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Pillar 2: Identify Funding Opportunities

Navigating the complexities of applying

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Agenda

1 Welcome
Introduction to UKRO and Horizon Europe

2 Interpreting the Documents
Navigating the work programmes

3 Developing Your Proposal
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The gateway to EU funding

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About UKRO

We support UK research organisations involved in EU R&I

- Maximise UK participation in Horizon Europe
- A Brussels-based team of advisors
- Part of UKRI's wider International team
- UKRO Portal
  - Dedicated news articles, events and factsheets to support participation
  - Alerts to upcoming opportunities and call updates
- UK National Contact Point
  - European Research Council, Marie Sklodowska-Curie Actions programmes , Widening Participation and COST

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Contact the National Contact Points

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Horizon Europe Participation

UK Association

On 24 December 2020, the negotiations on the UK-EU Trade and Cooperation Agreement concluded

Included the intention of the UK to associate to Horizon Europe

Announcement on 4 December 2023, **finalised association to Horizon Europe and Copernicus programmes from 1 Jan 2024 (2024 Work Programmes)**

This includes full participation in the programme (with the exception of the EIC Accelerator Investment Fund)

UK entities can participate in/coordinate projects and receive funding from Horizon Europe

UKRO website provides latest information on UK participation

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What does this Mean?

All successful UK applicants to Horizon will be covered through the UK's association (or through the existing UK funding guarantee) for the rest of the programme.

Work Programme 2024

- **Calls with a 2024 call identifier will be covered by association**.
- Successful applicants will receive funding from the EC for the lifetime of their grant.
- Even if the deadline is in 2023.

Work Programme 2023

- **Calls with a 2023 call identifier will be covered by the Horizon Europe Guarantee**.
- Successful UK applicants will receive funding from the guarantee for the lifetime of their grant.
- Even if the deadline is in 2024.
- Applicants must be included as a beneficiary in order to receive funding through the Horizon Europe Guarantee.
- UK applicants call continue to apply to calls in Work Programme 2023.

Current/On going Grants

- UK participants currently entering into, or going through, the grant agreement preparation phase will receive funding through the Horizon Europe Guarantee for the lifetime of their grant.
- Grants currently receiving guarantee funding, will continue to do so for the lifetime of their grant.

Transitional Measures

Calls with a 2023 Call identifier

- **Even if the call deadline is in 2024 the transitional measures apply**
- UK participates are eligible to apply as an country already associated to Horizon Europe in line with EC FAQ
    - *"UK applicants are treated as if the UK is an associated country throughout the process, from admissibility and eligibility to evaluation, up until the preparation of grant agreements. However, grant agreements can only be signed if the association has come into force."*
- Will receive funding from the Horizon Europe Guarantee
- **Must apply as a Beneficiary at the proposal stage**
- Will become as Associated Partner at the grant agreement signature phase (GAP)
- At GAP no longer count towards minimum eligibility criteria
- Cannot sign the grant agreement
    - Encouraged to sign the consortium agreement
- Cannot coordinate

The UK - an Associated Country

Calls with a 2024 identifier

- Researchers in the UK can coordinator projects and lead work packages
- UK institutions will count towards the minimum eligibility criteria
- UK institutions can host ERC applicants/awardees
- Time spent in the UK will count towards the ERC requirement of time spent in an EU Member State or Associated Country
- UK based researchers can apply for all ERC grants
- UK institutions can host European Fellowship and the return phase of a Global Fellowship
- UK based researchers can apply for all MSCA funding
- Time spent in the UK counts towards long term residence for MSCA

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Horizon Europe

An Introduction

Horizon Europe

The European Commission's research and innovation funding programme for 2021-2027

to strengthen the EU's scientific and technological bases and the European Research Area (ERA)

to boost Europe's innovation capacity, competitiveness and jobs

to deliver on citizens' priorities and sustain our socio-economic model and values

Total Budget 95.5 Billion EUR

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Horizon Europe

Enabling societal, economic & ecological transition

Sets out to shape the future of Europe

Aims to create opportunities for the world of tomorrow from the challenges of today

A sustainable, fair and prosperous future for people and the planet

Targeted actions that support green and digital transition

Support a sustainable recovery from the global crisis

Tackling climate change and supporting biodiversity

Helping to achieve Sustainable Development Goals

Boosting the Union's competitiveness and growth

Support the wider political objectives of the European Commission, including the green and digital transition and a sustainable recovery from the COVID-19 pandemic.

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Stronger Links to EU Policy

A key instrument to meet the 6 ambitions for Europe (2019 – 2024)

1. A European Green Deal
2. An economy that works for people
3. A Europe fit for the digital age
4. Protecting our European way of life
5. A stronger Europe in the world
6. A new push for European Democracy

The aims of Horizon Europe must be interpreted in the context of these EU priorities, especially:

‘*European Green deal’, the digital and sustainable transition, and recovery for the Coronavirus crisis*

https://ec.europa.eu/info/sites/default/files/political-guidelines-next-commission_en.pdf

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Translating EU Policies

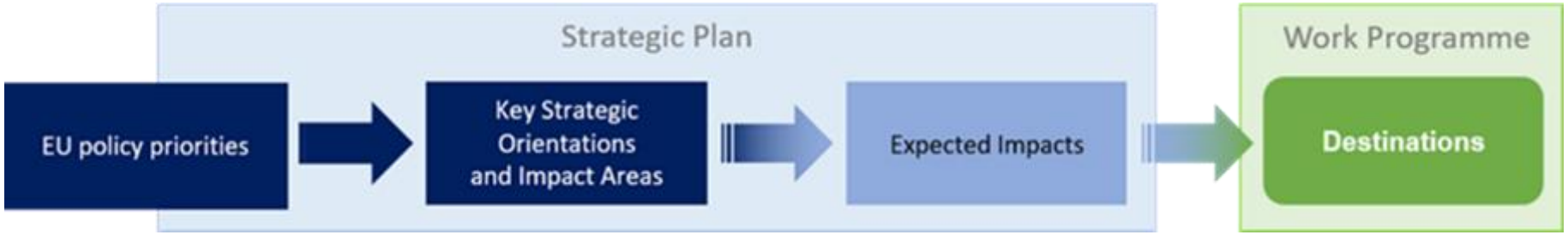
Strategic Plan 2021-2024 and the General Introduction to the Work Programmes

Gives direction to the work programmes and sets out the 4 key impact areas (Key Strategic Orientations) and 32 Expected Impacts

The expected impacts are targeted via dedicated packages of actions ‘Destinations’

Destinations indicate both the specific direction and the ultimate point of arrival of the projects

Destinations define impacts and expected outcomes at call level to ensure priorities are effectively met and translated into concrete action



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Key Strategic Orientations (KSO) and Impact Areas

Translating EU Policies

Promoting an open strategic autonomy by leading the development of key digital, enabling and emerging technologies, sectors and value chains (Clusters 1, 2, 3, 4,5)

- A competitive and secure data-economy
- Industrial leadership in key and emerging technologies that work for people
- Secure and cybersecure digital technology
- High quality digital services for all

Restoring Europe's ecosystems and biodiversity, and managing sustainably natural resources (Clusters 1,4,5,6)

- Enhancing ecosystems and biodiversity on land and in waters
- Clean and healthy air, water and soil
- Sustainable food systems from farm to fork on land and sea

Making Europe the first digitally enabled circular, climate-neutral and sustainable economy (Clusters 1, 4, 5,6)

- Climate change mitigation and adaptation
- Affordable and clean energy
- Smart and sustainable transport
- Circular and clean economy

Creating a more resilient, inclusive and democratic European society (Clusters 1,2, 3, 4, 5, 6)

- A resilient EU prepared for emerging threats
- A secure, open and democratic EU society
- Good health and high-quality accessible healthcare
- Inclusive growth and new job opportunities

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Each KSO and Impact Area are translated into 32 Expected Impacts

How Pillar 2 Reflects EU Policy Priorities

Translating EU Policies

Each Cluster will:

- support specific KSO and Impact Areas and
- help meet specific Expected Impacts
- have complementarities with other clusters
- support international cooperation

Example: Cluster 1

Cluster 1 will support in particular the following two Horizon Europe key strategic orientations and impact areas associated to them[20]

KEY STRATEGIC ORIENTATIONS FOR R&I	**KSO A: Promoting an open strategic autonomy by leading the development of key digital, enabling and emerging technologies, sectors and value chains**	**KSO D: Creating a more resilient, inclusive and democratic European society**
IMPACT AREAS	Competitive and secure data-economy High quality digital services for all	A resilient EU prepared for emerging threats Good health and high-quality
EXPECTED IMPACTS	5. Unlocking the full potential of new tools, technologies and digital solutions for a healthy society 6. Maintaining an innovative, sustainable and globally competitive health-related industry	

Table 2 Overview of Cross Cluster Complementarities

NUMBER AND NAME OF CLUSTER	RELEVANT EXPECTED IMPACT OF THE CLUSTER DESCRIBED LEFT	POSSIBLE COMPLEMENTARITIES
2. CULTURE, CREATIVITY AND INCLUSIVE SOCIETY	**9.** Social and economic resilience and sustainability are strengthened through a better understanding of the social, ethical, political and economic impacts of drivers of change (such as technology, globalisation, demographics, mobility and migration) and their interplay. **10.** Inclusive growth is boosted and vulnerabilities are reduced effectively through evidence-based policies for protecting and enhancing employment, education, social fairness and tackling inequalities, including in response to the socio-economic challenges due to the COVID-19 pandemic.	**Expected impact 1** 'Staying healthy in a rapidly changing society': Synergies on health inequalities, on other inequalities affecting health, or on citizens' behaviour and engagement. **Expected impact 4** 'Ensuring access to innovative, sustainable and high-quality health care': Synergies on health economics and economic models, on cost-effectiveness, fiscal sustainability and accessibility of healthcare, or on adaptation of public health systems to societal challenges (climate change, environmental degradation, migration, demographic change, emerging epidemics and One Health

2. International cooperation

The EU is a major leader in research and innovation for developing health technologies, improving health services or adapting health systems that promote health and well-being and prevent, treat and cure diseases in Europe and worldwide. In order to achieve the greatest impact and benefits for the health and well-being of its population and living up to its leadership role, international cooperation and partnerships with third countries and other international partners are key for tapping the best expertise and know-how available worldwide, for leveraging a critical scale of resources, and for tackling global health risks and societal challenges. Infectious diseases outbreaks and the spread of

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https://www.eeas.europa.eu/sites/default/files/horizon_europe_strategic_plan_2021-2024.pdf

