HORIZONTE EUROPA

GOBIERNO DE ESPAÑA
MINISTERIO DE CIENCIA E INNOVACIÓN

FECYT FUNDACIÓN ESPAÑOLA PARA LA CIENCIA Y LA TECNOLOGÍA

oficina europea

Jornada informativa nacional sobre el Clúster 2. Cultura, Creatividad y Sociedad Inclusiva de Horizon*28 de junio de 2021*

te Europa

Participación en Horizonte Europa
Evaluación y preparación de la propuesta

Aída Díaz. NCP Clúster 2. AGAUR

HORIZONTE EUROPA

Índice de contenidos

- Condiciones de participación. ¿Quién y cómo participar?
- El proceso de evaluación de las propuestas.
- La plantilla de la propuesta y algunos aspectos clave.

Sesiones en línea Comisión Europea

Webinar: How to prepare a successful proposal in Horizon Europe (24 March 2021). Enlace

Webinar: A successful proposal: Scientific-technical excellence is key, but don't forget the other aspects (21 April 2021). *Enlace*

Webinar session: The Funding & tenders Portal for beginners (27 May 2021). *Enlace*

Webinar session: Dissemination & Exploitation in Horizon Europe (9 June 2021). *Enlace*

**El contenido de esta presentación utiliza fundamentalmente la información proporcionada durante estos eventos de la CE.*

Condiciones de elegibilidad

Consortium composition (collaborative projects)

- at least one independent legal entity established in a Member State, New
- And at least two other independent legal entities each established either in a different Member State or an Associated Country.

Gender Equality Plan (applicable only from 2022 on) New

Participants that are public bodies, research organisations or higher education establishments from Members States and Associated countries **must have a gender equality plan**, covering minimum process-related requirements.

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

WHO IS ELIGIBLE FOR FUNDING?

EU COUNTRIES

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

NON-EU COUNTRIES

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

SPECIFIC CASES

- Affiliated entities established in countries eligible for funding.
- EU bodies
- International organisations (IO)

List of eligible countries (HE). Enlace

Associated Countries

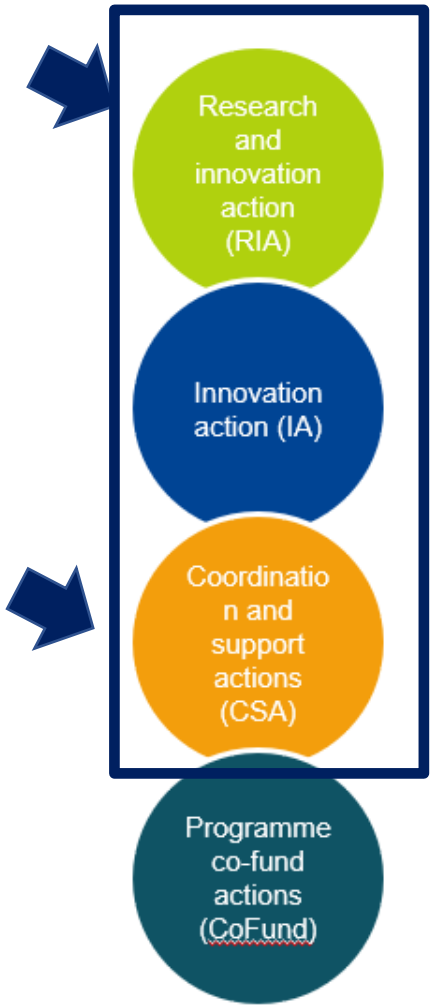
For the purposes of the eligibility conditions, applicants established in Horizon 2020 Associated Countries or in other third countries negotiating association to Horizon Europe will be treated as entities established in an Associated Country, if the Horizon Europe association agreement with the third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

- **Países Asociados**: Iceland; Norway; Albania; Bosnia and Herzegovina; North Macedonia; Montenegro; Serbia; Turkey; Israel; Moldova; Faroe Islands; Ukraine; Tunisia; Georgia; Armenia.
- **Novedades:** United Kingdom, Morocco and Kosovo
- **Duda:** Switzerland

Specific situation of UK: The UK is associating to the full Horizon Europe programme with the only exception of the EIC Fund (which is the loan/equity instrument of the EIC).

