Scope

HORIZON-CL4-2023-SPACE-01

- Where to find information
- How to build a high-quality proposal
- How to successfully submit a proposal
- Special features of the 2023 Space call
Where to find information

- **Funding & Tender Portal**
  - including a dedicated [page on lump sums](#) - with e.g.:
All participants applying for EU funding must register their organization in the Participant Register on the Funding & Tenders Portal.

Application process:

- Find a Call
- Check conditions for funding
- Find partners
- Submit a proposal
Funding & Tenders portal

- Online manual

Guidance & Manuals

- Support overview
- Guidance & Manuals
- FAQs
- Helpdesk & Support Services
- Support videos

Reference documents

Online Manual
Step-by-step online guide through the Portal processes from proposal preparation and submission to reporting on your on-going project. Valid for all 2021-2027 programmes.

H2020 Online Manual
Step-by-step online guide through the Portal processes from proposal preparation and submission to reporting on your on-going project. Only valid for Horizon 2020.

IT How to
IT support guide with step-by-step walkthroughs and videos.

Glossary
A list of funding and tender definitions.
Work Programme

Conditions at call and at topic level

Expected outcome of the topic

Scope of the topic

Compliance and quality of proposals to meet all these elements will be checked partly in the evaluation process, partly during grant agreement preparation.

Read carefully the reference or guidance documents as indicated!
Admissibility, eligibility and additional requirements

**Admissibility requirements**

- 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 requirements**

- **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).
- For calls with deadlines in 2022 and onwards participants that are public bodies, research organisations or higher education establishments from Members States and Associated countries must have a **gender equality plan** in place.
- **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.
Activities eligible for funding

Eligible activities are the ones described in the call and topic conditions. The types of action include different activities eligible for funding.

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.
Who is eligible for funding?

**EU COUNTRIES**
- Member States (MS) including their outermost regions.
- The Overseas Countries and Territories (OCTs) linked to the MS.

**NON-EU COUNTRIES**
- Countries associated to Horizon Europe (AC).
- Low and middle income countries: See HE Programme Guide.
- Other countries when announced in the call or exceptionally if their participation is essential.

**SPECIFIC CASES**
- Affiliated entities established in countries eligible for funding.
- EU bodies
- International organisations (IO):
  - International European research organisations are eligible for funding.
  - Other IO are not eligible (only exceptionally if participation is essential)
  - IO in a MS or AC are eligible for funding for Training and mobility actions and when announced in the call conditions.
Restrictions to the eligibility to participate

Legal basis: HE Article 22.5, see also Work Programme General Annex B

- At the level of some work programme topics (e.g. in HORIZON-CL4-2023-SPACE-01)
- In non-dependence and strategic autonomy context, to guarantee the protection of the strategic interests of the Union and its Member States, participation may be limited to legal entities established in Member States and a few listed other countries.
- These entities must not be directly or indirectly controlled by a non-eligible country or by a non-eligible country entity
- If this is the case, there may be a possibility of guarantees provided by their eligible country of establishment, that their participation to the action would not negatively impact the Union’s strategic, assets, interests, autonomy, or security.

→ see Declaration on Ownership and Control
Add partners using the organisation name or PIC reference;

- The requirements for a minimum number of participants are specific for each call. A message specifying the Consortium Eligibility requirements will be displayed;

- In most cases (RIA/IA), topics require at least two other independent legal entities established either in a MS or AC;

In this step, the coordinator can manage and review the participants.

Note: The changes will be applied only after you click the "Save Changes" button.

Call requires at least 3 participant(s) from different EU member states and associated countries, currently you have 2.

Number of participants: 3
Proposals must be submitted electronically via the Funding & Tenders Portal Electronic Submission System. Paper or e-mail submissions are NOT possible;

Proposals must be complete, i.e. include all documents and annexes (if required), using the templates provided in the Submission System;
Application Template Part B instructions

1. Excellence [P812-EVA-1203]

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.

