

# HORIZON 2020

Opportunities for participation in Horizon 2020 calls



INCREASING INTERNATIONAL STI COOPERATION BETWEEN **BRAZIL** AND THE **EUROPEAN UNION**

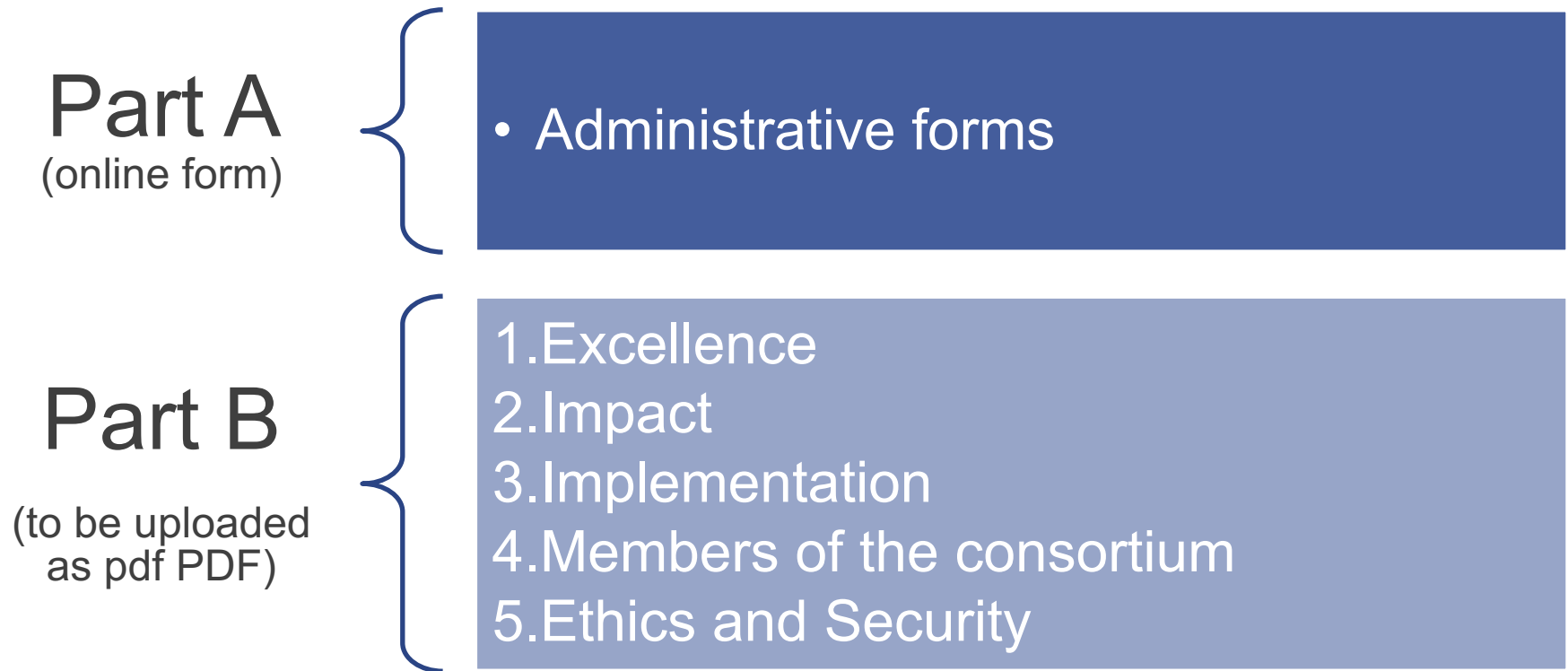
## STRUCTURE OF THE PROPOSAL (RIA)



The INCOBRA project has received funding from the European Union's Horizon 2020 Research and Innovation programme, under the Grant Agreement number 692520. This publication reflects only the author's view and the Commission is not responsible for any use that may be made of the information it contains.



## Example: structure of a RIA (Research & Innovation Action)



## a) Part A: administrative forms:

### A1: General Information

Project Title

Akronym

Keywords

Abstract

Declarations



#### 1 - General information

Topic	
Call Identifier	
Type of Action	
Deadline Id	
Acronym	
Proposal title*	Max 200 characters (with spaces). Must be understandable for non-specialists in your field.
	Note that for technical reasons, the following characters are not accepted in the Proposal Title and will be removed: < > * &
Duration in months	Estimated duration of the project in full months.
Free keywords	Enter any words you think give extra detail of the scope of your proposal (max 200 characters with spaces).

**Abstract**

Short summary (max. 2,000 characters, with spaces) to clearly explain:

- the objectives of the proposal
- how they will be achieved
- their relevance to the work programme.

Will be used as the short description of the proposal in the evaluation process and in communications with the programme management committees and other interested parties.

- Do not include any confidential information.