Specific situation of Switzerland_Swiss Government "*any Swiss partner in a successful Horizon Europe proposal will be fully funded, either by the EC if the association of Switzerland goes through until the time of the signature of the GA, or by the Swiss Government, if the association agreement is not in force when the Grant Agreement is signed*".

Activities eligible for funding – Type of actions

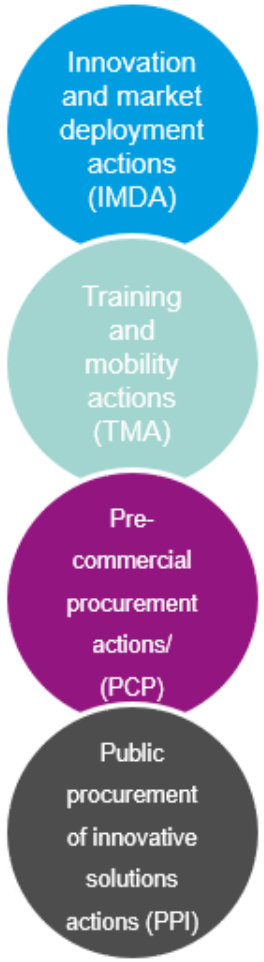


Activities to establish new knowledge or to explore the feasibility of a new or improved technology, product, process, service or solution.

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

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

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



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

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

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

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

European Commission

Máxima intensidad de la financiación

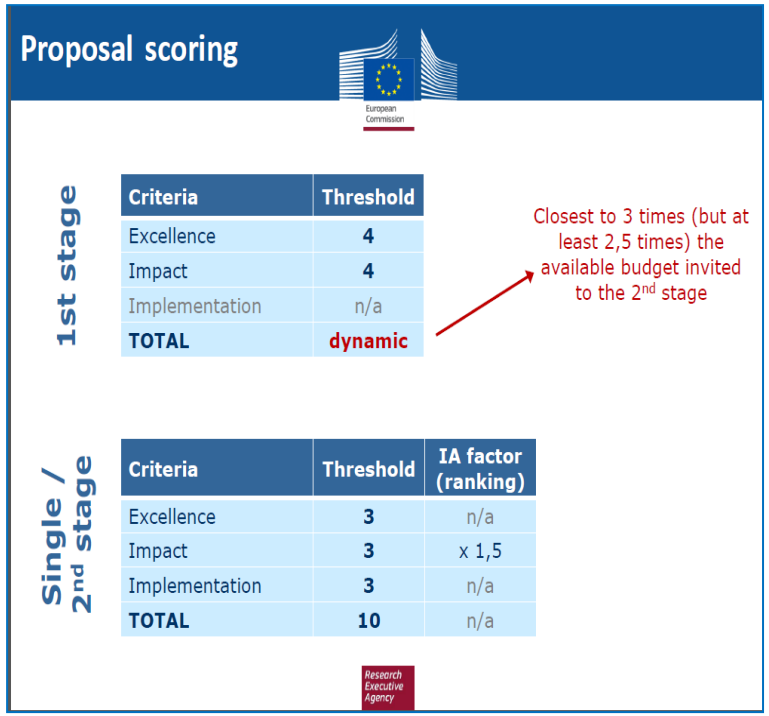
Type of Action	Funding rate
Research and innovation action	100%
Innovation action	70% (except for non-profit legal entities, where a rate of up to 100% applies)
Coordination and support action	100%
Programme co-fund action	Between 30% and 70%
Innovation and market deployment	70% (except for non-profit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

+25% de Costes indirectos

El proceso de evaluación de las propuestas
Novedades del Horizonte Europa

El proceso de evaluación de las propuestas

Evaluación en una o dos etapas



El desempate – propuestas con idéntica puntuación

New

1. WP coverage
2. Score
   - Their score for Excellence (RIA)
   - Their score for Impact (RIA)
   - Their score for Impact (IA)
   - Their score for Excellence (IA)
3. Gender balance (personnel in the proposal)
4. Geographical diversity (MMSS or AC)
5. *Other factors; synergies between projects or involving SMEs.*

Criterios de evaluación – Novedades HE

Same criteria as in H2020
Same three award criteria: '**Excellence**', '**Impact**' and '**Quality and efficiency of the implementation**'. Excellence only for ERC.

