Proposal template: technical annex

Fast Track to Innovation (FTI)- Innovation actions

[Adapted for European Innovation Council (EIC)]

The information you provide in this proposal template will constitute the **business plan**, as referred to in the Work Programme. It should cover the envisaged market uptake and commercial viability, the future development and strategy, and finance and planning assumptions & projections. No separate business plan should be submitted. As part of the **EIC** Pilot, the FTI targets innovation actions with a **breakthrough, market-creating character**. Proposals must demonstrate a potential for reshaping existing or creating entirely new markets and for scaling-up industrial partners in the consortium.

The structure of this template must be followed when preparing your proposal. It has been designed to ensure that your planned work is presented in a way that will enable an effective expert assessment against the evaluation criteria. Please note that proposals will be evaluated as they were submitted, rather than on their potential if certain changes would be made. 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: The cover page and sections 1, 2 and 3, together should not be longer than 30 pages. All tables, figures, references and any other element pertaining to these sections must be included as an integral part of these sections and are thus counted against this page limit. **The page limit will be applied automatically; therefore you must remove this instruction page before submitting.** If you try to upload a proposal longer than 30 pages, you will be advised to shorten and re-upload the proposal. After the cut-off date, excess pages will be made invisible and will not be taken into consideration. The proposal is a self-contained document. Experts will be instructed to ignore hyperlinks to information that is specifically designed to expand the proposal, thus circumventing the page limit.

The following formatting conditions apply:

The reference font for the body text of H2020 proposals is Times New Roman (Windows platforms), Times/Times New Roman (Apple platforms) or Nimbus Roman No. 9 L (Linux distributions). Use of a different font for the body text is not advised and is subject to the cumulative conditions that the font is legible and that its use does not significantly shorten the representation of the proposal in number of pages compared to using the reference font (for example with a view to bypass the page limit).

The minimum font size allowed is 11 points. Standard character spacing and a minimum of single line spacing is to be used. Text elements other than the body text, such as headers, foot/end notes, captions, formula's, may deviate, but must be legible.

The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

COVER PAGE

Title of Proposal

Note: Consortium members are listed in part A. A summary list should also be provided in the table below.

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

Participant No *	**Organisation name**	**Country**
1 (Coordinator)		
2		
3		
(4)		
(5)		

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

1. Excellence

1.1 Objectives

- Describe the specific objectives for your action, which should be clear, measurable, realistic and achievable. Objectives should be consistent with the expected exploitation and impact of the action (see section 2. Impact) and with the innovation strategy of the partners of the consortium;

- Explain the industrial/economic/social challenges and the market opportunity you address;

1.2 Relation to the work programme

- Indicate why your proposal would fit under the section European Innovation Council pilot of the Work Programme.

1.3 Concept and methodology

(a) Concept

- Explain the overall concept underpinning your proposal. Describe the main ideas, models or assumptions. Highlight trans-disciplinary considerations and the methodology that you intend to follow. Set out your activities (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.).

- Specify the starting point and the level of maturity of your proposal by positioning it 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; 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).

- Show the European dimension of your proposal and how it will add value to Europe.

(b) Methodology

- Explain how your proposal will lead to market take-up and what will be required to achieve that.

- Where relevant, describe how sex and/or gender issues are taken into account.

⚠ *Please note that this question does not refer to gender balance in the teams in charge of carrying out the action but to the content of the planned innovation activities. 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 http://ec.europa.eu/research/swafs/gendered-innovations/index_en.cfm?pg=home*

1.4 Ambition

- Describe your proposal's innovation potential / the advance it would provide beyond the state-of-the-art, and the extent it is ambitious / a game-changer. You could refer to the break-through nature of the objectives, the concepts, issues and problems to be addressed, and the approaches and methods you will use. Where relevant, compare with to products and services already available on the market. Please refer to the results of any patent search carried out.

