EEMCS RESEARCH SUPPORT TEAM
STRATEGIC BUSINESS DEVELOPMENT / GRANTS OFFICE

UNIVERSITY OF TWENTE.

# HORIZON EUROPE TEMPLATE

WEBINAR

# RESEARCH SUPPORT TEAM

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# HORIZON EUROPE TEMPLATE WEBINAR

Research and innovation action (RIA)

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

Innovation action (IA)

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

- How to address sections of the template
- Where the EEMCS research support team can give advice




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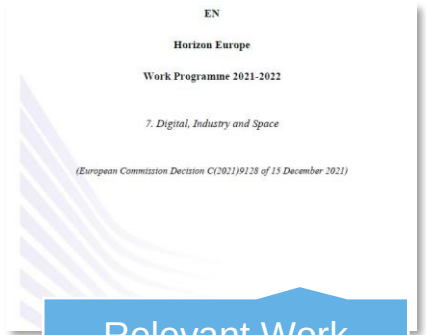
# INFORMATION AND SUPPORT

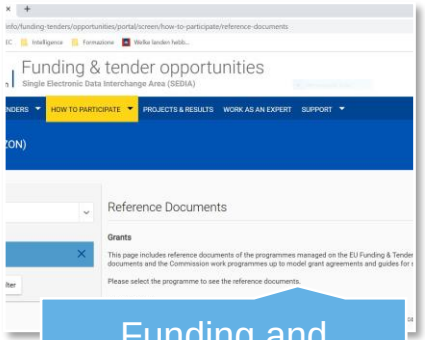

Standard Application Form RIA, IA


Strategic Plan

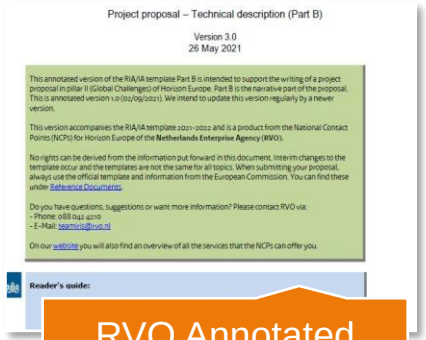



Relevant Work Programme

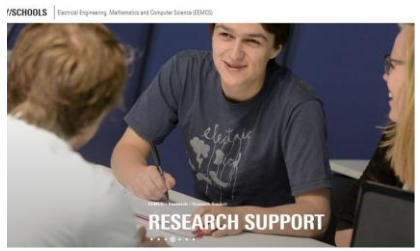

Programme Guide




Funding and Tenders portal




RVO Annotated Template




Contact us ☺



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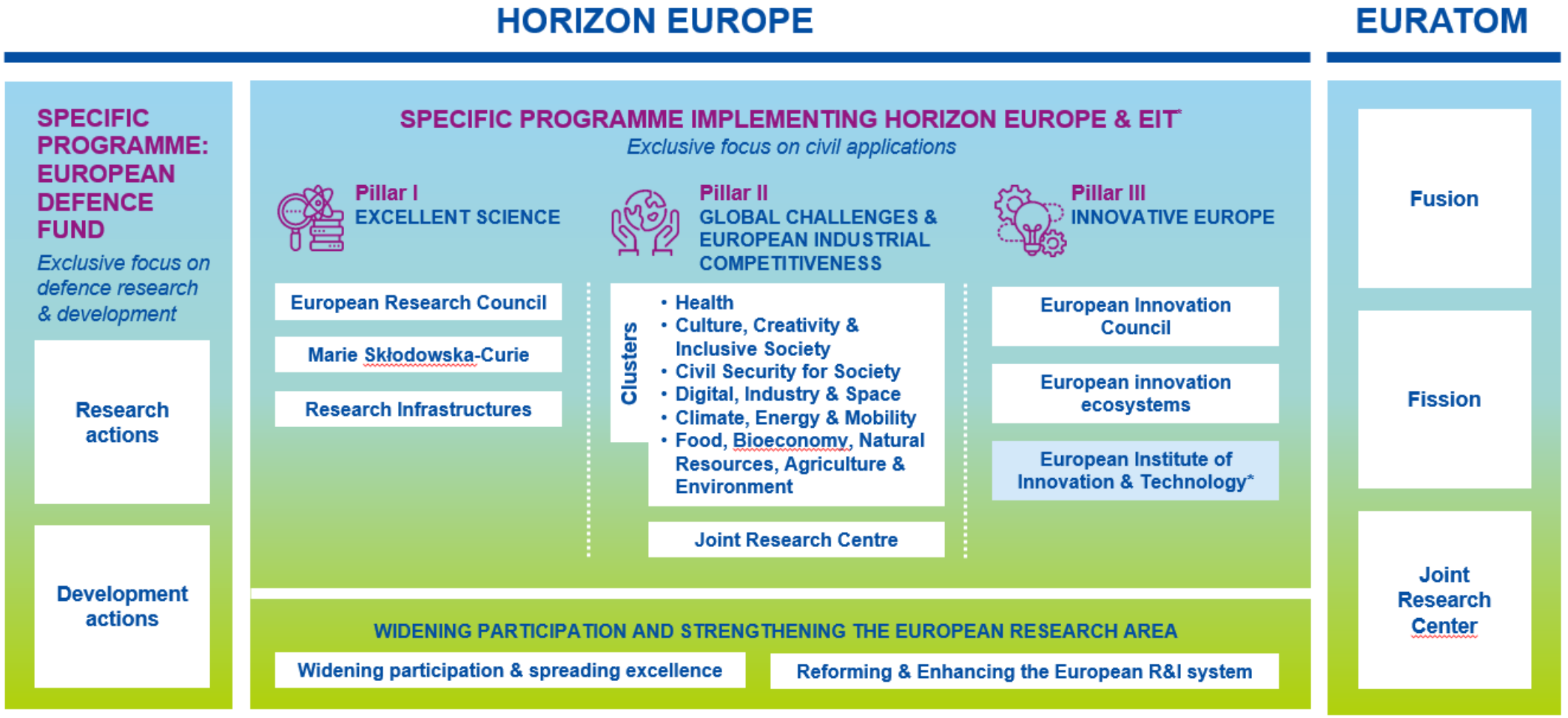
Source: Webinar: How to prepare a successful proposal in Horizon Europe

# About Horizon Europe

Horizon Europe supports research and innovation through Work Programmes, which set out funding opportunities for research and innovation activities.




* The European Institute of Innovation & Technology (EIT) is not part of the Specific Programme

Source: Webinar: How to prepare a successful proposal in Horizon Europe

# Key principles

Your proposed work must be within the scope of a work programme topic

You need to demonstrate that your idea is ambitious and goes beyond the state of the art

Your scientific methodology must take into account interdisciplinary, gender dimension and open science practices.

You should show how your project could contribute to the outcomes and impacts described in the work programme (the pathway to impact)

You should describe the planned measures to maximise the impact of your project (‘plan for the dissemination and exploitation including communication activities’)

You should demonstrate the quality of your work plan, resources and participants

European Commission

Source: Webinar: How to prepare a successful proposal in Horizon Europe

# Admissibility

## 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

Substantial reduction in maximum length:

- 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.

European Commission

Source: Webinar: How to prepare a successful proposal in Horizon Europe

# Eligibility

## 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)

European Commission

Source: Webinar: How to prepare a successful proposal in Horizon Europe

# Application form (proposal template)


Horizon Europe Programme

Standard Proposal Template (RIA, IA)

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

Version 1.0
10 March 2021

Disclaimer
This document is aimed at informing potential applicants for Horizon Europe funding. It serves only as an example. The actual Web forms and templates, provided in the online submission system under the Funding and Tenders Portal, might differ from this example.

## 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.

European Commission

Source: Webinar: How to prepare a successful proposal in Horizon Europe

# New features in the Horizon Europe proposal

## NEW FIELDS IN PART A

- Researchers table – needed to follow up researchers careers (HE indicator)
- Role of participating organisation
- Self-declaration on gender equality plan

## FIELDS MOVED FROM PART B TO PART A

- Ethics self-assessment
- Security questionnaire (**NEW!** in all HE proposals)
- Information on participants' previous activities related to the call

## NEW IN PART B

- Glossary of terms.
- Consistency on the use of terminology is ensured in all project phases (from WP to proposal and reporting)
- Extensive explanations on what exactly should be included in each section.

European Commission

# NEW FEATURES IN HEU PROPOSALS (2)

- Part B: Excellence: the Ambition paragraph is now part of Section 1.1 Objectives and Ambition.
- Part B: in the Impact section, the 2.3 Summary component is added; the so called ‘Canvas’ key elements table is the heart of this paragraph.
- Part B: Implementation: ‘management structure, milestones and procedures’ paragraph is now part of Section 3.1 Work plan and resources.
- Part B: Section 4 ‘Members of the Consortium’ and section 5 ‘Ethics and Security’ in the Horizon 2020 RIA/IA template are now merged into part A of the Horizon Europe RIA/IA template.

