



# HORIZON EUROPE

THE EU  
RESEARCH & INNOVATION  
PROGRAMME

2021 – 2027

## HE CL4 SPACE PROPOSAL EVALUATION

Deutschsprachiger Informationstag – ONLINE  
30 November 2022

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Horizon Europe CL4 is implemented by

# HaDEA — The European Health and Digital Executive Agency

newly established on 16 February 2021



Health

Food safety

Space

Industry

Digital



20 staff,  
ex-REA team

# HaDEA.B4 Space Research

- Management of the **Space Research** element of the Framework Programme **Horizon Europe**
- Management of the **Legacy Projects** of the Space Research element of the Framework Programme **Horizon 2020** (currently about 150 ongoing projects)
- **Policy Feedback and Support** to the Parent Directorate-General DEFIS

# HaDEA Space Research

HORIZON-CL4-SPACE-2021-01

HORIZON-CL4-SPACE-2022-01

HORIZON-CL4-SPACE-2023-01

5 IBA SST (2022)

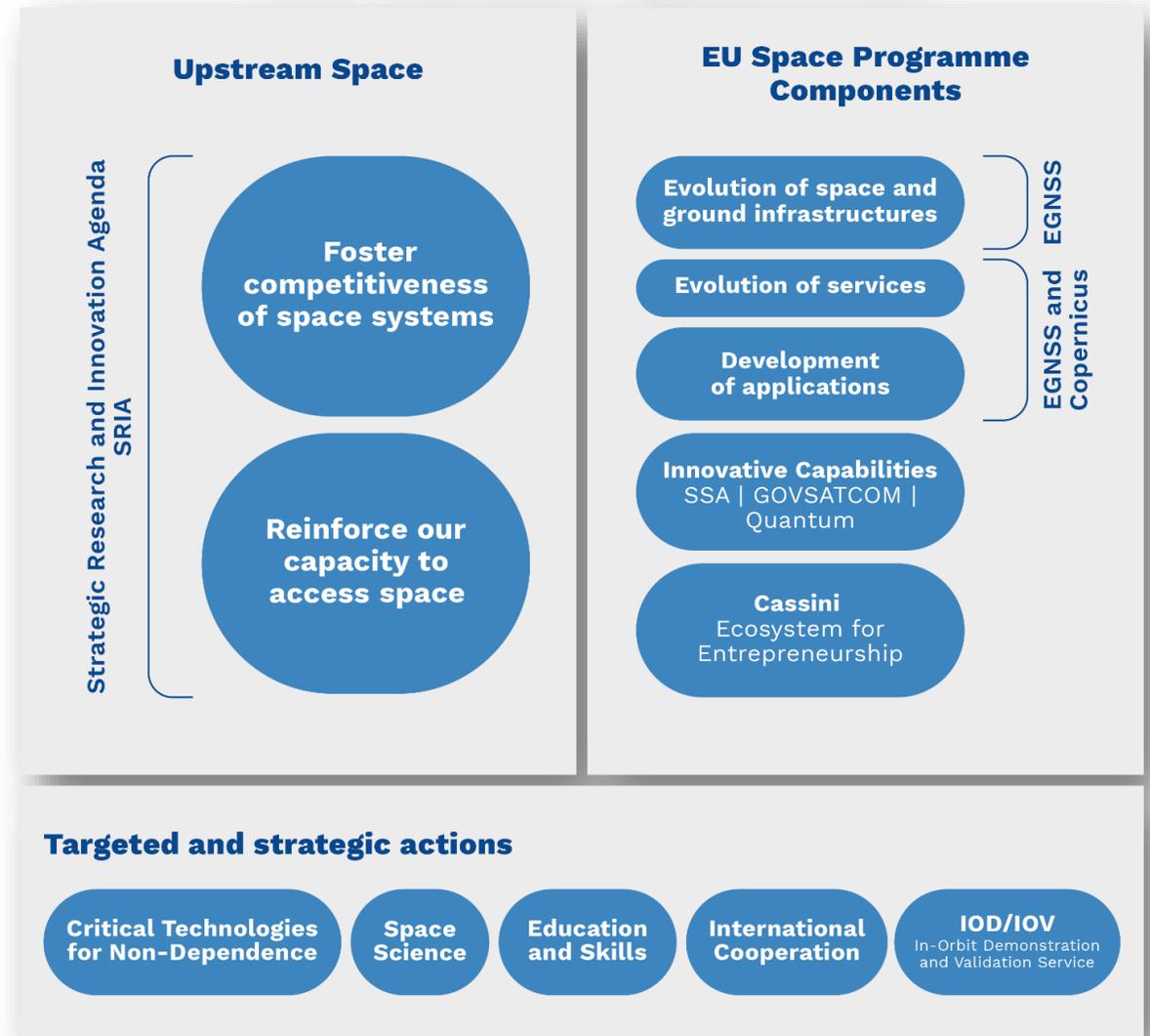
1 IBA Management and Coordination of the European partnership Globally Competitive Space Systems (2023)

HORIZON-CL4-SPACE-2024-01

5 IBA SST (2024)

...