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 that reshapes existing or creates new markets or means a major step forward for addressing major societal challenges;
  - improving the innovation capacity strengthening the competitiveness and scale-up of the industrial partners in the consortium;
  - scientific and technological progress,
  - achieving other environmental and social impacts (if not already covered above).
- Show which user needs or challenge you have identified and how these will be met by your proposal; explain the way in which your proposal can offer a solution that will outcompete possible existing solutions for the user need or challenge identified. Compare your solution with competing solutions (if any), using a cost-benefit analysis.
- Describe the type of market you target (e.g. niche or high volume). What is the estimation of total 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 your solution, and its potential to attract early adopters / users (both in terms of profile and geographical location).
- Show the economic relevance of your solution, in particular for the scale-up of the industry partner(s) in the consortium (turnover, market share, employment creation, longer-term sales expectations, return on investment and profit). Describe the expected economic return on investment for the economy at large, with attention for the creation of growth and jobs. Mention, if applicable, changes in the main sector of economic activity of the industry partners of the consortium.
- In the context of your proposal, elaborate on your capital investment policy for the next three years of operation. Indicate the funding requirements to reach go-to-market, making reference to the parties that will/should be involved. Show your 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, standards, public acceptance, workforce considerations, financing of follow-up steps, cooperation of other links in the value chain), that may influence the success of your proposal, especially for market acceptance. (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[1] 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 and contribute to company scale-up(s). The plan, which should be proportionate to the scale of the action, should contain measures to be implemented both during and after the action.

Your plan for the dissemination and exploitation of the action's results is key to maximising their ***impact****. This plan should describe, in a concrete and comprehensive manner, the* ***area*** *in which you expect to make an impact and* ***who*** *are the potential users of your results. Your plan should also describe* ***how*** *you intend to use the appropriate channels of dissemination and interaction with potential users.*

Consider the full range of potential users and uses, including research, commercial, investment, social, environmental, policy-making, setting standards, skills and educational training where relevant.

Your plan should give due consideration to the possible ***follow-up*** *of your action, once it is finished. Its exploitation could require additional investments, wider testing or scaling up. Its exploitation could also require other pre-conditions like regulation to be adapted, or value chains to adopt the results, or the public at large being receptive to your results.*

- Explain which stakeholders should be involved in the last stretch towards a successful commercial exploitation of your proposal, in addition to those already present in the consortium and/or in the validation process of the proposal.

- Elaborate on how you intend to position yourself in the market over time; in other words, explain your 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 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;

[1] See participant portal FAQ on how to address dissemination and exploitation in Horizon 2020.

- 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).

- **As 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:

    - 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?

    - How will the costs for data curation and preservation be covered?

⚠ *Actions under Horizon 2020 participate in the extended 'Pilot on Open Research Data in Horizon 2020 ('open research data by default'), except if they indicate otherwise ('opt-out'.)*[2]*. Once the action has started (**not** at application stage) those beneficaries which do not opt-out, will need to create a more detailed Data Management Plan for making their data findable, accessible, interoperable and reusable (FAIR).*

⚠ *You will need an appropriate consortium agreement to manage (amongst other things) the ownership and access to key knowledge (IPR, research 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[3].

⚠ *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. Gold open access costs are fully eligible as part of the grant. Note that if the gold route is chosen, a copy of the publication has to be deposited in a repository as well.*

⚠ *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*

---

[2] Opting out of the Open Research Data Pilot is possible, both before and after the grant signature. For further guidance on open research data and data management, please refer to the H2020 Online Manual on the Participant Portal.

[3] 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.

c) Communication activities[4,5]

- Describe the communication measures for promoting your work during the period of the grant. Measures should be proportionate to the scale of the activity, with clear objectives. They should be tailored to the needs of various audiences, including groups beyond your own community.

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 list of work packages (table 3.1a);
  - a description of each work package (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. 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*

⚠ *Resources assigned to work packages should be in line with their objectives and deliverables. 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 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, 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.*

[4] See participant portal FAQ on how to address communication activities in Horizon 2020

[5] For further guidance on communicating EU research and innovation for action participants, please refer to the H2020 Online Manual on the Participant Portal.

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.

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 substantially 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)

Definition:

'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.

3.3 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?
- In what way does each of them contribute to the action? Show that each has a valid role, and adequate resources in the action to fulfil that role.
- Describe the industrial/commercial involvement in the action to ensure exploitation of the results and explain why this is consistent with and will help to achieve the specific measures which are proposed for exploitation of the results of the action (see section 2.2).

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)

Tables for section 3.1

Table 3.1a: List of work packages

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

Table 3.1b: Work package description

For each work package:

Work package number		**Lead beneficiary**					
Work package title							
Participant number							
Short name of participant							
Person-months per participant:							
Start month				**End month**			

Objectives

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

Deliverables (brief description and month of delivery)

Table 3.1c: List of Deliverables[6]

Deliverable (number)	Deliverable name	Work package number	Short name of lead participant	Type	Dissemination level	Delivery date (in months)

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)

[6] If your action is 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 in the H2020 Online Manual on the Participant Portal.

