
HORIZON EUROPE CLUSTER 6

Evaluation aspects & advice for quality proposals



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Call deadlines in 2024

Call opening: 17 October 2023

| Call Deadlines | Calls | Budget |
|-----------------------------|-----------------------------------|----------|
| 21 Feb 2024/ 17 Sep 2024 | HORIZON-CL6-2024-ZEROPOLLUTION-02 | 23.0 M€ |
| 22 Feb 2024 | HORIZON-CL6-2024-BIODIV-01 | 76.0 M€ |
| | HORIZON-CL6-2024-CIRCBIO-01 | 74.5 M€ |
| | HORIZON-CL6-2024-CLIMATE-01 | 75.0 M€ |
| | HORIZON-CL6-2024-COMMUNITIES-01 | 15.0 M€ |
| | HORIZON-CL6-2024-FARM2FORK-01 | 95.0 M€ |
| | HORIZON-CL6-2024-ZEROPOLLUTION-01 | 38.0 M€ |
| 22 Feb 2024/ 17 Sep 2024 | HORIZON-CL6-2024-BIODIV-02 | 36.0 M€ |
| | HORIZON-CL6-2024-CIRCBIO-02 | 73.0 M€ |
| | HORIZON-CL6-2024-COMMUNITIES-02 | 22.0 M€ |
| | HORIZON-CL6-2024-FARM2FORK-02 | 69.0 M€ |
| 28 Feb 2024 | HORIZON-CL6-2024-GOVERNANCE-01 | 133.5 M€ |

Type of actions

| | Eligible activities | Maximum funding rate | Page limit (single stage and second stage) |
|--|--|--|---|
|  <p>Research and Innovation Actions (RIA) 47 %</p> | <p>Activities to establish new knowledge or to explore the feasibility of a new or improved technology, product, process, service or solution.</p> | <p>100%</p> | <p>45 pages LS: 50 pages</p> |
|  <p>Innovation Actions (IA) 33 %</p> | <p>Activities to produce plans and arrangements or designs for new, altered or improved products, processes or services.</p> | <p>70% (non-profit legal entities: 100%)</p> | <p>45 pages</p> |
|  <p>Coordination and Support Actions (CSA) 17 %</p> | <p>Activities that contribute to the objectives of Horizon Europe. R&I activities are excluded.</p> | <p>100%</p> | <p>30 pages LS: 33 pages</p> |
|  <p>Programme Co-fund Actions (CoFund) 1 %</p> | <p>A programme of activities established or implemented by legal entities managing or funding R&I programmes, other than EU funding bodies.</p> | <p>Between 30% and 70%</p> | <p>70 pages</p> |
|  <p>Pre-commercial procurement action (PCP) 1 %</p> | <p>Activities to strengthen the public procurement of research, development, validation and, possibly, the first deployment of new solutions while opening market opportunities for industry and researchers active in Europe.</p> | <p>100%</p> | <p>45 pages</p> |



Evaluation criteria (example for 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, 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.

IMPACT

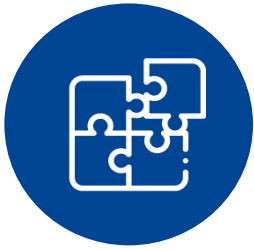
- ✓ Credibility of the **pathways** to achieve the expected **outcomes and impacts** specified in the work programme, and the likely scale and significance of the contributions due to the project.
- ✓ Suitability and quality of the **measures to maximize expected outcomes and impacts**, as set out in 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.

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

Excellence



- The proposed work **must cover all the aspects of the scope of the topic.**
- Objectives must be **pertinent, clear, measurable and achievable.**
- Demonstrate that the proposed work is **ambitious and go beyond the state of the art.**
- Proposed methodology must be **sound and credible.**
- Verify in topic text if activities must reach a certain TRL by e.g. the end of the project.

Excellence: Multi-Actor Approach (MAA)

