

**Proposal template**

**(technical annex)**

***Fast Track to Innovation Pilot***

***Innovation actions***

**The information to be captured in the proposal template on impact, excellence and quality and efficiency of implementation will together constitute the business plan, as referred to in the** [**Work Programme**](http://ec.europa.eu/research/participants/data/ref/h2020/wp/2016_2017/main/h2020-wp1617-fast-track_en.pdf)**. No separate business plan is to be submitted. As a result of this approach, the proposal template for the Fast Track to Innovation Pilot deviates substantially from the standard proposal template for other innovation actions.**



Proposals shall be business-driven and clearly demonstrate a realistic potential for quick deployment and market take-up of innovations.

Any proposal should contain a specification for the outcome of the action; it should capture similar type of information as a standard business plan does, which means that information on commercial viability, future development and strategy, finance and planning assumptions & projections should be covered as part of the proposal.

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

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

 **Page limit:** For full proposals, the cover page, and sections 1, 2 and 3, together should not be longer than 30 pages. Sections 4 and 5, which allow applicants to elaborate on members of the consortium and ethics and security, have no page limit. All tables in these sections must be included within this limit. The minimum font size allowed is 11 points. The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

If you attempt to upload a proposal longer than the specified limit, you will receive an automatic warning and will be advised to shorten and re-upload the proposal. Any excess pages will be overprinted with a ‘watermark’, indicating to evaluators that these pages must be disregarded.

Please do not consider the page limit as a target! It is in your interest to keep your text as concise as possible, since experts rarely view unnecessarily long proposals in a positive light.

First page with instructions should be deleted when the template is used.

**COVER PAGE**

**Title of Proposal**

**List of participants (min. 3, max. 5)**

|  |  |  |  |
| --- | --- | --- | --- |
| **Participant No \*** | **Participant organisation name** | **Country** | **First Time Industry Applicant\*\*** |
| 1 (Coordinator) |  |  | Y/N |
| 2 |  |  | Y/N |
| 3 |  |  | Y/N |
| 4 |  |  | Y/N |
| 5 |  |  | Y/N |

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\* Please use the same participant numbering as that used in the administrative proposal forms.

\*\* In the context of the FTI pilot, a "first-time industry applicant" means a legal entity that is a private, for-profit organisation that has obtained a PIC (Participant Identification Code) for the first time, meaning that such legal entity is for the first time registered in the Beneficiary Register during the preparation of the proposal. *Please note that the correctness of your input is subject to cross-checks by European Commission services.*

## 1. Excellence

**1.1 Objectives**

* Describe the specific objectives for the action, which should be clear, measurable, realistic and achievable within the duration of the action. Objectives should be consistent with the expected exploitation and impact of the action (see section 2) and with the innovation strategy of the different partners of the consortium;
* Explain the industrial/economic/social challenge to address, and the market opportunity to be exploited, through your business-driven innovation action, and in what way this relates to specific objective(s) under Horizon 2020;
* Explain also how your solution meets the stated challenge or avails of the business opportunity, and describe (potential) other expected outcomes.

**1.2 Relation to the work programme**

* Indicate in a concise manner the reason(s) why your proposal would fit under the section [Fast Track to Innovation of the Work Programme](http://ec.europa.eu/research/participants/data/ref/h2020/wp/2016_2017/main/h2020-wp1617-fast-track_en.pdf). Please refer to the text of the Work Programme where appropriate.