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 [P812-COL-00] (e.g. 4 pages)

- Briefly describe the objectives of your proposed work. Why are they relevant 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 ‘ideas to application’, or ‘high to low market’). Where applicable, provide an indication of the Technology Readiness Level, if possible, at 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 small RAs at lower TRL, compared with innovation around high TRLs.

1.2 Methodology [P812-COL-02] [e.g. 14 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’.

Where relevant, include how the project methodology complies with the ‘no significant harm’ principle as per Article 17 of Regulation (EU) No 2019/1192 on the establishment of a framework to facilitate sustainable investment (i.e. the so-called EU Taxonomy Regulation). This means that the methodology is designed in a way that it is not significantly harming any of the six environmental objectives of the EU Taxonomy Regulation.

If you plan to use, develop and/or deploy artificial intelligence (AI) based systems and/or techniques you must demonstrate their technical robustness. AI-based systems or techniques should be, or developed to become:

- technologically robust, accurate and reproducible, and able to deal with and inform about possible failures, inaccuracies and errors, proportionate to the assessed risk they pose
- socially robust, in that they duly consider the context and environment in which they operate
- reliable and function as intended, minimizing unintentional and unexpected harm, preventing unacceptable harm and safeguarding the physical and mental integrity of humans

- able to provide a suitable explanation of their decision-making processes, whenever they can have a significant impact on people’s lives. 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 page)

- 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 mandatory in the context of the proposed work, provide a justification. (e.g. 1/2 page)

- For topics where the work programme indicates the need for the recognition 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. (e.g. 1/2 page)

- Describe how the gender dimension (i.e. sex and/or gender equality) is taken into account in the project’s research and innovation content. Note: This section is mandatory except for topics which have been identified in the work programme as not requiring the inclusion of the gender dimension and RA content.

- Note: This section is mandatory except for topics which have been identified in the work programme as not requiring the inclusion of the gender dimension and RA content.

- Remember that this question relates to the context of the planned research and innovation activities, and not to gender equality in the teams in charge of carrying out the project.

- Sex and gender analysis refers to biological characteristics and social/cultural factors respectively. For guidance on methods of sex / gender analysis and the issues to be taken into account, please refer to: https://ec.europa.eu/info/news/gender-innovation-2020-09-25_en

- Describe how appropriate open science practices are implemented as an integral part of the proposed methodology. Specify how the choice of practices and their implementation are adapted to the nature of your work, so that will increase the chances of the project delivering on its objectives (e.g. 1 page).

- If you believe that none of these practices are appropriate for your project, please provide a justification here.

Open science is an approach based on open cooperative work and systematic sharing of knowledge and tools as early and widely as possible in the process. Open science practices include early and open sharing of research (for example through pre-registration, registered reports, preprints, or crowdsourcing), research output management, measures to ensure reproducibility of research outputs; providing open access to research outputs (such as publications, data, software, models, algorithms, and workflows); participation in open peer-review; and involving all relevant knowledge actors, including citizens, civil society and end users in the co-creation of RA agendas and contents (such as citizen science).

- Please note that this question does not refer to outreach actions that may be planned as part of communication, dissemination and exploitation activities. These aspects should instead be described below under ‘Impact’.
Quality of proposal

- Follow the instructions provided in Application Template Part B;
  - It is your responsibility to demonstrate how your proposal addresses the award criteria as indicated in the call text. The evaluation of your proposal is based on the content you provide in the application form; be as specific and clear as possible. No assumptions or requests for additional information will be made.

- The proposed work corresponds to the description in the Work Programme;

- A score in the range from 0-5 will be 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.
Quality of proposal - Evaluation (award) criteria

Three evaluation criteria – equally important!

‘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;
  ✓ Follow Application Template Part B instructions as well as the topic requirements!
  ✓ See General Annexes section D - Award criteria!

