

# Legal and financial issues in Horizon Europe

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Turkey in Horizon 2020 – online training

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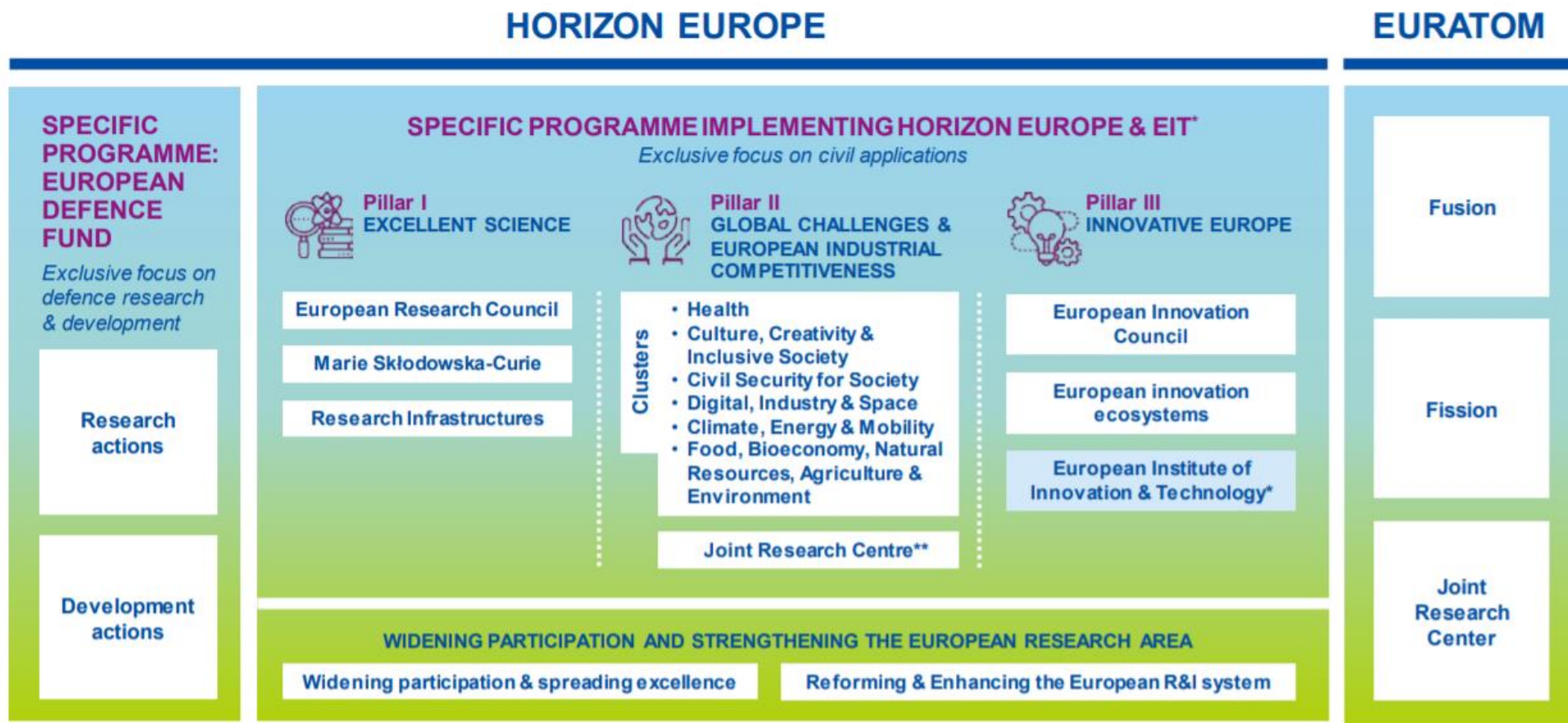
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# Introduction