**1.3 Concept and approach**

* Describe and explain the overall concept underpinning the action. Describe the main ideas, models or assumptions involved. Highlight any trans-disciplinary considerations; broaden on the methodology that you intend to follow, setting out, as appropriate, activities that you will implement during this action (e.g. demonstration, testing, advanced prototyping, pilot lines, miniaturisation, advanced design, performance verification, market replication encouraging the involvement of end users and potential clients, specialised research, validation processes etc.).
* Clearly specify the starting point and the level of maturity of the proposed solution by outlining the positioning of the action e.g. where it is situated in the spectrum from ‘idea to application’, or from ‘lab to market’. Refer to Technology Readiness Levels (TRL) where possible. (See [General Annex G of the Work Programme](http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2016_2017/annexes/h2020-wp1617-annex-g-trl_en.pdf); note that under the Fast Track to Innovation scheme, proposed technological innovations will be expected to have a TRL of 6 or higher, and that non-technological innovations will expected to have a similar level of maturity).
* Explain how the concept and its planned development will lead to effective market take-up and what will be required to achieve that.
* In the context of the overall Horizon 2020 priorities, elaborate on the European dimension of your proposal and explain how your action will lead to innovation that will add value to Europe.
* Where relevant, describe how sex and/or gender analysis is taken into account in the action’s content.

* Sex and gender refer 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* [*http://ec.europa.eu/research/science-society/gendered-innovations/index\_en.cfm*](http://ec.europa.eu/research/science-society/gendered-innovations/index_en.cfm)

**1.4 Ambition**

* Describe your proposal’s innovation potential / the advance it would provide beyond the state-of-the-art, and the extent the proposed work is ambitious. Your answer could refer to the ground-breaking nature of the objectives, concepts involved, issues and problems to be addressed, and approaches and methods to be used. Where relevant, refer to products and services already available on the market.
* Describe the expected key market application(s) extracted from the results already achieved, that differentiates your action and provides the highest value added to potential customers; explain the unique selling proposition of your envisaged solution (in comparison with other existing or emerging ones), including in terms of sustainability/life cycle, and when relevant, include expected improvement potential of the action output over time.

## 2. Impact

**2.1 Expected impacts**

* Please be specific, and provide only information that applies to the proposal and its objectives. Wherever possible, use quantified indicators and targets.*

* Describe how your action will contribute to:
  + the expected impacts set out in the work programme;
  + developing innovation meeting the needs of European and global markets;
  + improving the innovation capacity and the integration of new knowledge strengthening the competitiveness and growth of the industrial legal entities in the consortium;
  + any other environmental and socially important impacts (if not already covered above).
* Elaborate on which user needs have been identified and will be met upon completion of the action, and on the way in which the proposed innovation will outcompete current state-of-the-art solutions in the same sector of activity. Compare your solution with solutions offered by competitors (if any), using a cost-benefit analysis.
* Describe the type of market targeted (e.g. niche or high volume). What is the estimation of total available market size and growth rate? What are the market trends? What are you planning to use as main selling points? Describe the most relevant market segments for initial introduction of the new solution, and its potential early adopters / users (both in terms of profile and geographical location).
* Describe the expected impact of your innovation/solution in terms of scientific, technological or other (for instance social or environmental) progress.
* Elaborate on economic relevance of your solution, in particular with respect to growth of the industry partner(s) in the consortium (turnover, market share, employment creation, longer-term sales expectations, return on investment and profit). In addition, describe the expected economic return on investment of your action for the economy at large, with particular attention for the possible creation of growth and jobs, and possible changes in the main sector of economic activity of the industry partners of the consortium.
* In the context of the action, elaborate on your capital investment policy for the next three years of operation and indicate the estimated funding requirements to reach go-to-market, making reference to the parties that will/should be involved. Envisaged financial mix: percentage or relevance of own funds, FTI funding, other external funding (loans, venture capital…)…
* Describe any barriers/obstacles, and any framework conditions (such as regulation and standards), that may determine whether and to what extent the expected impacts will be achieved, especially in relation to market acceptance and wide take-up. (This should not include any risk factors concerning implementation, as covered in section 3.2.)

**2.2 Measures to maximise impact**

**a)** **Dissemination and exploitation of results**

* Provide a draft ‘plan for the dissemination and exploitation of the action's results’. Describe a credible path to deliver the innovations to the market. The plan, which should be proportionate to the scale of the action, should contain measures to be implemented both during and after the action.