# RESEARCHERS TABLE (PART A)



*Researchers involved in the proposal*

*Include only the researchers involved in the proposal, (see below definition of 'researcher'). You do not need to include in the table the identity of other persons involved in the proposal who are not researchers.*

*'Researchers are professionals engaged in the conception or creation of new knowledge. They conduct research and improve or develop concepts, theories, models, techniques instrumentation, software or operational methods. (Frascati Manual 2015)'*

*Include also person in charge of the proposal if a researcher.*

| Title | First Name | Last Name | Gender | Nationality | E-mail | Career stage[1] | Role of researcher (in the project) | Reference Identifier | Type of identifier |
|---|---|---|---|---|---|---|---|---|---|
| | | | [Woman]<br>[Man]<br>[Non-binary] | | | [Category A – Top grade researcher]<br>[Category B – Senior researcher]<br>[Category C – Recognised researcher]<br>[Category D – First stage researcher] | [Leading]<br>[Team member] | | [ORCID]<br>[Researcher Id]<br>[Other - specify] |
| | | | | | | | | | |
| | | | | | | | | | |



[1] Career stages as defined in Frascati 2015 manual:
Category A – Top grade researcher: the single highest grade/post at which research is normally conducted. Example: 'Full professor' or 'Director of research'.
Category B – Senior researcher: Researchers working in positions not as senior as top position but more senior than newly qualified doctoral graduates (IsCED level 8). Examples: 'associate professor' or 'senior researcher' or 'principal investigator'.
Category C – Recognised researcher: the first grade/post into which a newly qualified doctoral graduate would normally be recruited. Examples: 'assistant professor', 'investigator' or 'post-doctoral fellow'.
Category D – First stage researcher: Either doctoral students at the IsCED level 8 who are engaged as researchers, or researchers working in posts that do not normally require a doctorate degree. Examples: 'PhD students' or 'junior researchers' (without a PhD).

# ROLE OF PARTICIPATING ORGANISATION

| Application Forms | | |
|---|---|---|
| *Proposal ID* **XXXXXXXXX** | *Acronym* **XXXXXXX** | Participant short name: **XXXX** |

| *Role of participating organisation in the project*<br>*Applicants may select more than one option.* | |
|---|---|
| Project management | ☐ |
| Communication, dissemination and engagement | ☐ |
| Provision of research and technology infrastructure | ☐ |
| Co-definition of research and market needs | ☐ |
| Civil society representative | ☐ |
| Policy maker or regulator, incl. standardisation body | ☐ |
| Research performer | ☐ |
| Technology developer | ☐ |
| Testing/validation of approaches and ideas | ☐ |
| Prototyping and demonstration | ☐ |
| IPR management incl. technology transfer | ☐ |
| Public procurer of results | ☐ |
| Private buyer of results | ☐ |
| Finance provider (public or private) | ☐ |
| Education and training | ☐ |
| Contributions from the social sciences or/and the humanities | ☐ |
| Other<br>Specify (50 character limit): | ☐ |





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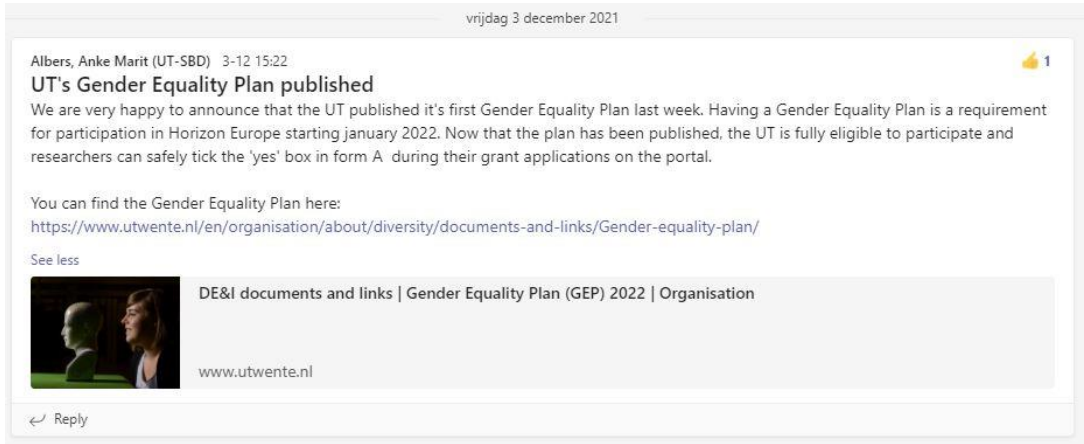
# GENDER EQUALITY PLAN (PART A)


As a participating research organisation, UT and its Executive Board strongly support and welcome the endeavors of the European Commission in overcoming gender disparities within the academic environment, also in line with the United Nations Sustainable Development Goals.

Our GEP offers a comprehensive overview of how we facilitate and strive to strenghten our intersectional approach to gender within Diversity, Equity and Inclusion (DE&I) at UT.

**Letter Executive Board University of Twente**

**Our Gender Equality Plan (GEP)**



vrijdag 3 december 2021

Albers, Anke Marit (UT-SBD) 3-12 15:22 👍 1

**UT's Gender Equality Plan published**

We are very happy to announce that the UT published it's first Gender Equality Plan last week. Having a Gender Equality Plan is a requirement for participation in Horizon Europe starting january 2022. Now that the plan has been published, the UT is fully eligible to participate and researchers can safely tick the 'yes' box in form A during their grant applications on the portal.

You can find the Gender Equality Plan here:
https://www.utwente.nl/en/organisation/about/diversity/documents-and-links/Gender-equality-plan/

See less

DE&I documents and links | Gender Equality Plan (GEP) 2022 | Organisation

www.utwente.nl

Reply



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# BUDGET (PART A)

## 3 – Budget for the proposal

| | | | Estimated expenditure | | | | | | | | Estimated income | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Estimated eligible costs | | | | | | | | Requested EU contribution | | | Revenues | Other sources of financing | | Total estimated income |
| | | | | | C. Purchase costs | | | | | | EU contribution to eligible costs | | | | | | |
| No | Participant name | Country | A. Personnel costs/€ (a1) | B. Subcontracting costs/€ (b) | C.1 Travel and subsistence/€ (c1) | C.2 Equipment/€ (c2) | C.3 Other goods, works and services /€ (c3) | D. Other cost categories D.X [specific cost category] /€ (dx) | E. Indirect costs/€ (e) = 25% * [(a1) + (c1) + (c2) + (c3) + (d7)] | Total eligible costs (h) = (a1) + (b) + (c1) + (c2) + (c3) + (d) + (e) | Funding rate (U) | Maximum EU contribution to eligible costs (l) = (U) * (h) | Requested EU contribution to eligible costs/€ (Requested grant amount) (m) (n) | Income generated by the action (o) | Financial contributions (q) | Own resources (r) | (s)=(n)+(o)+(p)+(q) + (r) |
| 1 | Participant 1 | NL | | | | | | | | | | | | | | | |
| 2 | Participant 2 | LB | | | | | | | | | | | | | | | |
| | Affiliated Entity | LB | | | | | | | | | | | | | | | |
| 3 | Participant 3 | DE | | | | | | | | | | | | | | | |
| | Associated Partner | AR | | | | | | | | | | | | | | | |
| Total | | | | | | | | | | | | | | | | | |



Possible 'Other cost categories' for Horizon Europe

Questions regarding the budget? contract-office-eemcs@utwente.nl

**Jorik Beumer**

Project Finance admin

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Source: Webinar: How to prepare a successful proposal in Horizon Europe

# Maximum funding rates

| 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% |

Other funding rates may be set out in the specific call conditions

European Commission

# ETHICS SELF-ASSESSMENT (PART A)

**Petri de Willigen**

Research support specialist

Ethics table and self-assessment paragraph

"*Describe how the issue(s) identified in the ethics issues table above will be addressed in order to adhere to the ethical principles,…"*

New: research on (applications of) AI

Support: Questions of self assessment questionnaire can help identify ethical issues, advice on ethics self-assessment.

*Security issues table*

*Please indicate, by answering Yes or No to all of the questions in the below table, if the proposed activity will use and/or generate information which might raise security concerns. If an answer is Yes, then indicate in the adjacent box at which page in your full proposal further information relating to that issue can be found.*

| | | |
|---|---|---|
| 1. EU classified information (EUCI)[2] | | |
| Does this activity involve information and/or materials requiring protection against unauthorised disclosure (EUCI)? | | ○ Yes ○ No |
| If **YES**: | Is the activity going to use classified information as background[3] information? | ○ Yes ○ No |
| | Is the activity going to generate EU classified foreground[4] information as results? | ○ Yes ○ No |
| Does this activity involve non-EU countries? | | ○ Yes ○ No |
| If **YES**: | Do participants from non-EU countries need to have access to EUCI? | ○ Yes ○ No |
| | Do the non-EU countries concerned have a security of information agreement with the EU | ○ Yes ○ No |
| 2. MISUSE | | |
| Does this activity have the potential for misuse of results? | | ○ Yes ○ No |
| If **YES**: | Does the activity provide knowledge, materials and technologies that could be channelled into crime and/or terrorism? | ○ Yes ○ No |
| | Could the activity result in the development of chemical, biological, radiological or nuclear (CBRN) weapons and the means for their delivery? | ○ Yes ○ No |
| 3. OTHER SECURITY ISSUES | | |
| Does this activity involve information and/or materials subject to national security restrictions? | | ○ Yes ○ No |
| If yes, please specify: *(Maximum number of characters allowed: 1000)* | | |



Knowledge Safety Office



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# EXCELLENCE 1.1

In this section, the main question is: **WHAT** will the consortium carry out with this proposal?

***Excellence – aspects to be taken into account.***

- 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, interdisciplinary 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.

**1.1 Objectives and ambition** *[e.g. 4 pages]*

- Briefly describe the objectives of your proposed work. Why are they pertinent to the work programme topic? Are they measurable and verifiable? Are they realistically achievable?
- Describe how your project goes beyond the state-of-the-art, and the extent the proposed work is ambitious. Indicate any exceptional ground-breaking R&I, novel concepts and approaches, new products, services or business and organisational models. Where relevant, illustrate the advance by referring to products and services already available on the market. Refer to any patent or publication search carried out.
- Describe where the proposed work is positioned in terms of R&I maturity (i.e. where it is situated in the spectrum from 'idea to application', or from 'lab to market'). Where applicable, provide an indication of the Technology Readiness Level, if possible distinguishing the start and by the end of the project.