# HORIZON EUROPE STRUCTURE



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

\*\* Non-nuclear activities of JRC

# Horizon Europe budget

|                                                                  | HE (MFF)<br>billions | NGEU<br>billions | Total<br>Billions and % on the total budget |                |
|------------------------------------------------------------------|----------------------|------------------|---------------------------------------------|----------------|
| <b>Pillar I</b>                                                  | <b>25,013</b>        | <b>0,000</b>     | <b>25,013</b>                               | <b>26,19%</b>  |
| ERC                                                              | 16,004               | 0,000            | 16,004                                      | 16,75%         |
| MSCA                                                             | 6,603                | 0,000            | 6,603                                       | 6,91%          |
| Research Infrastructures                                         | 2,406                | 0,000            | 2,406                                       | 2,52%          |
| <b>Pillar II</b>                                                 | <b>49,458</b>        | <b>4,059</b>     | <b>53,517</b>                               | <b>56,03%</b>  |
| Clusters                                                         | 47,488               | 4,059            | 51,547                                      | 53,96%         |
| 1. Health                                                        | 6,893                | 1,353            | 8,246                                       | 8,63%          |
| 2. Culture Creativity Inclusive Society                          | 2,281                | 0,000            | 2,281                                       | 2,39%          |
| 3. Civil Security for Society                                    | 1,597                | 0,000            | 1,597                                       | 1,67%          |
| 4. Industry Digital Space                                        | 13,995               | 1,353            | 15,348                                      | 16,07%         |
| 5. Climate Energy Mobility                                       | 13,770               | 1,353            | 15,123                                      | 15,83%         |
| 6. Food, Bioeconomy, Natural Resources, Agriculture, Environment | 8,952                | 0,000            | 8,952                                       | 9,37%          |
| JRC                                                              | 1,970                | 0,000            | 1,970                                       | 2,06%          |
| <b>Pillar III</b>                                                | <b>12,246</b>        | <b>1,353</b>     | <b>13,599</b>                               | <b>14,24%</b>  |
| EIC                                                              | 8,752                | 1,353            | 10,105                                      | 10,58%         |
| Innovation Ecosystems                                            | 0,528                | 0,000            | 0,528                                       | 0,55%          |
| EIT                                                              | 2,966                | 0,000            | 2,966                                       | 3,11%          |
| <b>Strengthening ERA</b>                                         | <b>3,393</b>         | <b>0,000</b>     | <b>3,393</b>                                | <b>3,55%</b>   |
| Widening participation spreading exc.                            | 2,955                | 0,000            | 2,955                                       | 3,09%          |
| EU R&I System                                                    | 0,438                | 0,000            | 0,438                                       | 0,46%          |
| <b>TOTALE</b>                                                    | <b>90,110</b>        | <b>5,412</b>     | <b>95,522</b>                               | <b>100,00%</b> |



Who can participate?



## Rules for participation

Regulation establishing Horizon Europe — the Framework Programme for Research and Innovation, laying down its rules for participation and dissemination -> NOT adopted

▣ Entities eligible for participation:

Art. 22: «Any legal entity, regardless of its place of establishment, including legal entities from non associated third countries or international organisation may participate in actions under the Programme, provided that the conditions laid down in this Regulation have been met together with any conditions laid down in the work programme or call»

## Rules for participation

Regulation establishing Horizon Europe — the Framework Programme for Research and Innovation, laying down its rules for participation and dissemination -> NOT adopted

### Minimum requirements:

Art. 22: «Entities shall be part of a consortium that shall include at least three independent legal entities each established in a different Member State or associated country and with at least one of them established in a Member State, unless:  
(a) the work programme provides otherwise, if duly justified”



## International Cooperation

### International Cooperation

Tackling the global challenges of society together; access to the best talent, skills and resources in the world; greater demand and supply of innovative solutions

### Opening of the Association towards:

- Third countries with excellent scientific, technological and innovative capabilities
- Taking into account the objective of promoting economic growth in Europe through innovation
- General openness to international participation
- Intensification of targeted actions (flagship initiatives, joint calls, etc.)



## International Cooperation

### **Novelties after the Competitiveness Council of the 29<sup>th</sup> of September 2020**

Introduction of art. 22.5:

«For actions related to Union strategic assets, interests, autonomy or security, the work programme may provide that the participation can be limited to those legal entities established in Member States only, or to those legal entities established in specified associated or other third countries in addition to Member States.»