RIAs/IAs/CSAs)

EXCELLENCE	IMPACT	QUALITY AND EFFICIENCY OF THE IMPLEMENTATION
✓ 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.	✓ Credibility of the **pathways** to achieve the expected **outcomes and impacts** specified in the work programme, and the likely scale and significance of the contributions due to the project.	✓ Quality and effectiveness of the **work plan**, assessment of risks, and appropriateness of the effort assigned to work packages, and the resources overall.
✓ Soundness of the proposed **methodology**, including the underlying concepts, models, assumptions, inter-disciplinary approaches, appropriate consideration of the **gender dimension** in research and innovation content, and the quality of **open science practices** including sharing and management of research outputs and engagement of citizens, civil society and end users where appropriate.	✓ Suitability and quality of the **measures to maximize expected outcomes and impacts**, as set out in the dissemination and exploitation plan, including communication activities.	✓ Capacity and role of each **participant**, and extent to which the **consortium** as a whole brings together the necessary expertise.

Evaluation form (RIA & IA)

Evaluation form (CSA)

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

Revisión aspectos de ética

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

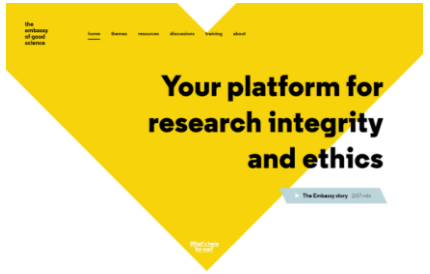
- Focus mainly on complex/serious cases
- Reduce number of ethics requirements in funded projects.

SSH

- Tener en cuenta en concreto temas de tratamiento de datos personales (encuestas, entrevistas, etc.); Trabajo con población vulnerable, menores de edad, etc.
- Posibilidad incluir Work Packaher específico; Experto; actividad de monitoraje durante la ejecución de la propuesta, etc