## EU-funded space R&I



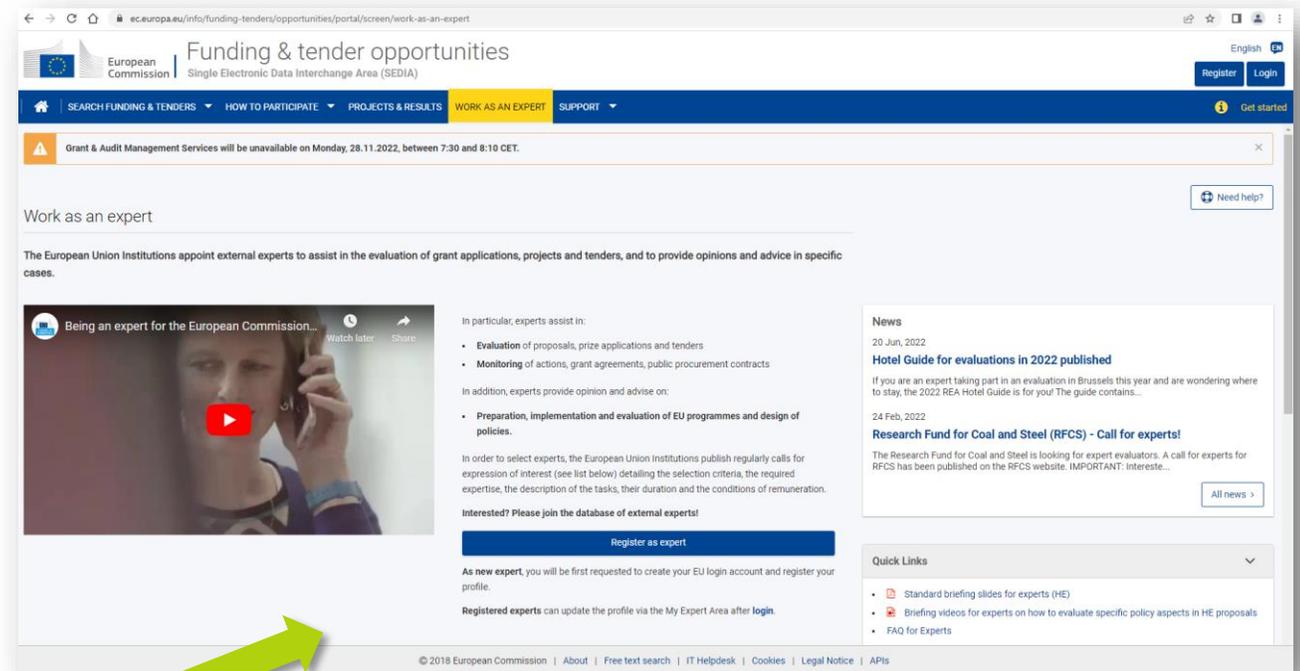
# Evaluation - organised by HaDEA and done by independent experts

- **Technical / scientific** expertise & experience  
(for lump sum projects combined with experience in **project budgeting**)
- First contact often months in advance, **contract** after submission deadline
- Obligation to carry out the evaluation work independently and in line with the instructed procedure.

Code of conduct.

Strictly no conflict of interest.

**Register in the database to become an expert yourself!**





# HORIZON EUROPE

## Standard evaluation process

Receipt of proposals

Individual evaluation

Consensus group

Panel review

Finalisation

Admissibility/eligibility check

Allocation of proposals to evaluators

Experts assess proposals **individually**.

Minimum of three experts per proposal (but often more than three).

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

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

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

Rank the proposals with the same score

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

# Timeline HORIZON-CL4-SPACE-2023-01



# Use of lump sums grants in call HORIZON-CL4-SPACE-2023-01\*

- **10 topics** out of 14 of call HORIZON-CL4-SPACE-2023-01
- € 73.7 million (**54%**) out of € 137.5 million available funding

## Lump sum topics

HORIZON-CL4-2023-SPACE-01-11	IA
HORIZON-CL4-2023-SPACE-01-12	RIA
HORIZON-CL4-2023-SPACE-01-13	CSA
HORIZON-CL4-2023-SPACE-01-31	RIA
HORIZON-CL4-2023-SPACE-01-32	RIA
HORIZON-CL4-2023-SPACE-01-33	RIA
HORIZON-CL4-2023-SPACE-01-34	RIA
HORIZON-CL4-2023-SPACE-01-62	RIA
HORIZON-CL4-2023-SPACE-01-63	RIA
HORIZON-CL4-2023-SPACE-01-72	RIA

## Traditional topics

HORIZON-CL4-2023-SPACE-01-21	RIA
HORIZON-CL4-2023-SPACE-01-22	RIA
HORIZON-CL4-2023-SPACE-01-23	RIA
HORIZON-CL4-2023-SPACE-01-71	RIA



**\* Disclaimer:**  
Adoption of the Work Programme 2023-2024 of Horizon Europe Cluster 4 Digital, Industry and Space planned in the coming days ([pre-publication](#))