#### Declarations

1) The coordinator declares to have the explicit consent of all applicants on their participation and on the content of this proposal.	<input type="checkbox"/>
2) The information contained in this proposal is correct and complete.	<input type="checkbox"/>
3) This proposal complies with ethical principles (including the highest standards of research integrity — as set out, for instance, in the <a href="#">European Code of Conduct for Research Integrity</a> — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct).	<input type="checkbox"/>
4) The coordinator confirms:	
- to have carried out the self-check of the financial capacity of the organisation on <a href="http://ec.europa.eu/research/participants/portal/desktop/en/organisations/fin.html">http://ec.europa.eu/research/participants/portal/desktop/en/organisations/fin.html</a> or to be covered by a financial viability check in an EU project for the last closed financial year. Where the result was "weak" or "insufficient", the coordinator confirms being aware of the measures that may be imposed in accordance with the H2020 Grants Manual (Chapter on Financial capacity check); or	<input type="radio"/>
- is exempt from the financial capacity check being a public body including international organisations, higher or secondary education establishment or a legal entity, whose viability is guaranteed by a Member State or associated country, as defined in the H2020 Grants Manual (Chapter on Financial capacity check); or	<input type="radio"/>
- as sole participant in the proposal is exempt from the financial capacity check	<input type="radio"/>
5) The coordinator hereby declares that each applicant has confirmed:	
- they are fully eligible in accordance with the criteria set out in the specific call for proposals; and	<input type="checkbox"/>
- they have the financial and operational capacity to carry out the proposed action.	<input type="checkbox"/>

The coordinator is only responsible for the correctness of the information relating to his/her own organisation. Each applicant remains responsible for the correctness of the information related to him/her and declared above. Where the proposal to be

### A2: Administrative data of all participating institutions



All beneficiaries need to have a valid PIC number

Contact persons from each institution should be added

Part A to be completed online

#### 2 - Administrative data of participating organisations

PIC	Legal name
Short name:	
Address of the organisation	
Street	
Town	
Postcode	
Country	
Webpage	
Legal status of your organisation	
Research and innovation legal statuses	
Public body	unknown
Non-profit	unknown
International organisation	unknown
International organisation of European interest	unknown
Secondary or Higher education establishment	unknown
Research organisation	unknown
Enterprise Data	
SME self-declared status	unknown
SME self-assessment	unknown
SME validation time	unknown

## A3: Budget

Budget per beneficiary

Indirect costs are calculated automatically

### 3 - Budget for the proposal

No	Participant	Country	(A) Direct personnel costs/€  ?	(B) Other direct costs/€  ?	(C) Direct costs of sub- contracting/€  ?	(D) Direct costs of providing financial support to third parties/€  ?	(E) Costs of inkind contributions not used on the beneficiary's premises/€  ?	(F) Indirect Costs / € (=0.25(A+B-E))  ?	(G) Special unit costs covering direct & indirect costs / €  ?	(H) Total estimated eligible costs / € (=A+B+C+D+F +G)  ?	(I) Reimburse- ment rate (%)  ?	(J) Max.EU Contribution / € (=H*I)  ?	(K) Requested EU Contribution/ €  ?
1			0	0	0	0	0	0,00	0	0,00	100	0,00	0,00
	Total		0	0	0	0	0	0,00	0	0,00		0,00	0,00



Part A to be completed online

## A4: Ethic and issues

### 4 - Ethics issues table

<b>1. HUMAN EMBRYOS/FOETUSES</b>		Page
Does your research involve <a href="#">Human Embryonic Stem Cells (hESCs)</a> ?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve the use of human embryos?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve the use of human foetal tissues / cells?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>2. HUMANS</b>		Page
Does your research involve human participants?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve physical interventions on the study participants?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>3. HUMAN CELLS / TISSUES</b>		Page
Does your research involve human cells or tissues (other than from Human Embryos/ Foetuses, i.e. section 1)?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>4. PERSONAL DATA</b>		Page
Does your research involve personal data collection and/or processing?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve further processing of previously collected personal data (secondary use)?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>5. ANIMALS</b>		Page
Does your research involve animals?	<input type="radio"/> Yes <input checked="" type="radio"/> No	



Part A to be completed online

<b>6. THIRD COUNTRIES</b>		Page
In case non-EU countries are involved, do the research related activities undertaken in these countries raise potential ethics issues?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Do you plan to use local resources (e.g. animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples, etc.)?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Do you plan to import any material - including personal data - from non-EU countries into the EU? <i>For data imports, please fill in also section 4. For imports concerning human cells or tissues, fill in also section 3.</i>	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Do you plan to export any material - including personal data - from the EU to non-EU countries? <i>For data exports, please fill in also section 4. For exports concerning human cells or tissues, fill in also section 3.</i>	<input type="radio"/> Yes <input checked="" type="radio"/> No	
If your research involves low and/or lower middle income countries, are benefits-sharing measures foreseen?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Could the situation in the country put the individuals taking part in the research at risk?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>7. ENVIRONMENT &amp; HEALTH AND SAFETY</b>		Page
Does your research involve the use of elements that may cause harm to the environment, to animals or plants? <i>For research involving animal experiments, please fill in also section 5.</i>	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research deal with endangered fauna and/or flora and/or protected areas?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Does your research involve the use of elements that may cause harm to humans, including research staff? <i>For research involving human participants, please fill in also section 2.</i>	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>8. DUAL USE</b>		Page
Does your research have the potential for military applications?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>9. MISUSE</b>		Page
Does your research have the potential for malevolent/criminal/terrorist abuse?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>10. OTHER ETHICS ISSUES</b>		Page
Are there any other ethics issues that should be taken into consideration? Please specify	<input type="radio"/> Yes <input checked="" type="radio"/> No	