This creates the possibility to exclude - in duly justified and exceptional cases - legal entities controlled by non-associated third countries.

## Associated countries

### What is an associated country?

- Horizon Europe shall be open to association of the third countries which meet the conditions set out at art. 16 of the [Regulation establishing Horizon Europe](#)
- An entity established in an associated country can participate to the Programme at the same condition than an entity established in a member State -> General rule (there are some exception)

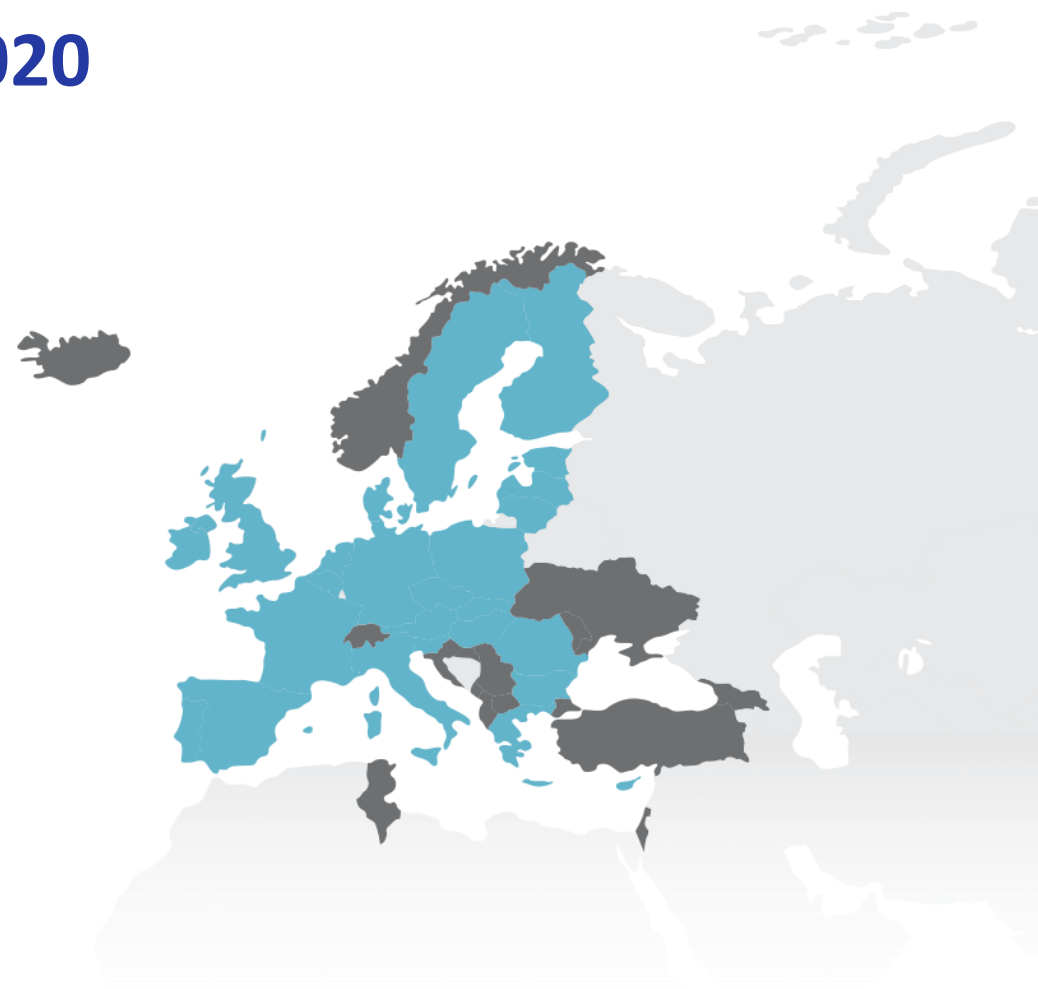
# European Union Member States and Countries Associated to Horizon 2020