# Lump sum funding - basic principles

**Lump sum evaluation and grant agreement follow standard approach** with the same:

- Evaluation criteria
- Pre-financing and payment scheme
- Reporting periods and technical reporting, **though focusing on completion of work packages**

**One lump sum share is fixed in the grant agreement for each work package:**

➤ **Work package completed**  **payment**

- Payments do not depend on a successful outcome, but on the **completion of activities**.
- Work packages can be modified through amendments (e.g. to take into account new scientific developments)

# Admissibility & Eligibility

## Admissibility

- Applications must be **complete** and contain all parts and mandatory annexes and supporting documents.
- Applications must be **readable, accessible and printable**.
- Applications must include a **plan for the exploitation and dissemination of results including communication activities** (n/a for applications at the first stage of two-stage procedures or unless otherwise provided in the specific call conditions).
- Specific **page limits** per type of action normally apply (specified in the topic conditions and controlled by IT tool).

## Eligibility

- **Eligible activities** are the ones described in the call conditions.
- **Minimum number of partners** as set out in the call conditions (at least one independent legal entity established in a MS, and, at least two other independent legal entities established either in a MS or AC).
- Participants that are public bodies, research organisations or higher education establishments from Members States and Associated countries must have a **gender equality plan** (GEP) in place.

The GEP is not part of the evaluation criteria.

The existence of a GEP is checked if your proposal is invited to a grant agreement procedure.

- Other criteria may apply on a call-by-call basis as set out in the call conditions. In few cases, the call conditions in the topic can modify the interpretation of criteria.

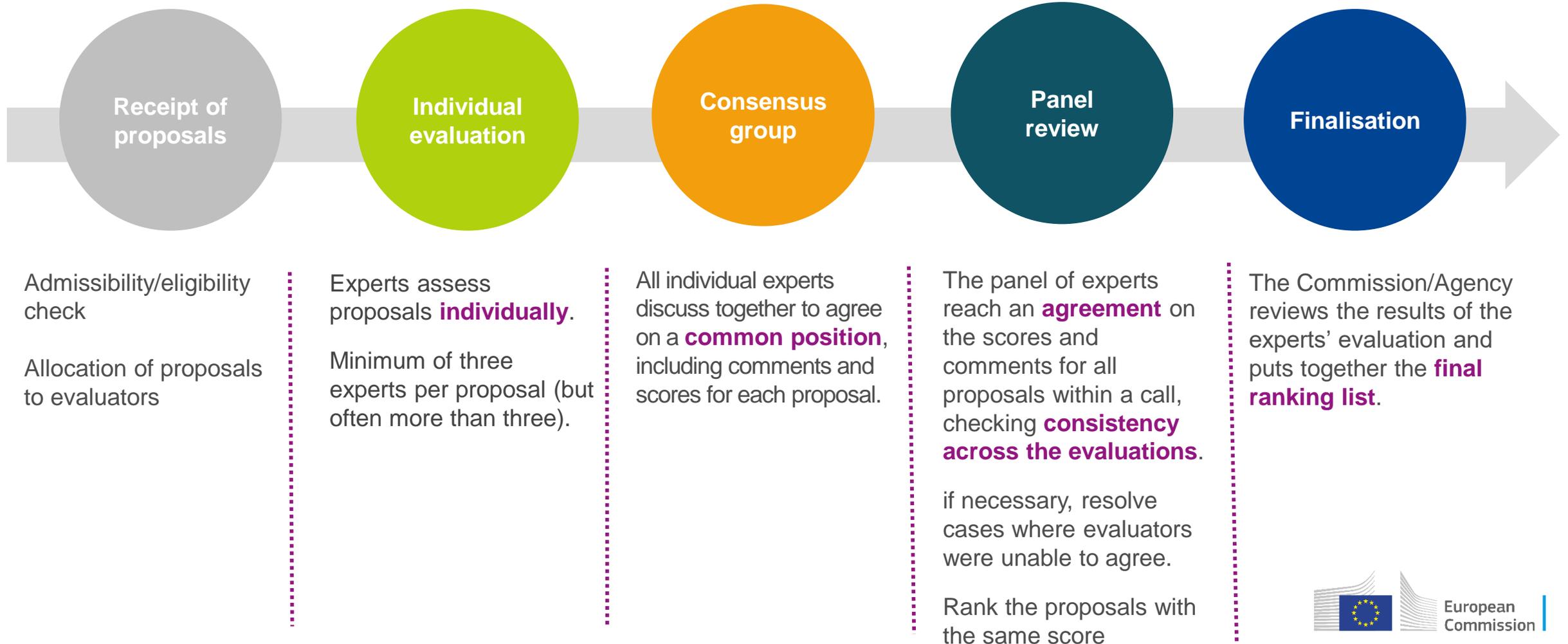
# Completeness of documents + Annexes

Documents	IA/RIA/CSA	IA/RIA/CSA Lump Sum
<b>Application Form Part A</b> — Structured data introduced online in the Submission System	✓	✓
<b>Application Form Part B</b> — Technical description of the project (Word document to be filled in and uploaded as pdf)	✓	✓
<b>Annex</b> - on Financial Support to Third Parties / Ownership Control / Security issues	(if foreseen in topic conditions)	(if foreseen in topic conditions)
<b>Annex</b> – Budget table for lump sums	N/A	✓



# HORIZON EUROPE

## Standard evaluation process



# Evaluation (award) criteria

## Three evaluation criteria

‘**Excellence**’, ‘**Impact**’ and ‘**Quality and efficiency of the implementation**’.

