

Implementation Strategy for Horizon Europe

Submission and Evaluation

About the presenter



Błażej Thomas



Senior European Advisor



At UKRO since November 2013



Interest in L&F matters and
International Cooperation.

About UKRO

Mission

- Maximise UK engagement in EU-funded research, innovation and higher education activities

Our office

- Based in Brussels
- European office of UK Research and Innovation (UKRI)
- Delivers subscription-based advisory services for around 140 research organisations in the UK and beyond
- Provides ERC and MSCA National Contact Point services on behalf of the UK Government

UKRO webinars

- All participants will be **muted** for the duration of the webinar.
- A **chat function** (for technical issues) is available and will be monitored by colleagues
- **Please use the formal Q&A function to submit questions.**
- **You can ‘up vote’ your favourite questions.**
- Any unanswered questions should be addressed **directly with individual European Advisors** after the session.
- **A link to slides and video recording** will be posted on the event page after the webinar.
- Intention to hold Horizon Europe updates at regular intervals.

Contents

Electronic submission of proposals

- Live demonstration
- PIC validation and LEAR appointment

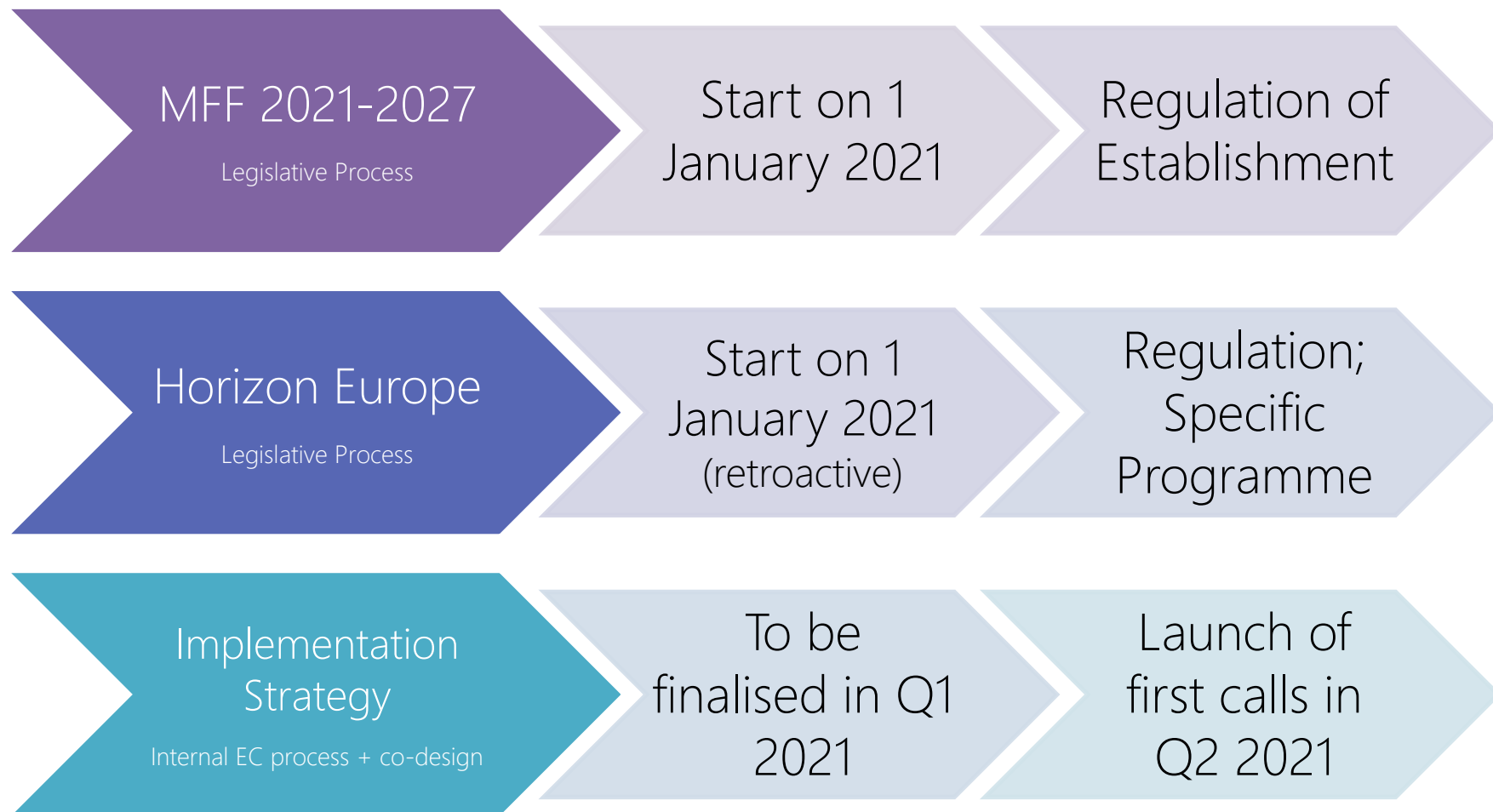
The evaluation process

- What changes/stays the same?
- Impact-driven approach
- Changes to the general proposal template