1. Excellence
  - 1.1 Objectives
  - 1.2 Relation to the work programme
  - 1.3 Concept and methodology
  - 1.4 Ambition
2. Impact
  - 2.1 Expected impacts
  - 2.2 Measures to maximise impact Dissemination and exploitation of results Communication (internal /External) activities
3. Implementation
  - 3.1 Work plan - Work packages, deliverables
  - 3.2 Management structure, milestones and procedures
  - 3.3 Consortium as a whole
  - 3.4 Resources to be committed
4. Members of the consortium
  - 4.1 Participants (applicants)
  - 4.2 Third parties involved in the project (including use of third party resources)
5. Ethics and Security
  - 5.1 Ethics
  - 5.2 Security



**PAGE  
LIMIT!**

## b) Part B: **work plan**:

*As an example RIA template will be presented.*

**For 1<sup>st</sup> stage proposals the section 1 and 2 need to be submitted!**

Sections of part B:

1. Excellence

2. Impact



**1st STAGE**

3. Quality and Efficiency of the implementation

4. Members of the Consortium

5. Ethic and Security issues

**1.1 Objectives** => Clear, pertinent and measurable objectives, credibility of the scientific approach...

**1.2 Relation to the work programme** => addressing the challenge and the scope

**1.3 Concept and Methodology** => novel approach, addresses challenges from the call, beyond the state-of-the-art, description of the methodology + cross-cutting issues (e.g. RRI )

**1.4 Ambition** => Ground-breaking nature of the objectives, concept , trans-disciplinarily considered, innovation potential, SWOT Analysis,...



2.1 **Expected impacts** => impact indication can be found in Work programme and specific Call;

=> Enhancing innovation capacity and integration of new knowledge

=> Strengthening the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets

### Expected Impact:

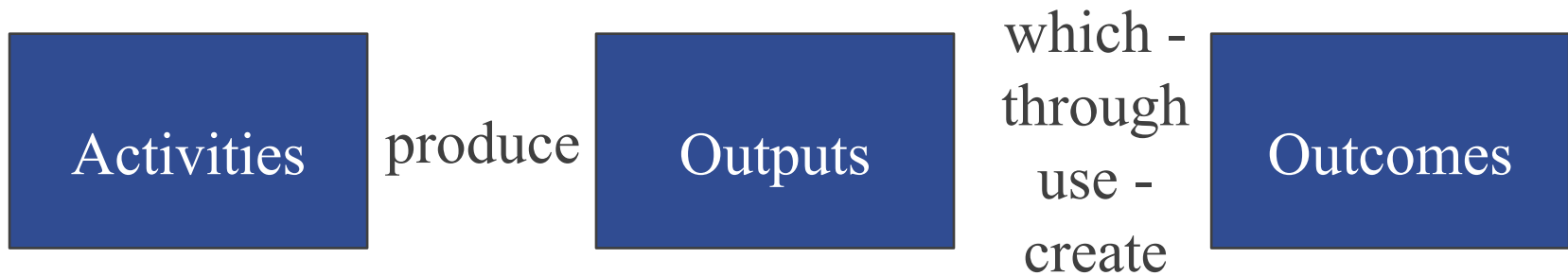
The implementation of novel smart material technologies is expected to pave the way for innovative environmentally friendly smart products:

- Enhancing the market opportunities for European industries;
- Improving consumer safety;
- Reducing maintenance costs;
- Improving resource efficiency;
- Contributing to a future circular economy;
- Improved understanding of materials properties based on theoretical materials models.

Enhancing the knowledge base in the EU not only at the R&D level but also at the manufacturing and production level, creating a highly skilled workforce with improved levels of job satisfaction.

*Proposals should include a business case and exploitation strategy, as outlined in the Introduction to the LEIT part of this Work Programme.*

# From Activities to Impacts



OUTCOME = what happens, if our **target group uses** our outputs!