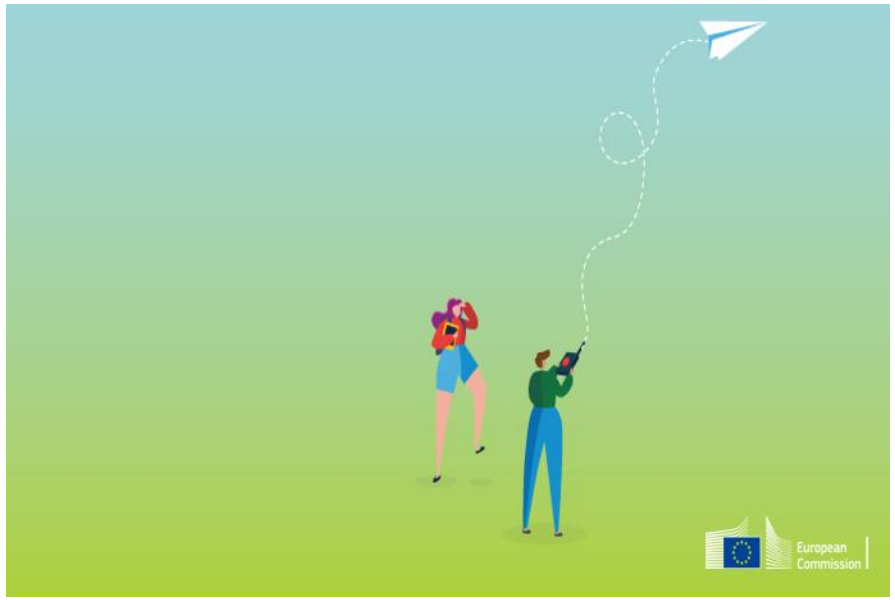
Enlace

The Embassy of Good Science



Enlace

La plantilla de la propuesta y algunos aspectos clave



Work Programme - Topic

Cluster 2:
- 2 key Strategic Orienttaions
- 4 Expected Impacts

EN

Horizon Europe

Work Programme 2021-2022

5. Culture, creativity and inclusive society

DISCLAIMER

DESTINATION: INNOVATIVE RESEARCH on DEMOCRACY and GOVERNANCE

Democracies are more fragile and more vulnerable than in the past. The Freedom in the World Report (2020) shows that democracies across the globe are in crisis[1]. At the same time, various European surveys show declining levels of trust in the political institutions of democracy.[2] In terms of legitimacy, there are signs of a potential shift from governance based on expertise, multilateralism and consensual policymaking towards majoritarianism, unilateralism, nationalism, populism and polarization. Research on the past and present challenges and tensions in democracy can help to better understand and strengthen democracy, its resilience and stability. It will foster democracy's further development with a view to enhancing representation, participation, openness, pluralism, tolerance, the effectiveness of public policy, non-discrimination, civic engagement, the protection of fundamental rights and the rule of law. These reflect the European Union's values as defined in Article 2 of the EU Treaty[3].

Expected impact:

Proposals for topics under this Destination should set out a credible pathway to contributing to the following expected impacts of the Horizon Europe Strategic Plan:

- Democratic governance is reinvigorated by improving the accountability, transparency, effectiveness and trustworthiness of rule-of-law based institutions and policies and through the expansion of active and inclusive citizenship empowered by the safeguarding of fundamental rights.

HORIZON-CL2-2021-DEMOCRACY-01-04: Democratic politics in the EU's neighbourhood

Specific conditions	
Expected EU contribution per project	The Commission estimates that an EU contribution of between EUR 2.00 and 3.00 million would allow these outcomes to be addressed appropriately. Nonetheless, this does not preclude submission and selection of a proposal requesting different amounts.
Indicative budget	The total indicative budget for the topic is EUR 9.90 million.
Type of Action	Research and Innovation Actions
Eligibility conditions	The conditions are described in General Annex B. The following exceptions apply: Due to the scope of this topic, legal entities established in all member states of the African Union are exceptionally eligible for Union funding.

Expected Outcome: Projects should contribute to at least two of the following expected outcomes:

- Comprehensive stocktaking of developments over the last decade, so that the European Union's democracy support efforts can both regain traction and be revamped where necessary.
- Development of an improved policy toolkit for supporting liberal democracy in the European Union's neighbourhood, paving the way for more stability and cooperation.
- Evidence base for the mid-term review of the implementation of the Action Plan for Human Rights and Democracy 2020-2024.
- Reflection on the European Union's aspiration and role in supporting democracy in its neighbourhood.

Scope: Since the EU Council conclusions of 2009, EU democracy support has evolved and has been fine-tuned, with advances and setbacks. Following the adoption of the EU strategic framework on human rights and democracy in 2012, the EU adopted three Action Plans[6] in

[6] (2012-2014 ; 2015-2019 ; 2020-2024)

Responder a:
- Destinations:
  - ✓The expected impacts
- Topic:
  - ✓Expected outcomes
  - ✓Scope
  - ✓Eligibility conditions

Expected outcomes:
- ✓ "Proposals should contribute **to all of** the following expected outcomes"
- ✓ Proposals should contribute to **at least two** of the following expected outcomes" Cubrir aquellos que trateis al 100%

Tener en cuanta todos los matices de cada topic; policies, RRI, INCO, SSH, gender,, …

Plantilla propuesta (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.

Horizon Europe Programme

Standard Proposal Template (RIA, IA)

Application forms (Part A)
Project proposal – Technical description (Part B)

Version 1.0
10 March 2021

Proposal page limit

Substantial reduction in maximum length: **New**

- RIAs and IAs type of actions: limit for a full application is **45 pages**
- CSAs: limit is **30 pages**
- First stage proposals: limit is **10 pages**
- EIC Pathfinder: limit is **17 pages**
- Exceptions, if any, would be specified in the call text.