⚠ *Please bear in mind that advances beyond the state of the art must be interpreted in the light of the positioning of the project. Expectations will not be the same for RIAs at lower TRL, compared with Innovation Actions at high TRLs.*



- Have S.M.A.R.T objectives:
  - Specific: What are the objectives to be reached? What are you going to achieve? Use action words.
  - Measurable: Does the objective lead to a concrete end result (a model, a theory, a technology...)? Is it clear when the objective will be achieved? Provide a way to evaluate.
  - Achievable: Does the objective fit in the scope of the topic and is it possible to accomplish?
  - Relevant: Does the objective make sense in the frame of expertise in the consortium?
  - Time-bound: State when you'll get the objective done and what intermediate steps are needed to do this (in time)
- Use the call analysis
- Emphasize all aspects where the project will make the difference and quantify impacts where possible
- Indicate where your project starts and ends and substantiate this. Use 'Technology Readiness Levels' (TRL) for this purpose.

# EXCELLENCE 1.1 OBJECTIVES AND AMBITION

Show that the proposal covers the scope and addresses the expected outcomes of the topic description.

To ensure that the objectives are pertinent to the topic description, you could include a comparative table (or call analysis):

| Specific scope / challenge of topic n | What the contribution of project ABC will be to the specific scope / challenge |
|---|---|
| | |
| | |
| | |

In the final version of the proposal, there is no need to include the entire topic description in such a table. Limit yourself to the essential elements of the topic description and the specific objectives/activities within the project.

# EXCELLENCE 1.2

**1.2 Methodology** *[e.g. 15 pages]*

- Describe and explain the overall methodology, including the concepts, models and assumptions that underpin your work. Explain how this will enable you to deliver your project's objectives. Refer to any important challenges you may have identified in the chosen methodology and how you intend to overcome them. *[e.g. 10 pages]*

  - ⚠ *This section should be presented as a narrative. The detailed tasks and work packages are described below under 'Implementation'.*

  - ⚠ *Where relevant, include how the project methodology complies with the 'do no significant harm' principle as per Article 17 of Regulation (EU) No 2020/852 on the establishment of a framework to facilitate sustainable investment (i.e. the so-called 'EU Taxonomy Regulation'). This means that the methodology is designed in a way it is not significantly harming any of the six environmental objectives of the EU Taxonomy Regulation.*

- Describe any national or international research and innovation activities whose results will feed into the project, and how that link will be established; *[e.g. 1 pages]*

- Explain how expertise and methods from different disciplines will be brought together and integrated in pursuit of your objectives. If you consider that an inter-disciplinary approach is unnecessary in the context of the proposed work, please provide a justification. *[e.g. 1/2 page]*



- For topics where the work programme indicates the need for the integration of social sciences and humanities, show the role of these disciplines in the project or provide a justification if you consider that these disciplines are not relevant to your proposed project. *[e.g. 1/2 page]*

- 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*



- Be specific about the methods, techniques, approaches, theories used during the project.
- With regards to the concepts, models and assumption, it is important to state what the solution is of the project is. Does the project provide a solution for a particular end user (the consumer, patient, professional, etc.)? For certain policies? For different disciplines? Who is asking for the outcomes and/or who is going to benefit from your solution(s)?

  Answers to these questions are also relevant for Impact Section 2

- Provide evaluators with an overview of (international) projects related to the objectives of your application
- For topics where the SSH is needed, it is crucial to ensure that contributions from SSH disciplines are integrated throughout the proposed project.



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Source: Webinar: How to prepare a successful proposal in Horizon Europe

# Gender dimension in R&I content

**Gender Dimension**

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

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

## Why is gender dimension important?

- Why do we observe differences between women and men in infection levels and mortality rates in the COVID-19 pandemic?
- Does it make sense to study cardiovascular diseases only on male animals and on men, or osteoporosis only on women?
- Does it make sense to design car safety equipment only on the basis of male body standards?
- Is it responsible to develop AI products that spread gender and racial biases due to a lack of diversity in the data used in training AI applications?
- Is it normal that household travel surveys, and thus mobility analysis and transport planning, underrate trips performed as part of caring work?
- Did you know that pheromones given off by men experimenters, but not women, induce a stress response in laboratory mice sufficient to trigger pain relief?
- And did you know that climate change is affecting sex determination in a number of marine species and that certain populations are now at risk of extinction?

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ission

Source: Webinar: How to prepare a successful proposal in Horizon Europe

# Open Science across the programme

**Open Science**

**Open science is an approach based on open cooperative work and systematic sharing of knowledge and tools as early and widely as possible in the process. Including active engagement of society**

**Mandatory immediate Open Access to publications:** beneficiaries must retain sufficient IPRs to comply with open access requirements;

**Data sharing as 'open as possible, as closed as necessary':** mandatory Data Management Plan for FAIR (Findable, Accessible, Interoperable, Reusable) research data

- Work Programmes may incentivize or oblige to adhere to **open science practices** such as involvement of citizens, or to use the **European Open Science Cloud**
- Assessment of open science practices through the **excellence award criteria** for proposal evaluation. Under **quality of participants** previous experience on open sciences practices will be evaluated positively.
- Dedicated support to **open science policy actions**
- **Open Research Europe** publishing platform

European Commission

# OPEN SCIENCE / PRACTICES (PART B)

- **early and open sharing** of research (for example through preregistration, registered reports, pre-prints, or crowd-sourcing)
- measures to ensure **reproducibility** of research outputs
- providing **open access** to research outputs (e.g. publications, data, software, models, algorithms, and workflows) through deposition in trusted repositories
- participation in **open peer-review**
- **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)

**Marco van Veller**

Information specialist

Open Science/OA "*Describe how appropriate open science practices are implemented as an integral part of the proposed methodology*."

New: OA for peer-reviewed publications is mandatory
(Plan S: immediately, published version, license for re-use)

Support: Advice on options and routes for OA journals, Plan S demands.

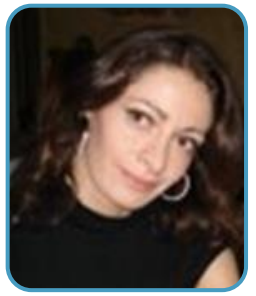
# DATA MANAGEMENT (PART B)

Open Science/RDM

"*Research data management and management of other research outputs: Applicants generating/collecting data and/or other research outputs (except for publications) during the project must provide maximum 1 page on how the data/ research outputs will be managed in line with the FAIR principles*"

New: FAIR data

Support: Working on guidelines for the data paragraph and Data Management Plan (DMP, deliverable 6 month after start of project)



**Marianna Avetisyan**

Data steward

# IMPACT 2.1

In this section, the main question is: **WHY** is the proposed action(s) relevant (and worth supporting)?

## 2. Impact

***Impact – aspects to be taken into account.***

- 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.

*The results of your project should make a contribution to the expected outcomes set out for the work programme topic over the medium term, and to the wider expected impacts set out in the 'destination' over the longer term.*

*In this section you should show how your project could contribute to the outcomes and impacts described in the work programme, the likely scale and significance of this contribution, and the measures to maximise these impacts.*

**2.1 Project's pathways towards impact** *[e.g. 4 pages]*

- Provide a **narrative** explaining how the project's results are expected to make a difference in terms of impact, beyond the immediate scope and duration of the project. The narrative should include the components below, tailored to your project.

  (a) Describe the unique contribution your project results would make towards (1) the **outcomes** specified in this topic, and (2) the **wider impacts**, in the longer term, specified in the respective destinations in the work programme.

  ⚠ *Be specific, referring to the effects of your project, and not R&I in general in this field.*

  ⚠ *State the target groups that would benefit. Even if target groups are mentioned in general terms in the work programme, you should be specific here, breaking target groups into particular interest groups or segments of society relevant to this project.*

  ⚠ *The outcomes and impacts of your project may:*

  - *Scientific, e.g. contributing to specific scientific advances, across and within disciplines, creating new knowledge, reinforcing scientific equipment and instruments, computing systems (i.e. research infrastructures);*



- *Economic/technological, e.g. bringing new products, services, business processes to the market, increasing efficiency, decreasing costs, increasing profits, contributing to standards' setting, etc.*
- *Societal , e.g. decreasing $CO_2$ emissions, decreasing avoidable mortality, improving policies and decision making, raising consumer awareness.*

*Only include such outcomes and impacts where your project would make a significant and direct contribution. Avoid describing very tenuous links to wider impacts. However, include any potential negative environmental outcome or impact of the project including when expected results are brought at scale (such as at commercial level). Where relevant, explain how the potential harm can be managed.*

(b) Describe any requirements and potential barriers - arising from factors beyond the scope and duration of the project - that may determine whether the desired outcomes and impacts are achieved. These may include, for example, other R&I work within and beyond Horizon Europe; regulatory environment; targeted markets; user behaviour. Indicate if these factors might evolve over time. Describe any mitigating measures you propose, within or beyond your project, that could be needed should your assumptions prove to be wrong, or to address identified barriers.

⚠ *Note that this does not include the critical risks inherent to the management of the project itself , which should be described below under 'Implementation'.*

(c) Give an indication of the scale and significance of the project's contribution to the expected outcomes and impacts, should the project be successful. Provide quantified estimates where possible and meaningful.