 EU Member States (28)

 Associated Countries (16)

Albania  
Armenia  
Bosnia & Herzegovina  
Faroe Islands  
Georgia  
Iceland  
Israel  
Macedonia (FYR)  
Republic of Moldova  
Montenegro  
Norway  
Serbia  
Tunisia  
Turkey  
Ukraine  
Switzerland

**NEGOTIATIONS FOR  
HORIZON EUROPE ARE  
ABOUT TO START!**





**Countries associated to Horizon 2020:  
Negotiations started**

## Associated countries Work Programme 2021/2022

### General Annexes to the main WP 2021/2022 (draft):

“At the date of the publication of the work programme, there are no countries associated to Horizon Europe. Considering the Union’s interest to retain, in principle, relations with the countries associated to Horizon 2020, most third countries associated to Horizon 2020 are expected to be associated to Horizon Europe with an intention to secure uninterrupted continuity between Horizon 2020 and Horizon Europe. In addition, other third countries can also become associated to Horizon Europe during the programme. **For the purposes of the eligibility conditions, applicants established in Horizon 2020 Associated Countries or in other third countries negotiating association to Horizon Europe will be treated as entities established in an Associated Country, if the Horizon Europe association agreement with the third country concerned applies at the time of signature of the grant agreement.**”



## Funding rules

Regulation establishing Horizon Europe — the Framework Programme for Research and Innovation, laying down its rules for participation and dissemination -> **NOT adopted**

### Entities eligible for funding – art. 23

- established in a Member State or associated country -> **General Rule**
- other non-associated third countries, shall be eligible for funding if:
  - (a) the third country is identified in the work programme adopted by the Commission; or
  - (b) the Commission or funding body considers that the participation of the entity concerned is essential for implementing the action;