**A modo orientativo, se incluye la longitud de cada una de los subcriterios.*

Novedades en la propuesta de Horizonte Europa

New

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** 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.

Consideraciones políticas y aspectos horizontales

Open Science across the programme

Gender dimension in R&I content

Pathway to impact

Measures to maximise impact

Do no significant harm principle (DNSH)

Artificial intelligence

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

Specific calls may include other aspects to take into account.

“Open Science” en todo el programa

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**
- Dedicated support to **open science policy actions**
- Assessment of open science practices:
  - ✓ **Excellence award criteria** for proposal evaluation (part of the methodology)
  - ✓ Under **quality of participants** previous experience on open sciences practices will be evaluated positively.
  - ✓ Exception: ERC does not evaluate open science

Dimensión de Género en el contenido de la I+D

Gender Dimension

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

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

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?

Horizon Europe

- **Eligibility:** Gender Equality Plan
- **Award Criteria**: Integration of the gender dimension
- **Ranking Criteria for "ex aequo" proposals**: Gender Balance

Part B _Excellence (methodology):

- Describe how the gender dimension (i.e. sex and/or gender analysis) is taken into account in the project's research and innovation content *[e.g. 1 page]*. If you do not consider such a gender dimension to be relevant in your project, please provide a justification._

  ⚠ *Note: This section is mandatory except for topics which have been identified in the work programme as not requiring the integration of the gender dimension into R&I content.*

  ⚠ *Remember that that this question relates to the content of the planned research and innovation activities, and not to gender balance in the teams in charge of carrying out the project.*

  ⚠ *Sex and gender analysis refers to biological characteristics and social/cultural factors respectively. For guidance on methods of sex / gender analysis and the issues to be taken into account, please refer to http://ec.europa.eu/research/swafs/gendered-innovations/index_en.cfm?pg=home*