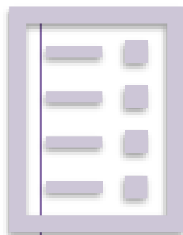
Portfolio-based calls

- EIC Challenges and Missions

Implementation Strategy - Context



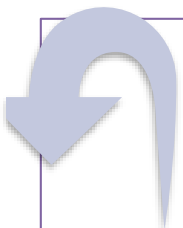
Implementation Strategy – summary of changes



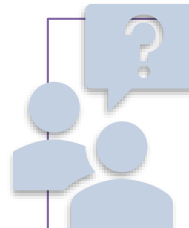
Proposal template: Less information requested; reference to external sources where possible (e.g. Researchers' ID); substantial reduction in maximum length.



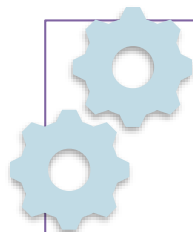
Portfolio-based calls for missions/EIC - develop new modalities (e.g. evaluation of intrinsic quality, then invoke portfolio considerations, to be spelled out in WP)



'Right to react' (rebuttal) pilot - greater transparency and more detailed feedback – one or more pilots in early calls of HE



Anonymised first stage proposals ('blind evaluation') - one or more pilots in early calls of HEU

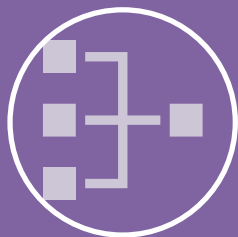


Other areas for attention include: re-calibration of the scoring system; *ex aequo* criteria.

Electronic submission of proposals

Funding & Tenders Portal

Funding & Tenders Portal



Main gateway to EU funding.

Now covers all centrally-managed EU programmes and tenders (previously only available on TED)



Linking to external data (e.g. ORCID) or personal profiles on F&T Portal



Horizon Europe submission process virtually the same as in Horizon 2020 (strong continuity)



No need for re-validation of legal entities and LEAR re-appointment.

Participants registered in Horizon 2020 do not need to register again.

Evaluation process

What changes/stays the same?

Continuity with Horizon 2020



Single-stage/two-stage calls evaluated by independent experts from the EC database.

Same evaluation criteria: *Excellence, Impact, Implementation*

Each criterion scored out of 5, with maximum score of 15

The threshold for individual criteria is 3; the overall threshold is 10.

Proposals passing the individual/overall thresholds will be considered for funding — within the limits of the available call budget.

Two-stage calls: for the evaluation of first-stage applications only the criteria 'Excellence' and 'Impact' will be evaluated, with dynamic thresholds in place.

Changes from Horizon 2020



The evaluation committee may **include representatives of EU institutions**, if foreseen in the call conditions.

Blind evaluation piloted in 1-2 early Horizon Europe calls; participants cannot reveal their identity/organisation name at stage 1 of two-stage calls.

'Right to react' piloted in 1-2 early calls for proposals; opportunity to react to the evaluators' comments within five days from notification.

New **priority order** for proposals with the same overall (*ex aequo*) score; now takes into account geographical diversity...

New approaches

- Proposals that address call aspects identified in the topic description not otherwise covered by more highly ranked proposals.

Excellence/ Impact score

- These proposals will be prioritised according to the scores they have been awarded for the 'Excellence' criterion. When these scores are equal, priority will be based on scores for the 'Impact' criterion.
- In the case of Innovation Actions (IA) this prioritisation will be done first on the basis of the score for Impact, and then on that for 'Excellence'.

Gender balance

- Gender balance among the personnel named in the proposal, primarily responsible for carrying out the research and/or innovation activities (based on the researchers table in part A).

Geographical diversity

- The number of EU Member States or Associated Countries represented in the proposal, not otherwise receiving funds from projects higher up the ranking list (and if equal in number, then by budget).