- they become more knowledgeable (enlightenment!) or
- produce better products or
- reduce the ecological footprint

IMPACT = what happens **by use or non-use** of others than our primary target group (i.e. a 'secondary' or even 'not-intended audience')

## 2.2 Measures to maximise impacts =>

### a) Dissemination and exploitation

a draft plan for the dissemination and exploitation of the project's results

decision about the participation in pilot on open research data; outline of knowledge management and protection (incl. measures to provide open access, IPR...), business plan

...

b) Communication activities (target groups, stakeholders and measures, communication strategy)

## In a nutshell...

**Communication** is about the big picture, promoting the action, and Horizon 2020 in general, to society.

**Dissemination** is about getting the results to those who will use them.

**Exploitation** is about putting the results to use.

## Communication

Taking strategic and targeted measures for promoting the action itself and its results to a multitude of audiences, including the media and the public, and possibly engaging in a two-way exchange\*

- **Reach out to society as a whole** and in particular to some specific audiences
- **Demonstrate how EU funding contributes to tackling societal challenges**

*[http://ec.europa.eu/research/participants/portal/desktop/en/support/reference\\_terms.html](http://ec.europa.eu/research/participants/portal/desktop/en/support/reference_terms.html)*

## Let's start by hearing about the EC's standpoint on communication and dissemination

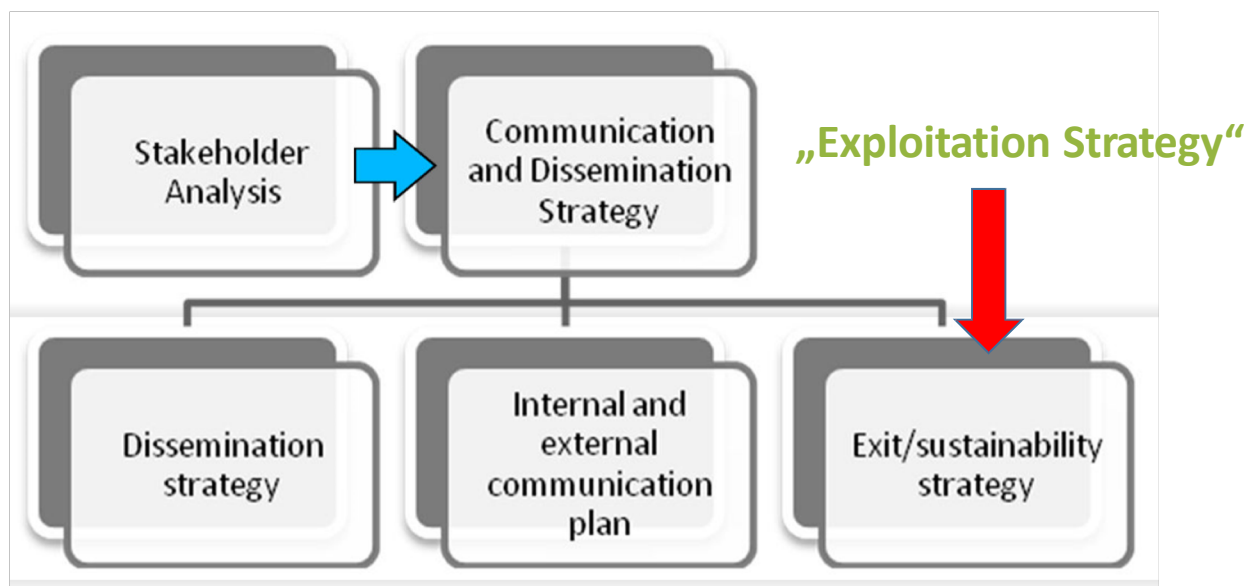
### Horizon 2020 communication, promoting your project and success

<https://www.youtube.com/watch?v=0JbLCd-7u7g>



# How are communication, dissemination and exploitation interlinked?

**Your H2020 project:  
Assessment  
and  
preparation  
phase**



# Before starting drafting your communication strategy – assessment of your stakeholder groups

H2020 cooperation projects usually comprise...

## Stakeholders

- Different countries
- Different institutions
- Different communication cultures
- Different understandings of the same messages (be sensitive)
- Different awareness levels towards communication tools and their use (!)
- Different availability of communication tools
- Etc.



# Communication to stakeholders

Target group	Content	Dissemination tool
<b>Policy makers</b>	Input for the discussions of the EU-Ukraine policy dialogue, Recommendations	Targeted mails, Face-to-face communication, Briefings
<b>Researchers</b>	Science-related information, Information on EU (Horizon 2020) and Ukrainian programmes (events, funding opportunities, calls etc.), Events (academic workshops, bilateral dissemination events), information days, training workshops	Project website, Project partners' website E-newsletter, Events, Social media
<b>Industry, SMEs, ENN</b>	Science-related information, Information on EU (Horizon 2020) and Ukrainian programmes (events, funding opportunities, calls etc.), Events (innovation workshops), information days, training workshops	Project website, Project partners' website, E-newsletter, Events, Promotional materials, Social media
<b>NCPs</b>	Info days, training workshops, Science-related information, Information on EU (Horizon 2020) and Ukrainian programmes (events, funding opportunities, calls)	Events, Targeted invitations, Targeted mails
<b>Project partners</b>	Intra-project communication	Intranet on project website, Mailing list
<b>EC</b>	Reports, deliverables, project results	Online and printed reports and deliverables
<b>Civil society</b>	General information on the project, Events, information days	Project website, Personal contacts, E-newsletter, Social media, Promotional materials
<b>End-users</b>	General information on the project	Social media, Project website

## B3: implementation

**3.1 Work plan - Work packages, deliverables** => overall structure of the project, coherent and effective work plan, description of the Work package and tasks, list of deliverables incl. appropriate of the allocation of tasks and resources

**3.2 Management structure and procedures** incl. critical risk and mitigation measurers, milestones, appropriate management structure connected innovation management process and exploitation plan.

