SME instrument Phase 1

Administrative forms (Part A)
Research proposal (Part B)

Version 1.2
10 March 2014

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

History of changes

Version	Date	Change	Page
1.1	27.02.2014	▪ Information on Evaluation added - scoring of proposals as they were submitted, rather than on their potential if certain changes to be made (Part B)	1
1.2	10.03.2014	▪ Part A added	1

Horizon 2020

Call:

Topic:

Type of action:

Proposal number:

Proposal acronym:

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How to fill in the forms

The administrative forms must be filled in for each proposal using the templates available in the submission system. Some data fields in the administrative forms are pre-filled based on the previous steps in the submission wizard.

Proposal ID	*Acronym*	*Go to*

1 - General information

Topic

Type of action

Call identifier

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:
- *Your project and intended business concept highlight the technical and/or innovative achievements and future challenges.*
- *Describe the expected product/solutions and the commercial potential. Please highlight clearly the innovation content of the envisaged concept.*
- *Describe the potential users/customers and their needs and how these needs are met through the outcome of the project.*
- *Describe the feasibility assessment intended to be undertaken under Phase 1 and, where appropriate, your intentions regarding potential Phase 2 funding.*
- *Include in the description also the expected European/global dimension in terms of addressing European/global challenges and markets.*

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 third parties.

Do not include any confidential information.

Use plain typed text, avoiding formulae and other special characters.

For the European/international dimension of the action, it is common practice to submit proposals in English.
If the proposal is written in another language than English, please include an English version of this abstract in the "Technical Annex" section.

Remaining characters 2000

Has this proposal (or a very similar one) been submitted in the past 2 years in response to a call for proposals under the 7th Framework Programme, Horizon 2020 or any other EU programme(s)? ◉ Yes ○ No

Please give the proposal reference or contract number.	

Proposal ID	*Acronym*	*Go to*

Declarations

1) The coordinator or sole applicant declares to have the explicit consent of all applicants on their participation and on the content of this proposal.	☐
2) The information contained in this proposal is correct and complete.	☐
3) This proposal complies with ethical principles (including the highest standards of research integrity — as set out, for instance, in the European Code of Conduct for Research Integrity — and including, in particular, avoiding fabrication, falsification, plagiarism or other research misconduct).	☐

4) The coordinator or sole applicant confirms:

- to have carried out the self-check of the financial capacity of the organisation on https://ec.europa.eu/research/participants/portal4/desktop/en/organisations/lfv.html. 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	☐
- 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	☐
- as sole participant in the proposal is exempt from the financial capacity check.	☐

5) The coordinator or sole applicant 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	☐
- they have the financial and operational capacity to carry out the proposed action.	☐

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 and declared above. Where the proposal to be retained for EU funding, the coordinator and each beneficiary applicant will be required to present a formal declaration in this respect.

According to Article 131 of the Financial Regulation of 25 October 2012 on the financial rules applicable to the general budget of the Union (Official Journal L 298 of 26.10.2012, p. 1) and Article 145 of its Rules of Application (Official Journal L 362, 31.12.2012, p.1) applicants found guilty of misrepresentation may be subject to administrative and financial penalties under certain conditions.

Personal data protection

Your reply to the grant application will involve the recording and processing of personal data (such as your name, address and CV), which will be processed pursuant to Regulation (EC) No 45/2001 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. Unless indicated otherwise, your replies to the questions in this form and any personal data requested are required to assess your grant application in accordance with the specifications of the call for proposals and will be processed solely for that purpose. Details concerning the processing of your personal data are available on the privacy statement. Applicants may lodge a complaint about the processing of their personal data with the European Data Protection Supervisor at any time.

Your personal data may be registered in the Early Warning System (EWS) only or both in the EWS and Central Exclusion Database (CED) by the Accounting Officer of the Commission, should you be in one of the situations mentioned in:
-the Commission Decision 2008/969 of 16.12.2008 on the Early Warning System (for more information see the Privacy Statement), or
-the Commission Regulation 2008/1302 of 17.12.2008 on the Central Exclusion Database (for more information see the Privacy Statement) .

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 ..... no
Non-profit ..... no
International organisation ..... no
International organisation of European interest ... no
Secondary or Higher education establishment ..... no
Research organisation ..... no
Small and Medium-sized Enterprises (SMEs) ..... no

Legal person .....no

Nace code

Department(s) carrying out the proposed work

Department 1

Department name

Street *Please enter street name and number.*

☐ Same as organisation address

Town

Postcode

Country

Proposal ID	*Acronym*	*Go to*

Person in charge of the proposal

The name and e-mail of contact persons are read-only in the administrative form, only additional details can be edited here. To give access rights and basic contact details of contact persons, please go back to Step 4 of the submission wizard and save the changes.

