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HORIZONTE
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Condiciones de participación. ¿Quién y cómo participar?

Algunos aspectos horizontales en la convocatoria

A tener en cuenta en la fase de evaluación



DISCLAIMER

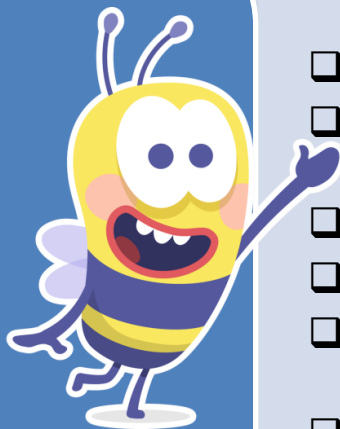


The contents of this presentation are for informal guidance and discussion purposes only.

In **no circumstance** the content of these slides can substitute the information provided in the official documents and guidelines.

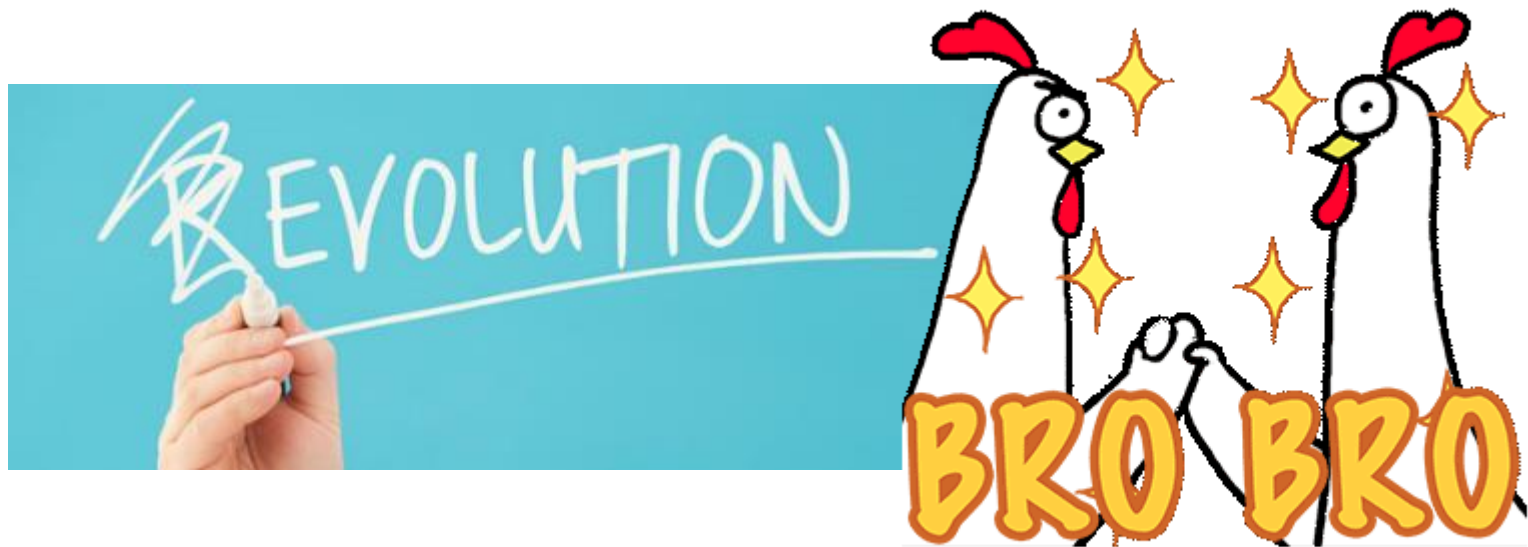
Work Program 2023-2024

Prestar
atención



- ☐ Se mantiene piloto **60%** financiación (for profit entities) en IA de partenariados co-programados
- ☐ Incorporación convocatorias en **2 fases**
- ☐ Afecta a **distintas fechas** de apertura y cierre: **2023** marzo (fase 1), abril (fase única), octubre (fase 1)
- ☐ **Fases 1 con blind evaluation.**
- ☐ Incorporación mecanismos de justificación **lump sum.**
- ☐ **Versiones actualizadas de los templates RIA-IA, CSA, fase única y dos fases**
- ☐ **Límites de páginas:** ampliación por incorporación de **lump sum (ver topic y aviso en templates),** ampliación por **plan de negocio y explotación (ver en el topic)**

Condiciones de participación. ¿Quién y cómo participar?





Condiciones de admisibilidad

Same general admissibility conditions

- Applications must be submitted before the call deadline, **electronically** via the Funding & Tenders Portal
- Applications must be **complete, readable, accessible and printable**, and include a **plan for the exploitation and dissemination of results**, unless provided otherwise in the specific call conditions.

