



The EU Framework Programme
for Research and Innovation

HORIZON 2020



Example of administrative forms and template for the technical annex for proposals for SME instrument Phase 1

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Disclaimer

This document is aimed at informing potential applicants for Horizon 2020 funding. It serves only as an example. The actual Web forms and templates, provided in the online proposal submission system under the Participant Portal, might differ from this example. Proposals must be prepared and submitted via the online proposal submission system under the Participant Portal.

Research and
Innovation



Disclaimer

Template for
administrative proposal forms (part A)
not yet available – coming soon



Proposal template (technical annex)

SME instrument – phase 1

The application shall provide

- 1) an outline of the envisaged overall innovation project, its intended scope, merits, risks and state of development to allow for an assessment of the business idea as well as an initial business plan based on the proposed idea/concept
- 2) a description of the activities to be undertaken during phase 1 that shall result in a comprehensive feasibility report, including the specifications of the elaborated business plan, which is to be the outcome of the project (for more details refer to the Work Programme and the Guidance documentation).

Please follow the structure of this 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.

⚠ Page limit: The cover page, and sections 1, 2 and 3, together should not be longer than 10 pages. The two 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.

Please refer to submission system for the definitive template for your call

COVER PAGE

Title of Proposal

List of participants

Participant No *	Participant organisation name	Country
1 (Coordinator)		
2		
3		

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

Table of Contents

SPECIMEN

Please refer to submission system for the definitive template for your call

1. Excellence

Your proposal must address a work programme topic for this call for proposals.

⚠ This section of your proposal will be assessed only to the extent that it is relevant to that topic.

⚠ Applicants are expected to address the points relevant to their overall innovation project and to provide information available at this stage. They should clearly explain which aspects will be further explored in the feasibility study.

1.1 Objectives

- Describe the objectives of your overall innovation project and the subsequently expected outcome. Describe the industrial/economic/social problem to be solved and/or business opportunity you intend to address.
- Describe the specific objectives for the feasibility study, including the elaboration of a business plan, which should be clear, measurable, realistic and achievable within the duration of the project. Objectives should be consistent with the expected exploitation and impact of the project. (see section 2).

1.2 Relation to the work programme

- Indicate the work programme topic to which your proposal relates.

1.3 Concept and approach

- Explain how your innovative solution will solve the problem and/or use the business opportunity.
- Describe the current stage of development of the innovation. Where appropriate, mention key milestones that led to the current stage (e.g. prototype, field trials, pilot studies with intended end-users and/or potential clients).
- Describe the positioning of the business innovation project, e.g. where it is situated in the spectrum from 'idea to application', or from 'lab to market'. Refer to Technology Readiness Levels where relevant. (See [General Annex G of the work programme](#)).
- Describe what you want to achieve in the feasibility assessment. Explain the approach and methodology, distinguishing, as appropriate, activities linked to assess the technological/technical/practical feasibility and economic viability (e.g. market studies, customer survey, etc.).
- Describe how your project intends to develop something new to Europe that addresses EU-wide/global challenges
- Where relevant, describe how sex and/or gender analysis is taken into account in the project'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

1.4 Ambition

- Explain the novelty of your innovation business project. What do you envisage as key market application of the innovation project result?
- Explain the envisaged solution (products, processes, services etc.) and highlight the advantage of your (expected) solution with respect to competing solutions; how does it provide more added value to potential customers? Provide a preliminary comparison with alternatives solving the same or similar problems. If appropriate, compare to state-of-the-art research and known commercial initiatives. This could include costs, environmental benefits, ease-of-use or other features.
- Describe intended improvement potential over time – also compared to existing solutions. Why is it worth to develop / or to invest in it?

2. Impact

⚠ Applicants are expected to address the points relevant to their overall innovation project and to provide information available at this stage. They should clearly explain which aspects will be further explored in the feasibility study.