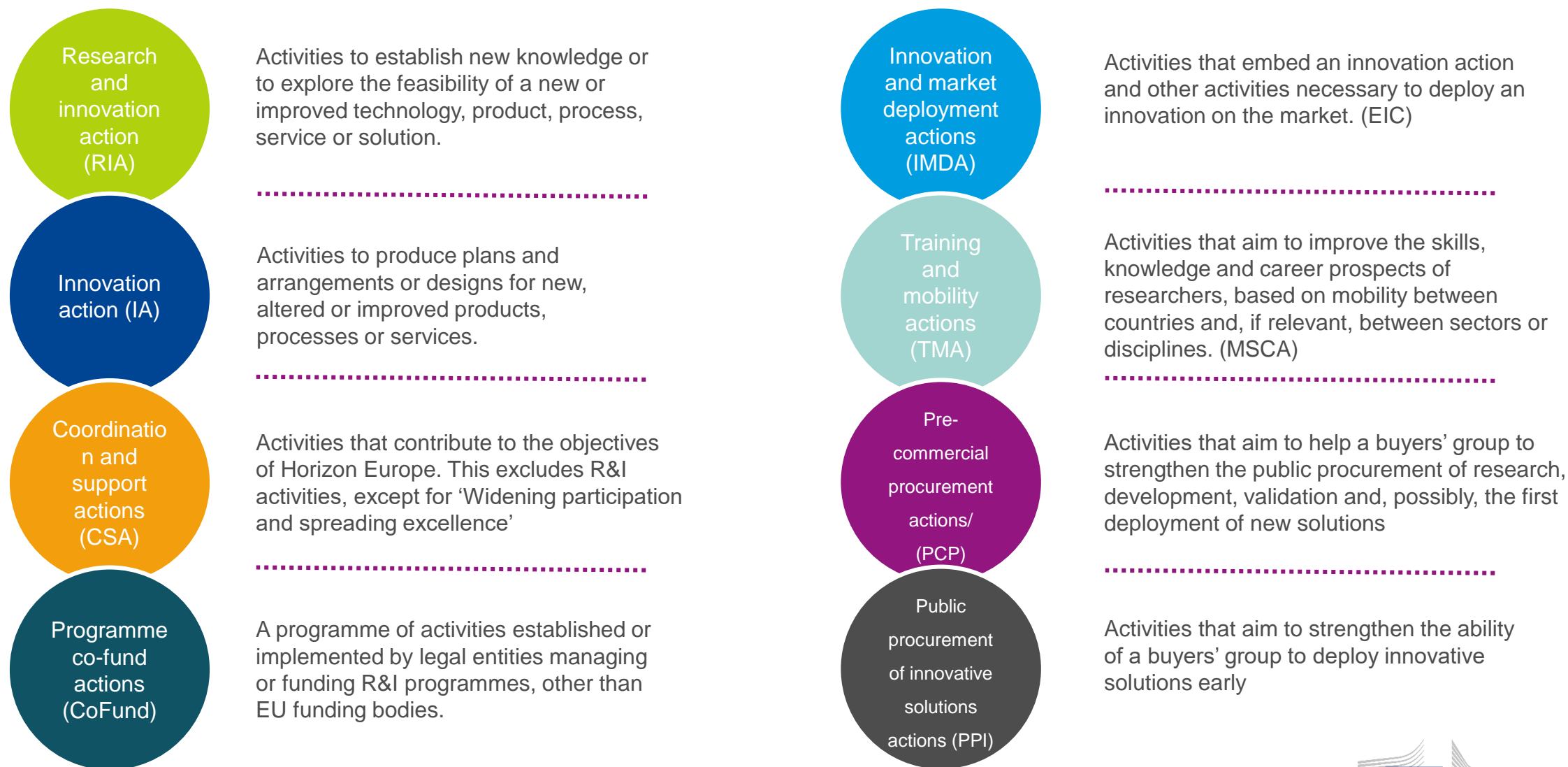


Q&A



## Funding schemes

# Activities eligible for funding – Type of actions



## The most common eligible activities

- ↗ Research and innovation actions (RIA)
  - ↗ Innovation actions (IA)
  - ↗ Coordination and support actions (CSA)
- ➔ The type of action is specified in the call condition



# Activities eligible for funding

**Eligible activities are the ones described in the call conditions**

Activities must **focus exclusively on civil applications** and **must not**:

- aim at human cloning for reproductive purposes;
- intend to modify the genetic heritage of human beings which could make such changes heritable (except for research relating to cancer treatment of the gonads, which may be financed);
- intend to create human embryos solely for the purpose of research, or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer;
- lead to the destruction of human embryos.

# Funding rates in Horizon Europe

## 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%                                                                            |

## Payment modalities

- ❏ Pre-financing starting date → 30 days from entry into force/10 days before
  - ❏ Interim payment
  - ❏ Final payment
- } Based on the costs approved by the EC in each reporting period. The final payment consists of the difference between the EC contribution (calculated on the eligible costs) and the amounts already paid.

All payments are made by the EC to the Coordinator.





Q&A



## Submission and evaluation

## Submission

- ❏ The Application Form will have two parts :
  - PART A: *administrative information and budget*
  - PART B: *technical description of the project*
- ❏ 45 pages: limit for a full application – for RIA and IA
- ❏ 30 pages: limit for a full application - for CSA
- ❏ Submission via the Funding & Tenders Portal.

# 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.

# Submission

## 1 – General information

Section 1 provides basic data on the proposal. It can be filled in by contacts of the coordinator. Other participants may view this section only. Read-only parts are marked in blue.

| Topic              | Type of action                                                                                                                                                                                                                                        |
|--------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Call               | Acronym is mandatory                                                                                                                                                                                                                                  |
| Proposal title     | Max 200 characters (with spaces). Must be understandable for non-specialists in your field.<br><small>Note that for technical reasons, the following characters are not accepted in the Proposal Title and will be removed: &lt; &gt; " &amp;</small> |
| Duration in months | Estimated duration of the project in full months.                                                                                                                                                                                                     |
| Fixed keyword      |                                                                                                                                                                                                                                                       |
| Fixed keyword      | SDG?                                                                                                                                                                                                                                                  |
| Free keywords      | Enter any words you think give extra detail of the scope of your proposal (max 200 characters with spaces).                                                                                                                                           |