 *Dissemination and exploitation measures should address the full range of potential users and uses including research, commercial, investment, social, environmental, policy making, setting standards, skills and educational training.*

 *The approach to innovation should be as comprehensive as possible, and must be tailored to the specific technical, market and organisational issues to be addressed.*

* Explain which stakeholders that should be involved in the last stretch towards a successful commercial exploitation of your innovation, in addition to those already present in the consortium and/or in the validation process of the proposed innovation/solution.
* Explain how your action will benefit the competitiveness and the innovation capacity of the individual partners of the consortium; make a link, where possible, to the corporate strategies of the industry partners in the consortium. Describe briefly the final steps needed to be taken before the innovation is ready to be taken to the market and give an indication on expected time to market/deployment.
* Elaborate on how you intend to position yourself in the market over time; in other words, explain your further commercial strategy, and planned implementation, via partners in the consortium, or through cooperation with third parties. Provide a timeline detailing planned marketing & sales efforts (including in terms of distribution).
* On the basis of your expected result, elaborate on the possible further development strategy for your innovation, bound to ensure your future competitiveness.
* Add any other factors of relevance related to dissemination and exploitation of results that could increase impact and explain how.

**b) Intellectual Property, knowledge protection and regulatory issues**

* Industrial Property Rights assets: describe the key knowledge (IPR) items and who owns them; patents (filed and/or granted) or other ways of protection; ownership;
* Describe the measures to ensure the possibility of commercial exploitation;
* Outline the strategy for knowledge management and protection as well as current IP status;
* Explain the regulatory and/or standard requirements to be fulfilled for the exploitation of the technology/product/solution or concept: how they are to be met; (if not already covered in point 2.1)
* **Where relevant** include information on how the participants will manage the research data generated and/or collected during the action, in particular addressing the following issues:[[1]](#footnote-1)
* What types of data will the action generate/collect?
* What standards will be used?
* How will this data be exploited and/or shared/made accessible for verification and re-use? If data cannot be made available, explain why.
* How will this data be curated and preserved?
* *You will need an appropriate consortium agreement to manage (amongst other things) the ownership and access to key knowledge (IPR, data etc.). Where relevant, these will allow you, collectively and individually, to pursue market opportunities arising from the action's results.*
* The appropriate structure of the consortium to support exploitation is addressed in section 3.3.
* **Where relevant** include measures to provide open access (free on-line access, such as the ‘green’ or ‘gold’ model) to peer-reviewed scientific publications which might result from the action[[2]](#footnote-2).

* Open access publishing (also called 'gold' open access) means that an article is immediately provided in open access mode by the scientific publisher. The associated costs are usually shifted away from readers, and instead (for example) to the university or research institute to which the researcher is affiliated, or to the funding agency supporting the research.*

* Self-archiving (also called 'green' open access) means that the published article or the final peer-reviewed manuscript is archived by the researcher - or a representative - in an online repository before, after or alongside its publication. Access to this article is often - but not necessarily - delayed (‘embargo period’), as some scientific publishers may wish to recoup their investment by selling subscriptions and charging pay-per-download/view fees during an exclusivity period.*

**c) Communication**

* Describe the proposed communication measures for promoting the action and its findings during the period of the grant. Measures should be proportionate to the scale of the action, with clear objectives. They should be tailored to the needs of various audiences, including groups beyond the action's own community. Where relevant, include measures for public/societal engagement on issues related to the action.

## 3. Implementation

**3.1 Work plan —** **Work packages, deliverables and milestones**

Please provide the following:

* brief presentation of the overall structure of the work plan;
* timing of the different work packages and their components (Gantt chart or similar);
* detailed work description, i.e.:
  + 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);
* graphical presentation of the components showing how they inter-relate (Pert chart or similar).