incluete

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incomplete

Medidas para maximizar el impacto

Project's pathway

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

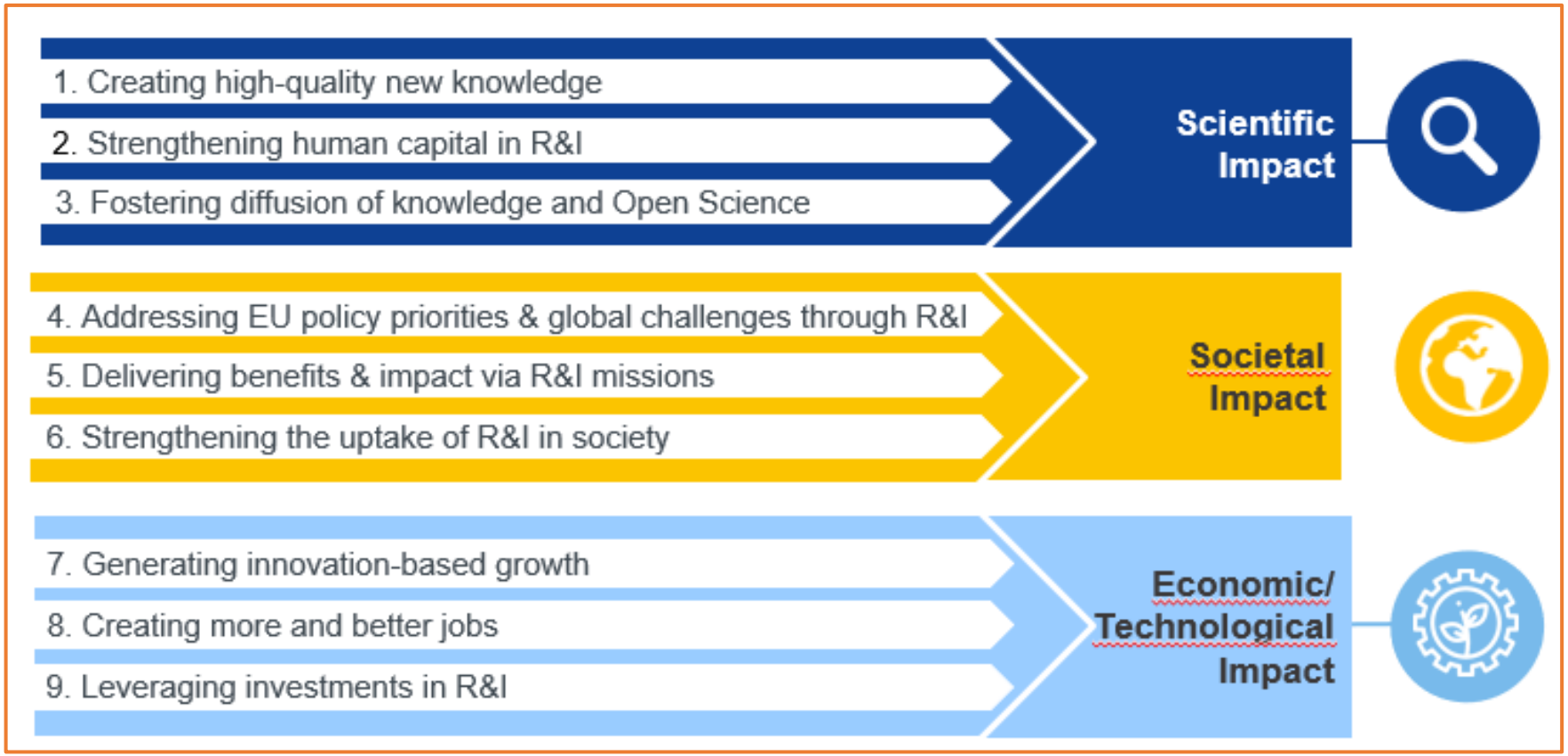
Horizon Europe

- Impact-driven Framework Programme
- Contribution to **expected outcomes** (topic level), **expected impacts** (Destination level), **other policies/initiatives** (at WP level)
- Structure of the impact section:
  - ✓ Project's pathways towards impact;
  - ✓ Measures to maximise impact - Dissemination, exploitation and communication

1. Impact logic
Key Impact Pathways framework

2. Practical Implications
Project's pathway to impact

La legislación de Horizonte Europa define tres tipos de impacto, monitoreado por los Key Impact Pathways



Article 50 & Annex V *'Time-bound indicators to report on an annual basis on progress of the Programme towards the achievement of the objectives referred to in Article 3 and set in Annex V along impact pathways'*

Medidas para maximizar el impacto_ Comunicación, Explotación y Diseminación

Part of the Key Impact Pathway to demonstrate the contribution to the impact on society

Improvements on the proposal/reporting template to introduce more specific language on D&E

Emphasis on continuous reporting on D&E (even after the end of the project)

Encouragement of third party exploitation (where appropriate)