⚠ *'Scale' refers to how widespread the outcomes and impacts are likely to be. For example, in terms of the size of the target group, or the proportion of that group, that should benefit over time; 'Significance' refers to the importance, or value, of those benefits. For example, number of additional healthy life years; efficiency savings in energy supply.*

⚠ *Explain your baselines, benchmarks and assumptions used for those estimates. Wherever possible, quantify your estimation of the effects that you expect from your project. Explain assumptions that you make, referring for example to any relevant studies or statistics. Where appropriate, try to use only one methodology for calculating your estimates: not different methodologies for each partner, region or country (the extrapolation should preferably be prepared by one partner).*

⚠ *Your estimate must relate to this project only - the effect of other initiatives should not be taken into account.*





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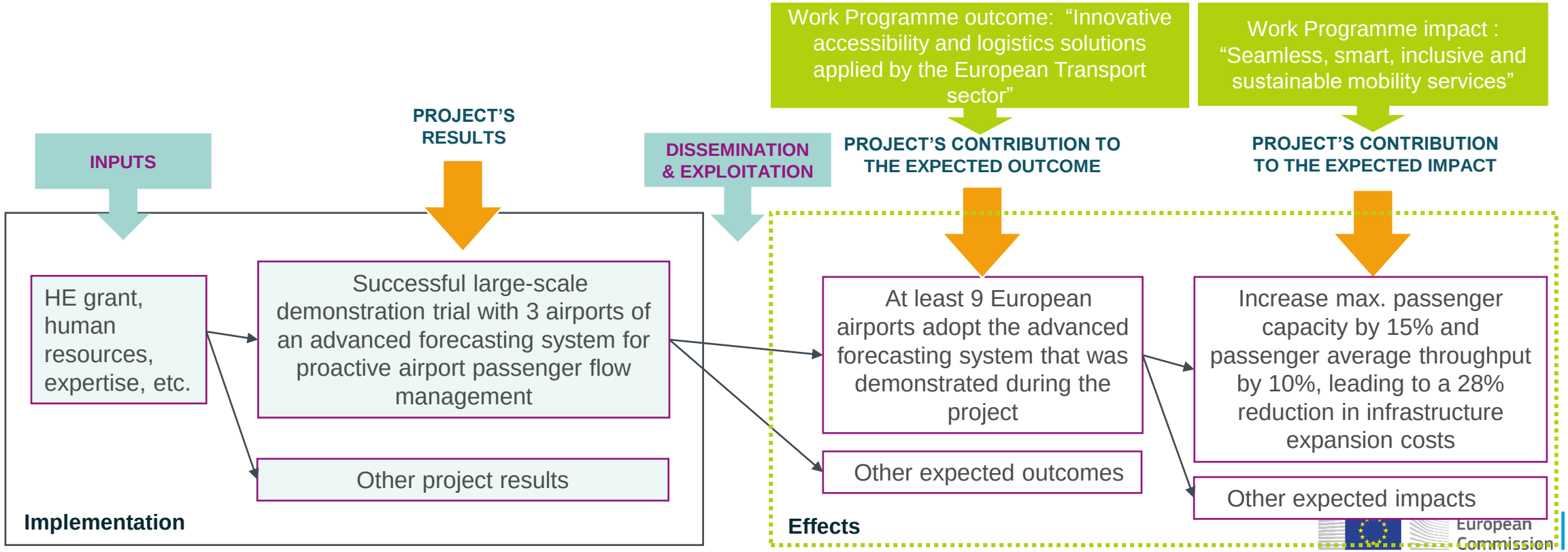
Source: Webinar: How to prepare a successful proposal in Horizon Europe

# Describing the impact of your proposal

**Project's pathway towards impact**

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



# IMPACT IMPLEMENTATION

| | Result | Outcome | Impact |
|---|---|---|---|
| **LEGAL BASE** [Objectives & KIPs] | | | Seamless, smart, inclusive and sustainable mobility services through new digital technologies |
| **STRATEGIC PLAN** [Policy priorities & R&I strategic orientation] | | | |
| **WORK PROGRAMME** [Destinations & Topics] | | Innovative logistics solutions applied by the European air transport sector | Seamless, smart, inclusive and sustainable air services |
| **HORIZON EUROPE PROJECT** [Project results] | Successful large-scale demonstration trial with 3 airports of an advanced forecasting system for proactive airport passenger flow management | At least 9 European airports adopt the advanced forecasting system that was demonstrated during the project | 15% increase of maximum passenger capacity in European airports |

**Maria Luisa Carosso**

EU Grants Advisor

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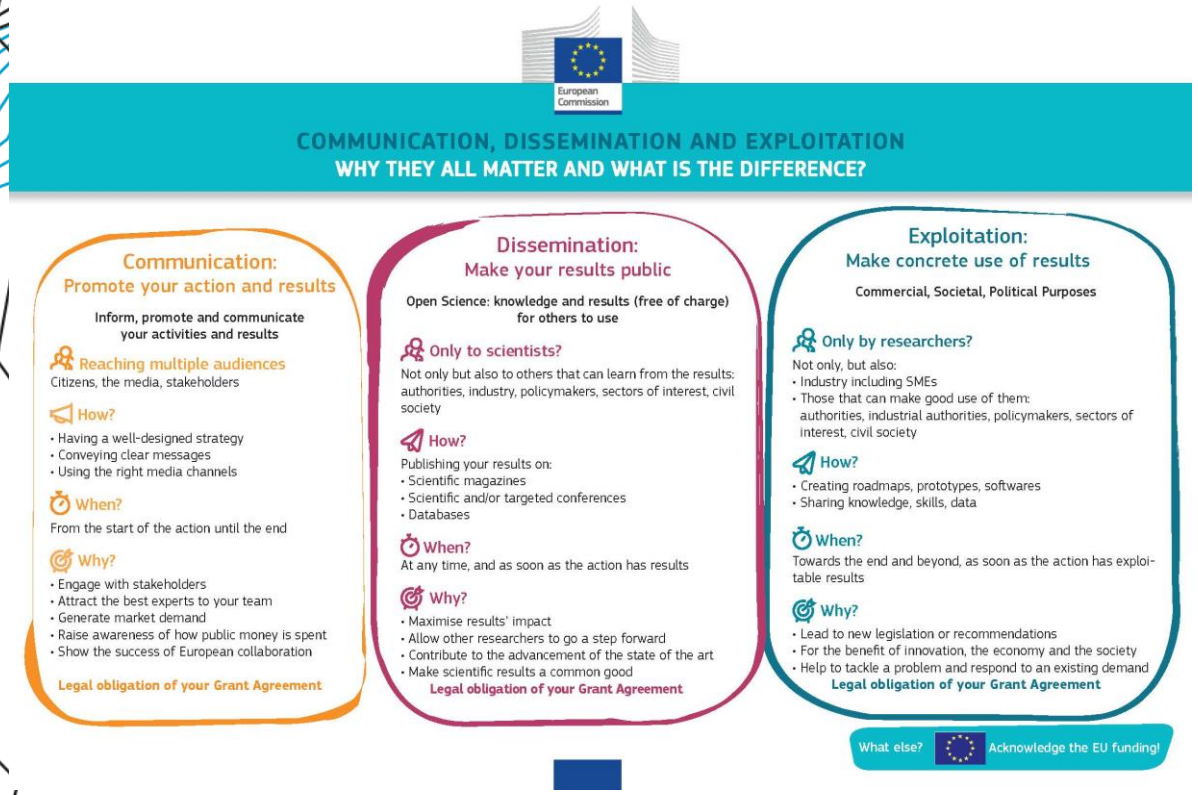
# IMPACT 2.2




**2.2 Measures to maximise impact - Dissemination, exploitation and communication** *[e.g. 5 pages, including section 2.3]*

- Describe the planned measures to maximise the impact of your project by providing a first version of your 'plan for the dissemination and exploitation including communication activities'. Describe the dissemination, exploitation and communication measures that are planned, and the target group(s) addressed (e.g. scientific community, end users, financial actors, public at large).

  ⚠ *Please remember that this plan is an admissibility condition, unless the work programme topic explicitly states otherwise. In case your proposal is selected for funding, a more detailed 'plan for dissemination and exploitation including communication activities' will need to be provided as a mandatory project deliverable within 6 months after signature date. This plan shall be periodically updated in alignment with the project's progress.*





⚠ *Communication[1] measures should promote the project throughout the full lifespan of the project. The aim is to inform and reach out to society and show the activities performed, and the use and the benefits the project will have for citizens. Activities must be strategically planned, with clear objectives, start at the outset and continue through the lifetime of the project. The description of the communication activities needs to state the main messages as well as the tools and channels that will be used to reach out to each of the chosen target groups.*

⚠ *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, e.g. standardisation activities. Your plan should give due consideration to the possible follow-up of your project, once it is finished. In the justification, explain why each measure chosen is best suited to reach the target group addressed. Where relevant, and for innovation actions, in particular, describe the measures for a plausible path to commercialise the innovations.*

⚠ *If exploitation is expected primarily in non-associated third countries, justify by explaining how that exploitation is still in the Union's interest.*

⚠ *Describe possible feedback to policy measures generated by the project that will contribute to designing, monitoring, reviewing and rectifying (if necessary) existing policy and programmatic measures or shaping and supporting the implementation of new policy initiatives and decisions.*

- Outline your strategy for the management of intellectual property, foreseen protection measures, such as patents, design rights, copyright, trade secrets, etc., and how these would be used to support exploitation.

  ⚠ *If your project is selected, you will need an appropriate consortium agreement to manage (amongst other things) the ownership and access to key knowledge (IPR, research data etc.). Where relevant, these will allow you, collectively and individually, to pursue market opportunities arising from the project.*

  ⚠ *If your project is selected, you must indicate the owner(s) of the results (results ownership list) in the final periodic report.*

Source: Webinar: How to prepare a successful proposal in Horizon Europe

# Measures to maximise impact

**Dissemination, exploitation and communication**

**To include a draft plan in proposal is an admissibility condition, unless the work programme topic explicitly states otherwise.**

**All measures should be proportionate to the scale of the project, and should contain concrete actions to be implemented both during and after the end of the project**

## Elements of the D&E&C plan

- **Planned measures** to maximise the impact of projects
- **Target groups** (e.g. scientific community, end users, financial actors, public at large) and **proposed channels** to interact
- **Communication measures** for promoting the project and its findings throughout the full lifespan of the project
- **Policy feedback** measures to contribute to policy shaping and supporting the implementation of new policy initiatives and decisions
- Follow-up plan to foster **exploitation/uptake** of the results
  - Comprehensive and feasible strategy for the **management of the intellectual property** (the provision of a results ownership list is mandatory at the end of the project)
  - If exploitation is expected primarily in non-associated third countries, give a convincing justification that this is still in the Union's interest.

