European Commission

#HorizonEU

THE EU RESEARCH & INNOVATION PROGRAMME

2021 – 2027

Cluster 3
Erste Ergebnisse & Erkenntnisse

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Research and Innovation

Proposals overview

In 2021: 230 Proposals received

- ✓ **0 Inadmissible**
- ✓ **23* Ineligible**
- ✓ **204 Evaluated**
- ✓ **10 Resubmissions**

**16 not fulfilling additional conditions*

In 2020: 511 Proposals received

- ✓ 0 Inadmissible
- ✓ 37 Ineligible
- ✓ 474 Evaluated

Eligible/Ineligible proposals per call

BM: 2/28, DRS: 5/68, FCT: 12/104, INFRA: 4/19, SSRI: 0/11

Key areas of attention

- Eligibility criteria (10% ineligible in 2021!)
- Impact pathways
- Artificial Intelligence
- Gender dimension in R&I, Gender balance, Gender equality plan
- Format changes / formatting aspects
- Exclusive focus on civil applications

Additional eligibility conditions 1/2

The participation of practitioners (or other categories of participants) is a **mandatory** criterion in Calls **FCT, DRS, BM, INFRA, SSRI**, with the exception of two topics in SSRI.

Pay attention – where applicable – to the detailed footnotes:

"In the context of this Destination, 'Police Authorities' means public authorities explicitly designated by national law, or other entities legally mandated by the competent national authority, for the prevention, detection and/or investigation of terrorist offences or other criminal offences, specifically excluding police academies, forensic institutes, training facilities as well as border and customs authorities."

Additional eligibility conditions 2/2

INFORMATION ABOUT SECURITY PRACTITIONERS

(To be filled in for the consortium and uploaded as part of the application for the topics where this is required in the Work Programme. Mention only the participants with practitioner status.)

INFORMATION ABOUT SECURITY PRACTITIONERS			
Project name and acronym:	[project title] — [acronym]		
Participant number and short name *(same as on Submission System screens)*	**Category of practitioner** *(police authority, first-responder, fire-brigade, etc.)*	**Department/ service/ units that will contribute**	**In which role(s) will the participant contribute to the action? How does this serve the aim of the eligibility condition as outlined in topic conditions?**
[number] — [short name]			
[number] — [short name]			
[number] — [short name]			

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 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)

Artificial intelligence

- Experts must answer an additional question as part of their individual evaluations on whether the activities proposed involve the **use and/or development of AI-based systems and/or techniques**.
- The aim is to bring to **experts' attention** that they must **assess the technical robustness** of the proposed AI-system as part of the excellence criterion (if applicable).
- Also the answer to this question aims at ensuring a **proper follow-up** of any aspects related to **Artificial Intelligence** in projects funded under Horizon Europe.

Under Horizon Europe, the technical robustness* of the proposed AI based systems is 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.

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?

Gender Equality Plan 1-2

For calls with deadlines in 2022 and onwards, having a Gender Equality Plan (GEP) will be an eligibility criterion for all public bodies, higher education institutions and research organisations from EU Member States and associated countries wishing to participate in Horizon Europe.

Mandatory requirements for a GEP

1. Be a public document
2. Have dedicated resources
3. Include arrangements for data collection and monitoring
4. Be supported by training and capacity-building

Gender Equality Plan 2-2

Five thematic areas are recommended for content.

1. work-life balance and organisational culture
2. gender balance in leadership and decision-making
3. gender equality in recruitment and career progression
4. integration of the gender dimension into research and teaching content
5. measures against gender-based violence including sexual harassment

The Commission's gender equality strategy: https://ec.europa.eu/info/research-and-innovation/strategy/strategy-2020-2024/democracy-and-rights/gender-equality-research-and-innovation_en

Horizon Europe guidance on gender equality plans: https://op.europa.eu/en/publication-detail/-/publication/ffcb06c3-200a-11ec-bd8e-01aa75ed71a1