 *Give full details. Base your account on the logical structure of the action and the stages in which it is to be carried out. Include details of the resources to be allocated to each work package.* *The number of work packages should be proportionate to the scale and complexity of the action.*

 *You should give enough detail in each work package to justify the proposed resources to be allocated and also quantified information so that progress can be monitored, including by the Commission.*

 *You are advised to include a distinct work package on ‘management’ (see section 3.2) and to give due visibility in the work plan to ‘dissemination and exploitation’ and ‘communication activities’, either with distinct tasks or distinct work packages.*

 *You will be required to include an updated (or confirmed) ‘plan for the dissemination and exploitation of results’ in both the periodic and final reports. (This does not apply to topics where a draft plan was not required.) This should include a record of activities related to dissemination and exploitation that have been undertaken and those still planned. A report of completed and planned communication activities will also be required.*

 *If your action is taking part in the Pilot on Open Research Data[[3]](#footnote-3), you must include a 'data management plan' as a distinct deliverable within the first 6 months of the action. A template for such a plan is given in the guidelines on data management in the H2020 Online Manual. This deliverable will evolve during the lifetime of the action in order to present the status of the action's reflections on data management.*

***Definitions:***

*‘Work package’ means a major sub-division of the proposed action.*

*‘Deliverable’ means a distinct output of the action, meaningful in terms of the action's overall objectives and constituted by a report, a document, a technical diagram, a software etc.*

*‘Milestones’ means control points in the action that help to chart progress. Milestones may correspond to the completion of a key deliverable, allowing the next phase of the work to begin. They may also be needed at intermediary points so that, if problems have arisen, corrective measures can be taken. A milestone may be a critical decision point in the action where, for example, the consortium must decide which of several technologies to adopt for further development.*

**3.2 Management structure and procedures**

* Describe the organisational structure and the decision-making ( including a list of milestones (table 3.2a))
* Explain why the organisational structure and decision-making mechanisms are appropriate to the complexity and scale of the action.
* Describe, where relevant, how effective innovation management will be addressed in the management structure and work plan.

 *Innovation management is a process which requires an understanding of both market and technical problems, with a goal of successfully implementing appropriate creative ideas. A new or improved product, service or process is its typical output. It also allows a consortium to respond to an external or internal opportunity.*

* + Describe any critical risks, relating to action implementation, that the stated action'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)

**3.3 Consortium as a whole**

 *The individual members of the consortium are described in a separate section 4. There is no need to repeat that information here.*

* Describe the consortium. How will it match the action’s objectives? How do the members complement one another (and cover the value chain, where appropriate)? In what way does each of them contribute to the action? How will they be able to work effectively together?

**3.4 Resources to be committed**

 *Please make sure the information in this section matches the costs as stated in the budget table in section 3 of the administrative proposal forms, and the number of person/months, shown in the detailed work package descriptions.*

Please provide the following:

* a table showing number of person/months required (table 3.4a)
* a table showing ‘other direct costs’ (table 3.4b) for participants where those costs exceed 15% of the personnel costs (according to the budget table in section 3 of the administrative proposal forms)

**Table 3.1a: Work package description**

**For each work package:**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Work package number** |  | | **Start Date or Starting Event** | | | | |  | |
| **Work package title** |  | | | | | | | | |
| **Participant number** |  |  | |  |  |  |  | |  |
| **Short name of participant** |  |  | |  |  |  |  | |  |
| **Person/months per participant:** |  |  | |  |  |  |  | |  |

|  |
| --- |
| **Objectives** |

|  |
| --- |
| **Description of work** (where appropriate, broken down into tasks), lead partner and role of participants |

|  |
| --- |
| **Deliverables** (brief description and month of delivery) |

**Table 3.1b: List of work packages**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Work package No** | **Work Package Title** | **Lead Participant No** | **Lead Participant Short Name** | **Person-Months** | **Start Month** | **End month** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  | Total months |  |  |

**Table 3.1c: List of Deliverables**[[4]](#footnote-4)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Deliverable (number)** | **Deliverable name** | **Work package number** | **Short name of lead participant** | **Type** | **Dissemination level** | **Delivery date** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

**KEY**

*Deliverable numbers in order of delivery dates. Please use the numbering convention <WP number>.<number of deliverable within that WP>.*

*For example, deliverable 4.2 would be the second deliverable from work package 4.*

**Type:**

*Use one of the following codes:*

R: Document, report (excluding the periodic and final reports)

DEM: Demonstrator, pilot, prototype, plan designs

DEC: Websites, patents filing, press & media actions, videos, etc.