Applying to Horizon Europe funding calls

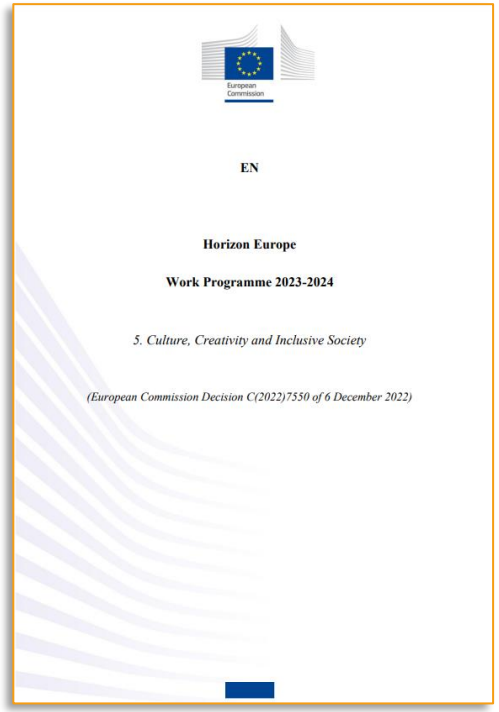
Practical Considerations

Interpreting the Documents

The Work Programmes

- 13 Work Programmes
  - an introduction, 11 thematic parts and the annexes with the rules
- Separate work programmes cover the ERC, EIC and JRC
- The EIT is covered by a separate work plan
- 2nd Horizon Europe Work programme covers 2023-2024

Funding and Tenders Opportunities Portal (FTOP)
https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/how-to-participate/reference-documents;programCode=HORIZON


European Commission

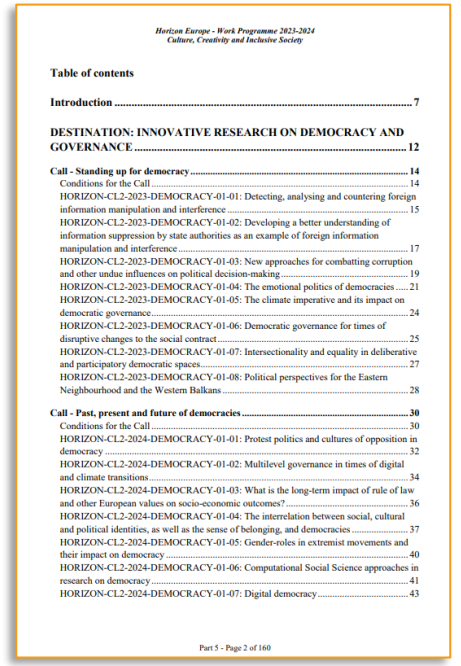
EN

Horizon Europe

Work Programme 2023-2024

5. Culture, Creativity and Inclusive Society

(European Commission Decision C(2022)7550 of 6 December 2022)


Horizon Europe - Work Programme 2023-2024
Culture, Creativity and Inclusive Society

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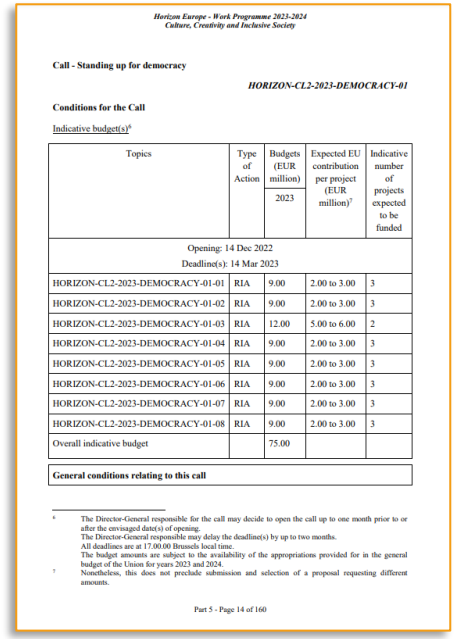
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Call - Standing up for democracy

HORIZON-CL2-2023-DEMOCRACY-01

Conditions for the Call

Indicative budget(s)[6]

Topics	Type of Action	Budgets (EUR million) 2023	Expected EU contribution per project (EUR million)[7]	Indicative number of projects expected to be funded
Opening: 14 Dec 2022 Deadline(s): 14 Mar 2023				
HORIZON-CL2-2023-DEMOCRACY-01-01	RIA	9.00	2.00 to 3.00	3
HORIZON-CL2-2023-DEMOCRACY-01-02	RIA	9.00	2.00 to 3.00	3
HORIZON-CL2-2023-DEMOCRACY-01-03	RIA	12.00	5.00 to 6.00	2
HORIZON-CL2-2023-DEMOCRACY-01-04	RIA	9.00	2.00 to 3.00	3
HORIZON-CL2-2023-DEMOCRACY-01-05	RIA	9.00	2.00 to 3.00	3
HORIZON-CL2-2023-DEMOCRACY-01-06	RIA	9.00	2.00 to 3.00	3
HORIZON-CL2-2023-DEMOCRACY-01-07	RIA	9.00	2.00 to 3.00	3
HORIZON-CL2-2023-DEMOCRACY-01-08	RIA	9.00	2.00 to 3.00	3
Overall indicative budget		75.00		

General conditions relating to this call

[6] The Director-General responsible for the call may decide to open the call up to one month prior to or after the envisaged date(s) of opening.
The Director-General responsible may delay the deadline(s) by up to two months.
All deadlines are at 17.00.00 Brussels local time.
The budget amounts are subject to the availability of the appropriations provided for in the general budget of the Union for years 2023 and 2024.

[7] Nonetheless, this does not preclude submission and selection of a proposal requesting different amounts.

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Navigating the Work Programme

The Introduction

Sets out the overarching driver for the work programme

Puts the work programme into context

What to expect/what will be covered

Links to the Key Strategic Orientations (KSO) set out in the

Strategic plan

Links to the Expected Impact

Translate the KSO and Expected Impact into the Destinations

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Example – Cluster 5

Activities in this work programme will contribute to all **Key Strategic Orientations (KSOs)** of the Strategic Plan (KSO C being the one with the most direct contribution):

A. **Promoting an open strategic autonomy**[7] **by leading the development of key digital and, enabling and emerging technologies, sectors and value chains** to accelerate and steer the digital and green transitions through human-centred technologies and innovations;

B. **Restoring Europe's ecosystems and biodiversity, and managing sustainably natural resources** to ensure food security and a clean and healthy environment;

Expected Impact (Strategic Plan)	Destination
Transition to a climate-neutral and resilient society and economy enabled through advanced climate science, pathways and responses to climate change (mitigation and adaptation) and behavioural transformations.	1. Climate sciences and responses for the transformation towards climate neutrality
Clean and sustainable transition of the energy and transport sectors towards climate neutrality facilitated by innovative crosscutting solutions.	2. Cross-sectoral solutions for the climate transition

The Destinations

Further details on the relevant KSO and Expected Impact

Gives the wider policy context – why this is important

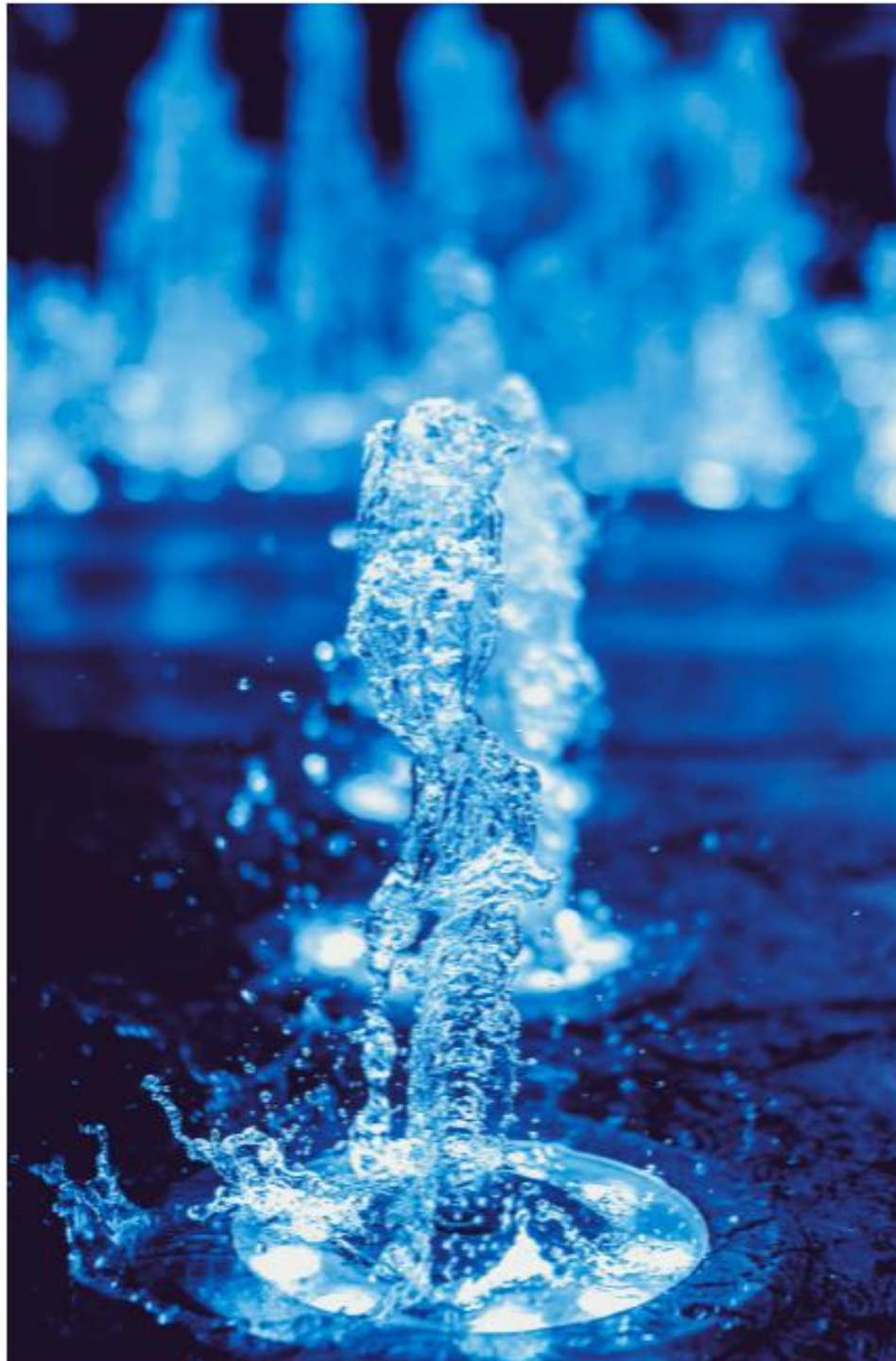
May indicate expected synergies

List the calls related to achieving that destination

Outlines where the calls should get to as a collective

Proposals for topics under this Destination should set out a credible pathway to contributing to the following expected impacts of the Horizon Europe Strategic Plan:

- Democratic governance is reinvigorated by improving the accountability, transparency, effectiveness and trustworthiness of rule-of-law based institutions and policies and through the expansion of active and inclusive citizenship empowered by the safeguarding of fundamental rights.