Tables for section 3.2

Table 3.2a: List of milestones

Milestone number	Milestone name	Related work package(s)	Due date (in month)	Means of verification

KEY

Due 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 (indicate level of likelihood : Low/Medium/High)	Work package(s) involved	Proposed risk-mitigation measures

Definition critical risk:

A critical risk is a plausible event or issue that could have a high adverse impact on the ability of the action to achieve its objectives.

Level of likelihood *to occur:* **Low/medium/high**

The likelihood is the estimated probability that the risk will materialise even after taking account of the mitigating measures put in place.

Tables for section 3.4

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[7], 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		

[7] 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.

Section 4: Members of the consortium

⚠ *This section is not covered by the page limit.*

⚠ *The information provided here will be used to judge the operational capacity. Please make sure that you do not include information here that relates to the headings under sections 1 to 3. Experts will be instructed to ignore any information here which appears to have been included to circumvent page limits applying to those sections.*

4.1. Participants (applicants)

Please provide, for each participant, the following (if available):

- a description of the legal entity and its main tasks, with an explanation of how its profile matches the tasks in the proposal;
- a curriculum vitae or description of the profile of the persons, including their gender, who will be primarily responsible for carrying out the proposed research and/or innovation activities;
- a list of up to 5 relevant publications, and/or products, services (including widely-used datasets or software), or other achievements relevant to the call content;
- a list of up to 5 relevant previous projects or activities, connected to the subject of this proposal;
- a description of any significant infrastructure and/or any major items of technical equipment, relevant to the proposed work;
- if operational capacity cannot be demonstrated at the time of submitting the proposal, describe the concrete measures that will be taken to obtain it by the time of the implementation of the task.[1]

4.2. Third parties involved in the project (including use of third party resources)

Please complete, for each participant, the following table (or simply state "No third parties involved", if applicable):

Does the participant plan to subcontract certain tasks (please note that core tasks of the project should not be sub-contracted)	Y/N
If yes, please describe and justify the tasks to be subcontracted	
Does the participant envisage that part of its work is performed by linked third parties[2]	Y/N
If yes, please describe the third party, the link of the participant to the third party, and describe and justify the foreseen tasks to be performed by the third party	

[1] Please refer to General Annex H Evaluation Rules, Selection Rules, Operational Capacity
[2] A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action. (Article 14 of the Model Grant Agreement).

Does the participant envisage the use of contributions in kind provided by third parties (Articles 11 and 12 of the General Model Grant Agreement)	Y/N
If yes, please describe the third party and their contributions	
Does the participant envisage that part of the work is performed by International Partners[3] (Article 14a of the General Model Grant Agreement)?	Y/N
If yes, please describe the International Partner(s) and their contributions	

[3] 'International Partner' is any legal entity established in a non-associated third country which is not eligible for funding under Article 10 of the Rules for Participation Regulation No 1290/2013.

Section 5: Ethics and Security

⚠ *This section is not covered by the page limit.*

5.1 Ethics

⚠ *For more guidance, see the [document "How to complete your ethics self-assessment"].*

If you have entered any ethics issues in the ethical issue table in the administrative proposal forms, you must:

- submit an ethics self-assessment, which:
  - describes how the proposal meets the national legal and ethical requirements of the country or countries where the tasks raising ethical issues are to be carried out;
  - explains in detail how you intend to address the issues in the ethical issues table, in particular as regards:
    - research objectives (e.g. study of vulnerable populations, dual use, etc.)
    - research methodology (e.g. clinical trials, involvement of children and related consent procedures, protection of any data collected, etc.)
    - the potential impact of the research (e.g. dual use issues, environmental damage, stigmatisation of particular social groups, political or financial retaliation, benefit-sharing, misuse, etc.).
- provide the documents that you need under national law(if you already have them), e.g.:
  - an ethics committee opinion;
  - the document notifying activities raising ethical issues or authorising such activities

⚠ *If these documents are not in English, you must also submit an English summary of them (containing, if available, the conclusions of the committee or authority concerned).*

⚠*If you plan to request these documents specifically for the project you are proposing, your request must contain an explicit reference to the project title.*

5.2 Security[4]

Please indicate if your project will involve:

- activities or results raising security issues: (YES/NO)
- 'EU-classified information' as background or results: (YES/NO)

[4] See article 37 of the Model Grant Agreement. . For more information on the classification of Information, please refer to the Horizon 2020 guidance: https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/secur/h2020-hi-guide-classif_en.pdf.