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ission

# Proposal: The impact canvas new

**KEY ELEMENT OF THE IMPACT SECTION**

| SPECIFIC NEEDS | EXPECTED RESULTS | D & E & C MEASURES | TARGET GROUPS | OUTCOMES | IMPACTS |
|---|---|---|---|---|---|
| *What are the specific needs that triggered this project?*<br><br>Example 1<br>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.<br><br>Example 2<br>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. | What do you expect to generate by the end of the project?<br><br>Example 1<br>**Successful large-scale demonstrator:** **Successful large-scale demonstrator:** Trial with 3 airports of an advanced forecasting system for proactive airport passenger flow management.<br><br>**Algorithmic model:**<br>Novel algorithmic model for proactive airport passenger flow management.<br><br>Example 2<br>Publication of a **scientific discovery on transparent electronics.**<br><br>**New product:** More sustainable electronic circuits.<br><br>**Three PhD students trained.** | What dissemination, exploitation and communication measures will you apply to the results?<br><br>Example 1<br>**Exploitation:** Patenting the algorithmic model.<br><br>**Dissemination towards the scientific community and airports**: Scientific publication with the results of the large-scale demonstration.<br><br>**Communication towards citizens:** An event in a shopping mall to show how the outcomes of the action are relevant to our everyday lives.<br><br>Example 2<br>**Exploitation of the new product:** Patenting the new product; Licencing to major electronic companies.<br><br>**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. | *Who will use or further up-take the results of the project? Who will benefit from the results of the project?*<br><br>Example 1<br>**9 European airports**: Schiphol, Brussels airport, etc.<br><br>**The European Union aviation safety agency.**<br><br>**Air passengers (indirect).**<br><br>Example 2<br>**End-users**: consumers of electronic devices.<br><br>**Major electronic companies**: Samsung, Apple, etc.<br><br>**Scientific community** (field of transparent electronics). | *What change do you expect to see after successful dissemination and exploitation of project results to the target group(s)?*<br><br>Example 1<br>**Up-take by airports:** 9 European airports adopt the advanced forecasting system demonstrated during the project.<br><br>Example 2<br>**High use of the scientific discovery published** (measured with the relative rate of citation index of project publications).<br><br>A **major electronic company** (Samsung or Apple) **exploits/uses the new product** in their manufacturing. | *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?*<br><br>Example 1<br>**Scientific:** New breakthrough scientific discovery on passenger forecast modelling.<br><br>**Economic:** Increased airport efficiency<br>Size: 15% increase of maximum passenger capacity in European airports, leading to a 28% reduction in infrastructure expansion costs.<br><br>Example 2<br>**Scientific:** New breakthrough scientific discovery on transparent electronics.<br><br>**Economic/Technological:** A new market for touch enabled electronic devices.<br><br>**Societal:** Lower climate impact of electronics manufacturing (including through material sourcing and waste management). |

## Impact

- Credibility of the pathways towards impact
- Suitability & quality of the measures to maximise expected outcomes and impact (D&E&C draft plan) - including IPR
- Possibility to present a canvas

European Commission

# IMPLEMENTATION 3

**3.1 Work plan and resources** *[e.g. 14 pages – including tables]*

Please provide the following:

- brief presentation of the overall structure of the work plan;
- timing of the different work packages and their components (Gantt chart or similar);
- graphical presentation of the components showing how they inter-relate (Pert chart or similar).
- detailed work description, i.e.:
  - a list of work packages (table 3.1a);
  - a description of each work package (table 3.1b);
  - a list of deliverables (table 3.1c);

    ⚠ *Give full details. Base your account on the logical structure of the project and the stages in which it is to be carried out. The number of work packages should be proportionate to the scale and complexity of the project.*

    ⚠ *You should give enough detail in each work package to justify the proposed resources to be allocated and also quantified information so that progress can be monitored, including by the Commission*

    ⚠ *Resources assigned to work packages should be in line with their objectives and deliverables. You are advised to include a distinct work package on 'project management', and to give due visibility in the work plan to 'data management' 'dissemination and exploitation' and 'communication activities', either with distinct tasks or distinct work packages.*

    ⚠ *You will be required to update the 'plan for the dissemination and exploitation of results including communication activities', and a 'data management plan', (this does not apply to topics where a plan was not required.) This should include a record of activities related to dissemination and exploitation that have been undertaken and those still planned.*

    ⚠ *Please make sure the information in this section matches the costs as stated in the budget table in section 3 of the application forms, and the number of person months, shown in the detailed work package descriptions.*

- a list of milestones (table 3.1d);
- a list of critical risks, relating to project implementation, that the stated project's objectives may not be achieved. Detail any risk mitigation measures. You will be able to update the list of critical risks and mitigation measures as the project progresses (table 3.1e);





- a table showing number of person months required (table 3.1f);
- a table showing description and justification of subcontracting costs for each participant (table 3.1g);
- a table showing justifications for 'purchase costs' (table 3.1h) for participants where those costs exceed 15% of the personnel costs (according to the budget table in proposal part A);
- if applicable, a table showing justifications for 'other costs categories' (table 3.1i);
- if applicable, a table showing in-kind contributions from third parties (table 3.1j)

**3.2 Capacity of participants and consortium as a whole** *[e.g. 3 pages]*

⚠ *The individual members of the consortium are described in a separate section under Part A. There is no need to repeat that information here.*

- Describe the consortium. How does it match the project's objectives, and bring together the necessary disciplinary and inter-disciplinary knowledge. Show how this includes expertise in social sciences and humanities, open science practices, and gender aspects of R&I, as appropriate. Include in the description affiliated entities and associated partners, if any.
- Show how the partners will have access to critical infrastructure needed to carry out the project activities.
- Describe how the members complement one another (and cover the value chain, where appropriate)
- In what way does each of them contribute to the project? Show that each has a valid role, and adequate resources in the project to fulfil that role.
- If applicable, describe the industrial/commercial involvement in the project to ensure exploitation of the results and explain why this is consistent with and will help to achieve the specific measures which are proposed for exploitation of the results of the project (see section 2.2).
- **Other countries and international organisations**: If one or more of the participants requesting EU funding is based in a country or is an international organisation that is not automatically eligible for such funding (entities from Member States of the EU, from Associated Countries and from one of the countries in the exhaustive list included in the Work Programme General Annexes B are automatically eligible for EU funding), explain why the participation of the entity in question is essential to successfully carry out the project.

# IMPLEMENTATION 3

- In this section, the main question is: **HOW** will the consortium carry out the proposed actions?
- Explain the construction of WPs. The number of WPs should be proportional to the size of the project.
- Use a Gantt chart to show the timeline of WPs.
- Collaboration within WPs: A WP has objectives, tasks and deliverables. To achieve an objective a task is defined, the deliverable is the way to show how a task will be completed.
- Although the template does not ask for information about the management and organisation of the project, it is advisable to describe the **project organisation** and **how decisions are made**.
- Ensure that all competencies are present within the consortium, and that all partners add value.
- The decision to include a subcontractor in a project proposal should always be carefully considered.
- A common question is whether it is wise to include a partner from the EU-13 in the consortium. The EC's objective is to encourage participation of parties from EU-13. From an impact point of view, it is advisable to include countries in the whole of Europe. At the end of the day, what counts is the **quality of the consortium**: are the partners excellent and do they really add something to the consortium?

Source: Webinar: How to prepare a successful proposal in Horizon Europe

# Do no significant harm principle (DNSH)

**European Green Deal**

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

- Applicants **can refer to the DNSH principle** when presenting their research methodology and the expected impacts of the project, to show that their project will not carry out activities that make a significant harm to any of the six environmental objectives of the EU Taxonomy Regulation.
- However, evaluators **will not score applications in relation to their compliance with the DNSH principle** unless explicitly stated in the work programme (currently, this is the case only for actions in the European Innovation Council Work Programme 2021).

**The six environmental objectives：**

- **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**

Source: Webinar: How to prepare a successful proposal in Horizon Europe

# Artificial intelligence

**Trustworthy Artificial Intelligence**

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

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

**(*) Technical robustness refers to technical aspects of AI systems and development, including resilience to attack and security, 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.

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ssion

Source: Webinar: How to prepare a successful proposal in Horizon Europe

# Evaluation (award) criteria

## Same criteria as in H2020

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

## Adapted following lessons learnt

- The number of '**aspects to be taken into account**' have been **reduced**, ensuring that the same aspect is not assessed twice
- **Open Science** practices assessed as part of the scientific methodology in the excellence criterion
- **New approach to impact**: Key Impacts Pathways (KIPs)
- The assessment of the **quality of applicants** is assessed under 'implementation', rather than as a separate binary assessment of operational capacity
- Assessment of **management structures** has been removed.

European Commission

Source: Webinar: How to prepare a successful proposal in Horizon Europe

# Evaluation criteria (RIAs and IAs)

## 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.

## 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 maximize expected outcomes and impacts**, as set out in the dissemination and exploitation plan, including communication activities.