Eligibility
Criterion

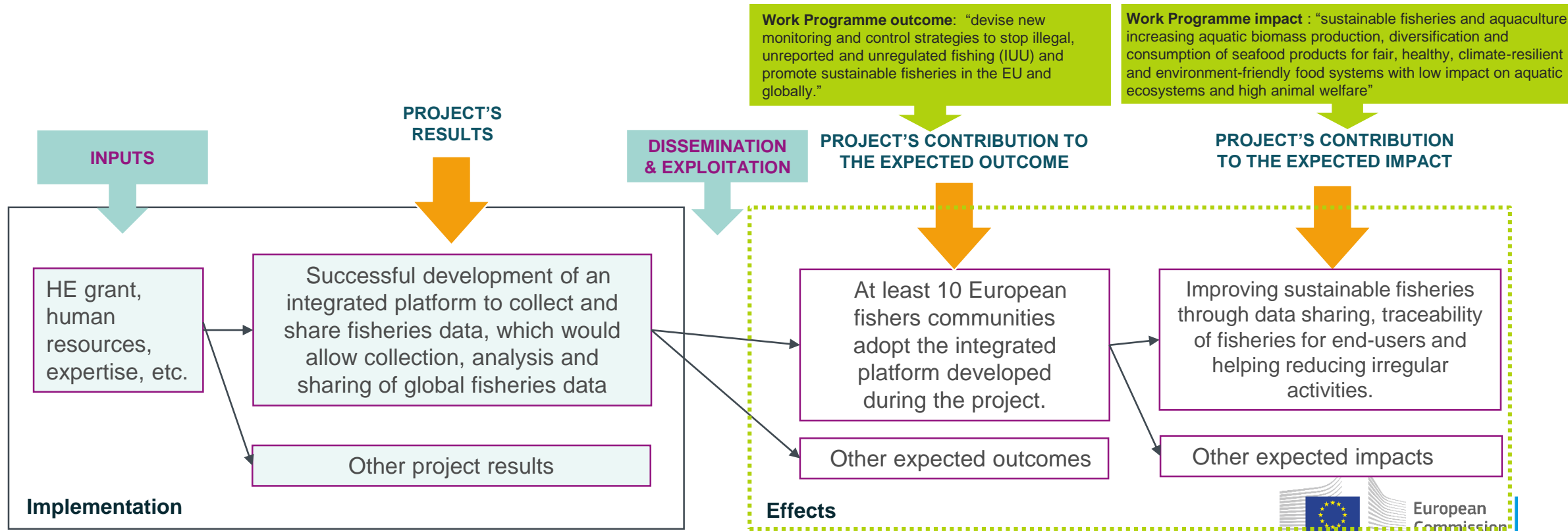
- **Eligibility criterion** and an integral part of the topic text.
- Applies to 55% of 2024 CL6 topics.
- Makes R&I outcomes more **demand-driven**, reliable and **relevant to society**.
- **Genuine and sufficient involvement of a targeted array of actors** (i.e. end-users of the project results), **throughout the entire project** ensuring real **co-creation**.
- End-users/practitioners are to be involved, not as a study-object, but to use their practical and local knowledge and/or entrepreneurial skills to develop solutions and create **'co-ownership' of results**.



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.



Link between policy priorities and project results

Strategic Planning and Programming

(EC)
STRATEGIC PLAN

WORK PROGRAMME

| | |
|--|--|
| EU POLICY PRIORITIES | Overall priorities of the European Union (Green Deal, Fit for the Digital Age,...) |
| KEY STRATEGIC ORIENTATIONS | Set of strategic objectives within the EC policy priorities where R&I investments are expected to make a difference |
| IMPACT AREAS | Group of expected impacts highlighting the most important transformation to be fostered through R&I |
| EXPECTED IMPACTS = DESTINATIONS | Wider long term effects on society (including the environment), the economy and science, enabled by the outcomes of R&I investments (long term). It refers to the specific contribution of the project to the work programme's expected impacts described in the destination. Impacts generally occur some time after the end of the project. |
| EXPECTED OUTCOMES = TOPICS | The expected effects, over the medium term, of projects supported under a given topic. The results of a project should contribute to these outcomes, fostered in particular by the dissemination and exploitation measures. This may include the uptake, diffusion, deployment, and/or use of the project's results by direct target groups. Outcomes generally occur during or shortly after the end of the project. |
| PROJECT RESULTS | What is generated during the project implementation. This may include, for example, know-how, innovative solutions, algorithms, proof of feasibility, new business models, policy recommendations, guidelines, prototypes, demonstrators, databases and datasets, trained researchers, new infrastructures, networks, etc. Most project results (inventions, scientific works, etc.) are 'Intellectual Property', which may, if appropriate, be protected by formal 'Intellectual Property Rights' |

PROJECT PROPOSALS

Application process (researchers)



Frequent shortcomings



Excellence

- Objectives not fully pertinent to the call
- Proposal not ambitious enough and/or not going beyond the state of the art
- Requirements not fully addressed (i.e. Multi-Actor Approach)

Impact

- Proposal not convincingly demonstrating its contribution to all expected outcomes (i.e. pathways to expected outcomes and impacts are not credible)
- Communication, exploitation and dissemination are not differentiated

Implementation

- Work packages not in line with objectives and not clearly interlinked.
- Work plan not sufficiently detailed and allocation of resources not adequately justified
- Operational capacity not demonstrated



Preparation tips

- **Read carefully** the Work Programme (+relevant annexes) and topic text.
- **Ensure you address** all topic requirements
- **Check the criteria** by which your proposal will be assessed.
- Use the **templates** available; read instructions carefully (number of pages, font, ...).
- **Check relevant projects** already funded (CORDIS) and build on previous research results.
- Contact your **NCP** for guidance.
- **Avoid recycling former proposals or project partners** with no specific contribution.
- Looking for **potential partners** → partner search on F&T Portal + Brokerage event.
- **All members of consortium** should be **involved** in the drafting of the proposal.
- Don't underestimate the **budget and expertise needed for CDE**.
- Make sure that the **cost/benefit ratio is sound**.
- Submit your proposal a **few days before the call deadline**.