Other criteria

- Other factors relevant for the call, including enhancing the quality of the project portfolio through synergies between projects or, where relevant and feasible, involvement of SMEs.

Impact-driven approach

Main changes to the proposal template

Proposal structure – continuity from Horizon 2020

Part A

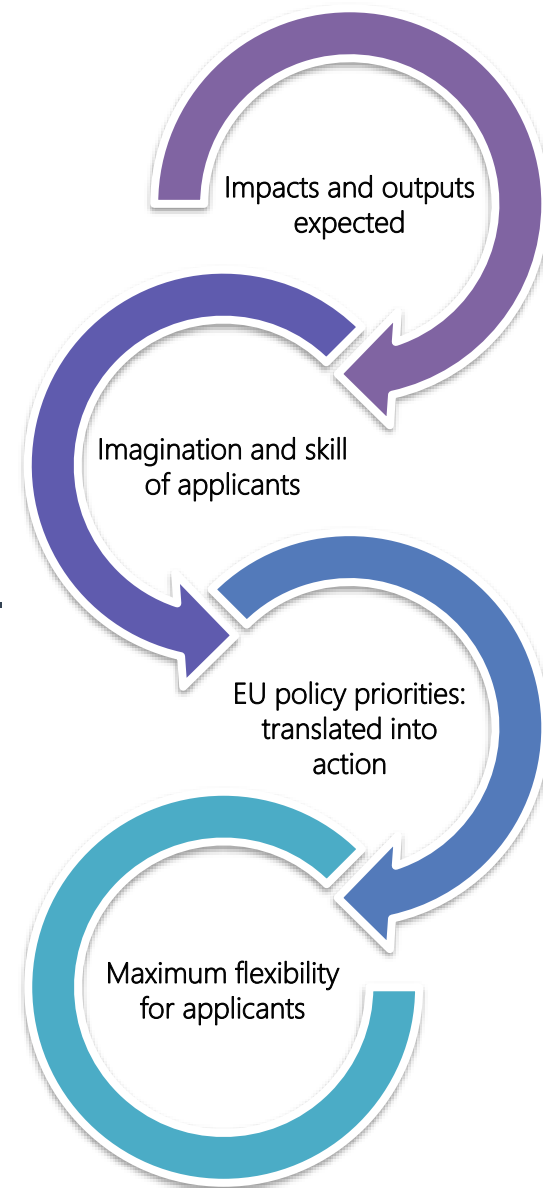
- Generated by the IT system.
- It is based on the information entered by the participants through the submission system in the Funding & Tenders Portal.
- The participants can update the information in the submission system at any time before final submission.