Proposal page limit

- ❑ 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**
- ❑ Exceptions, if any, would be specified in the call text.
 - ❑ Business case and exploitation strategy: **+ 3 pages**
 - ❑ RIAs and IAs + Lump Sum = **50 pages limit**
 - ❑ CSAs + Lump Sum = **33 pages limit**



New



Condiciones de elegibilidad

Consortium composition (collaborative projects)



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

Gender Equality Plan (applicable only from 2022 on)



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

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

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Guiding notes to use the TRL self-assessment tool



What is your solution?	TRL 3	TRL 4	TRL 5	TRL 6	TRL 7	TRL 8	TRL 9
 A Product that is manufactured	Analytical studies on separate elements of the technology. Laboratory based trials that show the feasibility of the predictions.	Basic technological components integrated together to show that they work together. At this point, durability is not yet important.	Basic technological components integrated within realistic context under a fully controlled environment in or outside the lab.	A functional version of the product working on a realistic environment able to draw conclusions on the technical and operational capabilities of the product.	A manufacturable version of the product working on an environment which addresses all the operational requirements for the product.	Product in its final form working in full mode under expected conditions and periods.	Product in its final form under full commercial deployment.
Examples to be inspired	link	link	link	link	link	link	
An industrial process	Laboratory experiments are designed to verify that the conceptual process works as expected.	Process components are validated individually and could be integrated in an ad hoc manner at lab scale.	Integrated validation of the process to produce small outputs or short batches of the end product.	Development of a pilot-scale testing plant or unit (1/100th of commercial scale) including engineering-scale equivalents of all the operations that will be required at scale.	Successful demonstration of the continuous operation of the pilot plant/unit during a relevant timeframe.	Demonstration plant is constructed (1/10th of commercial scale) and operated in continuous mode, including working outside normal parameters.	Commercial plant/unit set up and running for full range of operating conditions.
Examples to be inspired	link	link	link	link	link	link	

Exceptional page limits to proposals/applications

In order to include a business case and exploitation strategy, the page limit in part B of the General Annexes is exceptionally extended by 3 pages.

Business case and Exploitation strategy

Business Case


- Target market
- Market size EU and globally
- User & Customer needs
- Matching at cost-effective manner
- Competitive advantage

Exploitation strategy

- Obstacles and actions to reach higher TRLs
- TRLs 7 strategy for full-scale manufacturing in the EU
- matching value chains, enhancing product robustness; securing industrial integrators; and user acceptance



Igualdad de Género en Horizonte Europa

- **Gender Equality Plan** (applicable from 2022 onwards for public bodies, research organizations or higher education institutions )
- **Integration of the gender dimension**
- **Gender balance** (Ranking Criteria for “ex aequo” proposals)

Ahora se evalúa en el apartado de excelencia



Social Sciences and Humanities (SSH)

Social Sciences and Humanities

Assessing the effective contribution of social science and humanities disciplines and expertise as part of the scientific methodology of the project.

When the **integration of SSH is required**, applicants have to show the roles of these disciplines or provide a justification if they consider that it is not relevant for their project. A proposal without a sufficient contribution/integration of SSH research and competences will receive a lower evaluation score.

Why integrating social sciences and humanity matters?

Many societal challenges that need to be addressed through research and innovation are too complex to be overcome by a single scientific discipline. Technical solutions are often preconditions for new policy outcomes, but in themselves insufficient to have a meaningful impact. The lasting societal impacts that policy-makers seek are often equally reliant on insights from social sciences and the humanities. A few examples:

- **Social sciences** (law, ethics, psychology, political sciences...) are an essential component of the research responses to public health emergencies.
- **Economics and political science** are major components of projects focusing on socio-economic evaluation of climate-change impact.
- **Psychology, cultural considerations, ethics and religion** are essential to improve the support to palliative care patients.
- **Linguistics, cultural studies and ethics** are an important part of projects aiming to develop AI enhanced robotic system and improve human/robot interaction.
- **Economics and social sciences** are essential to devise effective measures of recovery after the Covid-19 pandemic



Resumen del Impacto (Impact Canvas)

NEW

KEY ELEMENT OF THE IMPACT SECTION

SPECIFIC NEEDS

What are the specific needs that triggered this project?

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 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.

EXPECTED RESULTS

What do you expect to generate by the end of the project?

Example 1

Successful large-scale demonstrator:

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 2

Publication of a **scientific discovery on transparent electronics**.

New product: More sustainable electronic circuits.

Three PhD students trained.

D & E & C MEASURES

What dissemination, exploitation and communication measures will you apply to the results?

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 2

Exploitation of the new product: Patenting the new product;

Licensing 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.

TARGET GROUPS

Who will use or further up-take the results of the project? Who will benefit from the results of the project?