2.1 Expected Impacts

a) Users/Market

- Which user needs have been identified and will be met upon completion of the project?
- Describe the main *economic* benefits for the users that, compared to current state of the art, will make the users buy or invest in the innovation. What are you planning to use as unique selling points?
- Describe the type of market, e.g. a niche market or high volume market. What is the estimation of total available market size and growth rate (mature or growing market)? What are the market trends? Describe if and how your project addresses European and/or global markets.
- List main competitors and competitive solutions.
- Indicate the most relevant market segments for initial introduction of the new solution.
- Indicate the most important market barriers to be overcome to realise commercialization.
- Describe the targeted users of the final solution; in which market segment/geographical areas do you see these potential users, and how do you intend to reach them?
- List key stakeholders to get involved for making a successful commercial exploitation.

b) Company

- How does the innovation project fit with the strategy of the participating SME(s)
- What is the relevance and rationale of the innovation project for the management team of the SME (or lead SME(s) in a consortium)

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- What is the expected growth potential of your solution in terms of turnover, employment, market seize, IP management, sales, return on investment and profit etc.

2.2 Measures to maximise impact

a) Dissemination and exploitation of results

- Explain an initial plan for full commercialisation of the project results, i.e. own commercialisation or licensing? Need of cooperation with third parties for own commercialisation? Estimate of the total funding requirements? Approximate time to first sales/employment?
- How does the proposed work in Phase 1 of the SME instrument fit into the overall plan to reach market?

b) Intellectual Property, knowledge protection and regulatory issues

- Explain key knowledge (IPR) items and who owns them. Refer to the results of any patent search carried out. Have you conducted a “freedom to operate analysis”, and if “yes” what has been the result?
- Outline the status and the strategy for knowledge protection. If by patent, has a patent application already been filed or is there potential for patent application?
- If regulatory and/or standard requirements are to be fulfilled for the exploitation of the innovation, please list them, and what are the plans to meet these regulatory and/or standard requirements? Indicate if and how they will be addressed in the feasibility assessment. Are you seeing any new market opportunity through regulatory requirements?

3. Implementation

3.1 Work plan – Work package and deliverable

Please provide the project plan comprising one work package with one deliverable (i.e. elaboration of the feasibility report including a business plan) – see Table 3.1 a

Definitions:

‘Work package’ means a major sub-division of the proposed project. In the case of the SME instrument – phase 1, there is only one work package describing the work to be done for the feasibility assessment.

‘Deliverable’ means a distinct output of the project. In the case of the SME instrument – phase 1 the output is the feasibility report, including a business plan.

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3.2 Management structure and procedures (only to the extent relevant in single entity proposals)

- Describe the organisational structure and the decision-making

3.3 Consortium as a whole (if applicable)

⚠ *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 project'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 project? How will they be able to work effectively together?

3.4 Resources to be committed

⚠ *Include the following budget table; no modification is possible¹. The description of work (feasibility study) in table 3.1 a must demonstrate that it corresponds to the total costs (in EUR).*

	A. Costs of the feasibility study/Direct and indirect costs of the action	Total costs	Reimbursement rate %	Maximum EU contribution	Maximum grant amount
Form of costs	Lump sum				
	50 000	71 429	70 %	50 000	50 000

¹ Commission Decision C(2013)8198 authorising the reimbursement on the basis of a lump sum for SME instrument phase 1 actions under the Horizon 2020

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Table 3.1 a: Work package description

Work Package Title	Feasibility Study
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Objectives

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

Deliverable: Feasibility report, including a business plan (brief description and month of delivery)

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

- a description of the legal entity and, in case of consortia, 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 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;
- in case of a newly created company, explain the purpose of the company creation.

4.2. Third parties involved in the project

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	Y/N
<i>If yes, describe and justify the tasks to be subcontracted</i>	

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Section 5: Ethics and security

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

5.1 Ethics

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, malevolent use , 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 Security²

Please indicate if your project will involve:

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

² Article 37.1 of Model Grant Agreement. *Before disclosing results of activities raising security issues to a third party (including affiliated entities), a beneficiary must inform the coordinator — which must request written approval from the Commission/Agency; Article 37. Activities related to 'classified deliverables' must comply with the 'security requirements' until they are declassified; Action tasks related to classified deliverables may not be subcontracted without prior explicit written approval from the Commission/Agency.; The beneficiaries must inform the coordinator — which must immediately inform the Commission/Agency — of any changes in the security context and — if necessary — request for Annex 1 to be amended (see Article 55)*