OTHER: Software, technical diagram, etc.

**Dissemination level:**

*Use one of the following codes:*

PU = Public, fully open, e.g. web

CO = Confidential, restricted under conditions set out in Model Grant Agreement

CI = Classified, information as referred to in Commission Decision 2001/844/EC.

**Delivery date**

Measured in months from the action start date (month 1)

**Table 3.2a: List of milestones**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Milestone number** | **Milestone name** | **Related work package(s)** | **Estimated date** | **Means of verification** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

**KEY**

**Estimated date**

*Measured in months from the action 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.*

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

|  |  |  |
| --- | --- | --- |
| **Description of risk** | **Work package(s) involved** | **Proposed risk-mitigation measures** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

**Table 3.4a: Summary of staff effort**

*Please indicate the number of person/months over the whole duration of the planned work, for each work package, for each participant. Identify the work-package leader for each WP by showing the relevant person-month figure in bold.*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **WPn** | **WPn+1** | **WPn+2** | **Total Person/**  **Months per Participant** |
| **Participant Number/Short Name** |  |  |  |  |
| **ParticipantNumber/**  **Short Name** |  |  |  |  |
| **Participant Number/**  **Short Name** |  |  |  |  |
| **Total Person/Months** |  |  |  |  |

**Table 3.4b: ‘Other direct cost’ items (travel, equipment, other goods and services, large research infrastructure)**

Please complete the table below for each participant if the sum of the costs for’ travel’, ‘equipment’, and ‘goods and services’ exceeds 15% of the personnel costs for that participant (according to the budget table in section 3 of the proposal administrative forms).

|  |  |  |
| --- | --- | --- |
| **Participant Number/Short Name** | **Cost (€)** | **Justification** |
| **Travel** |  |  |
| **Equipment** |  |  |
| **Other goods and services** |  |  |
| **Total** |  |  |

Please complete the table below for all participants that would like to declare costs of large research infrastructure under Article 6.2 of the General Model Agreement[[5]](#footnote-5), irrespective of the percentage of personnel costs. Please indicate (in the justification) if the beneficiary’s methodology for declaring the costs for large research infrastructure has already been positively assessed by the Commission.

|  |  |  |
| --- | --- | --- |
| **Participant Number/Short Name** | **Cost (€)** | **Justification** |
| **Large research infrastructure** |  |  |

1. For further guidance on research data management, please refer to the H2020 Online Manual on the Participant Portal. [↑](#footnote-ref-1)
2. Open access must be granted to all scientific publications resulting from Horizon 2020 actions. Further guidance on open access is available in the H2020 Online Manual on the Participant Portal. [↑](#footnote-ref-2)
3. Certain actions under Horizon 2020 participate in the ‘Pilot on Open Research Data in Horizon 2020’. All other actions can participate on a voluntary basis to this pilot. Further guidance is available in the H2020 Online Manual on the Participant Portal. [↑](#footnote-ref-3)
4. If your action taking part in the Pilot on Open Research Data, you must include a data management plan as a distinct deliverable within the first 6 months of the action. This deliverable will evolve during the lifetime of the action in order to present the status of the action's reflections on data management. A template for such a plan is available on the Participant Portal (Guide on Data Management). [↑](#footnote-ref-4)
5. Large research infrastructure means research infrastructure of a total value of at least EUR 20 million, for a beneficiary. More information and further guidance on the direct costing for the large research infrastructure is available in the H2020 Online Manual on the Participant Portal. [↑](#footnote-ref-5)