**3.3. Consortium as a whole** => description of the consortium, involvement of industrial/commercial participants, involvement of other countries.

**3.4 Resources to be committed** => completed financial tables (PMs per WP), justification of the “other direct costs” items for each participant (=only if the total exceeds 15% of personnel costs for that participant)

 **Page limit: For full proposals, the cover page, and sections 1, 2 and 3, together should not be longer than 70 pages (for RIA actions!)**

## 3.1 Work plan – work packages, deliverables and milestones

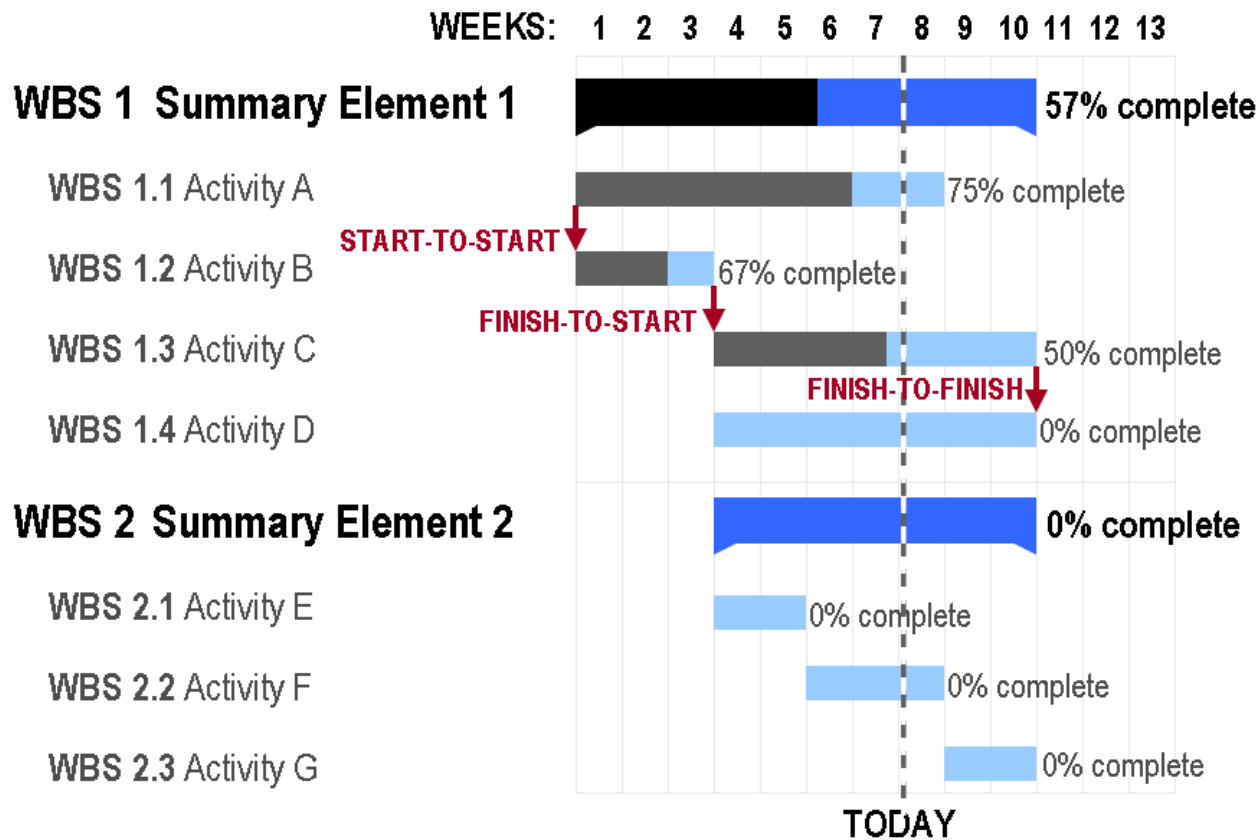
### *Expectations of the EC*

- Brief presentation of the overall structure of the work plan
- Timing of the different work packages and their components (***Gantt Chart***)
- Graphical presentation of the components showing how they inter-relate (***Pert Chart***)
- Detailed work description
  - A **description** of each **work package** (table 3.1a)
  - A **list** of **work packages** (table 3.1b)
  - A list of major **deliverables** (table 3.1c)

To ensure that the tasks start and finish according to the project work plan and that the project deliverables are submitted to EC in due time.