## QUALITY AND EFFICIENCY OF THE IMPLEMENTATION

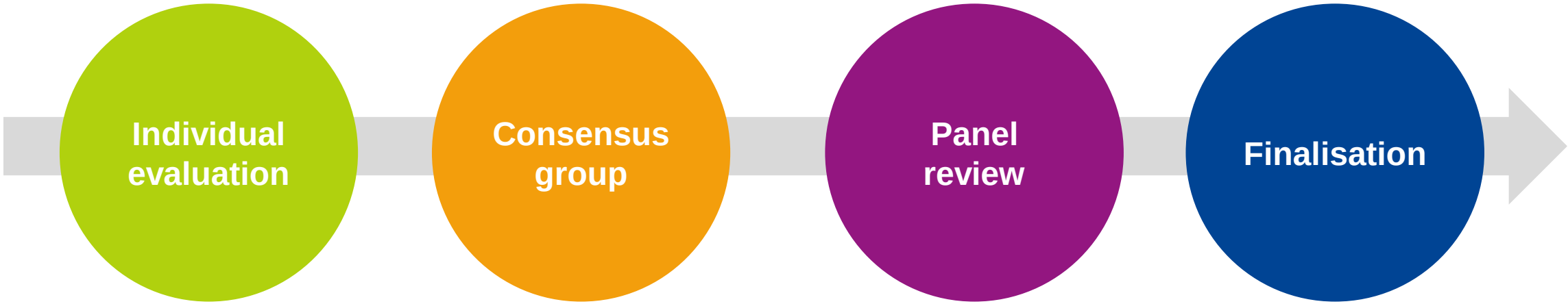
- ✓ Quality and effectiveness of the **work plan**, assessment of risks, and appropriateness of the effort assigned to work packages, and the resources overall.
- ✓ Capacity and role of each **participant**, and extent to which the **consortium** as a whole brings together the necessary expertise.

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

European Commission

Source: Webinar: How to prepare a successful proposal in Horizon Europe

# Standard evaluation process




Experts assess proposals **individually**. Minimum of three experts per proposal (but often more than three).

All individual experts discuss together to agree on a **common position**, including comments and scores for each proposal.

The panel of experts reach an **agreement** on the scores and comments for all proposals within a call, checking **consistency across the evaluations**.

if necessary, resolve cases where evaluators were unable to agree.

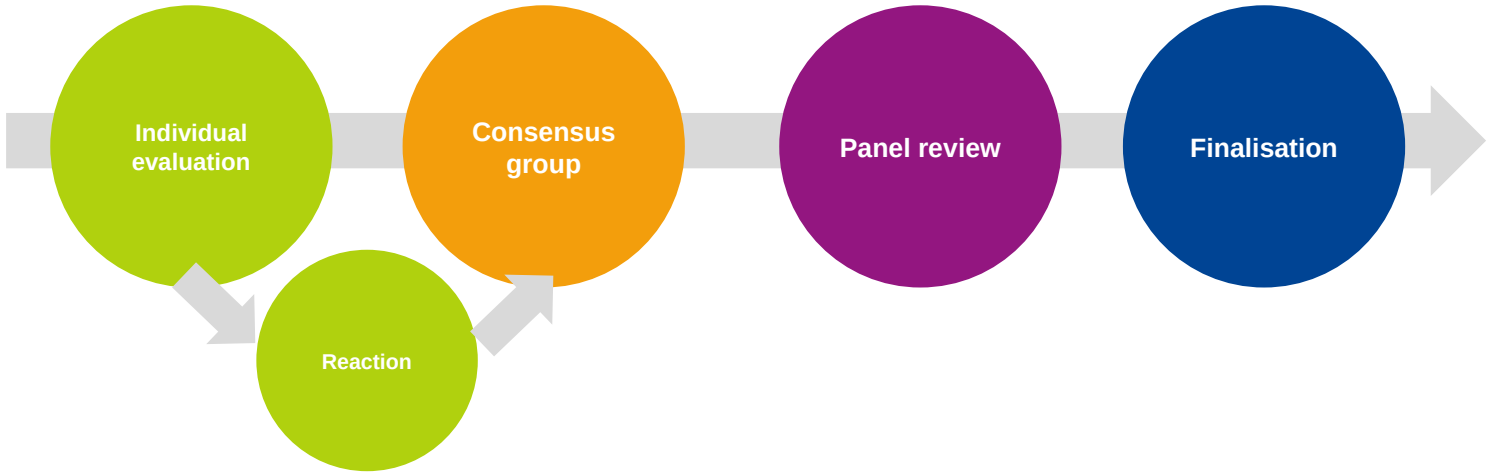
Rank the proposals with the same score

The Commission/Agency reviews the results of the experts' evaluation and puts together the **final ranking list**.

European Commission

Source: Webinar: How to prepare a successful proposal in Horizon Europe

# Piloting new processes based on lessons learnt




## Right-to-react (Rebuttal)

- Objective is to increase transparency, to correct any factual or major misunderstandings by experts at an early stage, and provide more detailed feedback to applicants.
- Applicants will send their reactions to draft experts comments
- Experts will take applicants' reaction into account before finalising their final assessment.

# Piloting new processes based on lessons learnt

## 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.

Source: Webinar: How to prepare a successful proposal in Horizon Europe

# Ethics review

## Same criteria as in H2020

For all activities funded, ethics is an **integral part** of research from beginning to end, and **ethical compliance** is essential to achieve real research excellence. An ethics review process is carried out systematically in all Horizon Europe proposals, based on a **self-assessment** included in the proposal.

Ethical research conduct implies the application of fundamental ethical principles and legislation in all possible domains of research. This includes the adherence to the highest standards of **research integrity** as described in the **European Code of Conduct for Research Integrity**.

## Adapted following lessons learnt

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

European Commission

Source: Webinar: How to prepare a successful proposal in Horizon Europe

# Security scrutiny

## New in Horizon Europe

Security issues will be checked **systematically** in all Horizon Europe proposals (in H2020 only proposals submitted to topics flagged as 'security-sensitive' were checked). The checks are based on a **self-assessment** included in the proposal. The focus is on:

- Whether the proposal uses or generates **EU classified information**
- Potential of **misuse** of results (that could be channeled into crime or terrorism)
- Whether activities involve information or materials subject to **national security restrictions**

The checks based on the self-assessment may trigger an in-depth security scrutiny.

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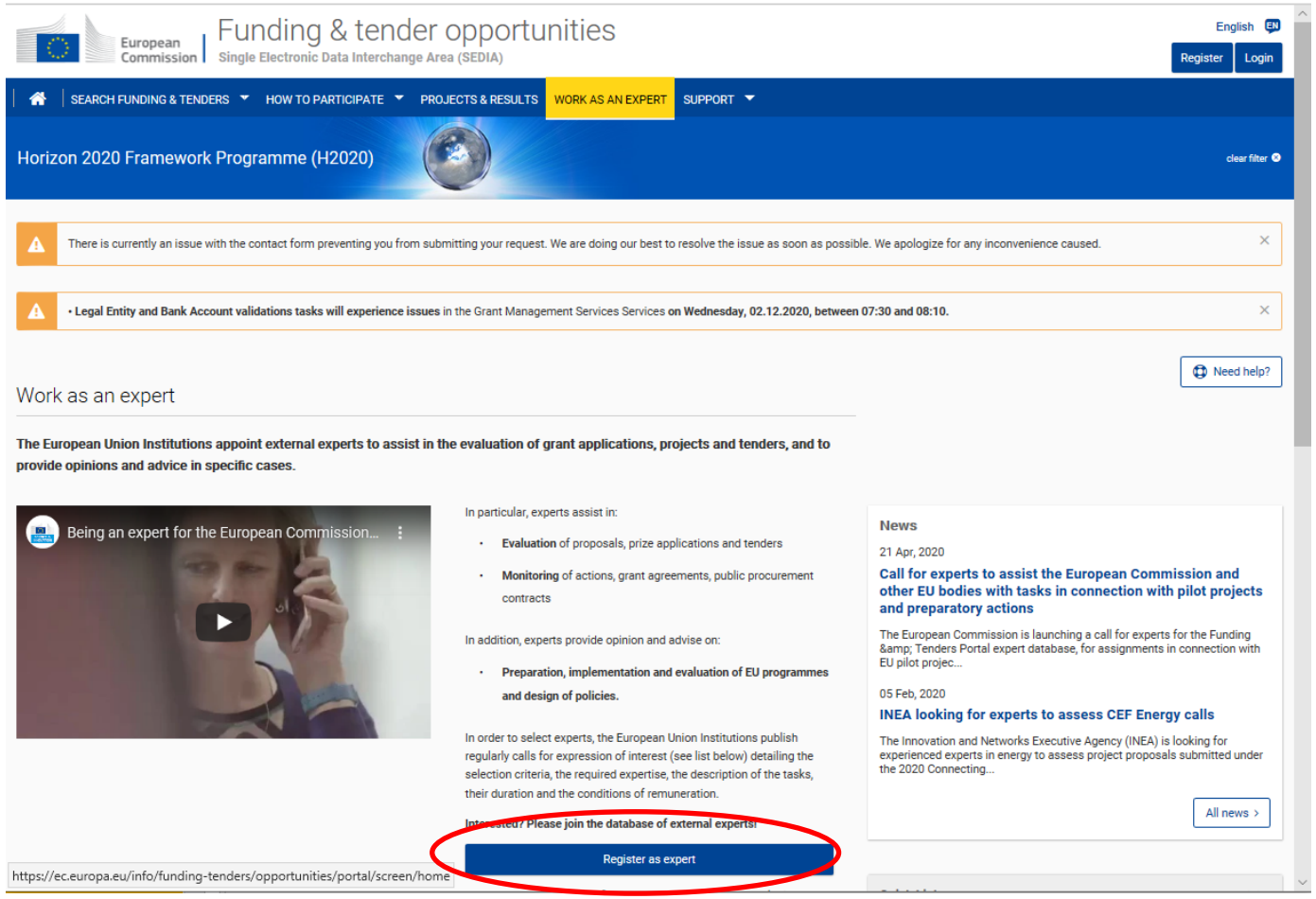
Source: Webinar: How to prepare a successful proposal in Horizon Europe

# … one final point

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You can register in the EU experts database at any time.