The Call (An example)

HORIZON-CL5-2021-D1-01-03: Maximising the impact and synergy of European climate change research and innovation

Specific conditions	
Expected EU contribution per project	The Commission estimates that an EU contribution of between EUR 4.00 and 5.00 million would allow these outcomes to be addressed appropriately. Nonetheless, this does not preclude submission and selection of a proposal requesting different amounts.
Indicative budget	The total indicative budget for the topic is EUR 9.00 million.
Type of Action	Coordination and Support Actions
Admissibility conditions	The conditions are described in General Annex A. The following exceptions apply: The page limit of the application is 45 pages.
Procedure	The procedure is described in General Annex F. The following exceptions apply: To ensure a balanced portfolio covering both areas, grants will be awarded to applications not only in order of ranking but at least also to one project that is the highest ranked within each area, provided that the applications attain all thresholds.

International cooperation is encouraged, in particular with one or more of the top ten emitters [27] and with non-high-income countries [28] requiring support for the design and implementation of current and future NDCs.

Scope: Proposals should:

- Ensure that Integrated Assessment Models enable the assessment of Paris Agreement-compatible mitigation policies to which policymakers around the world have access.
- Deliver advice and insights that can inform climate action and sustainable development policy design, including biodiversity preservation, at global and national level, based on the best available science.
- Support comparability of model results e.g. between national and global scenarios, and between Integrated Assessment Models and other models used to inform climate action at different geographical scales.
- Identify milestones, drivers and barriers towards achieving climate neutrality in an economically and environmentally responsible and socially inclusive way, including where appropriate by examining implementation of previous or existing climate policies.

Expected Outcome: Project results are expected to contribute to some of the following expected outcomes:

- Raising awareness of citizens, business, social partners, policy-makers and other relevant audiences towards climate change, based on more efficient, transparent and engaging communication of authoritative and timely science-based information originating from EU-funded climate change research projects.
- Better coordination of both on-going and future EU-funded climate change research initiatives and a more efficient use of resources.

Getting Started

Developing your proposal

I have identified the funding opportunity

How do I get started?

Talk to people - Let know you are interested in different opportunities

Do you have a strong profile for you career stage and discipline?

Am I visible – Not only past work, but current activities and future interests

Establish your own network - Start small with a few trusted individuals

Contact EU research support services – Can help identify the funding opportunities

Make sure people know you are interested in working collaboratively/ as part of an EU project

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Developing your consortium

Who do you need involved? The call text call help!

Main objective

- Technical or social
- Gender Equality and Gender Dimensions in the research
- Open Science and data management

Other Experts

- Communication
- Dissemination
- Public engagement
- Responsible research and Innovation (RRI)

Exploitation partner(s)

- Tech = Business team
- Social – policy team
- End user groups

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Partner Searching

EURAXESS - hosting offers, job offers, funding opportunities

MSCA matchmaking platform – both host organisations and individual researchers

Funding & Tender Opportunities Portal (FTOP) – partner search tool on call page

Science and Policy Matchmaking Event – 31 May 2022

CORDIS – find previously funded projects

Horizon Results Booster - previously funded projects

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Horizon Europe - Building a Consortium

Winning a Horizon Europe grant is a great opportunity and achievement. Success, at the application but also the project implementation stage, depends to a large extent on the quality of the consortium. This factsheet offers some advice on how to make a start on creating the right consortium, where to look for partners or find out about consortia that are forming and what to keep in mind when selecting partners. Finally, it provides some best practices for leading or working within a consortium.

Consortium basics

For most projects (or 'types of action') the minimum requirement is to have at least three legal entities, independent of each other and each established in a different EU Member State or Associated Country. **As a novelty in Horizon Europe, at least one of the three partners must be based in a Member State.** Furthermore, some topics may have different eligibility conditions and require the participation of more, or specific types of participants (e.g. organisations based in non-EU countries in areas where international cooperation is mandatory).

However, most projects in Horizon Europe will have more than the minimum number of partners required. What the right number is will depend on the requirements of the project topic, the expected outcomes/impacts, the activities proposed and the available budget.

What are the rules in Horizon Europe?

Our dedicated factsheet on the **legal and financial basics in Horizon Europe** contains more information on funding rules for different types of organisations and from different countries.

Finding partners

A Horizon Europe project will typically last between 3-5 years and come with a lot of responsibility to deliver on outcomes and budget. It is important to ensure that each partner in a consortium is trustworthy and that there is clarity on what the project will achieve, who and how will contribute what and when. All partners need to understand that there will be a need for flexibility, and agility in case things change during the project.

Work with those you know and trust

Often, the best starting point is to think about **colleagues and peers with whom you already have direct or indirect links.** People with whom you or other partners have already worked are the safest bet, provided they help you build a convincing consortium that will impress the evaluators at the same time.

So, think broadly about institutional links as well as personal ones. While the first choice will almost invariably lie with partners you have already worked with, Horizon Europe calls will often require an interdisciplinary and/or inter-sectoral approach and a proposal must show that the consortium is well-equipped to meet the expected impacts as well as the scientific criteria.

Meet the scientific and impact and implementation criteria

While there are no geographical evaluation criteria as such, topics might specify certain priority areas or even specific countries (within or outside the EU). This will not always require including a partner from that country or region, but the proposed project will be evaluated on how it will address the requirements. Under the evaluation criterion "Quality and efficiency of the implementation" the role of participants and capacity of the consortium are specifically evaluated: *"Capacity and role of each participant, and the extent to which the consortium as a whole brings together the necessary expertise".*

Version: August 2023 - This factsheet reflects information available on the date issued. UKRO factsheets are produced for the benefit of staff in UKRO sponsor and subscriber institutions only. 1

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https://www.ukro.ac.uk/wp-content/uploads/2023/09/factsheet_heu_consortium_building.pdf

Funding for Networking

COST

- Supports bottom-up networks
- Funds meetings, conferences, workshops, short-term scientific missions, training schools, publications and dissemination activities.
- Interdisciplinarity is strongly encouraged
- Strong element on developing and including young researchers
- 4 years of funding
- The next collection date is October 2024

MSCA Staff Exchanges

- Supports new and existing networks
- Completely bottom up
- Supports researchers at all career stages, as well as administrative, managerial and technical staff
- Funding for research, travel, networking, training
- 4 years of funding
- Promotes international, inter-sectoral and interdisciplinary collaboration
- Dedicated funding to support those with disability
- Deadline for 2023 call 28 Feb 2024

Do I have the right set up?

Your consortium members should clearly link to the research and innovation and have the resources necessary to do the work.

For example, you have a consortium of 7 organisations, with 6 research objectives

Research Objective	Beneficiary
RO 1	B1
RO 2	
RO 3	B2
RO 4	B3, B4
RO5	
RO6	B5

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The Proposal – Part B

The Proposal – Part B

- Limit for a **full application is 45 pages**
  - **Exceptions**
    - *Call specific exceptions*
    - *Those using lump sum funding – 50 pages*
    - *Coordination and Support actions - 30 pages*
    - *first-stage, or a two stage application -10 pages.*
- Key elements of the award criteria
- Indicative number of pages for each sub-heading have been added.
- Pathways towards impact
  - In relation to the outcomes specified by the call topic and the wider impacts specified by the respective destinations in the work programme
  - Clear links with communication, dissemination and exploitation

https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/af/af_he-ria-ia_en.pdf

Approaching the Proposal

- Strong links to EU policy, particularly the 6 ambitions for Europe
- Clear expected impacts and outcomes set by the EC
- You (the applicant) drive the project
- Need to have clear research question and understanding of what you want to achieve (and why)
- Clear understanding of the resources need (skills, people etc)
- Expected time frame for most projects is 3 years, but you can propose longer (or shorter)

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Your Research Project

Have a clear research question(s)

Novelty vs State of the art

- highlight Inter disciplinarity, Intersectoral opportunities/elements
- Consider gender aspects & Open Science
- Impact

Realistic and well-defined research objectives

- Research objectives should link to methods
- Have a plan for exploitation, dissemination & communication
- Where will activities take place - why and when
- Link between the participants, the methods, resources etc.

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Evaluation Criteria

Slight variations between RIA, IA, CSA, MSCA, ERC etc.

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.

Research and Innovation Actions

[Horizon Europe Proposal Evaluation Experts Standard Briefing]
[General Annex Work Programme 2023-2024]

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Setting the Scene – Addressing Excellence

Link to the call text and related documentation

What is the main research question the project is trying to address?

- Why is this question important (link to EU policy priority areas and other related national/international polices
- Why now?

Research Objectives need to be clearly linked to the topic (research question), realistic within the timeframe

- Think SMART

Clearly articulate how the work goes beyond the state of the art

- State of the art must be clearly interpreted in light of the position of the project – TLR levels

Clearly communication if the project proposes any ground-breaking R&I

- Include novel concepts and approaches, new products, services or business and organisational models

Is the methodology sound

- Make sure there is a clear link between research objectives and research methods
- If using interdisciplinary approach, is it clearly articulated and necessary (link to research questions, objectives and methodology)

Ensure gender been properly taken into account

- Evaluated under excellence but think about it under impact and implementation

Are open science practises fully integrated into the methodology ?

Make sure data management has properly addressed and throughout

- Take into consideration dissemination, exploitation plans

Ensure the Role of SSH is properly address

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Under Excellence - Addressing the gender dimension of research

Things to consider

- Are gender norms embedded in the concepts, theories and models used by your research field? If so, how do these gender norms/assumptions influence the research area?
- How do gender and interconnected social categorizations, such as race, class etc. shape your research question and desired outcomes?
- Do the chosen methodology(ies) ensure that gender, and other connected social characterizations, are considered and investigated?
- Have you explained the project's approach to gender and intersectionality throughout the research life cycle?
- Have you explained how including sex and gender findings will increase the quality of the research and enhance the impact and relevance of the results?