⇒ **All the projects activities needs to be carefully planned already in the proposal stage!**

⇒ „A Gantt chart is a horizontal bar chart developed as a production control tool in 1917 by Henry L. Gantt, an American engineer and social scientist.“



# Gantt Chart



Project **Gantt Chart**  
490 x 350 - 28k - gif  
[www.total-quality-management-software.com](http://www.total-quality-management-software.com)



**Gantt Chart** Viewable  
629 x 402 - 24k  
[www.jiscinfonet.ac.uk](http://www.jiscinfonet.ac.uk)  
[ [Mehr von www.jiscinfonet.ac.uk](http://Mehr.von.www.jiscinfonet.ac.uk) ]



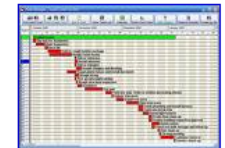
... probably provide a **Gantt chart**: free download of **Gantt Chart** for ...  
591 x 344 - 10k - gif  
[www.romankoch.ch](http://www.romankoch.ch)



557 x 322 - 45k - jpg  
[www.projectdirect.com](http://www.projectdirect.com)



**GANTT CHART** EXAMPLE  
981 x 503 - 134k - gif  
[www.bridgeport.edu](http://www.bridgeport.edu)



**Gantt Charts** give a graphical ...  
810 x 582 - 45k - gif  
[www.virtualboss.net](http://www.virtualboss.net)



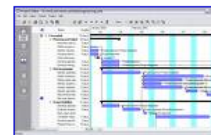
Excel **Gantt Chart** Template  
755 x 499 - 25k - gif  
[www.vertex42.com](http://www.vertex42.com)



**Gantt Chart** Image  
556 x 315 - 18k  
[www.jiscinfonet.ac.uk](http://www.jiscinfonet.ac.uk)



Project progress **gantt chart** ...  
496 x 289 - 73k - jpg  
[www.4csys.com](http://www.4csys.com)  
[ [Mehr von www.4csys.com](http://Mehr.von.www.4csys.com) ]



**Gantt Chart** History  
945 x 596 - 55k - gif  
[www.gantt-chart.biz](http://www.gantt-chart.biz)



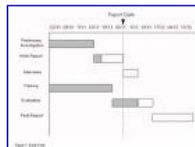
... a simple **gantt chart**.  
620 x 280 - 5k - png  
[www.nan.go.th](http://www.nan.go.th)



Sample **PERT and Gantt Chart**  
821 x 496 - 55k - jpg  
[www.visitask.com](http://www.visitask.com)



JFreeChart: **Gantt Chart** Sample  
508 x 297 - 14k - png  
[www.java2s.com](http://www.java2s.com)



What is **Gantt chart**?  
628 x 475 - 29k - jpg  
[searchsoftwarequality.techtarget.com](http://searchsoftwarequality.techtarget.com)



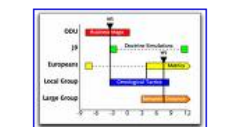
What a **Gantt Chart** looks like:  
540 x 425 - 63k - jpg  
[www.monash.edu.au](http://www.monash.edu.au)



Project **Gantt Chart** ...  
1800 x 1584 - 509k - png  
[mmgrad.csuhayward.edu](http://mmgrad.csuhayward.edu)