Frequently Asked Questions: https://ec.europa.eu/info/sites/default/files/research_and_innovation/strategy_on_research_and_innovation/documents/ec_rtd_gep-faqs.pdf

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Page limit

- **All tables, figures, references and any other element pertaining to these sections must be included as an integral part of these sections and are thus counted against this page limit.** The number of pages included in each section of this template is only **indicative**
- The page limit will be applied automatically. **At the end of the document you can see the structure of the actual proposal that you need to submit, please remove all instruction pages that are watermarked**
- If you attempt to upload a proposal longer than the specified limit before the deadline, you will receive an automatic warning and will be advised to shorten and re-upload the proposal
- After the deadline, **excess pages** (in over-long proposals/applications) **will be automatically made invisible**, and will not be taken into consideration by the experts. The proposal is a self-contained document. Experts will be instructed to ignore hyperlinks to information that is specifically designed to expand the proposal, thus circumventing the page limit
- Please, **do not consider the page limit as a target**! It is in your interest to keep your text as concise as possible, since experts rarely view unnecessarily long proposals in a positive light

Formatting conditions

The following formatting conditions apply:

- The **reference font** for the body text of proposals is **Times New Roman** (Windows platforms), Times/Times New Roman (Apple platforms) or Nimbus Roman No. 9 L (Linux distributions).
- The use of a different font for the body text is not advised and is subject to the cumulative conditions that **the font is legible and that its use does not significantly shorten the representation** of the proposal in number of pages compared to using the reference font (for example with a view to bypass the page limit).
- **The minimum font size allowed is 11 points**. Standard character spacing and a minimum of single line spacing is to be used. This applies to the body text, including text in tables.
- Text elements other than the body text, such as **headers, foot/end notes, captions, formula's**, may deviate, but **must be legible**.
- The page size is A4, and **all margins** (top, bottom, left, right) **should be at least 15 mm** (not including any footers or headers).

Dual use and Exclusive focus on civil applications

- Participants will have to confirm, as part of the **declarations in proposal part A** that the proposal has an exclusive focus on civil applications. Activities intended to be used in military application or aiming to serve military purposes cannot be funded.
- In H2020 the assessment of the '**dual use**' and '**exclusive focus on civil applications**' was part of the ethics review of the proposal.

- **In Horizon Europe:**
  - the assessment on '**exclusive focus on civil applications'** aspects is carried out by the technical evaluators in the form of additional question to their individual assessment of proposals.
  - For '**dual use**', we do not ask an additional question for experts in the evaluation. The declaration mentioned above will be sufficient with no further checks in evaluation or grant management.

The approach to follow for the question on 'exclusive focus on civil applications' is the same as the process for activities not eligible for funding. Opinion of experts indicating if removing the activities that do not have an exclusive focus on civil applications would lead to lower evaluation scores.

Final Tips!

✓**Check carefully [incl. additional!] admissibility and eligibility conditions**

✓**Read carefully the topic description ("scope", "expected impact")** – will your proposal match the expectations?

✓**Use the proposal templates** and follow the instructions

✓**Address thoroughly the selection and award criteria**

✓Respect the **page limits**

✓**Clearly describe what** you will achieve **and how** you will do it

✓Choose your **consortium based on your project needs** (e.g. no duplications or partners without clear responsibilities,...)

✓**Describe carefully the impact** (expected, societal, economic [IA: business analysis, market potential,..])

✓**Submit (a first version) well before the final deadline**

Thank you!

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Lump sum in 2022 CL3 Work Programme

Six topics are concerned: INFRA call and all CSAs

Significant simplification potential

● Despite all simplification, funding based on reimbursement of incurred costs remains complex and error-prone

● Lump sum project funding removes all obligations on actual cost reporting and financial ex-post audits – i.e. a major reduction of administrative burden

● Access to the programme becomes easier, especially for small organisations and newcomers

Focus on content

● Less focus on financial management, and more focus on the scientific-technical content of projects

Guidance: https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/ls-funding-what-do-i-need-to-know_he_en.pdf

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