● For Innovation Actions, the criterion Impact is given a weight of 1.5 to determine the ranking.
**DOs**

- Read carefully the Work Programme
- Pay attention to Call/Topic Conditions
- Read evaluation criteria
- Read FAQs and check for topic updates on the F&T portal
- Mark your proposal as resubmission, if applicable
- Submit as many times as you wish
- Add a speaking title and meaningful abstract as early as possible, to facilitate the organisation of the evaluation

**DON'Ts**

- Don’t include activities not eligible for funding
- Proposed activities should have an exclusive focus on civil applications
- Do not “try” a proposal that does not match well with the topic
- Do not add information where it does not belong (e. g. in annexes) just to avoid the page limit. Misplaced information will be disregarded.
- Do not upload non-obligatory annexes (support letters etc)
- Don’t wait until the last minute
### Submission System - Application Form Part A

#### Section | Title | Action
--- | --- | ---
1 | General information | Show
2 | Participants | Show
3 | Budget | Show
4 | Ethics and security | Show
5 | Other questions | Show

- Only one contact per organisation should make changes to the proposal at a time. Editing the form in 2 or more tabs/browsers in parallel will lead to data loss.
For Lump Sum Grants there is an additional declaration in General Information;

10) For Lump Sum Grants with a detailed budget table: We understand and accept that the EU lump sum grants must be reliable proxies for the actual costs of a project and confirm that the detailed budget for the proposal has been established in accordance with our usual cost accounting practices and in compliance with the basic eligibility conditions for EU actual cost grants (see AGA - Annotated Grant Agreement, art 6) and exclude costs that are ineligible under the Programme. Purchases and subcontracting costs must be done taking into account best value for money and must be free of conflict of interest.*

For Lump Sum Grants the Budget table provides information only on the total requested grant amount per beneficiary;

<table>
<thead>
<tr>
<th>No</th>
<th>Name of Beneficiary</th>
<th>Country</th>
<th>Role</th>
<th>Requested grant amount</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total</th>
</tr>
</thead>
</table>

Annex for Lump Sum Grants – Detailed budget table
4- Ethics & Security

- Please go through the tables and indicate which elements concern your proposal by answering Yes or No. If you answer Yes to any of the questions, please provide additional information in the designated box;
- All reserve list and successful proposals undergo an ethics evaluation
- All successful proposals are security pre-screened and may go to security scrutiny
Annex* - Information on security issues

• Does not count towards the page limit

• Provided by the proposal submission tool (programme/topic specific settings) and must be completed if the topic is flagged in the work programme or you wish to declare security issues

• **Annotated template** (do not delete any parts but mark as N/A if not relevant for your proposal):

  1. Sensitive information with security recommendation

  2. Classified information, Security Aspects Letter, Security Classification Guide

  3. Security staff, Project Security Officer, Security Advisory Board

  4. Other project specific security measures

Will be **screened** and may lead to **security scrutiny** process

*Note that some calls integrate this in the proposal template*
Annex - Declaration on Ownership and Control

- Does not count towards the page limit
- Must be completed by all participants (except entities already validated as public bodies by the EC Central Validation Services) if requested by the proposal submission tool (programme/topic specific settings, Article 22.5)
- If selected for funding, participants may be contacted to provide evidence (not at proposal stage)
- Can become a complex and lengthy process and affect the consortium → be transparent early
- Guidance document
- Annotated template

1. Declaration on Ownership and control
2. If there is foreign ownership/control:
   Guarantees and Measures-put-in-place
## Completeness of documents + Annexes

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

- You must upload Application Form **Part B - Technical description of the project** - and **Annexes** as required in the call conditions;
- Limitations in document page number, font size, and page margins;
- The document to be converted into PDF must only contain the final, **"clean"** content;
- Check that your PDF conversion software has successfully converted all the pages of your original document;
- For Lump Sum Grants, upload as an Annex the detailed budget table as an excel ( .xlsx format)
- Post-upload verification;
Lessons learnt from admissibility checks

