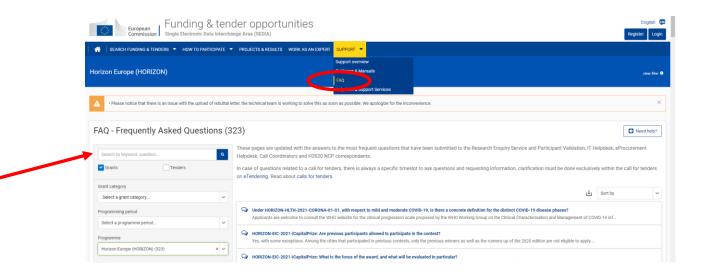








Otra forma de acceder a las FAQs









Revisar audio Infoday Comisión (3 febrero 2022)



- Buscar en la agenda en qué sesión se presentó tu topic
- Ir a la presentación de esa sesión
- Ir al audio de esa sesión

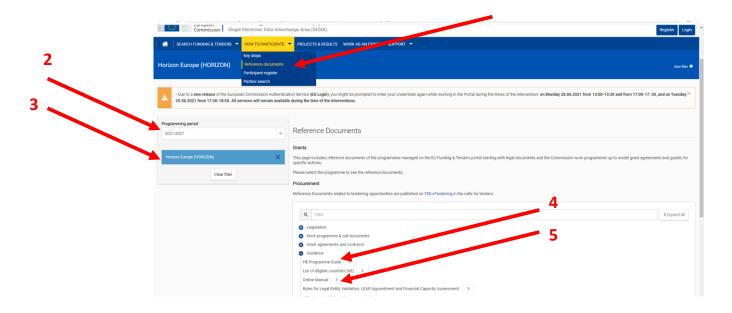
https://ec.europa.eu/info/research-and-innovation/events/upcoming-events/horizon-europe-info-days/







Programme Guide, Online Manual y "IT How to"



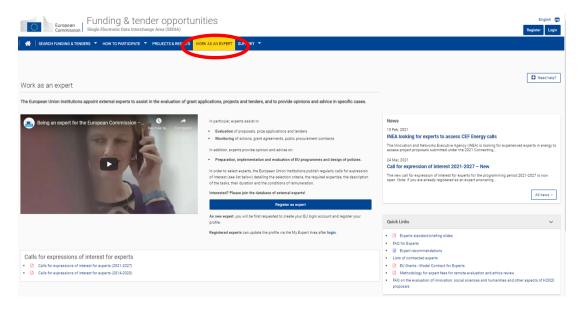
Reference Documents







Apúntate como Evaluador



Se buscan diferentes perfiles: Científico-técnicos, business, emprendedores, entidades públicas, asociaciones, NGOs...

https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/work-as-an-expert









Información de interés

Webinars European Commission

- How to prepare a successful proposal in Horizon Europe (24 March 2021)
- A successful proposal for Horizon Europe (21 April 2021)
- The Funding & tenders Portal for beginners (27 May 2021)
- <u>Dissemination, Communication and Exploitation</u> (9 June 2021)
- Tips and Tricks while writing your Horizon Europe proposal (23 June 2021)
- New features Funding & Tenders Portal (28 September 2021)
- Avoiding errors in declaring personnel costs in Horizon 2020 grants (30 September 2021)
- Horizon Results Booster (5 October 2021)
- Submission and evaluation, Grant Agreement Preparation, Legal and Financial Aspects (10 December 2021)
- Preparing and submitting a successful proposal (18 January 2022)
- Grant Agreement Preparation, Legal and Financial Aspects (26 January 2022)
- Cost reporting of other costs (with focus on internal invoicing) (23 March 2022)
- <u>Lump Sum funding: How does it work and what are the next steps?</u> (7 April 2022)







Más información

Portal español Horizonte Europa

https://www.horizonteeuropa.es/

¡ÚNETE A NOSOTROS!





¡SÍGUENOS EN TWITTER!





@HE_Energia_CDTI



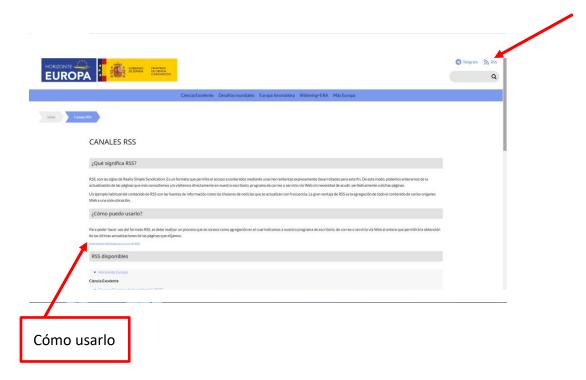
Horizonte Europa Clúster 5 Energía. CDTI https://twitter.com/HE Energia CDTI







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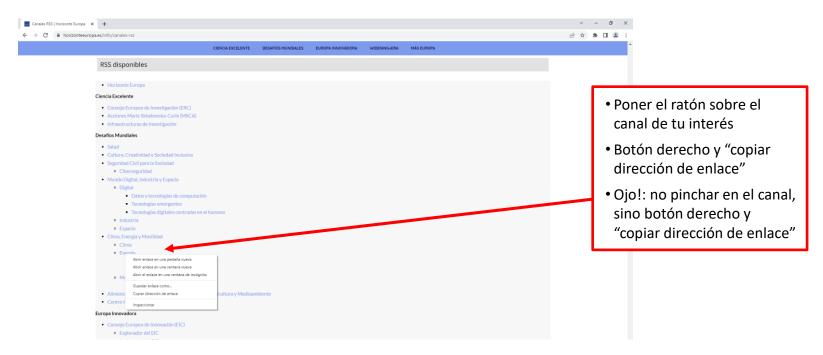