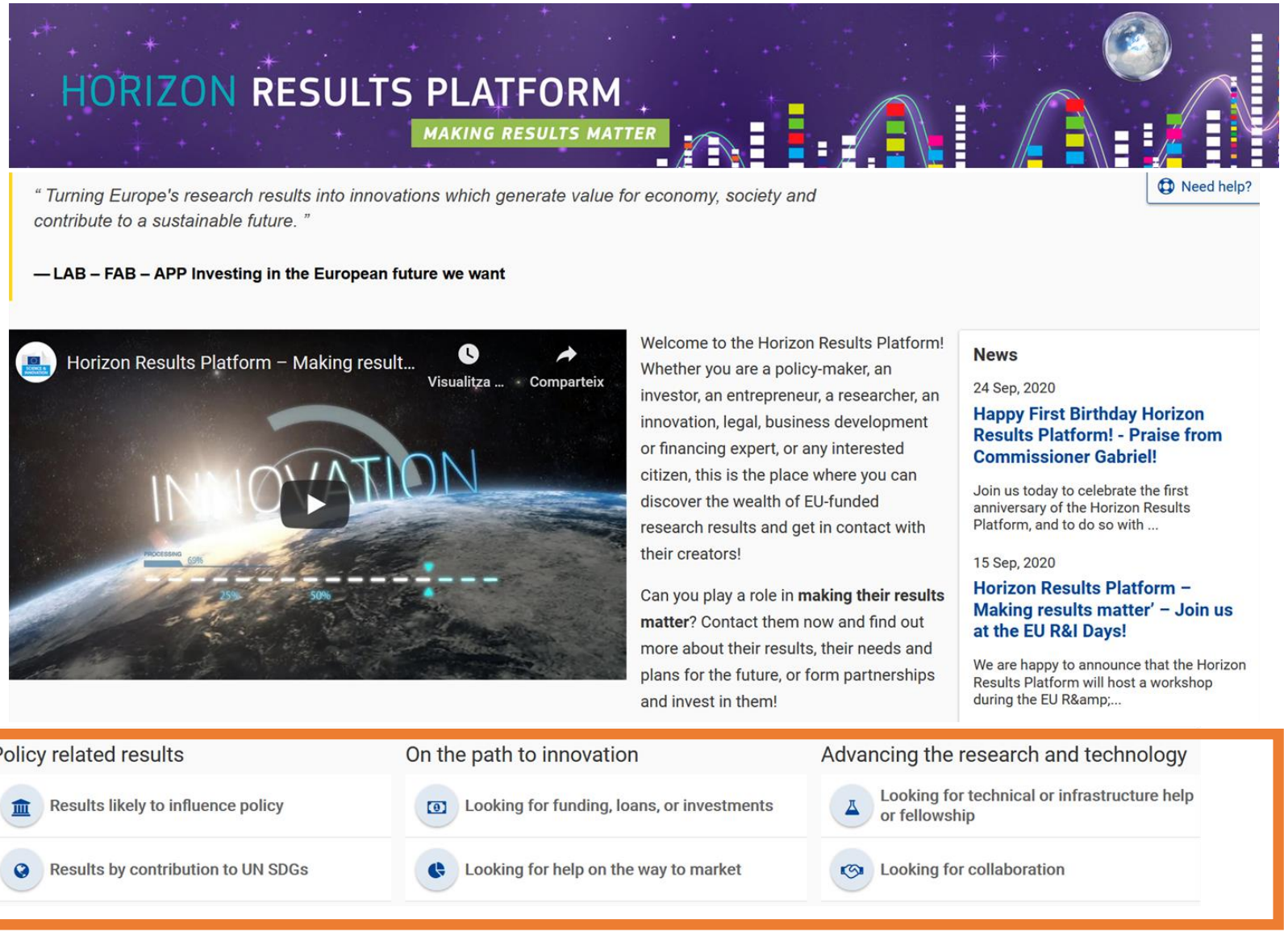
Introduction of incentives for exploitation

D&E AT PROPOSAL STAGE UNDER THE KEY IMPACT PATHWAY

- **Overall project life cycle**, from the proposal until after the end of the project
- Not a full fledged D&E plan is required at proposal stage (just a short description), but a **complete exploitation, dissemination and communication plan has to be submitted during the first 6 months of the project**

FOLLOW UP OF RESULTS AFTER THE END OF THE PROJECT THROUGH THE REPORTING TOOLS

- The follow up of the exploitation activities will **continue after the end of the project**
- The first year after the end of the project, and if no exploitation takes place, beneficiaries must use the **Horizon Results Platform** for making their exploitable results visible
- For the following period there will probably be a structured **questionnaire** available to beneficiaries to report on the progress, their needs and obstacles on their path for exploitation
- This questionnaire could be part of the EC grant management system and will remain open until the conclusion of the follow up period after the end of the project where a final report will be created



The Horizon Results Platform is free, is part of the F&T portal, available to all beneficiaries and is based on results, not on projects.