- Evaluation criteria are **adapted** to each **type of action**, as specified in the WP
- Each criterion includes the ‘**aspects to be taken into account**’. The same aspect is not included in different criteria, so it is not assessed twice.
- **Open Science** practices are assessed as part of the scientific methodology in the excellence criterion.



# Evaluation criteria (RIAs and IAs)

## Research and innovation action (RIA)

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

This may include basic and applied research, technology development and integration, testing, demonstration and validation of a small-scale prototype in a laboratory or simulated environment.

## Innovation action (IA)

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

These activities may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication.

### EXCELLENCE

- ✓ Clarity and pertinence of the **project's objectives**, and the extent to which the proposed work is ambitious, and goes beyond the state-of-the-art.
- ✓ Soundness of the proposed **methodology**, including the underlying concepts, models, assumptions, interdisciplinary approaches, appropriate consideration of the **gender dimension** in research and innovation content, and the quality of **open science practices** including sharing and management of research outputs and engagement of citizens, civil society and end users where appropriate.

### IMPACT

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

### QUALITY AND EFFICIENCY OF THE IMPLEMENTATION

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

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



# Evaluation criteria (CSAs)

## Coordination and support actions (CSA)

Activities that contribute to the objectives of Horizon Europe. This excludes R&I activities, except those carried out under the 'Widening participation and spreading excellence' component of the programme (part of 'Widening participation and strengthening the European Research Area').

Also eligible are bottom-up coordination actions which promote cooperation between legal entities from Member States and Associated Countries to strengthen the European Research Area, and which receive no EU co-funding for research activities.

### EXCELLENCE

- ✓ Clarity and pertinence of the **project's objectives**.
- ✓ Quality of the proposed coordination and/or support measures, including soundness of methodology.

### IMPACT

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

### QUALITY AND EFFICIENCY OF THE IMPLEMENTATION

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

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

# Scoring of proposals

- A score in the range from **0-5** is given to each criterion based on how well the proposal corresponds to the award criteria. Maximum score for a proposal is 15.
- Scores must pass the **individual threshold of 3** AND the **overall threshold of 10** if a proposal is to be considered for funding within the limits of the available call budget.

# Evaluating the excellence criterion (1/3)

Following questions are adapted to RIA and IA type of actions (ToA). Similar questions will be asked for other ToAs, in line with the instructions in the specific applications forms.

## Assess the project's objectives:

- Are they clear and pertinent to the topic?
- Are they measurable and verifiable?
- Are they realistically achievable?
- Is the proposed work ambitious and goes beyond the state-of-the-art?
- Does the proposal include ground-breaking R&I, novel concepts and approaches, new products, services or business and organisational models?
- Is the R&I maturity of the proposed work in line with the topic description?

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

# Evaluating the excellence criterion (2/3)

Following questions are adapted to RIA and IA type of actions (ToA). Similar questions will be asked for other ToAs, in line with the instructions in the specific applications forms.

## Assess the scientific methodology:

- Is the scientific methodology (i.e. the concepts, models and assumptions that underpin the work) clear and sound?
- Is it clear how expertise and methods from different disciplines will be brought together and integrated in pursuit of the objectives? if applicants justify that an inter-disciplinary approach is unnecessary, is it credible?
- Has the gender dimension in research and innovation content been properly taken into account?
- Are open science practices implemented as an integral part of the proposed methodology?
- Is the research data management properly addressed?
- For topics indicating the need for the integration of social sciences and humanities, is the role of these disciplines properly addressed?

# Evaluating the excellence criterion (3/3)

Following questions are adapted to RIA and IA type of actions (ToA). Similar questions will be asked for other ToAs, in line with the instructions in the specific applications forms.

## Open Science:

- Is the scientific methodology (i.e. the concepts, models and assumptions that underpin the work) clear and sound?

## Gender dimension in R&I content:

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

## Social Sciences and Humanities (SSH):

- Assessing the effective contribution of social science and humanities disciplines and expertise as part of the scientific methodology of the project.

## Artificial Intelligence (AI-based systems or techniques)

- The technical robustness of the proposed AI-system is assessed as part of the excellence criterion.

# Evaluating the impact criterion (1/2)

Following questions are adapted to RIA and IA type of actions (ToA). Similar questions will be asked for other ToAs, in line with the instructions in the specific applications forms.