Part B

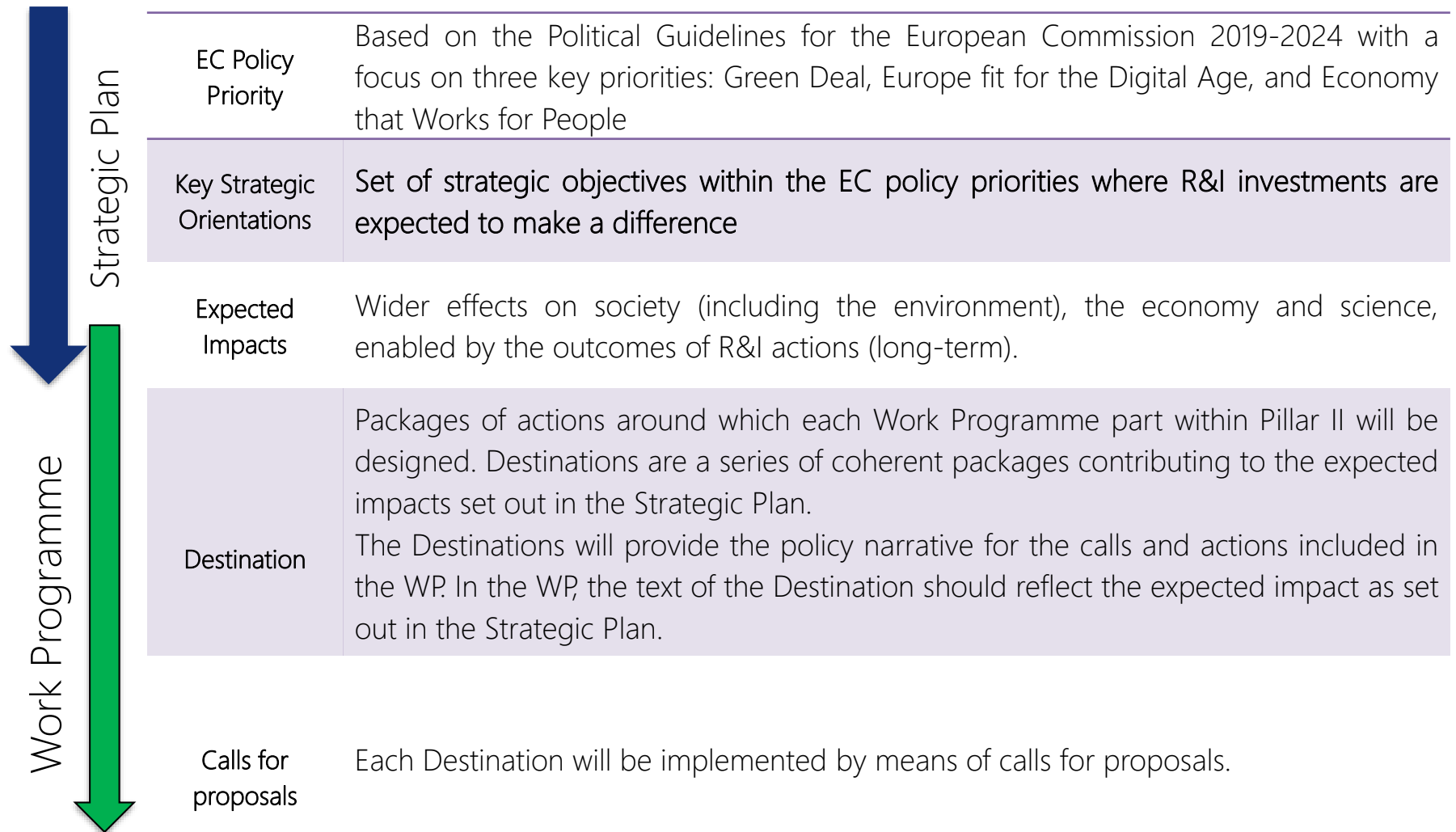
- The narrative part that includes three sections that each correspond to an evaluation criterion (*Excellence, Impact, Implementation*).
- Needs to be uploaded as a PDF document after downloading the templates in the submission system for the specific topic.
- The templates for a specific call may differ from the general proposal template.

From activity to impact-driven approach

- For Horizon Europe, there are changes to way calls are structured to give applicants greater freedom and to maximise impact:
- Each Work Programme part will include a number of 'Destinations'; the topic in question and the project outputs are expected to contribute to them.
- Destinations will leave the exact approach to the applicant.
- Aim is to ensure priorities are effectively met and translated into concrete action and providing maximum flexibility for applicants on how to achieve goals.



Work Programme design



Evaluation criteria

Excellence

- 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 where appropriate.

Evaluation criteria

Impact

- 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.
- Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan, including communication activities.

Impact-driven approach

Needs

- What are the specific needs that triggered this project?

Results

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

CDE Measures

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

...

Impact-driven approach

Target groups

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

Outcomes

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

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?

Evaluation criteria

Quality and efficiency of implementation

- **Quality and effectiveness of the work plan**, assessment of risks, and appropriateness of the effort assigned to work packages, and the resources overall.
- **Capacity and role of each participant**, and extent to which the consortium as a whole brings together the necessary expertise.
- ~~Appropriateness of the management structures and procedures...~~

Proposals – Page limits

Horizon 2020

- 1st stage – 10 pages
- RIA, IA – 70 pages
- CSA – 50 pages
- Cofund Actions – 70/100 pages
- Different page limits:
 - MSCA
 - ERC
 - FET

Horizon Europe

- 1st stage – 10 pages
- RIA, IA – 45 pages
- CSA – 30 pages
- Cofund Actions – 70 pages
- Different page limits:
 - MSCA
 - ERC
 - EIC

Other changes in Part A



'Description of the individual members of the consortium' (former Section 4) has been moved from Part B.



For statistical reasons, more information on researchers involved in the proposal can be provided (e.g. gender, career stage, etc).



The headings in the budget table have been renamed in line with the new financial provisions of Horizon Europe (e.g. a new 'Purchase costs' heading).



The 'Open Data Management Pilot' opt-out/in section has been removed:

- a Data Management Plan (DMP) will be a mandatory deliverable by month six of the project and must be covered in Part B together with Open Access practices).

Gender Equality Plans – New in Horizon Europe!