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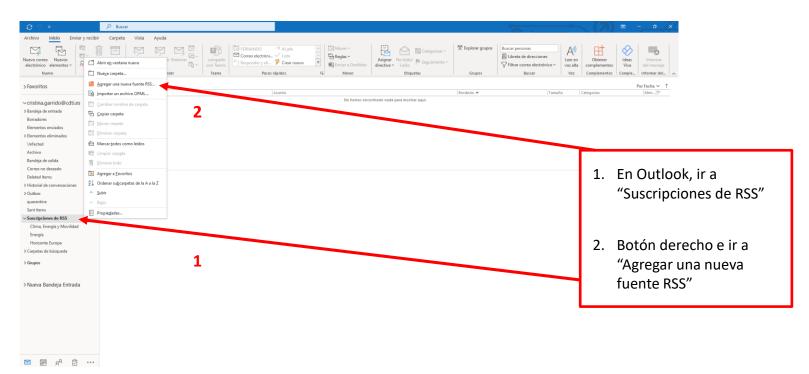








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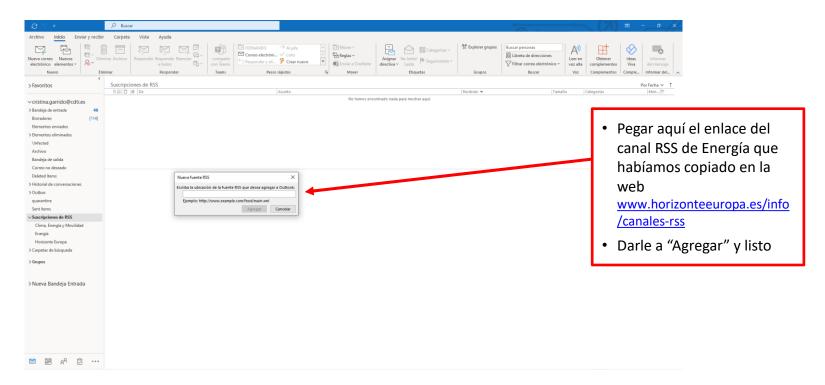








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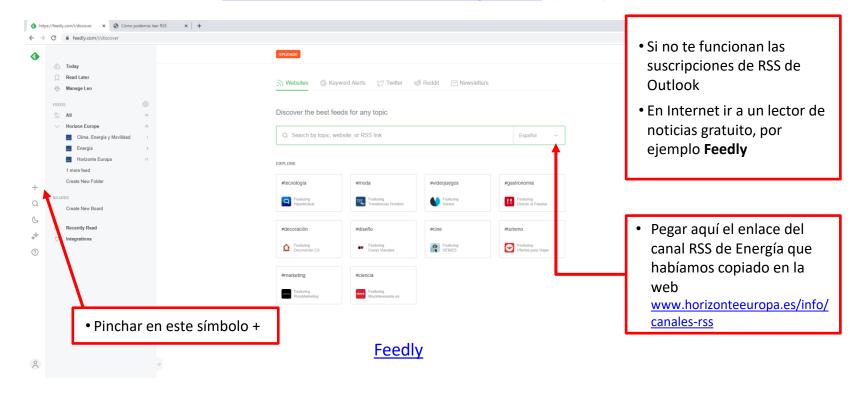








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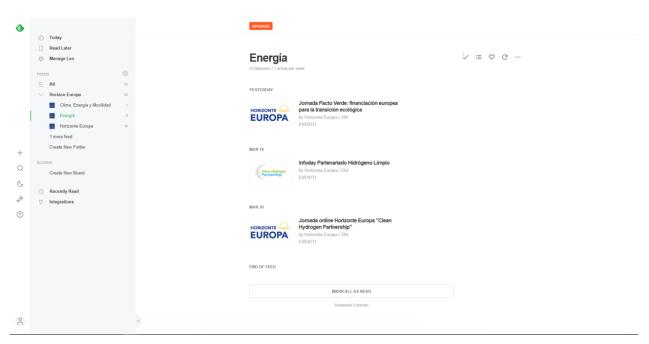








Canales RSS en <u>www.horizonteeuropa.es</u> (6/6)



<u>Feedly</u>

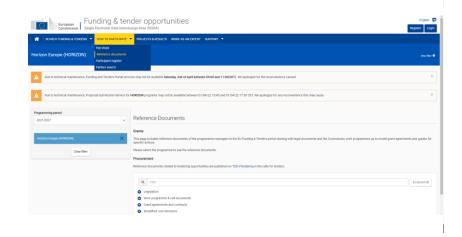






Información de interés

- Funding and Tenders Portal
- Work Programme Clúster 5
- Proposal Template
- Programme Guide
- Online Manual
- IT How to



Infoday CDTI y Taller preparación propuestas
Online, 11 mayo







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Mantente informado a través del Portal español de Horizonte Europa

www.horizonteeuropa.es







Conclusiones



Interdisciplinary approaches, Gender dimension, SSH, Open Science, Artificial Intelligence => apartados que hay que cuidar y no olvidar



Recursos valiosos => FAQs, Programme Guide, Online Manual, Guía "IT How to"



Mantente informado => Canales RSS del Portal HorizonteEuropa y @HE_Energía_CDTI