### Abstract

The abstract should provide the reader with a clear understanding of the objectives of the proposal, how they will be achieved, and their relevance to the Work Programme. This summary will be used as the short description of the proposal in the evaluation process and in communications to the programme management committees and other interested parties. It must therefore be short and precise and should not contain confidential information. Use plain typed text, avoiding formulae and other special characters. If the proposal is written in a language other than English, please include an English version of this abstract in the Part B (technical description) of the proposal.

|  |
|--|
|  |
|--|

|                                                                                                                                                                                                                                                                                                                                |                           |                          |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|--------------------------|
| Has this proposal (or a very similar one) been submitted in the past 2 years in response to a call for proposals under any EU programme, including the current call? A 'similar' proposal or contract is one that differs from the current one in minor ways and in which some of the present consortium members are involved. | <input type="radio"/> Yes | <input type="radio"/> No |
| Please give the proposal reference or contract number                                                                                                                                                                                                                                                                          | XXXXX-X                   |                          |



## Proposal template Part B: technical description

(for full proposals: single stage submission procedure and 2<sup>nd</sup> stage of a two-stage submission procedure)

This template is to be used in a single-stage submission procedure or at the 2<sup>nd</sup> stage of a two-stage submission procedure.

The structure of this template must be followed when preparing your proposal. It has been designed to ensure that the important aspects of your planned work are presented in a way that will enable the experts to make an effective assessment against the evaluation criteria. Sections 1, 2 and 3 each correspond to an evaluation criterion.

Please be aware that proposals will be evaluated as they were submitted, rather than on their potential if certain changes were to be made. This means that only proposals that successfully address all the required aspects will have a chance of being funded. There will be no possibility for significant changes to content, budget and consortium composition during grant preparation.

**⚠ Page limit:** The title, list of participants and sections 1, 2 and 3, together, should not be longer than 45 pages. 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 page limit will be applied automatically; therefore you must remove this instruction page before submitting.

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.

**⚠ 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).

### 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. Excellence

- ⚠ The following aspects will be taken into account only to the extent that the proposed work is within the scope of the work programme topic.**

#### 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.**

#### 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'.**
- 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 interdisciplinary approach is unnecessary in the context



# Budget

## 3 – Budget for the proposal

|       |                                 |         | Estimated expenditure    |  |                                          |                              |                                                |  |  | Estimated income                  |                                      |                   |                                           |                                    |                          |                                                                |                                                                             |
|-------|---------------------------------|---------|--------------------------|--|------------------------------------------|------------------------------|------------------------------------------------|--|--|-----------------------------------|--------------------------------------|-------------------|-------------------------------------------|------------------------------------|--------------------------|----------------------------------------------------------------|-----------------------------------------------------------------------------|
|       |                                 |         |                          |  |                                          |                              |                                                |  |  | Requested EU contribution         |                                      |                   | Revenues                                  | Other sources of financing         |                          | Total estimated income<br><br>(s)=(n)<br>+(o)+(p)<br>(q) + (r) |                                                                             |
|       |                                 |         | Estimated eligible costs |  |                                          |                              |                                                |  |  | EU contribution to eligible costs |                                      |                   | Income generated by the action<br><br>(o) | Financial contributions<br><br>(q) | Own resources<br><br>(r) |                                                                |                                                                             |
|       |                                 |         |                          |  |                                          |                              |                                                |  |  | A. Personnel costs/€<br><br>(a1)  | B. Subcontracting costs/€<br><br>(b) | C. Purchase costs |                                           |                                    |                          |                                                                | D. Other cost categories<br><br>D.X [specific cost category] /€<br><br>(dx) |
| No    | Participant name                | Country |                          |  | C.1 Travel and subsistence/€<br><br>(c1) | C.2 Equipm ent/€<br><br>(c2) | C.3 Other goods, works and services /€<br>(c3) |  |  |                                   |                                      |                   |                                           |                                    |                          |                                                                |                                                                             |
| 1     | Participant 1                   | NL      |                          |  |                                          |                              |                                                |  |  |                                   |                                      |                   |                                           |                                    |                          |                                                                |                                                                             |
| 2     | Participant 2                   | LB      |                          |  |                                          |                              |                                                |  |  |                                   |                                      |                   |                                           |                                    |                          |                                                                |                                                                             |
|       | Affiliated Entity               | LB      |                          |  |                                          |                              |                                                |  |  |                                   |                                      |                   |                                           |                                    |                          |                                                                |                                                                             |
| 3     | Participant 3                   | DE      |                          |  |                                          |                              |                                                |  |  |                                   |                                      |                   |                                           |                                    |                          |                                                                |                                                                             |
|       | Associated Partner              | AR      |                          |  |                                          |                              |                                                |  |  |                                   |                                      |                   |                                           |                                    |                          |                                                                |                                                                             |
| 4     | Participant 4 (without funding) | US      |                          |  |                                          |                              |                                                |  |  |                                   |                                      |                   |                                           |                                    |                          |                                                                |                                                                             |
| Total |                                 |         |                          |  |                                          |                              |                                                |  |  |                                   |                                      |                   |                                           |                                    |                          |                                                                |                                                                             |