Assess the proposed pathways towards impact:

- Is the contribution of the project towards the 1) expected outcomes of the topic and 2) the wider impacts, in the longer term, as specified in the respective destinations of the WP, credible?
- Are potential barriers to the expected outcomes and impacts identified (i.e. other R&I work within and beyond Horizon Europe; regulatory environment; targeted markets; user behavior), and mitigation measures proposed? Is any potential negative environmental outcome or impact (including when expected results are brought at scale, such as at commercial level) identified? Is the management of the potential negative impacts properly described?
- Are the scale and significance of the project's contribution to the expected outcomes and impacts estimated and quantified (including baselines, benchmarks and assumptions used for those estimates)?
  - Scale' refers to how widespread the outcomes and impacts are likely to be. For example, in terms of the size of the target group, or the proportion of that group, that should benefit over time;
  - 'Significance' refers to the importance, or value, of those benefits. For example, number of additional healthy life years; efficiency savings in energy supply.

# Evaluating the impact criterion (2/2)

Following questions are adapted to RIA and IA type of actions (ToA). Similar questions will be asked for other ToAs, in line with the instructions in the specific applications forms.

Assess the measures to maximise impact –  
Dissemination, exploitation and communication :

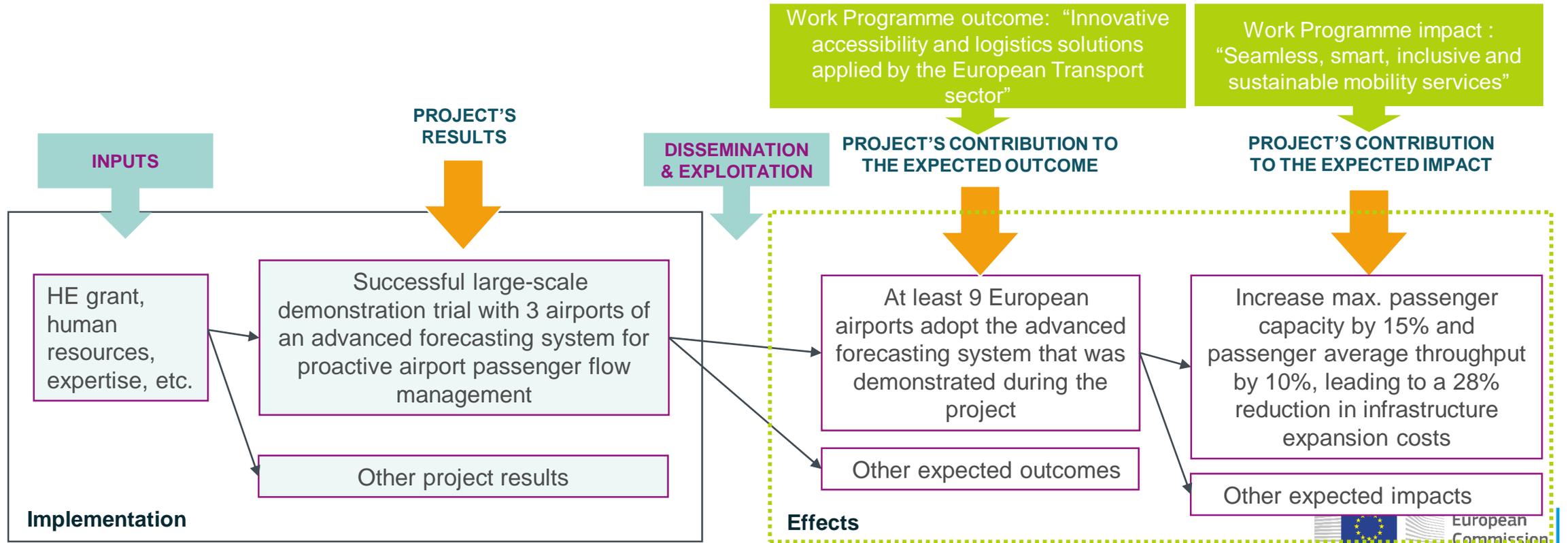
- Are the proposed dissemination, exploitation and communication measures suitable for the project and of good quality? All measures should be proportionate to the scale of the project, and should contain concrete actions to be implemented both during and after the end of the project.
- Are the target groups (e.g. scientific community, end users, financial actors, public at large) for these measures identified?
- Is the strategy for the management of intellectual property properly outlined and 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?



# How applicants describe the impact

**Project's pathway towards impact**

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



# Evaluating the Quality of implementation (1/2)

Following questions are adapted to RIA and IA type of actions (ToA). Similar questions will be asked for other ToAs, in line with the instructions in the specific applications forms.

Assess the proposed work plan, and the effort and resources:

- Is the work plan of good quality and effective?
- Does it include quantified information so that progress can be monitored?
- Does it follow a logic structure (for example regarding the timing of work packages)?
- Are the resources allocated to the work packages in line with their objectives and deliverables?
- Are critical risks, relating to project implementation, identified and proper risk mitigation measures proposed?

**Lump Sum  
budget  
assessment**

*(if the topic is  
identified for  
lump sum  
funding)*

# Evaluating the Quality of implementation (2/2)

Assess the quality of participants and the consortium as a whole:  
(Note that important information on role of individual participants and previous experience is included in part A of proposal)

- Does the consortium match the project's objectives and bring together the necessary disciplinary and inter-disciplinary knowledge.
- Does the consortium include expertise in open science practices, and gender aspects of R&I, as appropriate?
- For topics flagged as SSH relevant, does the consortium include expertise in social sciences and humanities?
- Do the partners have access to critical infrastructure needed to carry out the project activities?
- Are the participants complementing one another (and cover the value chain, where appropriate)
- In what way does each of them contribute to the project? Does each of them have a valid role, and adequate resources in the project to fulfil that role (so they have sufficient operational capacity)?
- Is there industrial/commercial involvement in the project to ensure exploitation of the results?