UKRO Horizon Europe Condensed

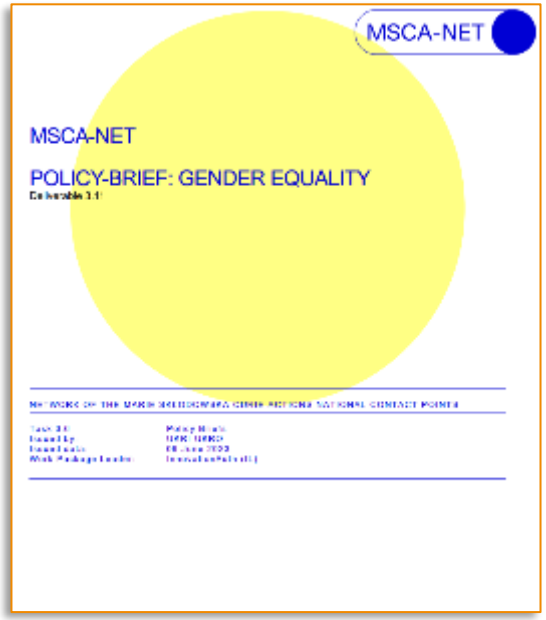
Gender and Intersectionality in Research and Innovation

Introduction

Novelties in Horizon Europe

Equal opportunities

https://www.ukro.ac.uk/publications/gender-and-intersectionality-in-research-and-innovation/



https://msca-net.eu/wp-content/uploads/2023/06/Task-3.6-Gender_Policy_Brief_08062023.pdf

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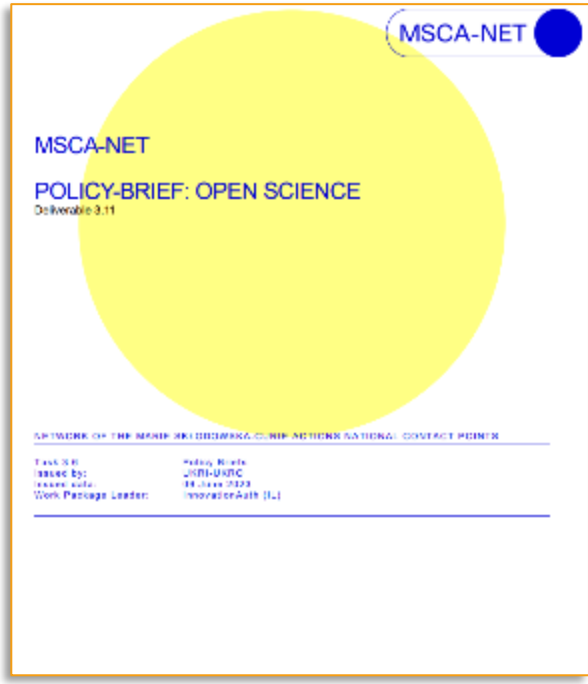
Under Excellence - Addressing Open Science

Applicants are encouraged to think about

- Using open knowledge sources, e.g., open data, open publications, samples etc.
- Early and open sharing of research e.g., pre-registration, registration of reports, pre-prints, crowdsourcing etc.
- Providing open access to all research results and outputs including software, models, algorithms, and workflows
- Participating in open peer review
- Involving all relevant knowledge actors including citizens, civil society, and end users in the co-creation of research and innovation agendas and contents (such as citizen science)
- Using appropriate licenses to support reusability of data and other outputs such as Creative commons, Open data Commons etc

https://www.ukro.ac.uk/publications/open-science-obligations-in-horizon-europe/



https://msca-net.eu/wp-content/uploads/2023/06/Task-3.6-Open_science_Brief.pdf

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Open Science Practises

Non-exhaustive list.

Open Science Practises		Mandatory	Recommended
Early and open sharing of research	• Preregistration, registered reports, preprints, etc.		Yes
Research output management	• Data management plan (DMP)	Yes	
Ensure reproducibility of research outputs	• Information on outputs/tools/instruments and access to data/results for validation of publications	Yes	
Open access to research outputs through deposition in trusted repositories	• Open access to publications • Open access to data • Open access to software, models, algorithms, workflows etc.	Yes, for peer-reviewed publications and research data (‘as open as possible as closed as necessary’)	Yes, for other research outputs.
Participate in open peer-review	• Publish in open peer-reviewed journals or platforms		Recommended
Involving all relevant knowledge actors	• Involve citizens, civil society, and end-users in co-creation of content (e.g., crowd-sourcing, etc.)		Recommended

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Open science practices are listed in the template for proposals, and call specific requirements will be included in the call text.

Research Data

- **No opting out of research data management plan**
- Open access to research data ‘as open as possible as closed as necessary
- Establish and regularly update a Data Management Plan
- Deposit data in a trusted repository and provide open access through it
- **Costs for RDM (for example data storage, processing and preservation) are eligible**

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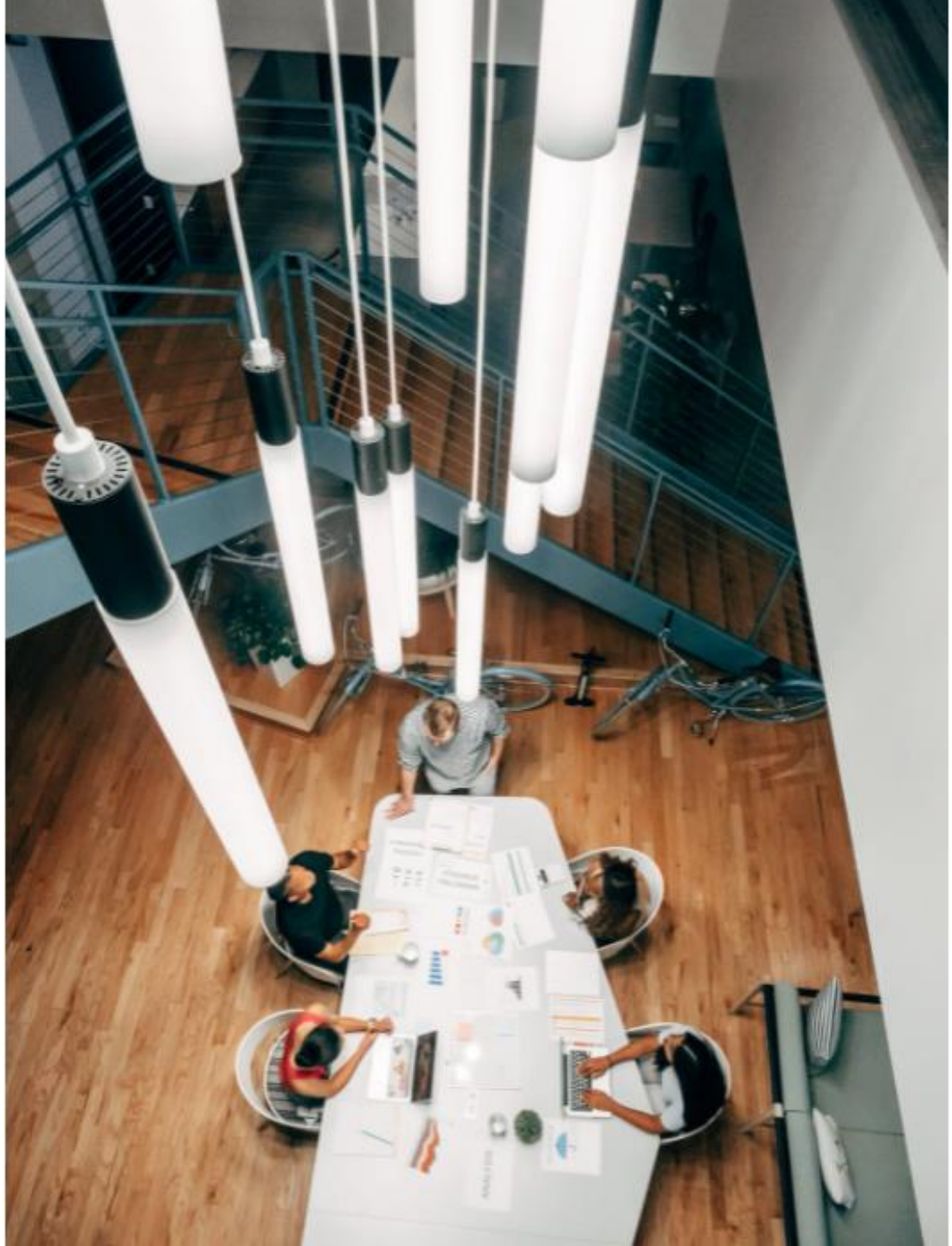


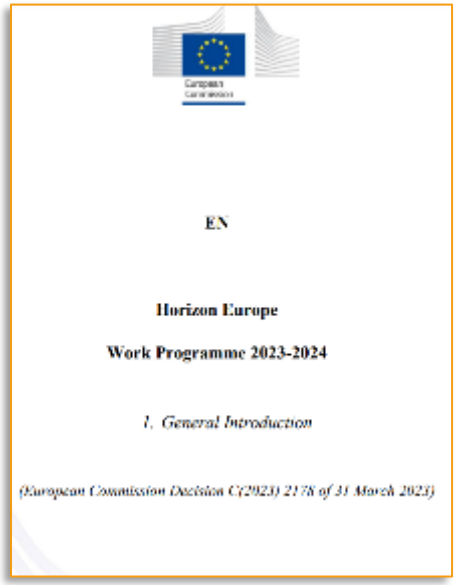
Expected Impact – impact pathway

Steps towards the achievement of the expected impacts of the project over time

- Begins with the results, through to dissemination, exploitation and communication
  - Maps the contribution to the expected outcomes in the destination and wider work programme
    - Described in the proposal under Section 2 Impact
  - Depending on the project may address only 1 or more of the three expected impacts

Addressing Impact

https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/wp-call/2023-2024/wp-1-general-introduction_horizon-2023-2024_en.pdf



- Explain how the project contributes to:
  - expected outcomes of the topic
  - the wider impacts, in the longer term, as specified in the respective destinations of the WP, credible?
- Are there barriers/environmental impact (do no significant harm principle)?
  - If so, how will they be overcome/managed ?
- Are the scale and significance of the project's contribution to the expected outcomes and impacts estimated and quantified?
- Clearly explain how the proposed dissemination, exploitation and communication measures are suitable for the project and of good quality
- Who are the target groups and why?
- Clearly detail the strategy for the management of intellectual property properly. Are they suitable to support exploitation of results?
- If exploitation is expected primarily in non-associated third countries, is it properly justified how that exploitation is still in the Union's interest?

https://eeas.europa.eu/sites/default/files/horizon_europe_strategic_plan_2021-2024.pdf