Example 1

9 European airports: Schiphol, Brussels airport, etc.

The European Union aviation safety agency.

Air passengers (indirect).

Example 2

End-users: consumers of electronic devices.

Major electronic companies: Samsung, Apple, etc.

Scientific community (field of transparent electronics).

OUTCOMES

What change do you expect to see after successful dissemination and exploitation of project results to the target group(s)?

Example 1

Up-take by airports: 9 European airports adopt the advanced forecasting system demonstrated during the project.

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.

IMPACTS

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

Scientific: New breakthrough scientific discovery on passenger forecast modelling.

Economic: Increased airport efficiency

Size: 15% increase of maximum passenger capacity in [European](#) airports, leading to a 28% reduction in infrastructure expansion costs.

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).

The rules are described in General Annex G. The following exceptions apply:

Eligible costs will take the form of a **lump sum** as defined in the Decision of 7 July 2021 authorising the use of lump sum contributions under the Horizon Europe....

Lump sum

- % topics con LS:

Clúster 4 Industry. (≈25%)

Tipo de acciones: RIA - IA – CSA

HOW DOES LUMP SUM FUNDING WORK IN PRACTICE? A QUICK GUIDE

01

LUMP SUM PROPOSALS

- Use the standard Horizon Europe proposal template. Address expected impacts and outcomes as in any Horizon proposal.
- No change in project design, except that work packages with a long duration may be split along the reporting periods. In this way, the relevant activities can be paid at the end of the reporting period.
- You need to provide a detailed breakdown of cost estimates to define and justify the lump sum. The estimates must be an approximation of your actual costs and meet the eligibility criteria of Horizon Europe. These cost details are needed to plan the budget of any proposal, even when they are not part of the proposal. The additional effort to include this information in a lump sum proposal should therefore be limited.

Lump sum funding in Horizon Europe

Overview	Guidance
Guidance	Guidance on lump sums focuses on the limited number of aspects where lump sum funding differs from actual cost grants. All the non-financial aspects remain the same as in actual cost grants.
Events	Lump sums – what do I need to know? General presentation to get started, including details on how to set up a lump sum budget
Opportunities	Quick guide The key steps explained and possible concerns addressed
Background	Detailed guidance for applicants and beneficiaries Lump sum proposal submission, evaluation and grant management
	Lump sum reporting step by step Reporting process for lump sum projects (IT How To)
	Frequently asked questions (FAQs) Check if your question about lump sums is already answered
	Expert briefing Briefing for Horizon Europe evaluations, including a dedicated part on lump sums
	Reference documents Lump sum Model Grant Agreement Commission decision authorising lump sum funding Lump sum budget table

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Blind evaluation (in 1st stage)

- There is no evidence that the current proposal evaluation system is systematically biased.
- There are understandable concerns that evaluation experts may be swayed – perhaps unconsciously – in favour of proposals from well-known organisations in countries with better performing R&I systems.
- ‘Blind’ evaluation is a way to remove any real or perceived effect of such reputational bias.
- Experts evaluate without knowing the identity of participants.
- The work programme will include an additional admissibility criterion: applicants can not be disclosed in the narrative part of the proposal.

<i>Admissibility conditions</i>	<p>The conditions are described in General Annex A. The following exceptions apply:</p> <p>Applicants submitting a proposal under the blind evaluation pilot (see General Annex F) must not disclose their organisation names, acronyms, logos, nor names of personnel in Part B of their first stage application (see General Annex E).</p>
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Blind evaluation pilot

- **If indicated in the specific call conditions, first-stage proposals** of two-stage submissions will **be evaluated blindly** and **applicants may not disclose their identity in Part B** of their proposal.



[insert call identifier] – [insert call name]

⚠ Fill in the title of your proposal below.

TITLE OF THE PROPOSAL

⚠ This proposal is submitted to a call that is evaluated **blindly**. You must not disclose applicants' organisation names, acronyms, logos nor names of personnel in Part B of your application. If you do, your proposal will be declared inadmissible. You can include details of participants in the proposal Part A.

This document contains tags: they are needed for processing.] #@APP-FORM-HERIAIA1ST@# ##@REL-EVA-RE@#



Evaluación en una o dos etapas

Proposal scoring



1st stage

Criteria	Threshold
Excellence	4
Impact	4
Implementation	n/a
TOTAL	dynamic

Closest to 3 times (but at least 2,5 times) the available budget invited to the 2nd stage

Single /
2nd stage

Criteria	Threshold	IA factor (ranking)
Excellence	3	n/a
Impact	3	x 1,5
Implementation	3	n/a
TOTAL	10	n/a

Standard Thresholds!!!
Check call/topic conditions



El desempate

Propuestas con idéntica puntuación

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





+ info sobre programas y ayudas
para la
internacionalización de la I+D+I española



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