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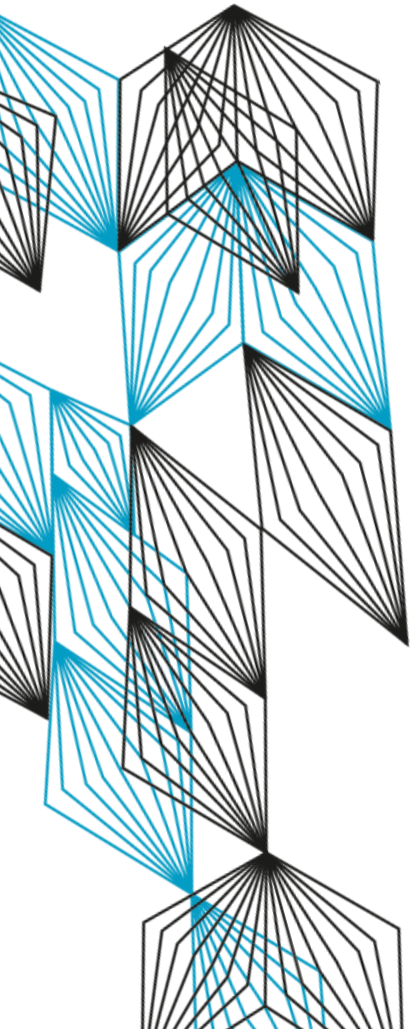
# QUESTIONS?

# SUGGESTIONS ARE WELCOME



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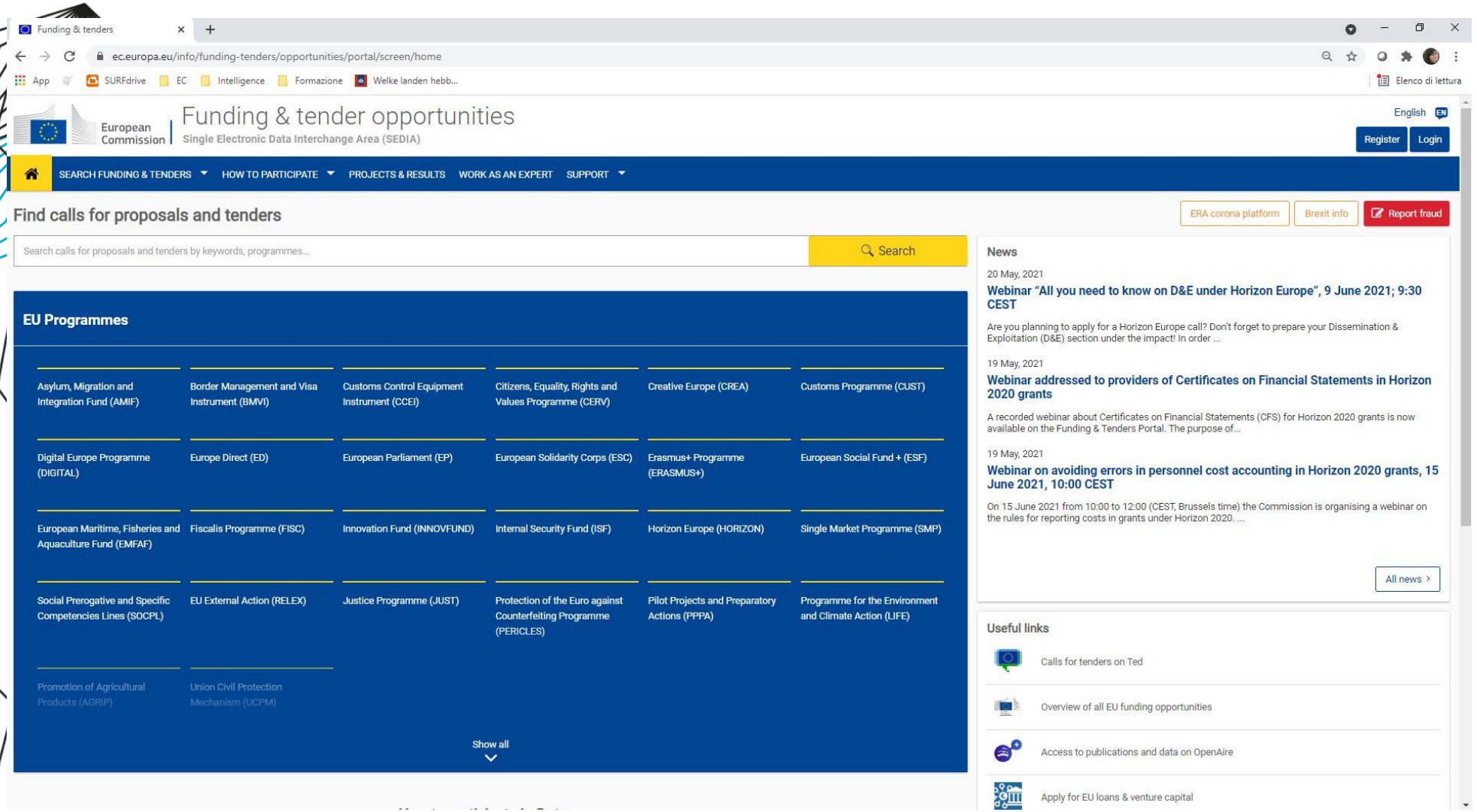
# WANT TO STAY UP-TO-DATE?



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# WANT TO STAY UP-TO-DATE?

## Horizon Europe | Onderzoek en Innovatie

Inhoud van deze pagina

- Voor wie?
- Structuur
- RVO ondersteunt
- Overzicht adviseurs
- Meer weten?

Gewijzigd op: 11-03-2021

**Is uw bedrijf of kennisinstelling in internationaal verband bezig met onderzoek, technologische ontwikkeling en/of innovatie? Dan kan het Europese programma Horizon Europe u vanaf 2021 ondersteuning bieden.**

Horizon Europe bouwt voort op het succes van Horizon 2020 voor de periode 2021-2027. Met Horizon Europe wil de Europese Commissie (EC) het concurrentievermogen van Europa vergroten door wetenschap en innovatie te stimuleren. Daarnaast wil de EC het bedrijfsleven en de academische wereld uitdagen om samen oplossingen te bedenken voor maatschappelijke vraagstukken die in heel Europa spelen.

### Voor wie?

Horizon Europe biedt straks veel kansen voor:

- Iedere organisatie die actief is in onderzoek, technologische ontwikkeling en/of innovatie in internationaal verband;
- Individuele onderzoekers.

### Structuur

De structuur van Horizon Europe is vergelijkbaar met de pijlerstructuur van Horizon 2020. Het programma bestaat uit 3 pijlers en enkele horizontale acties. Nieuw in Horizon Europe zijn de missies. Via deze missies kunt u financiering ontvangen voor projecten die bijdragen aan het oplossen van specifieke maatschappelijke uitdagingen, zoals de strijd tegen kanker en klimaatverandering. Een andere grote verandering binnen Horizon Europe is de versimpeling van het 'landschap van partnerschappen'.

- Lees meer over de structuur van Horizon Europe.
- Lees meer over de Missies en Partnerschappen binnen Horizon Europe.

### RVO ondersteunt

Wilt u op de hoogte blijven van de ontwikkelingen binnen Horizon Europe en andere Europese programma's? Meld u zich dan via het interesseformulier. Wij berichten u bijvoorbeeld over: nieuws en updates, evenementen, workshops en trainingen en belangrijke veranderingen binnen specifieke (werk)programma's.

Heeft u vragen over Horizon Europe, neem dan contact op met team IRIS (teamiris@rvo.nl) of één van onze adviseurs. Zij kennen de regels en wensen van de Europese Commissie en anders zoeken ze het voor u uit. Zo verhoogt u de kans op een succesvolle deelname aan Horizon Europe. Uw adviseur denkt mee over de inhoud van uw project, adviseert over de haalbaarheid ervan en weet binnen welk programma(onderdeel) uw project het beste past. Uw adviseur weet ook hoe u projectpartners vindt.

**Meer weten over Horizon Europe?**

*Neem contact met ons op*

Blijf op de hoogte

- Nieuws over Horizon Europe
- Agenda Horizon Europe
- Nieuwsbrief RVO

Uitgelicht

› ERC Starting and Consolidator grant training course

Ook interessant voor u

- Eurostars: subsidie internationale marktgerichte R&D
- Eureka: programma internationale marktgerichte R&D

[Overzicht adviseurs](#)