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Addressing D,E & C

	Objective	Focus	Target Audience
Communication	Researching out to society Demonstrating impact and benefits	Informing about and promoting the project and the results/successes	Multiple audiences
Dissemination	Transfer of knowledge and results Aim to enable others to use and take up results	Ensure results are available and able to be used by others	Those that are interested in the potential use of the results
Exploitation	Use of project results through scientific, economical, political or societal exploitations Turn R&I actions into concrete value and impact for society	Make concrete use of results	People/organisations, including project partners that can make concrete use of the results User groups

Addressing Implementation

The proposed work plan, and the effort and resources must

- Be of good quality and effective
- include quantified information so that progress can be monitored
- follow a logical structure
- have resources allocated to the work packages in line with their objectives and deliverables?
- Have clearly identified critical risks relating to project implementation with proper risk mitigation measures

Quality of participants and the consortium

- Clearly explain that the consortium matches the project's objectives, and brings together the necessary disciplinary and interdisciplinary knowledge
- include expertise in open science practices, and gender aspects of R&I, as appropriate
- topics flagged as SSH relevant, explain how the consortium includes the necessary expertise
- Do the partners have access to critical infrastructure needed to carry out the project activities
- Explain how the consortium complements each other and directly contribute to the project
- Is there industrial/commercial involvement in the project to ensure exploitation of the results

Do No Significant Harm' Principle

Research and innovation activities should not make a significant harm to any of the following six environmental objectives detailed under the EU Taxonomy Regulation:

- *Climate change mitigation*
- *Climate change adaptation*
- *Sustainable use & protection of water & marine resources*
- *Transition to a circular economy*
- *Protection and restoration of biodiversity & ecosystems*
- *Pollution prevention and control.*

To be taken into consideration in the scientific methodology and impact of the project

Compliance is not mandatory, unless explicitly stated but applicants are advised take it into consideration

Applies to Pillar II, but worth thinking about for Pillars I and III.

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Lump Sums

Writing a proposal

One dedicated lump sum page on the Funding &Tenders Portal

- Use the standard Horizon Europe application form
- Present the objectives and methodology of your project and address the expected outcomes and impacts as in any Horizon Europe proposal
- Describe in detail the activities covered by each work package
- Experts will assess the costs estimations entered in the detailed budget table, under the ‘implementation criteria
- If the costs are not considered ‘reasonable’ and or, do not meet the needs of the project, the evaluators can recommend the budget to be reduced accordingly
- Must provide a split of the lump sum per beneficiary per work package
- Payment is linked to the completion of work packages (partial payments possible)
- When splitting work packages, such as ‘Management’, one does not need to describe them in detail more than once
- Provide a detailed budget table with cost estimations based on standard Horizon Europe funding rules
- The budget can be used flexibly, including the transfer of budgets between work packages and beneficiaries without the need for an amendment.

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The budget table must be uploaded during the proposal stage. Proposals may be deemed ineligible if the table is missing.

Project design

Work packages - a major sub-division of the work plan of your project

As many as needed but no more than what is manageable

Is a major sub-division of the work plan of your project

Overarching work packages, such as ‘Management’, can be split into smaller ones to align with reporting periods/payments

When splitting work packages, such as ‘Management’, one does not need to describe them in detail more than once

Work packages are accepted if the activities have been carried out.

Can accept partially completed work packages, when all essential tasks have been completed, when equivalent tasks have been carried out, or when deviations have been justified

Before a lump sum work package (that you declared completed) is rejected as incomplete, you are invited to respond to the observations of the project officer.

If a work package is not completed by the end of a project, then the lump sum is paid partially in line with the degree of completion. The decision is taken on a case-by-case basis

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The Proposal – Part A

The Proposal – part A

Corporate approach

Include a list of the known researchers involved in the proposal (including gender, career stage)

- additional details previous captured under section 4 Members of the consortium

Need to include the role of the organisations

- Check boxes from predefined list

Organistion Info previously in section 4 is now included in Part A

- List of up to 5 publications, widely-used datasets, software, goods, services, or any other achievements relevant to the call content

Longer Ethics and Security section

- Narrative part of the ethics self-assessment (formally section 5) now including in Part A

Ethics and Security

All proposals will need to complete the ethics self-assessment and security issues table

The UK organisations will need to tick ‘yes’ to ‘research undertaken outside of the EU’

All proposals above threshold and considered for funding will undergo an Ethics Review and Security Review

The reviews are carried out by independent experts

Assessment(s) may lead to additional requirements (e.g. additional deliverables and or milestones)

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https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-handle-security-sensitive-projects_en.pdf

https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-complete-your-ethics-self-assessment_en.pdf

Other Points for Consideration

Social Sciences and Humanities

Aim for SSH integration across all Horizon Europe Clusters

Key to understanding the relationships between human behaviour and major global challenges

Supports meaningful societal impact

- Builds on experiences from Horizon 2020
- Will be more holistic
- More explicit
- More forceful

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Application form

- Role of participating organisation in the project. Box to be ticked: Contributions from the social sciences or/and the humanities.
- Describe Individual members in part A

Part B Excellence

- 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.

Part B Implementation

- How does the consortium 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.

International Cooperation

- **Dedicated call topics** are particularly relevant for international cooperation with some calls directly targeting (encourage or, in few cases, require) cooperation with specific third countries or regions.

- Most often targeted geographies are **Africa, Japan, USA, Canada, South Korea, Australia, China, India, the LAC region and the southern Mediterranean**.

- Topics targeting Africa will be included in a transversal 'Africa initiative' –collection of topics that focus on collaboration with African countries.

In principle, any legal entity, established in any country in the world will be able to participate in the collaborative projects funded under Horizon Europe.

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Horizon Europe – International Cooperation and Association Policy

What is Horizon Europe?

Horizon Europe is the EU's key funding programme for research and innovation with a budget of €95.5 billion for the period 2021-2027. It tackles climate change, helps to achieve the UN's Sustainable Development Goals and boosts Europe's competitiveness and growth.

The programme facilitates collaboration and strengthens the impact of research and innovation in developing, supporting and implementing EU policies while tackling global challenges. It supports the creation and better sharing of knowledge and technologies.

It also creates jobs, fully engages Europe's talent pool, boosts economic growth, promotes industrial competitiveness and optimises investment impact within a strengthened European Research Area.

The UK is associated to Horizon Europe under the terms of the UK-EU Trade and Cooperation Agreement. For further information on UK participation in the programme see UKRO's dedicated factsheet.

International cooperation in Horizon Europe

International cooperation (INCO) in research and innovation is important to strengthen European academia and industry, and to help better address global societal challenges and support the EU's external policies. In the context of Horizon Europe, **international cooperation refers to collaboration with any legal entity based in the so-called 'third countries'** that are neither EU Member States nor Associated Countries. This includes new global players, such as the BRIC countries (Brazil, Russia, India and China), as well as established global leaders, like the USA, Canada and Japan.

There is no specific programme part dedicated to international cooperation in Horizon Europe and like in its predecessor - Horizon 2020 – collaborative projects involving international partners are encouraged across the programme. **In principle, any legal entity, established in any country in the world will be able to participate in collaborative projects funded under Horizon Europe.** This means that organisations from third countries could still participate in the standard collaborative projects such as Research and Innovation Actions, or Coordination and Support Actions (unless exceptionally the Work Programme states otherwise), but their participation in mono-beneficiary schemes such as the European Research Council grants could be restricted – the exact rules for participation will need to be confirmed in the relevant Work Programmes and could vary depending on the scheme.

It is also important to make a distinction between eligibility to participate in projects and to receive funding from Horizon Europe, as not all countries will be automatically eligible to obtain funds from the programme. The Horizon Europe Programme Guide will include the full list of countries eligible for funding.

New Strategy for International Cooperation in Horizon Europe

In May 2021, the Commission published its new Strategy for International Cooperation in Research & Innovation, which will underpin the international dimension of Horizon Europe. This new global approach to R&I supersedes the previous EU strategy that dates back to 2012 in order to respond to today's significantly different global context and to align the EU's international cooperation with its current political priorities.

Version: June 2021 - This factsheet reflects information available on the date issued. UKRO factsheets are produced for the benefit of staff in UKRO sponsor and subscriber institutions only.

Third Country Participation

Though researchers and innovators for all over the world can participate, not all of them will be able to receive funding from the EC

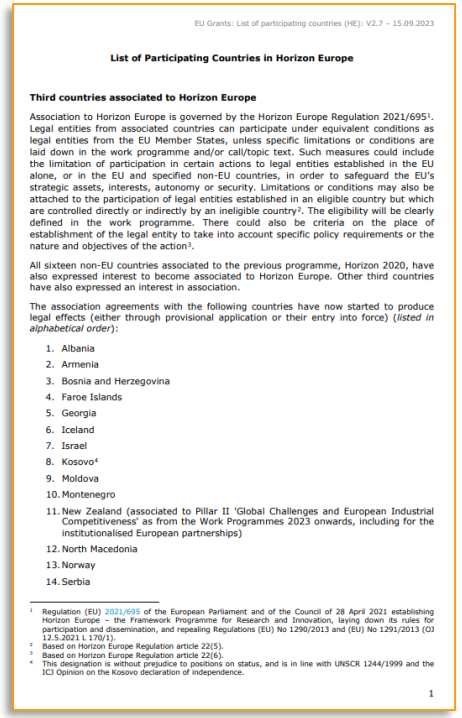
Only organisations based in low- to middle-income countries are automatically eligible for funding

Can request EC in EXCEPIONAL for other third country participants

Many countries have national mechanism to support participation in EC funding

New Zealand has associated to Pillar 2 from 2024 work programme

Canada has associated to Pillar 2 from 2024 Work Programme



EU Grants: List of participating countries (HE): V2.7 – 15.09.2023

List of Participating Countries in Horizon Europe

Third countries associated to Horizon Europe

Association to Horizon Europe is governed by the Horizon Europe Regulation 2021/695[1]. Legal entities from associated countries can participate under equivalent conditions as legal entities from the EU Member States, unless specific limitations or conditions are laid down in the work programme and/or call/topic text. Such measures could include the limitation of participation in certain actions to legal entities established in the EU alone, or in the EU and specified non-EU countries, in order to safeguard the EU's strategic assets, interests, autonomy or security. Limitations or conditions may also be attached to the participation of legal entities established in an eligible country but which are controlled directly or indirectly by an ineligible country[2]. The eligibility will be clearly defined in the work programme. There could also be criteria on the place of establishment of the legal entity to take into account specific policy requirements or the nature and objectives of the action[3].