Following questions are adapted to RIA and IA type of actions (ToA). Similar questions will be asked for other ToAs, in line with the instructions in the specific applications forms.

# Evaluation of lump sum proposals

Applicants use the standard Horizon Europe proposal template Part B (narrative part) and add as annex a detailed lump sum budget table

## Lump sum proposals are evaluated:

- According to the standard Horizon Europe evaluation procedures
- With the help of independent experts

## Like for other Horizon Europe proposals, experts assess the proposals in terms of:

- Excellence
- Impact
- Quality and efficiency of the implementation  
(under this criterion: evaluation of the **detailed lump sum budget table**)

# Evaluating the detailed lump sum budget table

Evaluation experts will

- **Check the budget estimates** and look whether the resources proposed and split of lump sum shares allow completing the activities described in the proposal.
- If needed, **make precise recommendations** on the basis of which the lump sum amount and lump sum breakdown will be modified during grant preparation.

Experts can recommend to:

- Remove ineligible cost
- Remove erroneously duplicated cost items
- Correct overestimated or underestimated costs

Following the recommendations of the experts, **the requested grant amount might be decreased**. However, the requested grant amount cannot be increased.

- Significant shortcomings in the lump sum budget lead to a **decreased score** under the implementation criterion (e.g., a flawed budget structure or a clearly overestimated or underestimated lump sum). Some corrections to individual cost estimations should not affect the score.

# Template of the IER / CR / ESR

## Evaluation form HE RIA/IA

## Evaluation form HE CSA



### EVALUATION FORM (RIA IA)

<b>PROJECT</b>	
Project number:	[project number]
Project name:	[project title]
Project acronym:	[acronym]
Coordinator contact:	[PCGCo name NAME], [organisation]
Call:	[call ID]
Topic:	[topic ID]
Type of action:	[TSA ID]
Responsible service:	[responsible unit, e.g. JUSTIS]
Project duration:	[number of months]

<b>PARTICIPANTS</b>					
Number	Role	Short name	Legal name	Country	PIC
1	COO				
2	BEN				
2.1	AE				
3	SEN				
4	AP				

### PROJECT ABSTRACT

Text from Proposal Abstract (Application Form Part A):

<b>EVALUATION</b>	
Evaluation model:	[single] / [step 1] / [step 2]
Panel:	[insert panel identifier]
Evaluators:	[name NAME], [name NAME], [name NAME]

### 1. EVALUATION

⚠️ Applications must be evaluated as they were submitted. NOT on their potential if certain changes were made. Therefore, do NOT recommend any modifications (e.g. consortia composition, resources or budget, or inclusion of additional work packages). Shortcomings should be reflected in lower score.

⚠️ If an application is partly out of scope, this should be reflected in the scoring and explained in the comments.

#### 1. Excellence

The following aspects will be taken into account, to the extent that the proposed work corresponds to the description in the work programme:

- Clarity and performance 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.

Comments:

Score 1 (0-5):  
Threshold: 3/5

#### 2. Impact

The following aspects will be taken into account, to the extent that the proposed work corresponds to the description in the work programme:

- 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 from the project.

'in scope' because it corresponds, wholly or in part, to the topic description against which it has been submitted

'out of scope' because

**Exceptional funding**

⚠️ A third country participant/international organisation not listed in the General Annex to the Map: Work Programme may exceptionally receive funding, if their participation is essential for carrying out the project, for instance due to outstanding expertise, access to unique know-how, access to research infrastructure, access to particular geographical environments, possibility to involve key partners in emerging markets, access to data, etc.) (For more information, see the HE programme guide).

Please list the concerned applications and requested grant amount and explain the reasons why.

Based on the information provided, the following participants should receive exceptional funding:

Based on the information provided, the following participants should NOT receive exceptional funding:

**Use of human embryonic stem cells (hESC)**

Does this proposal involve the use of hESC?

No

Yes

If YES, please state whether the use of hESC is, or is not, in your opinion, necessary to achieve the scientific objectives of the proposal and the reasons why. Alternatively, please state if it cannot be assessed whether the use of hESC is necessary or not, because of a lack of information.

**Use of human embryos**

Does this proposal involve the use of human embryos?

No

Yes

If YES, please explain how the human embryos will be used in the project.

**Activities excluded from funding**

Activities that:

- aim at human cloning for reproductive purposes, or
- aimed to modify the genetic heritage of human beings which could make such changes heritable (with the exception of research relating to cancer treatment of the gonads, which may be financed), or
- aimed 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, or
- lead to the destruction of human embryos (for example, for obtaining stem cells)

are excluded from funding. Does the proposal include any of these activities?

No

Yes

If YES, please explain.