- Missing parts in application form Part B – check pdf file before uploading!
- Inconsistencies in number of participants or budget in Part A (online) and Part B
- Adherence of an Annex when topics do not foresee Financial Support to Third Parties / Ownership Control – always check call text!
Submission System – Validate your proposal
Before you exit, validate Part A Forms;
Address any error detected and save;
Validate again;
Save & exit;
Validate and submit your proposal

- Make sure that your application meets the call requirements;

- Run a validation of your draft proposal (this includes all fields in Part A, the uploaded files under Part B and Annexes);

- When the consortium has been modified after having edited the form Part A, you will get the following message. Click **Edit Form**, review the participants section and click on **Save and Close**. Then click on **Validate** again;

- Make sure you click on “Submit”;

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**Administrative forms (Part A)**

- **Edit forms**
- **View history**
- **Print preview**
Submit your proposal

Manage proposal

**Deadline**
- 28 February 2021 15:00:00 Brussels Local Time
- 18 days left until closure

**Call data:**
- Call: [Redacted]
- Topic: [Redacted]
- Type of action: [Redacted]
- Type of MGA: [Redacted]

**Proposal data:**
- Acronym: TEST
- Draft ID: [Redacted]
- Final ID: 100000699

Your proposal was submitted on: 09 February 2021 23:36:46 (Brussels Local Time)
Your proposal is part of call [Redacted]. The call deadline is 28 February 2021 15:00:00 (Brussels Local Time).
Your proposal ID is 100000699. This number is important and will be used as future reference during the evaluation process.

**Revisit your proposal:**
- You may edit your proposal and re-submit at any time before the deadline 28 February 2021 15:00:00 (Brussels Local Time) by clicking the "Update proposal" button.
- You may download a digitally signed and time-stamped version of your submitted proposal.
- You may withdraw your proposal at any time before call closure. When withdrawing, your proposal will not be considered in the evaluation stage.

[Update proposal button highlighted]
Submission and evaluation of lump sum proposals
Where to find information on lump sum funding

- Comprehensive support material available on dedicated **lump sum page** on F&T portal - e.g.
Submission and evaluation of lump sum proposals

- Use the **standard proposal template**.

- Describe in detail the activities covered by each work package.

- To define and justify the lump sum, you need to provide detailed breakdown of cost estimations. The estimates must be an approximation of your actual costs and meet the basic eligibility criteria of Horizon Europe.

- You find the **MS Excel template to prepare your detailed costs estimations** in the submission tool.

- The cost estimations are used to **generate automatically a breakdown of lump sum shares per work package and per participant** (i.e., beneficiaries and affiliated entities, if any).
Project design – Work packages

Work packages distribution:

As many as needed but no more than what is manageable

A work package (WP) is a major sub-division of the work plan of your project.

A single activity is not a WP
A single task is not a WP
A % of progress is not a WP (e.g. 50 % of the tests)
A lapse of time is generally not a WP (e.g. activities of year 1)

Work packages with a long duration may be split along the reporting periods (e.g., Management, Dissemination and Exploitation, etc.). In this way, the relevant activities can be paid at the end of the reporting period.
Example of lump sum breakdown per work package and per beneficiary

<table>
<thead>
<tr>
<th>WP</th>
<th>WP1</th>
<th>WP2</th>
<th>WP3</th>
<th>WP4</th>
<th>WP5</th>
<th>WP6</th>
<th>WP7</th>
<th>WP8</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>250.000</td>
<td></td>
<td>50.000</td>
<td>300.000</td>
<td>250.000</td>
<td></td>
<td>300.000</td>
<td></td>
<td>1.150.000</td>
</tr>
<tr>
<td>B</td>
<td>250.000</td>
<td>350.000</td>
<td>50.000</td>
<td></td>
<td>100.000</td>
<td>150.000</td>
<td></td>
<td></td>
<td>900.000</td>
</tr>
<tr>
<td>C</td>
<td>100.000</td>
<td>100.000</td>
<td>50.000</td>
<td></td>
<td>280.000</td>
<td></td>
<td></td>
<td></td>
<td>530.000</td>
</tr>
<tr>
<td>D</td>
<td>120.000</td>
<td>50.000</td>
<td></td>
<td>100.000</td>
<td>150.000</td>
<td></td>
<td></td>
<td></td>
<td>420.000</td>
</tr>
<tr>
<td>Total</td>
<td>350.000</td>
<td>470.000</td>
<td>350.000</td>
<td>200.000</td>
<td>300.000</td>
<td>530.000</td>
<td>200.000</td>
<td>600.000</td>
<td>3.000.000</td>
</tr>
</tbody>
</table>