All sixteen non-EU countries associated to the previous programme, Horizon 2020, have also expressed interest to become associated to Horizon Europe. Other third countries have also expressed an interest in association.

The association agreements with the following countries have now started to produce legal effects (either through provisional application or their entry into force) (*listed in alphabetical order*):

1. Albania
2. Armenia
3. Bosnia and Herzegovina
4. Faroe Islands
5. Georgia
6. Iceland
7. Israel
8. Kosovo[4]
9. Moldova
10. Montenegro
11. New Zealand (associated to Pillar II 'Global Challenges and European Industrial Competitiveness' as from the Work Programmes 2023 onwards, including for the institutionalised European partnerships)
12. North Macedonia
13. Norway
14. Serbia

[1] Regulation (EU) 2021/695 of the European Parliament and of the Council of 28 April 2021 establishing Horizon Europe – the Framework Programme for Research and Innovation, laying down its rules for participation and dissemination, and repealing Regulations (EU) No 1290/2013 and (EU) No 1291/2013 (OJ L 170, 12.5.2021, p. 1).
[2] Based on Horizon Europe Regulation article 22(5).
[3] Based on Horizon Europe Regulation article 22(6).
[4] This designation is without prejudice to positions on status, and is in line with UNSCR 1244/1999 and the ICJ Opinion on the Kosovo declaration of independence.

1

https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/list-3rd-country-participation_horizon-euratom_en.pdf

European Commission

Horizon Europe (HORIZON)

Complementary funding mechanisms in third countries and territories

Version 6.0
01 August 2023

https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/complementary-funding-mechanisms-in-third-countries_he_en.pdf

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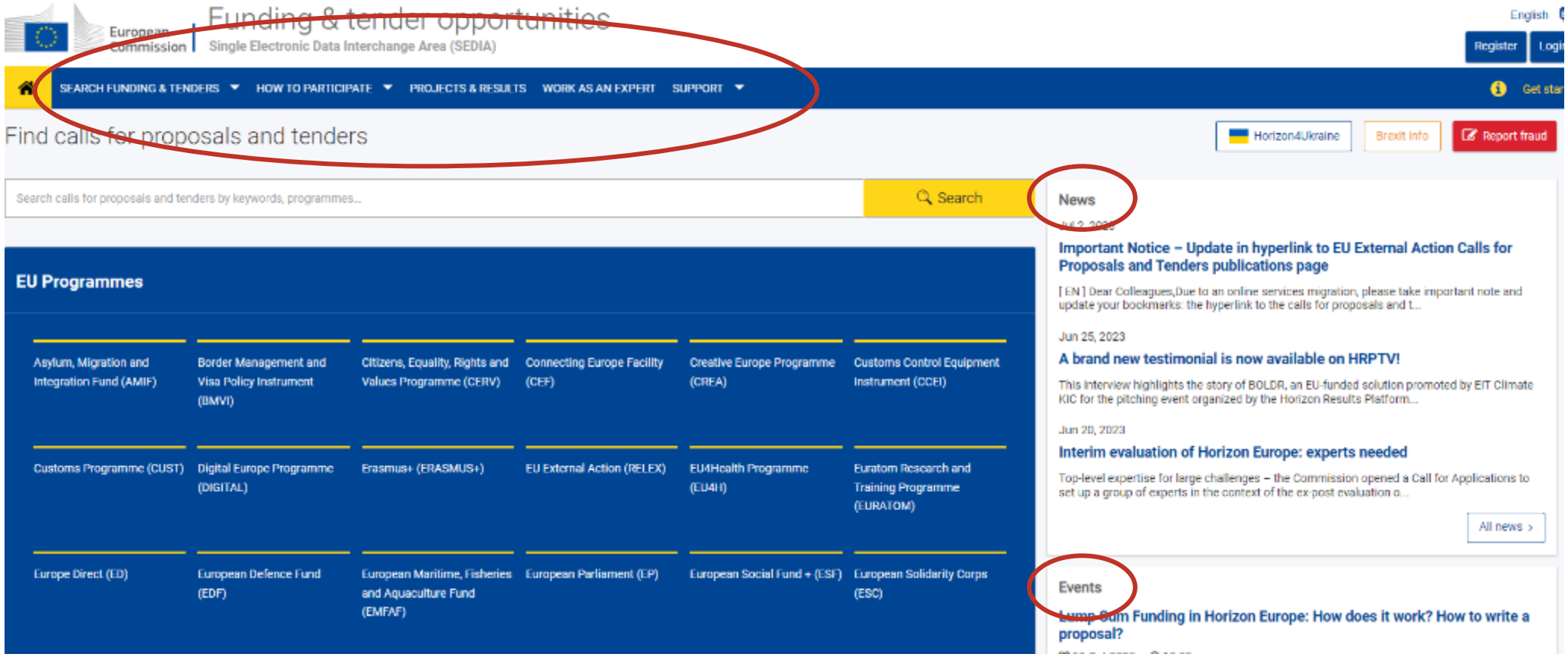
FTOP

The Funding and Tenders Portal

The Funding and Tenders Portal

One stop shop for all things related to EU funding



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

FTOP

- Search Funding and Opportunities
  - All current and closed calls as well as those that are forth coming
- How to participate
  - Reference documents such as work programmes, grant agreements, templates etc, Partner search, PIC numbers (participant register)
- Projects and results
  - Horizon Dashboard, Horizon Results platform, success stories etc.
- Support
  - Guidance material, FAQs, helpdesks, NCP contacts etc.

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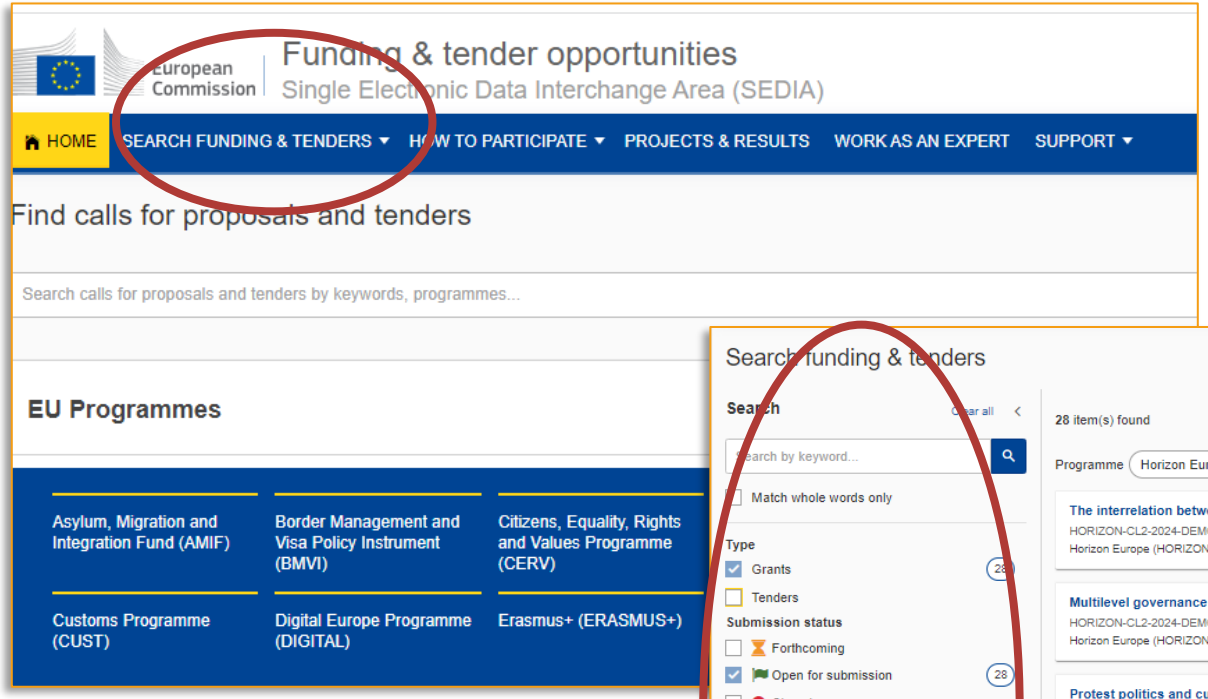
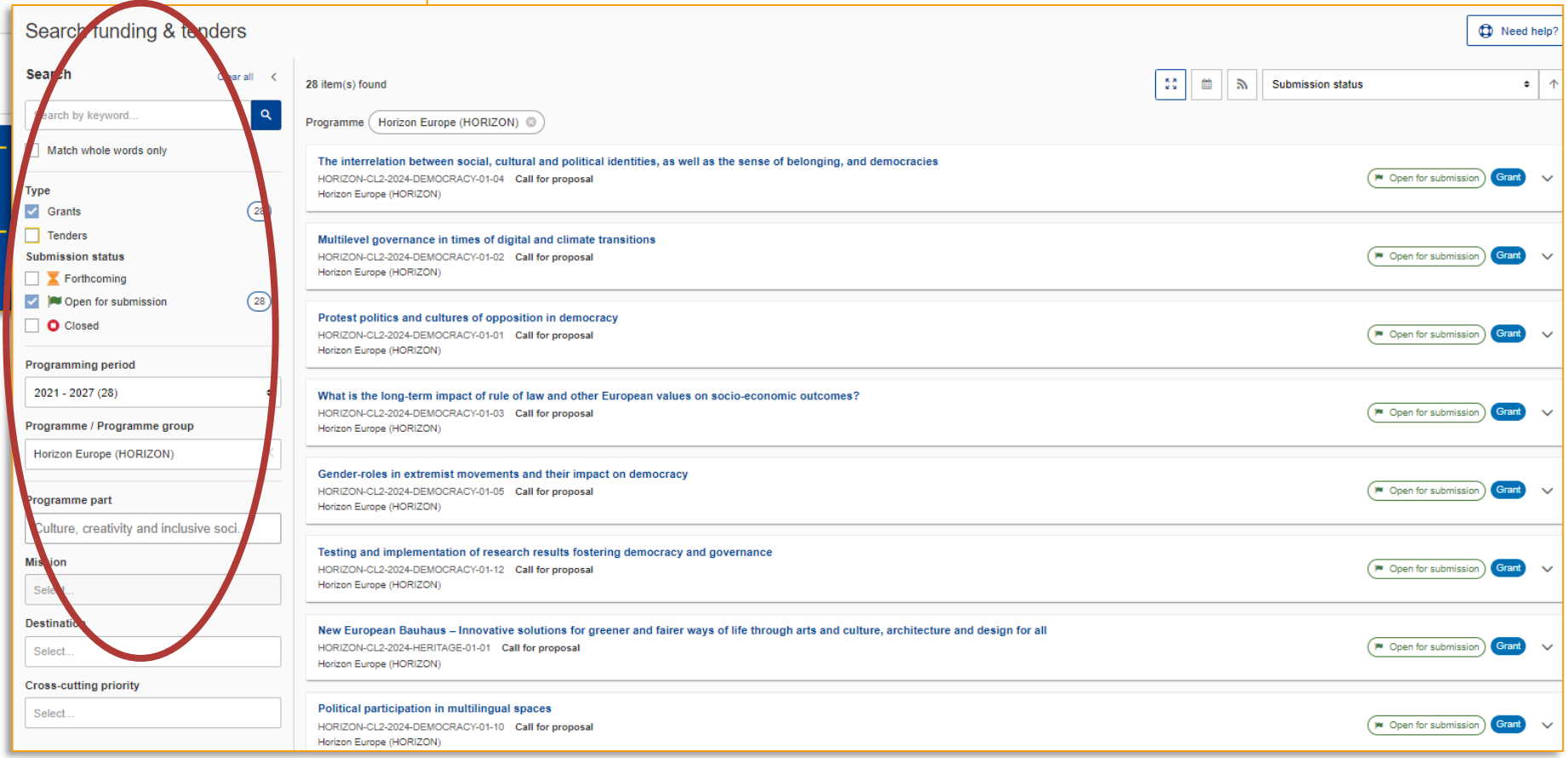
Funding & Tender Opportunities