**Do no significant harm principle**

Is this proposal compliant with the 'Do no significant harm' principle?

Not applicable

Yes

Partially

No

Cannot be assessed

If Partially/No/Cannot be assessed please explain.

**Exclusive focus on civil applications**

Do the activities proposed have an exclusive focus on civil applications (activities intended to be used in military application or arms to serve military purpose cannot be funded)?

No

Yes

If NO, please explain.

**Artificial Intelligence**

Do the activities proposed involve the use and/or development of AI-based systems and/or techniques?

No

Yes

If YES, the technical robustness of the proposed system must be evaluated under the appropriate criterion.

- Suitability and quality of the measures to maximise expected outcomes and impacts, as set out in the dissemination and exploitation plan, including communication activities.

Comments:

Score 2 (0-5):  
Threshold: 3/5

**3. Quality and efficiency of the implementation**

The following aspects will be taken into account, to the extent that the proposed work corresponds to the description in the work programme:

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

Comments:

Score 3 (0-5):  
Threshold: 3/5

Total score  
Overall threshold: /15

### 2. OTHER QUESTIONS

**Opinion on additional questions**

Scope of the application

Based on the information provided, this application is:

Yes

If YES, please explain.

**Do no significant harm principle**

Is this proposal compliant with the 'Do no significant harm' principle?

Not applicable

Yes

Partially

No

Cannot be assessed

If Partially/No/Cannot be assessed please explain.

**Exclusive focus on civil applications**

Do the activities proposed have an exclusive focus on civil applications (activities intended to be used in military application or arms to serve military purpose cannot be funded)?

No

Yes

If NO, please explain.

**Artificial Intelligence**

Do the activities proposed involve the use and/or development of AI-based systems and/or techniques?

No

Yes

If YES, the technical robustness of the proposed system must be evaluated under the appropriate criterion.

Yes

If YES, please explain.

**Do no significant harm principle**

Is this proposal compliant with the 'Do no significant harm' principle?

Not applicable

Yes

Partially

No

Cannot be assessed

If Partially/No/Cannot be assessed please explain.

**Exclusive focus on civil applications**

Do the activities proposed have an exclusive focus on civil applications (activities intended to be used in military application or arms to serve military purpose cannot be funded)?

No

Yes

If NO, please explain.

**Artificial Intelligence**

Do the activities proposed involve the use and/or development of AI-based systems and/or techniques?

No

Yes

If YES, the technical robustness of the proposed system must be evaluated under the appropriate criterion.

**3. COMMENTS**

**Overall comments**

Comments:

*(Additional OPTION for CR:*

**Consensus meeting**

Consensus meeting minutes

Minority opinion

Does this proposal have a minority opinion?

No

Yes

If YES, please encode the names of dissenting evaluators and the reasons:

*(Additional OPTION for ESR (for internal use – will not be included in the ESR sent to applicants):*