Lump Sum Proposals

- Lump sum grants follow the standard approach as much as possible same: templates, evaluation criteria, payment scheme, technical reporting
- One lump sum share per work package and beneficiary
- Very simple financial reporting
- Lump sum shares **paid upon completion of work packages**

| | WP1 | WP2 | WP3 | WP4 | WP5 | WP6 | WP7 | WP8 | Total |
|---------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|------------------|
| Beneficiary A | 250.000 | | | 50.000 | 300.000 | 250.000 | | 300.000 | 1.150.000 |
| Beneficiary B | | 250.000 | 350.000 | 50.000 | | | 100.000 | 150.000 | 900.000 |
| Beneficiary C | 100.000 | 100.000 | | 50.000 | | 280.000 | | | 530.000 |
| Beneficiary D | | 120.000 | | 50.000 | | | 100.000 | 150.000 | 420.000 |
| Total | 350.000 | 470.000 | 350.000 | 200.000 | 300.000 | 530.000 | 200.000 | 600.000 | 3.000.000 |

Diagram illustrating the calculation of lump sum shares per beneficiary based on work packages (WP1-WP8) and the total grant amount (3.000.000). The total grant amount is divided into shares per WP, which are then allocated to beneficiaries based on their contribution to each WP. A box indicates that the Lump sum = Maximum grant amount.

Shares of the lump sum per beneficiary

Share of the lump sum per WP

Lump sum = Maximum grant amount



Writing a lump sum proposal

- To write a lump sum proposal, applicants:
 - Use the standard Horizon Europe application form
 - Present the objectives and methodology of their project and address the expected outcomes and impacts as in any Horizon Europe proposal
 - Describe in detail the activities covered by each work package.
- To define and justify the lump sum, applicants must provide a **detailed budget table** with cost estimations.
- The detailed budget table is an **Excel file**. Applicants download it from the online submission system, fill it and submit it as an annex to the Part B application form.



Pilot on Blind Evaluation

- It will be launched in the WP 2023-24.
- **All two-stage calls** in 2023 and 2024 should take part in the pilot (except justified cases) and will be evaluated blindly.
- It will only concern the **first stage application** of two-stage calls.
- **NEW admissibility criterion:** Applicants submitting a proposal under the blind evaluation pilot must not disclose their **organisation names, acronyms, logos nor names of personnel** in Part B of their first-stage application.



No identification data can be mentioned by applicants in the proposal's **Part B**, otherwise **inadmissible proposal**



Pilot on Rebuttal Mechanism

- In Horizon Europe, we are piloting a **right-to-react or rebuttal** process with the objective to increase transparency, to correct any factual or major misunderstandings by experts at an early stage, and to provide a more detailed feedback to applicants during the evaluation process.
- The **anonymized** Individual Evaluation Reports (IERs), **without scores**, are made available to applicants at the end of the individual evaluation phase.
- Applicants have e.g. **7 calendar days** to submit **1-2 page(s)** with comments.
 - Comments should be limited to points raised in the individual comments, correcting, **with evidence from the proposal**, supposed factual errors or misunderstandings;
 - **No new information can be provided**
- Evaluators will assess comments and will indicate to TL which comments are relevant and have to be discussed during the central consensus phase.



For more information...

... check recorded webinars:

- **‘How to prepare a successful proposal in Horizon Europe’** (24 March 2021). See recorded session [here](#).
- **‘A successful proposal for Horizon Europe: Scientific-technical excellence is key, but don’t forget the other aspects’** (21 April 2021). [Recorded session](#)
- **‘The Funding & Tenders Portal for beginners’** (27 May 2021). [Recorded session](#)
- **‘All you need to know on D&E under Horizon Europe’** (9 June 2021). [Recorded session](#)
- **‘How to prepare a successful innovation procurement proposal for Horizon Europe’** (22 June 2021). [Recorded session](#)
- **‘Horizon Europe: key changes to the Ethics Appraisal Process’** (18 July 2021). [Recorded session](#)
- **R&I Days 2021: workshop on ‘Tips and tricks while writing your HE proposal’** (23 June 2021). [Recorded session](#)
- Dedicated [lump sum page](#) on the Funding &Tenders Portal

Check the news section of the F&T Portal regularly:

<https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/home>

Thank you!

HorizonEU

<http://ec.europa.eu/horizon-europe>



More info:

- Check the [FAQ](#)
- Contact the [Research Enquiry Service \(RES\)](#)
- Contact your [National Contact Points \(NCPs\)](#)