Must be register in the Funding & Tender Opportunities Portal

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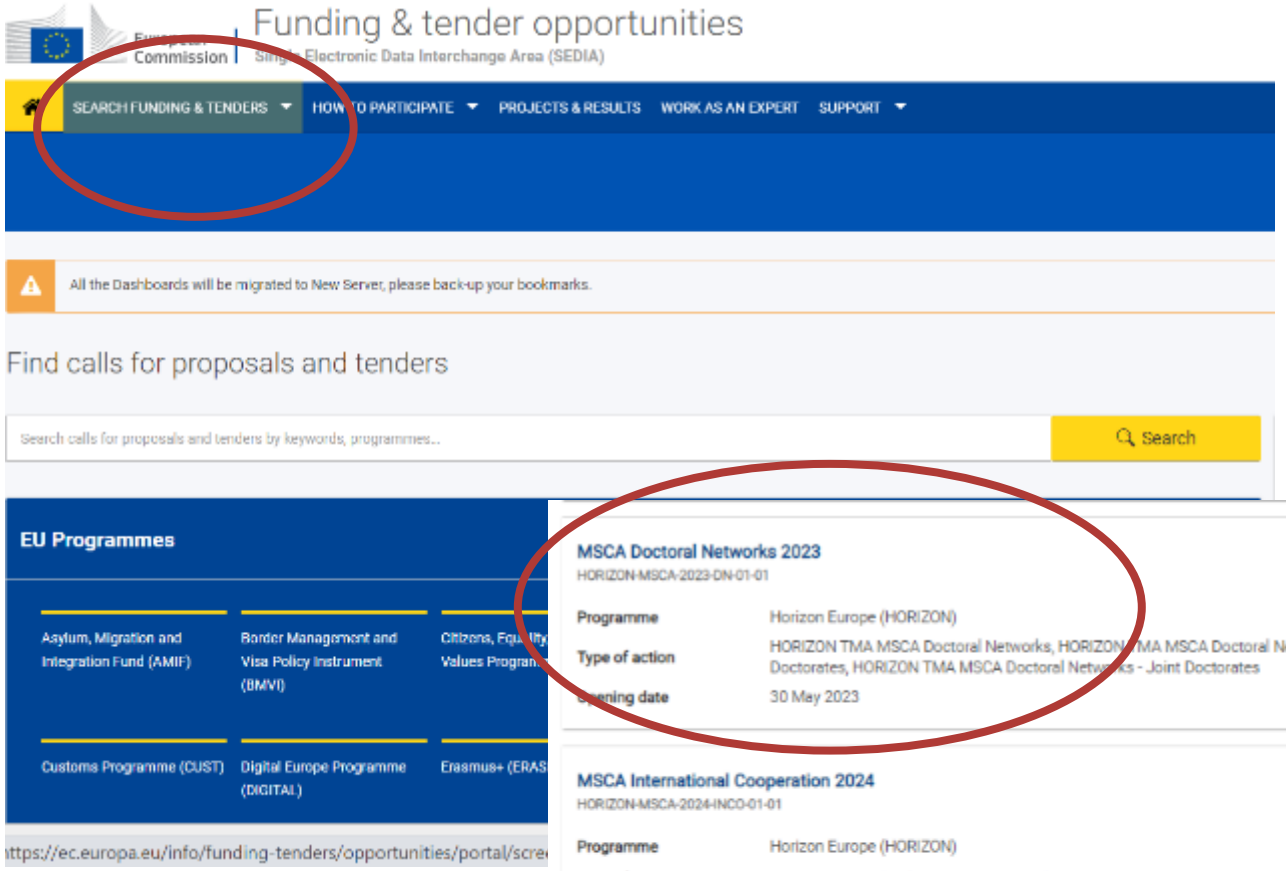
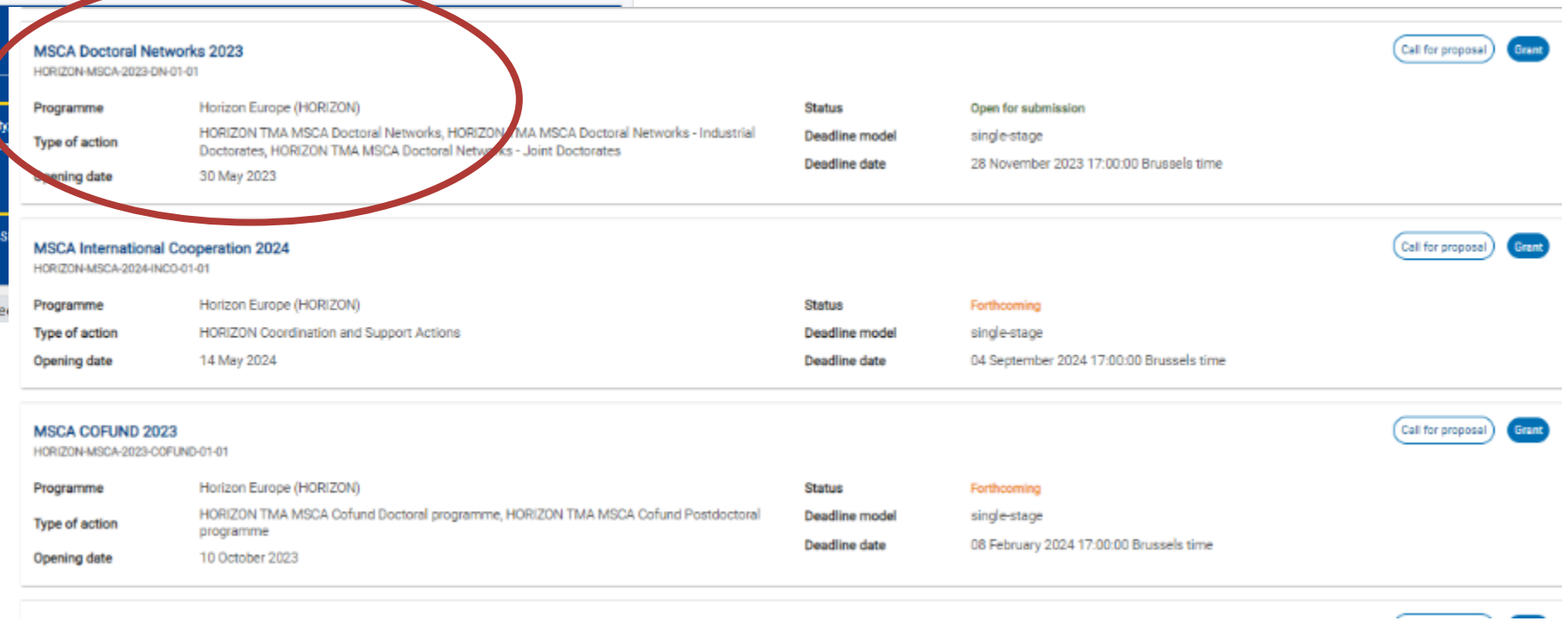
Funding & Tender Opportunities





Must be register in the [Funding & Tender Opportunities Portal]

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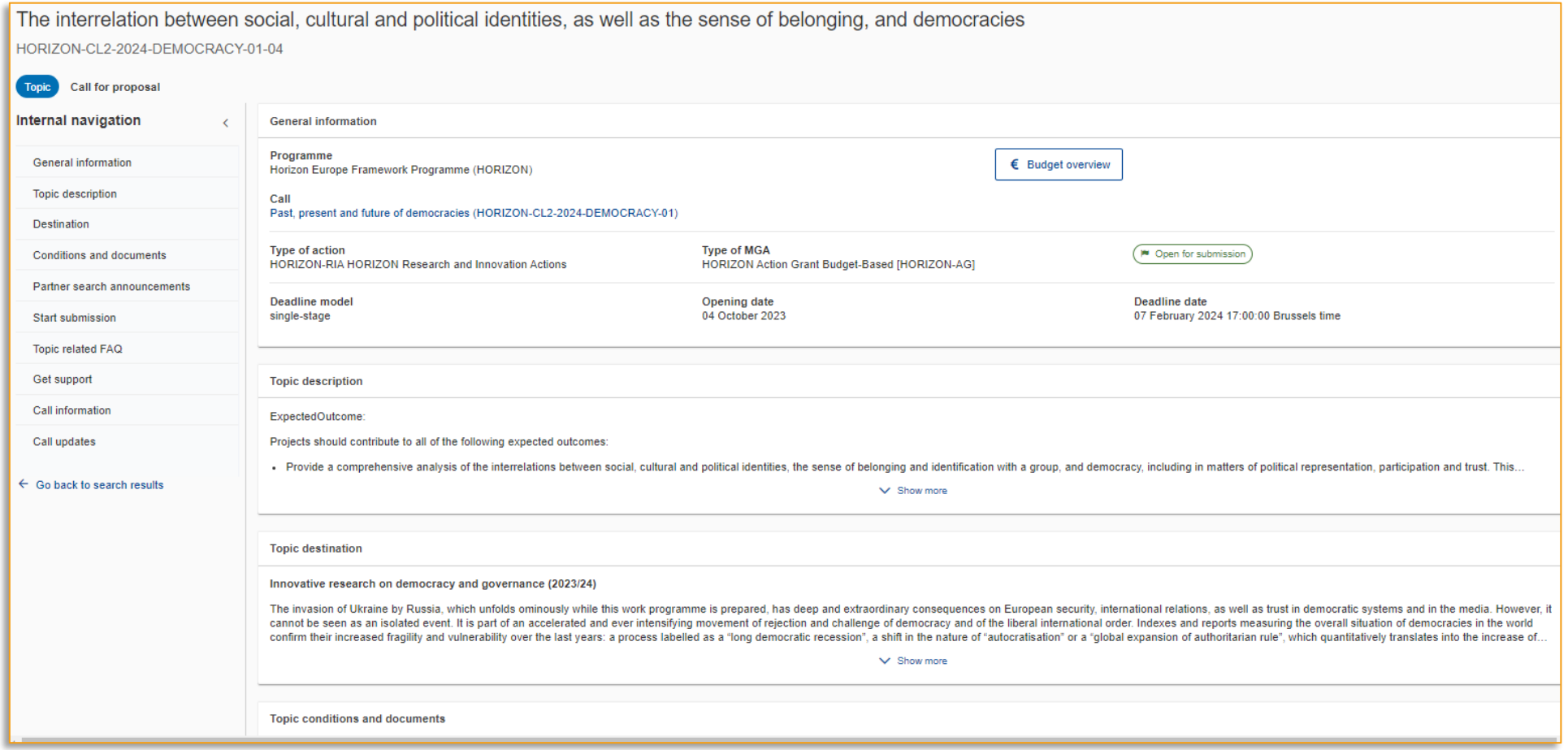
The Call Page