**Panel review**

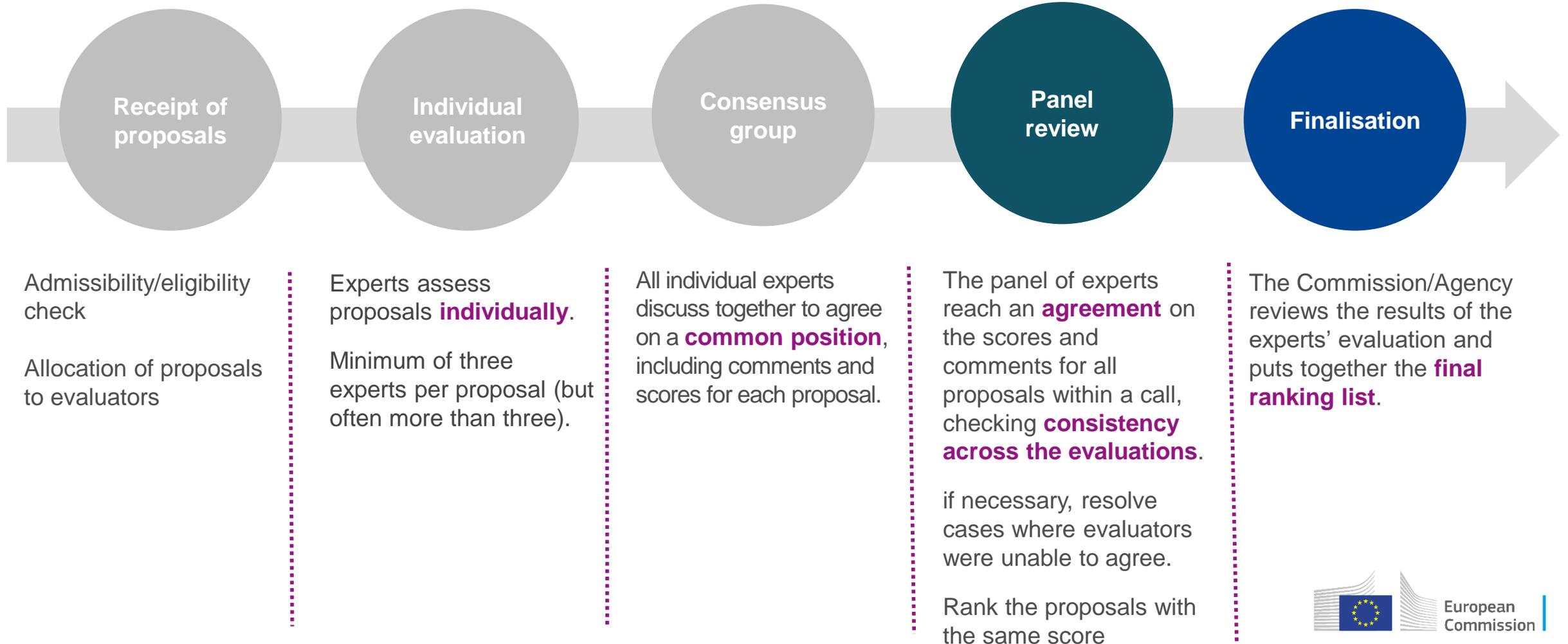
Consensus meeting minutes

Proposal panel review minutes

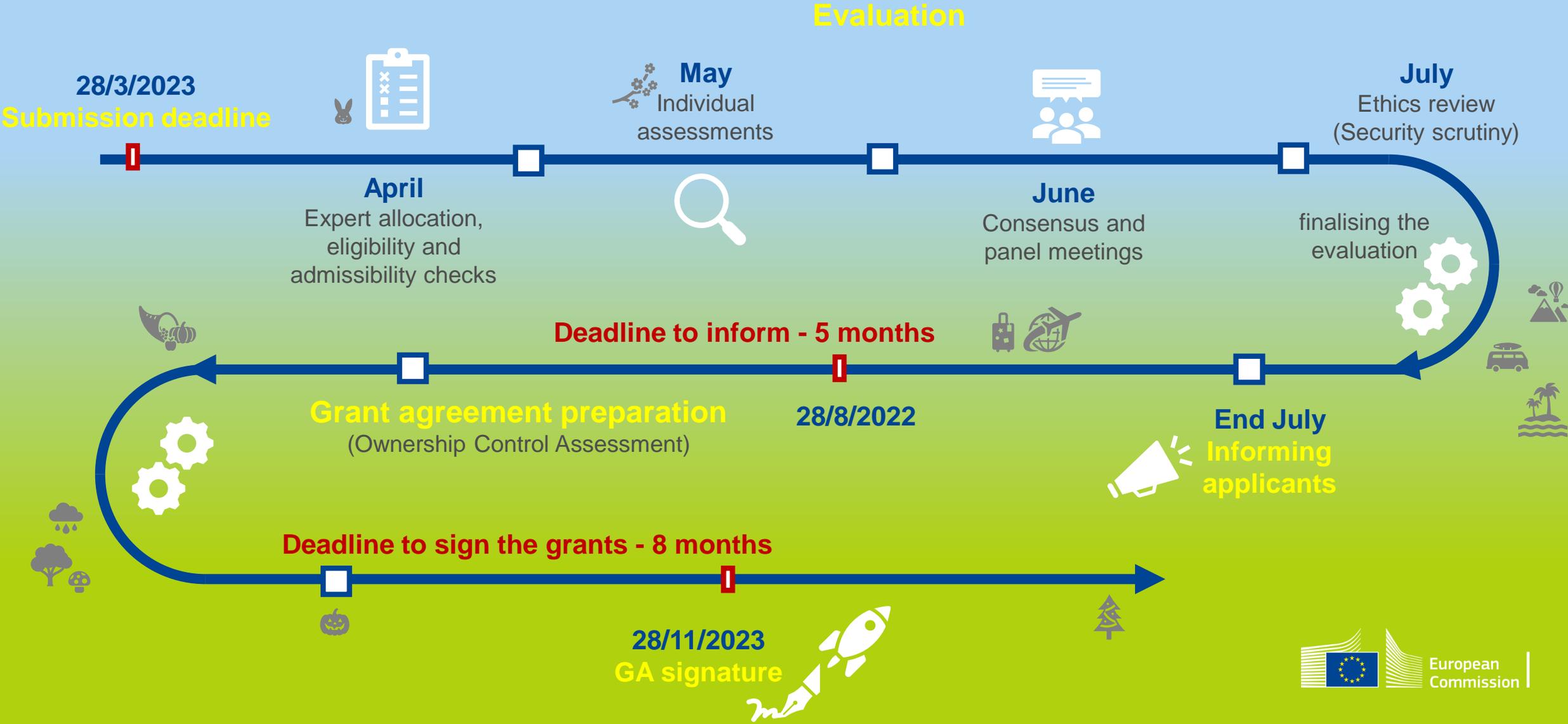


# HORIZON EUROPE

## Standard evaluation process



# Timeline HORIZON-CL4-SPACE-2023-01





# Thank you!

## # HorizonEU

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[https://hadea.ec.europa.eu/index\\_en](https://hadea.ec.europa.eu/index_en)

Contact: [Birgit.Blasch@ec.europa.eu](mailto:Birgit.Blasch@ec.europa.eu)



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