**Gantt Chart**  
550 x 367 - 45k - gif  
[www.wnc.net.au](http://www.wnc.net.au)



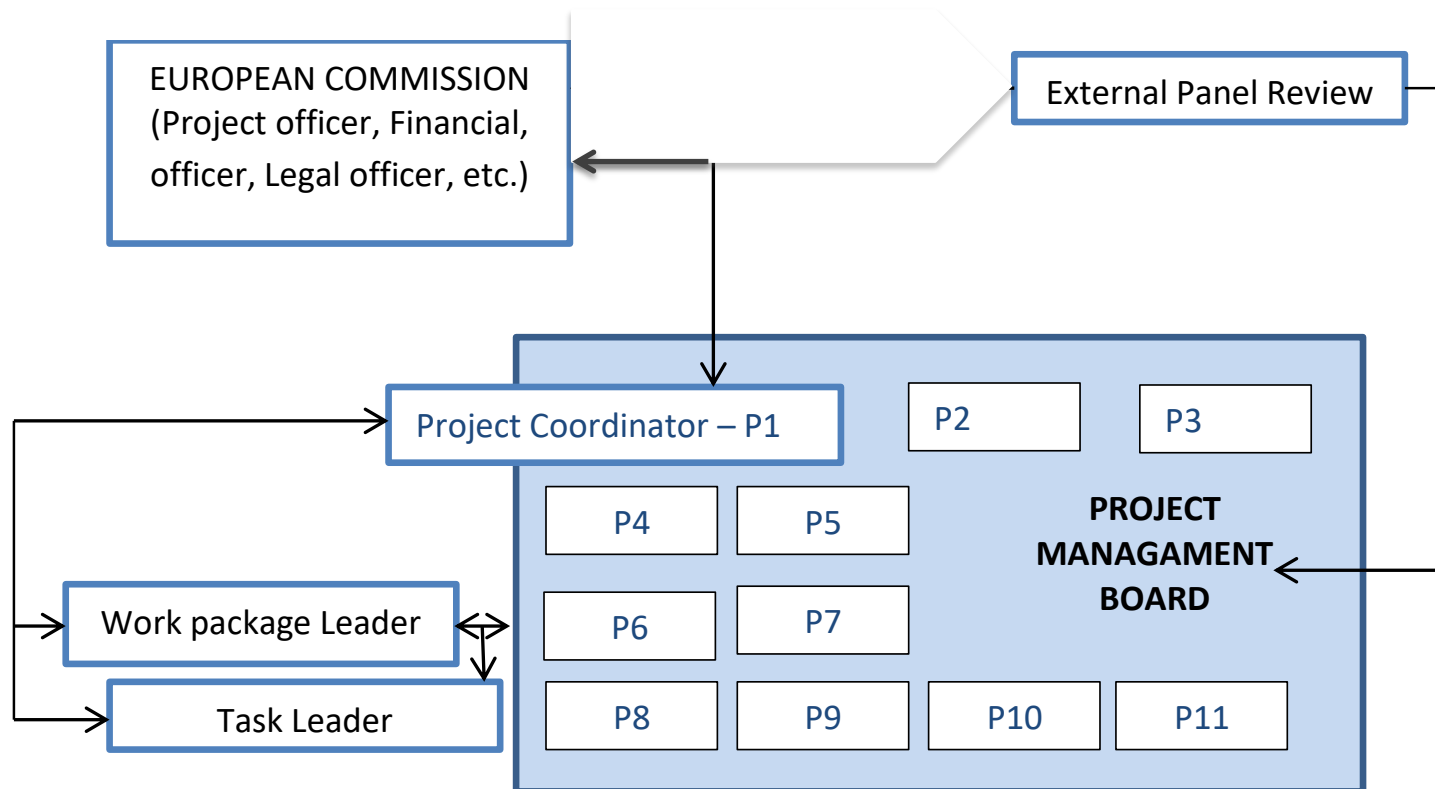
Use of the **Gantt chart** by  
American ...  
386 x 274 - 12k - gif  
[www.atpm.com](http://www.atpm.com)

## 3.2 Management structure and procedures

### *Expectations of the EC*

- Describe any **organizational structure** and the **decision-making** (including a list of milestones)
  - Clearly define: Who is responsible for what?
  - Who will decide what, how and when?
  - How effective will the innovation management be addressed in the management structure and work plan?
  - What will happen in case of conflict?
  - What will happen, if there won't be any agreement on something? Who will decide then? Veto right?

# EXAMPLE





**-Each of the project partners can have different roles.**

**-Roles are defined in the project work-plan description**

**-All project partners :**

- Should fulfil their tasks duly, timely and according to the distribution of work specified in Annex I or amended by the decisions of the General Assembly

an agreement that project participants conclude between themselves for the implementation of the project in Horizon 2020.

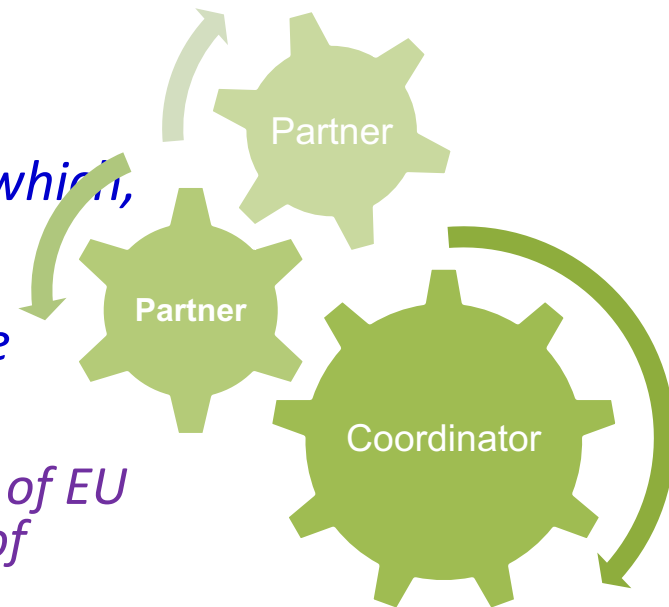
CA allows the participants to determine the detailed administrative and management provisions necessary to carry out their project. Within this agreement, parties also outline the rights and responsibilities of each member of the consortium concerning intellectual property. This agreement cannot contradict or negate the provisions established by the Grant Agreement or the Rules for Participation.