Contains all the relevant call information, including all the necessary call documentation



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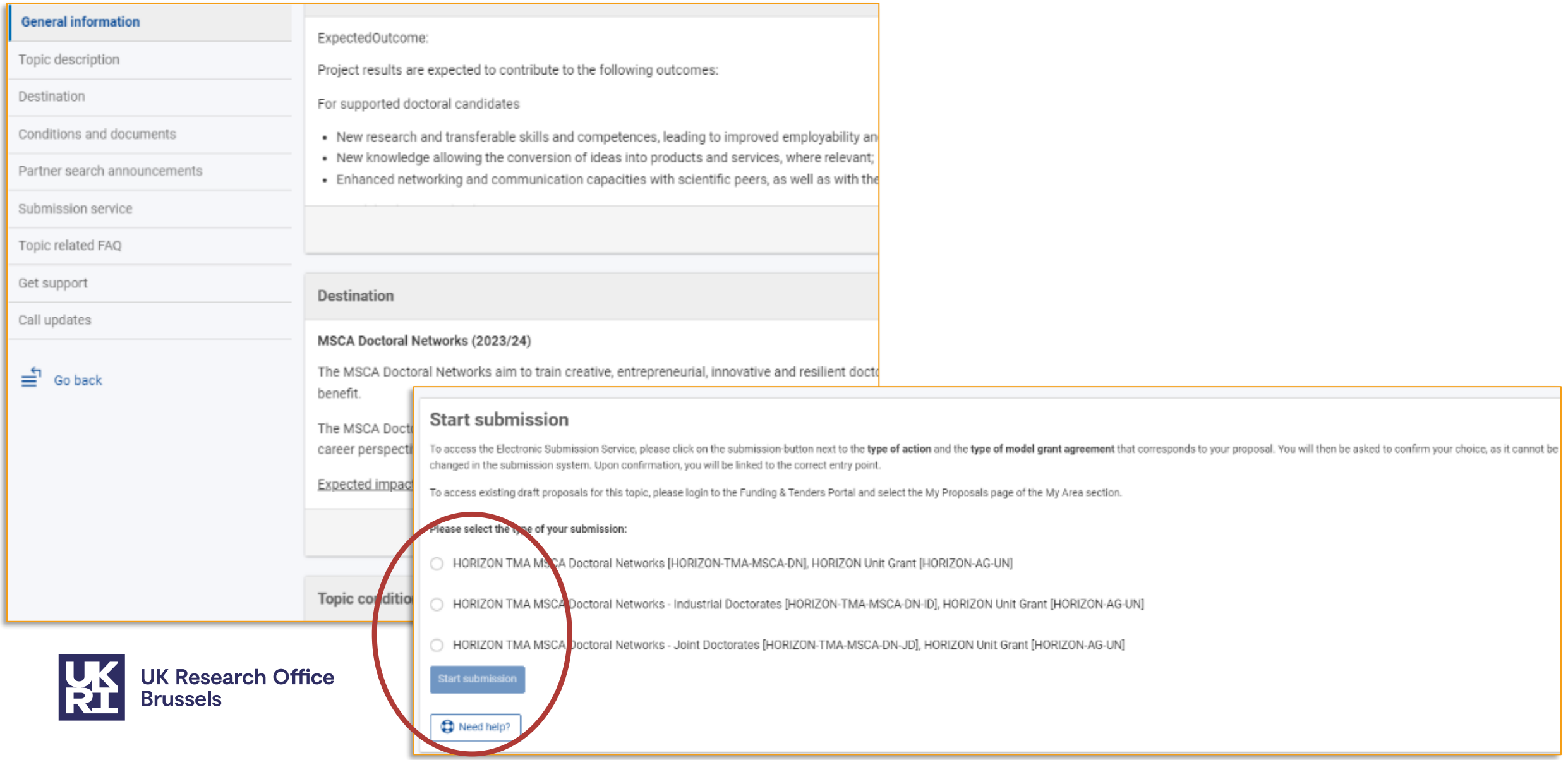
Call Page on Funding & Tender Opportunities



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Final thoughts

Pitfalls To Avoid

Progress beyond the state of the art poorly explained	Highly complex proposal	Unclear research objective	Proposals not easy to read and not consistent
IPR, Impact and Risk neglected	Gender Aspects ignored	Open Science practises not considered	Lack of detail with regards who is doing what and why
Don’t forget ethics and secrutiy (if relevant)	Follow the formatting guidelines!	Don’t confuse the terms results, research output, outcomes and impact	Make sure you have the right consortium to carry out the project

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https://rea.ec.europa.eu/news/common-mistakes-avoid-when-applying-horizon-europe-funding-2023-02-09_en

Reminder

All elements of the proposal need to be well justified against the overall research question

Need to be precise and well explained

Proposal should be linked throughout

Not a question of quantity

Need to use clear and concise language

Should be able to link back all decisions/activities on the research needs/objectives

Research Question (RQ)	Research Objective (RO)	Methodology (M)
RQ 1	RO1	M1
RQ 2		M2
RQ 3	RO2	
RQ 4	RO4	M3

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What do I need to be successful?

Is there a trajectory to success?

No predefined trajectory to guarantee success

Participants in COST had a +30% success rate in H2020 collaborate projects (12% average success rate)

Including certain countries and or partners will not increase your chance of success

There is no typical CV for those involved

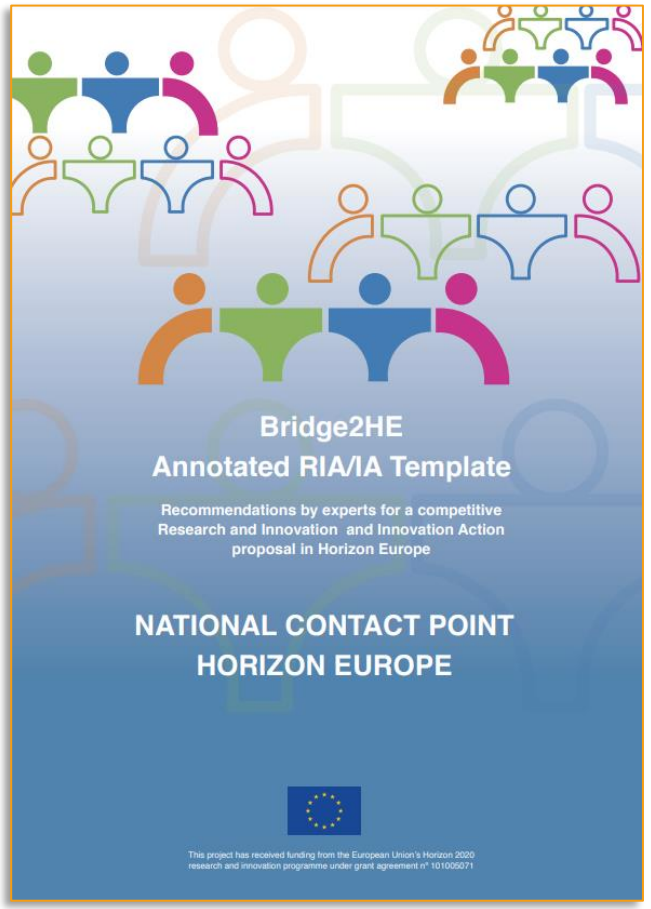
Your career stage doesn't matter

You can start small

Should be interested/excited by the topic

Should want to work with the consortium (or at least some of them)

Should have the necessary expertise to the work



https://horizoneuropencpportal.eu/sites/default/files/2022-11/bridge2he_annotated-template.pdf

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Funding Stats can be found here: https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/opportunities/projects-results

Additional Resources

UKRO Portal https://www.ukro.ac.uk/

Funding & Tender Opportunities Portal
https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/home

Gender Equality in Research and Innovation
https://ec.europa.eu/info/research-and-innovation/strategy/strategy-2020-2024/democracy-and-rights/gender-equality-research-and-innovation_en

Open Access and Data management
https://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/open-access-dissemination_en.htm

Draft Corporate MGA
https://ec.europa.eu/transparency/regdoc/rep/3/2020/EN/C-2020-3759-F1-EN-ANNEX-1-PART-1.PDF

Proposal Template https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/temp-form/af/af_he-ria-ia_en.pdf

Horizon Europe Strategic Plan
https://op.europa.eu/en/web/eu-law-and-publications/publication-detail/-/publication/3c6ffd74-8ac3-11eb-b85c-01aa75ed71a1

Horizon Europe Programme Guide
https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/programme-guide_horizon_en.pdf

Standard Briefing Proposal Evaluation
https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/experts/standard-briefing-slides-for-experts_he_en.pdf

H2020 Indicative Audit Programme
https://ec.europa.eu/research/participants/data/ref/h2020/other/gm/audit/h2020-iap_en.pdf

H2020 Guidance Amendment types & supporting documents
https://ec.europa.eu/research/participants/data/ref/h2020/other/gm/h2020-guide-amend-types_en.pdf

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Thank you

Questions?

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