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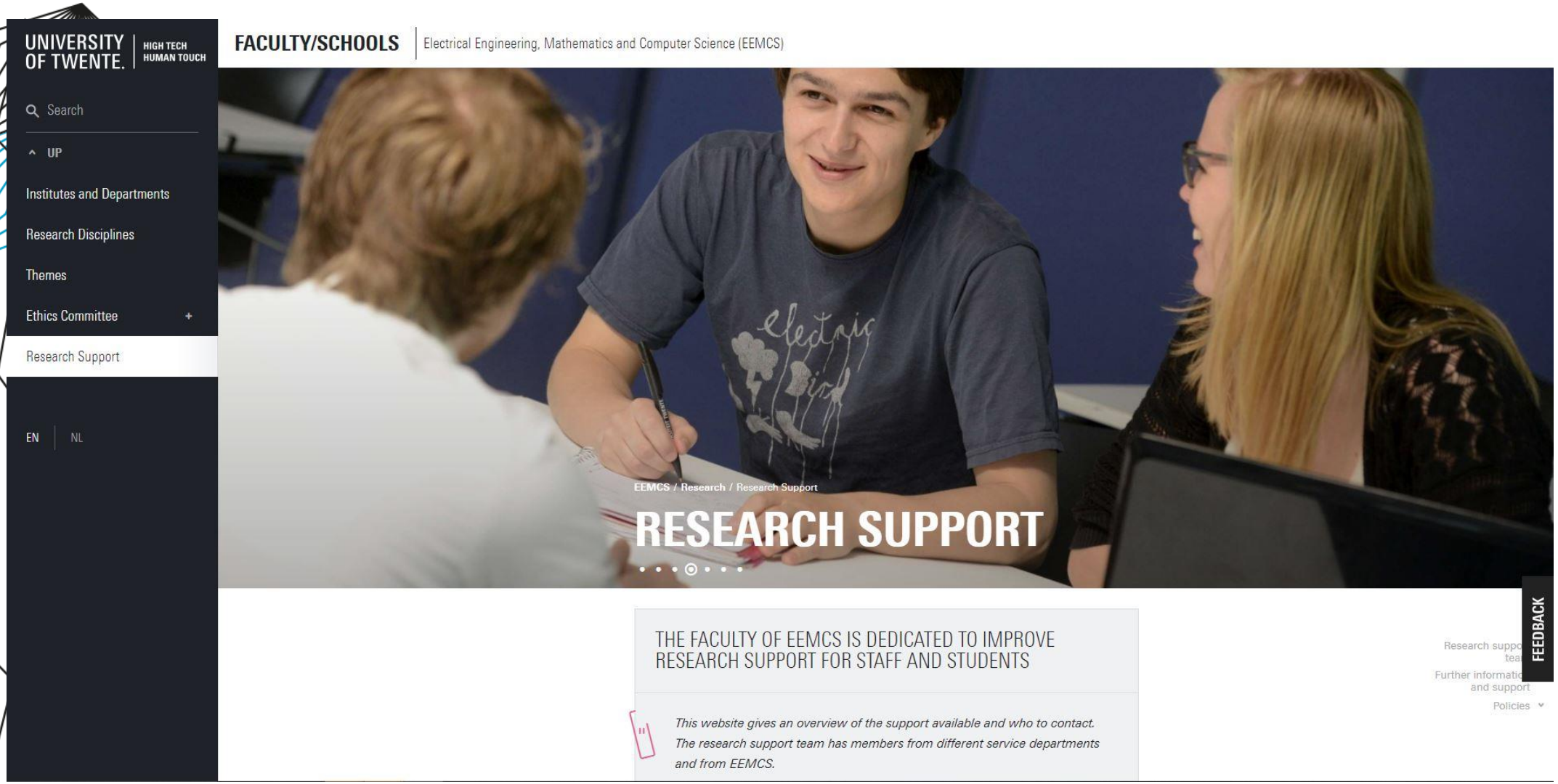
# WANT TO STAY UP-TO-DATE?



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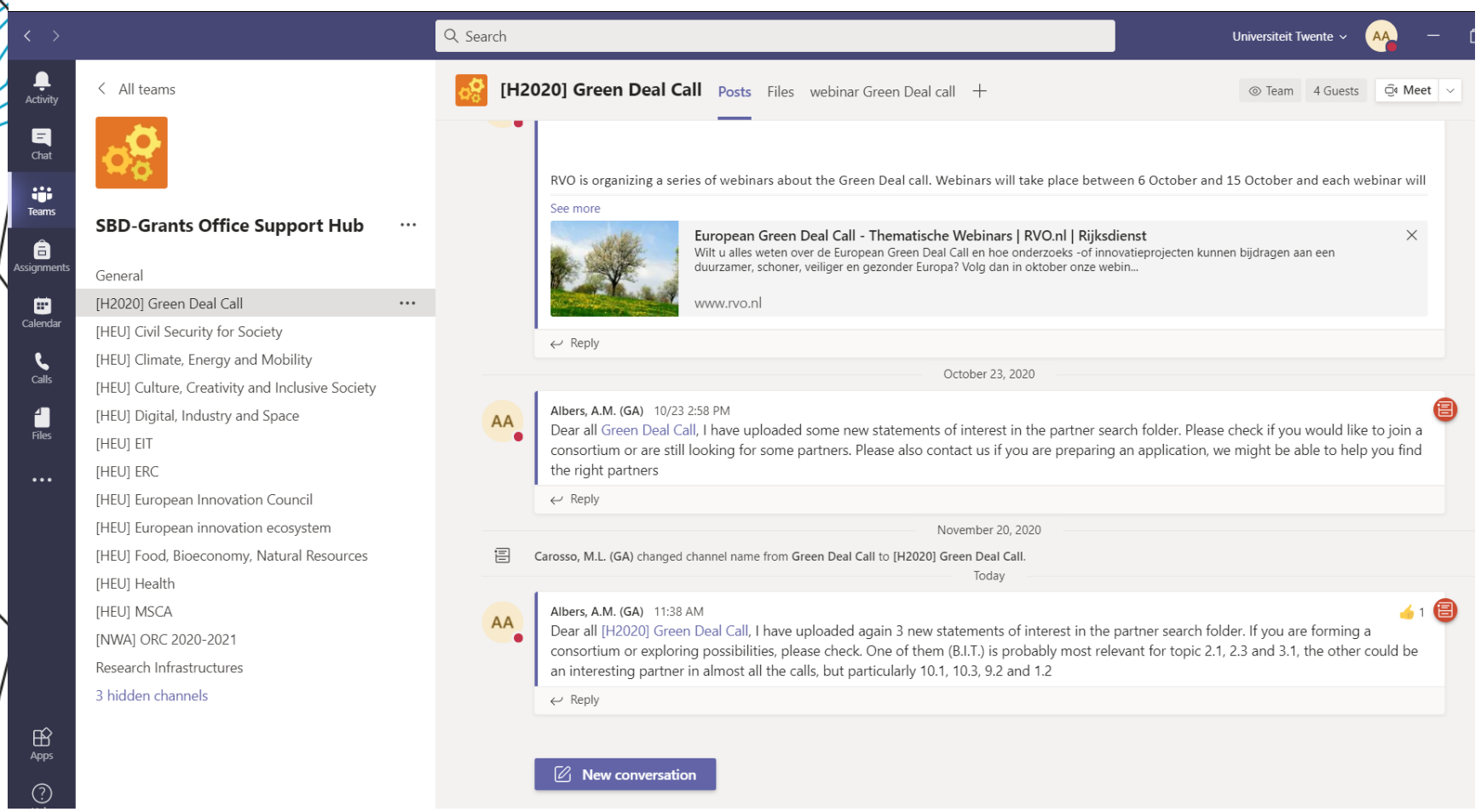
# WANT TO STAY UP-TO-DATE?
# SBD-GRANTS OFFICE SUPPORT HUB ON TEAMS



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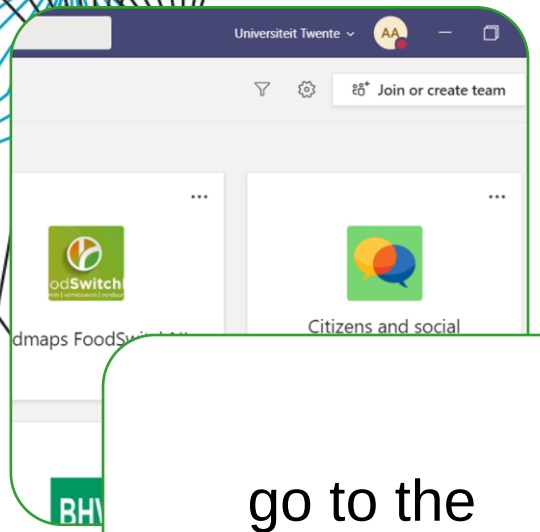
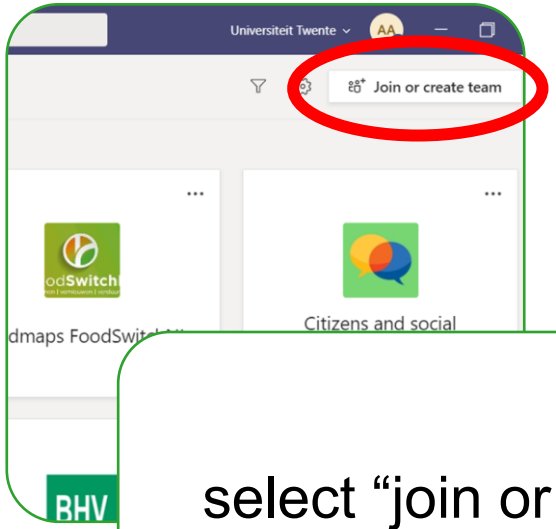
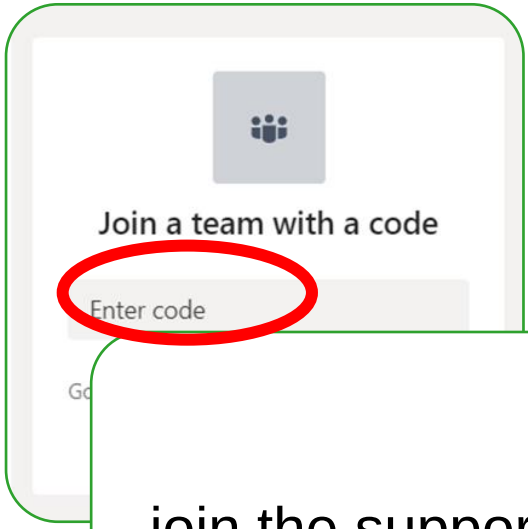
# HOW TO JOIN THE HUB




go to the overview page with all your teams




select “join or create team” in the right upper corner




join the support hub TEAM using code: **0x59ec4**



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