Possible



# 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.

## Gender Equality Plan

- Having a gender equality plan is an **eligibility criterion** for Public bodies, Higher education establishments and Research organisations from Member States and Associated Countries. Be aware that if the proposal is selected, having a Gender Equality Plan will be necessary before the grant agreement signature (applicable on calls with deadlines in 2022 and beyond)



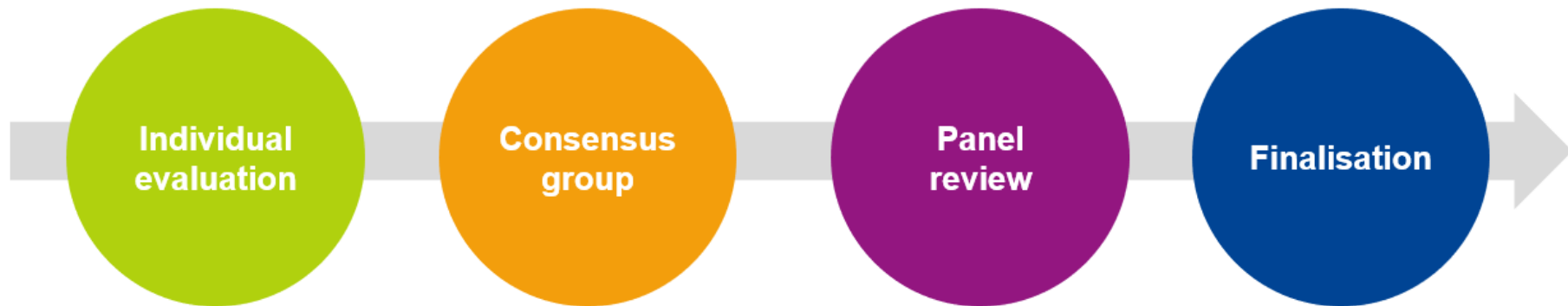
# Evaluation criteria

## 3 award criteria

*The draft HE rules set the same three award criteria we have in H2020: 'Excellence', 'Impact' and 'Quality and efficiency of the implementation'. These need to be spelled out, taking into account the lessons learnt:*

- *Simplify and reduce the number of 'aspects to be taken into account', where possible, ensuring that the same aspect is not assessed twice;*
- *Include an assessment of the quality of applicants under 'implementation', rather than as a separate binary assessment of operational capacity;*
- *Simplify or remove assessment of management structures.*

## Standard evaluation process



## Links

- 🔗 Regulation establishing Horizon Europe (text adopted by the Council of the EU on 3 March 2021)

<https://data.consilium.europa.eu/doc/document/ST-7064-2020-INIT/en/pdf>

- 🔗 Funding and Tenders Portal

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



<https://research-innovation-days.ec.europa.eu/>

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