Lump sum = Maximum grant amount

Share of the lump sum per WP

Shares of the lump sum per beneficiary
Which costs must be covered?

Cost estimations:
- must be in line with beneficiaries’ normal practices
- must be reasonable / not excessive
- must be in line with the activities proposed
- are subject to the basic eligibility rules of Horizon Europe (cost estimations can be included only if the same cost item / type of cost would be eligible in an actual costs grant)

Depending on the type of the action, these costs and categories of costs may be the following:
- **Direct personnel costs**: employees or equivalent (resolved by staff category); natural persons under direct contract; seconded persons; SME owners and natural person beneficiaries
- **Direct subcontracting costs**
- **Direct purchase costs**: travel and subsistence; equipment; other goods, works and services
- **Other cost categories**: financial support to third parties; internally invoiced goods and services; transnational access to research infrastructures costs; virtual access to research infrastructures costs; PCP/PPI procurement costs
The detailed budget table in practice

- Applicants submit the detailed budget table in an Excel file.
- Each tab of the file present a different set of information.
The detailed budget table in practice – individual beneficiary sheets

- Each beneficiary completes one individual sheet. This sheet includes one separate section for each work package.

- For each work package, beneficiaries enter cost estimations under each cost category used.

- For more details on equipment costs, you can refer to the ‘Depreciation costs’ sheet.
From individual beneficiary sheets to the lump sum breakdown

- Beneficiaries fill in the beneficiaries list, list of work packages, and individual beneficiary sheets.

- The funding rate must be chosen in line with the type of action: RIA and CSA topics have a 100% funding rate. For IA topics, the funding rate is 70% (except for non-profit legal entities, where a rate of 100% applies). Other funding rates may be specified in the work programme.

- The breakdown of the lump sum per work package and per beneficiary is generated automatically on the basis of the individual cost estimates of each beneficiary.

- In the part A of the application (online forms), applicants have to fill in the ‘Budget for the proposal’ table, entering the requested grant amount for each participant. To do so, use the total amounts per beneficiary in the table ‘Estimated breakdown of the lump sum per work package and per beneficiary’ in the Excel file.
The Summary per WP’ and ‘BE-WP person months’ table are produced automatically. They will be used by evaluators during the evaluation of your proposal.
Uploading the Excel file

● Once you completed the detailed budget table, upload it in the online submission system, as annex to the part B template.

The format of the Excel template is .xlsm because it uses macros. While you work on it, always save it as .xlsm. Upload the Excel file in .xlsx or .xls format. For security reasons, you cannot upload the file in .xlsm format. Always keep a copy of the original .xlsm file.
Evaluation of a lump sum proposal

- Your proposal will be evaluated by independent experts against the **standard evaluation criteria**: excellence, impact, and implementation.

- The cost estimations will be assessed against the proposed activities under the implementation criterion. Experts will ensure that the estimates are **reasonable and non-excessive**.

- If the experts find overestimated costs, this is recorded in the Evaluation Summary Report.

- This will be reflected in a modified lump sum amount in the grant agreement.
Thank you!

# HorizonEU

http://ec.europa.eu/horizon-europe
https://hadea.ec.europa.eu/index_en

Contact: Birgit.Blasch@ec.europa.eu