Enlace

Medidas para maximizar el impacto

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

PROPOSAL: THE IMPACT CANVAS

PART B: 2.3 SUMMARY OF THE PROJECT

SPECIFIC NEEDS	EXPECTED RESULTS	D & E & C MEASURES	TARGET GROUPS	OUTCOMES	IMPACTS
What are the specific needs that triggered this project?	*What do you expect to generate by the end of the project?*	*What dissemination, exploitation and communication measures will you apply to the results?*	*Who will use or further up-take the results of the project? Who will benefit from the results of the project?*	*What change do you expect to see after succesful dissemination and exploitation of projects results to the target group(s)?*	*What are the expected wider scientific, economic and societal effects of the project contributing to the expected impacts outlined in the respective destination in the work programme?*
Example 1 Most airports use process flow-oriented models based on static mathematical values limiting the optimal management of passenger flow and hampering the accurate use of the available resources to the actual demand of passengers.	Example 1 **Successful large-scale demonstrator:** Trial with 3 airports of an advanced forecasting system for proactive airport passenger flow management. **Algorithmic model:** Novel algorithmic model for proactive airport passenger flow management.	Example 1 **Exploitation:** Patenting the algorithmic model. **Dissemination towards the scientific community and airports:** Scientific publication with the results of the large-scale demonstration. **Communication towards citizens:** An event in a shopping mall to show how the outcomes of the action are relevant to our everyday lives.	Example 1 **9 European airports:** Schiphol, Brussels airport, etc. **The European Union aviation safety agency.** **Air passengers (indirect)**	Example 1 **Up-take by airports:** 9 European airports adopt the advanced forecasting system demonstrated during the project.	Example 1 **Scientific:** New breakthrough scientific discovery on passenger forecast modelling. **Economic:** Increased airport efficiency Size:15% increase of máximum passenger capacity in European airports, leading to a 28% reduction in infrastructure expansion costs.
Example 2 Electronic components need to get smaller and lighter to match the expectations of the end-users. At the same time there is a problem of sourcing of raw materials that has an environmental impact.	Example 2 Publication of a **scientific discovery on transparent electronics.** **New product:** More sustainable electronic circuits. **Three PhD students trained.**	Example 2 **Exploitation of the new product:** Patenting the new product; Licencing to major electronic companies. **Dissemination towards the scientific community and industry:** Participating at conferences; Developing a platform of material compositions for industry; Participation at EC project portfolios to disseminate the results as part of a group and maximise the visibility vis-à-vis companies.	Example 2 **End-users:** consumers of electronic devices. **Major electronic companies:** Samsung, Apple, etc. **Scientific community** (field of transparent electronics).	Example 2 **High use of the scientific discovery published** (measured with the relative rate of citation index of project publications). **A major electronic company** (Samsung or Apple) **exploits/uses the new product** in their manufacturing.	Example 2 **Scientific:** New breakthrough scientific discovery on transparent electronics. **Economic/Technological:** A new market for touch enabled electronic devices. **Societal:** Lower climate impact of electronics manufacturing (including through material sourcing and waste management).

NO MODIFICAR SU FORMATO

El principio “Do no significant harm (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)

The DNSH principle needs to be taken into consideration in the scientific methodology and impact of the project. However, compliance is not mandatory unless explicitly stated.

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

Inteligencia Artificial

Trustworthy Artificial Intelligence

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

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

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

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

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

Documentos clave para empezar a trabajar

- Work Programme HE- Cluster 2 2021-2022:
https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/wp-call/2021-2022/wp-5-culture-creativity-and-inclusive-society_horizon-2021-2022_en.pdf

- HE Framework Programme Regulation 2021/695
https://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX:32021R0695

- HE Specific Programme Decision 2021/764
https://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX:32021D0764

- HE Programme Guide
https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/programme-guide_horizon_en.pdf

- HE Online Manual
https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/om_en.pdf

- Standard Proposal template (RIA&IA)
https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/af/af_he-ria-ia_en.pdf

- Standard application form (HE CSA)
https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/af/af_he-csa_en.pdf

- EU Funding & Tenders Online Manual EU Funding Programmes 2021-2027 (08/02/2021)
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thanks
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