- Stem from the Union's first [Gender Equality Strategy 2020-2025](#).
- Mandatory for beneficiaries established in EU MS/AC, that are **public bodies, research organisations or HEI**.
- Grace period expected in 2021
- Self-declaration will be requested at the proposal stage:

Gender equality plan

Only Public bodies, Higher education establishments and Research organisations must answer this question. Be aware that if the proposal is selected, having a Gender Equality Plan will be necessary before the grant signature.

Does the organisation have a Gender Equality Plan (GEP) covering the elements listed below?

Minimum requirements (building blocks) for a GEP

Public GEP: formal document published on the institution's website and signed by the top management, addressing the following issues:

☐ Yes

☐ No

Portfolio-based approach

EIC Challenges and Missions

Portfolio-based approach in Horizon Europe

Portfolio-based calls for Missions/EIC



The EC will develop new modalities (e.g. evaluation of intrinsic quality, then invoke portfolio considerations, to be spelled out in WP).



Calls contributing to the Missions will be launched later in the programme, but the new portfolio-based approach will apply to some EIC calls (e.g. EIC Challenges).

EIC Challenges

Step 1


- Remote evaluation by EIC expert evaluators who will assess each application separately against the defined evaluation criteria.

Step 2

- EIC evaluation committee will **consider all proposals passing the first step together in order to assess the best portfolio** of projects to achieve the specific objectives of the Challenge.
- The evaluation committee will be **composed of EIC expert evaluators and EIC Programme Managers**, who will assess each proposal's contribution to the setting up of a consistent portfolio of projects.
- Portfolio considerations will be detailed in the Pathfinder Challenge Guide.

UKRO Factsheets and Articles

- A range factsheets on Horizon Europe
- Dedicated factsheet on the Implementation Strategy
- Dedicated 'Horizon Europe Novelties' article series
- Dedicated webinar series

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Horizon Europe – Implementation Strategy

What is Horizon Europe?

Horizon Europe is the European Union's seven-year research and innovation programme, running from 2021 until 2027, with a proposed budget of €100 billion. The programme's general objective is to deliver scientific, technological, economic and societal impact from the Union's investments in R&I, to strengthen the scientific and technological bases of the Union, and foster its competitiveness. The European Commission maintains two factsheets on Horizon Europe: one providing basic information about the future EU programme, including its structure and main priorities, and another focusing on the strategic planning process and the multiannual Strategic Plan.

Implementation Strategy for Horizon Europe

The Implementation Strategy is designed in way that enables all implementation measures to reinforce the main objectives of Horizon Europe. In particular, the strategy will be focussed on: maximising impacts; ensuring greater transparency and further simplification; fostering synergies with other EU programmes; and easing access through digital transformation and outreach.

The main elements of the Strategy were developed on the basis of contributions from stakeholders received during the first EU Research and Innovation Days in Brussels and dedicated events in EU Member States, as well as through an online public consultation. It is intended to be a living strategy and as such can be adjusted to the changing circumstances and needs of the future programme.

Main elements of the Strategy

The following measures are being considered by the Commission:

- **Work Programme and Calls** – Introduction of simpler and clearer calls/Work Programmes; more multi-annual topics to prevent applicants from missing out on funding opportunities; calls launched under European Partnerships EIT to appear on the Funding & Tenders Portal.
- **Evaluation and Submission** – Less information to be requested in the application form; management structures to be removed from evaluation criteria; maximum proposal length for collaborative projects to be reduced to 50 pages; 'right to react' (rebuttal) pilot to be trialled in early years of Horizon Europe; anonymised first-stage submission to be piloted in several calls.
- **Corporate Model Grant Agreement** – One model for all centrally-managed EU programmes, with specific provisions for Horizon Europe where necessary (e.g. IP rules); simpler mandatory formula to calculate actual personnel costs with no need for timesheets; possible further use of lump sums; introduction of a quick-glance data sheet for projects; introduction of an online Annotated Grant Agreement (with basic and expert modes).
- **Dissemination and Exploitation** – Incentives for continued reporting on D&E after project's end date; greater focus on feedback to policy makers.
- **Data and Reporting** – Clearer links between project reporting and the scientific, economic and societal indicators of Horizon Europe (Key Impact Pathways); collecting more information on individual researchers participating in collaborative projects in part A of the proposal using unique identifiers (preference for ORCID ID).
- **Control Strategy** – Introduction of the Systems and Processes Audits (SPA), which can lead to a reduced audit burden for large and active beneficiaries; exploring the possibility of enhanced cross-reliance of audits and assessments.

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