## ➤ Characteristics

- *It is a private agreement between the beneficiaries and does not involve the EC (which, however, provides guidance).*
- *Deals with the rights and obligations of the beneficiaries amongst themselves.*

*Examples: internal organisation, distribution of EU funding, additional rules on IPR, settlement of disputes, etc.*

- *In principle to be concluded before signing the Grant Agreement*



Source:

## 3.2 Management structure and procedures

**Table 3.2a: List of milestones**

<b>Milestone number</b>	<b>Milestone name</b>	<b>Related work package(s)</b>	<b>Estimated date</b>	<b>Means of verification</b>

### **KEY**

#### **Estimated date**

*Measured in months from the project start date (month 1)*

#### **Means of verification**

*Show how you will confirm that the milestone has been attained. Refer to indicators if appropriate. For example: a laboratory prototype that is 'up and running'; software released and validated by a user group; field survey complete and data quality validated.*

## *Expectations of the EC*

- Describe any **critical risks**, relating to project implementation, that the stated project's objectives may not be achieved. Detail any **risk mitigation measures**. Please provide a table with critical risks identified and mitigating actions (table 3.2b)

**Table 3.2b: Critical risks for implementation**

<b>Description of risk</b>	<b>Work package(s) involved</b>	<b>Proposed risk-mitigation measures</b>

 => no page limit

**4.1 Participants** => short description of the participants incl. their expertise, involvement in tasks, short CVs, list of 5 relevant publications, list of 5 relevant projects

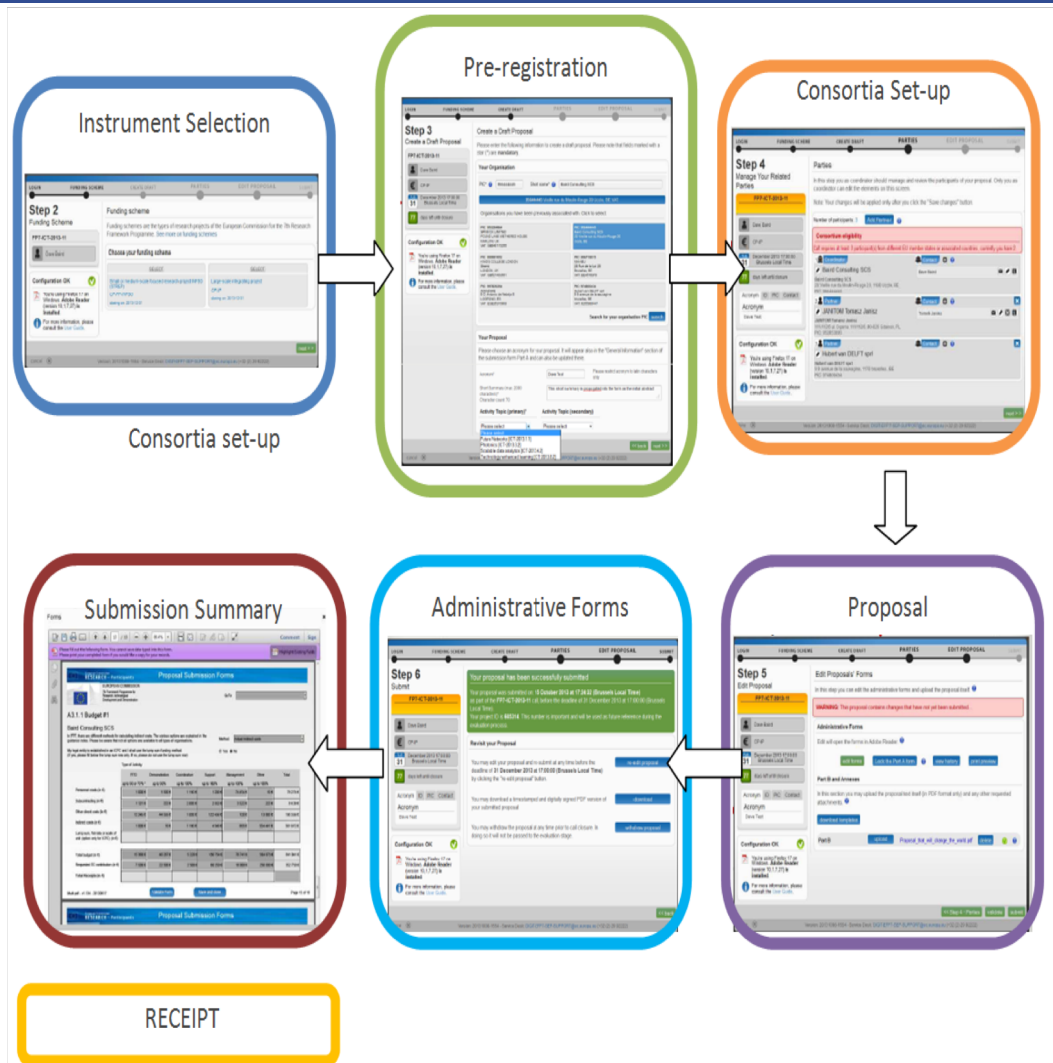
**4.2. Third parties involved**

 => no page limit

**5.1 Ethics** => to be completed very carefully. Depending on research to be carried on the submission of the ethic self-assessment document as well as other necessary documents may be requested in the application **including personal data protection.**

**5.2 Security** => answer to the questions listed.

# Project cycle



Source: REA





# Thank you for your attention!



Gorazd Weiss

Michael Wilkinson

Centre for Social Innovation (ZSI), Austria, INCOBRA Project

Sources: European Commission - DG Research & Innovation (publicly available presentations)

Horizon 2020 EU Framework Programme funded projects