Title | Sex ◯ Male ◯ Female

First name | Last name

E-Mail

Position in org. *Please indicate the position of the Contact Point above in the organisation.*

Department *Please indicate the department of the Contact Point above in the organisation.*

Street ☐ Same as organisation address

Town | Post code

Country

Website

Phone *+xxx xxxxxxxxx* | Phone 2 *+xxx xxxxxxxxx* | Fax *+xxx xxxxxxxxx*

3 - Budget for the proposal

	Estimated eligible* costs (per budget category)		EU contribution		
	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				
Consortium/Beneficiary	50.000	71.429	70%	50.000	50.000

4 - Ethics issues table

Please, take into account that the ethics issues in SME Instrument Phase 1 only relate to the feasibility study and not to a possible further innovation project (i.e. Phase 2)

1. HUMAN EMBRYOS/FOETUSES		Page
Does your research involve Human Embryonic Stem Cells (hESCs)?	Yes No	
Will they be directly derived from embryos within this project?	Yes No	
Are they previously established cells lines?	Yes No	
Does your research involve the use of human embryos?	Yes No	
Does your research involve the use of human foetal tissues / cells?	Yes No	
2. HUMANS		**Page**
Does your research involve human participants?	Yes No	
Are they volunteers for experiments in social or human sciences research?	Yes No	
Are they persons unable to give informed consent?	Yes No	
Are they vulnerable individuals or groups?	Yes No	
Are they children/minors?	Yes No	
Are they patients?	Yes No	
Are they healthy volunteers for medical studies?	Yes No	
Does your research involve physical interventions on the study participants?	Yes No	
Does it involve invasive techniques?	Yes No	
Does it involve collection of biological samples?	Yes No	
If your research involves processing of genetic information, please also complete the section "Protection of personal data" [Box 4].		

Proposal ID	*Acronym*	*Go to*

3. HUMAN CELLS / TISSUES		Page
Does your research involve human cells or tissues? If your research involves human embryos/foetuses, please also complete the section "Human Embryos/Foetuses" [Box 1].	◉ Yes ○ No	
Are they available commercially?	◉ Yes ○ No	
Are they obtained within this project?	◉ Yes ○ No	
Are they obtained within another project?	◉ Yes ○ No	
Are they deposited in a biobank?	◉ Yes ○ No	

4. PROTECTION OF PERSONAL DATA [ii]		Page
Does your research involve personal data collection and/or processing?	◉ Yes ○ No	
Does it involve the collection and/or processing of sensitive personal data (e.g.: health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)?	◉ Yes ○ No	
Does it involve processing of genetic information?	◉ Yes ○ No	
Does it involve tracking or observation of participants?	◉ Yes ○ No	
Does your research involve further processing of previously collected personal data (secondary use)?	◉ Yes ○ No	

5. ANIMALS [iii]		Page
Does your research involve animals?	◉ Yes ○ No	
Are they vertebrates?	◉ Yes ○ No	
Are they non-human primates?	◉ Yes ○ No	
Are they genetically modified? [iv] (directive - regulation)	◉ Yes ○ No	
Are they cloned farm animals?	◉ Yes ○ No	
Are they endangered species?	◉ Yes ○ No	

Please indicate the species involved(Max. number of characters 1000)

Proposal ID	*Acronym*	*Go to*

6. NON-EU COUNTRIES		Page
Does your research involve non-EU countries?	◉ Yes ○ No	
Countries:(Maximum number of characters allowed: 1000)		
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.)?	◉ Yes ○ No	
Do you plan to import any material - including personal data - from non-EU countries into the EU? If you consider importing data, please also complete the section "Protection of Personal Data" [Box 4].	◉ Yes ○ No	
Specify material and countries involved (Maximum number of characters allowed: 1000)		
Do you plan to export any material - including personal data -from the EU to non-EU countries? If you consider exporting data, please also complete the section "Protection of Personal Data" [Box 4].	◉ Yes ○ No	
Specify material and countries involved (Maximum number of characters allowed: 1000)		
If your research involves low and/or lower middle income countries, are benefits-sharing measures foreseen?	◉ Yes ○ No	
Could the situation in the country put the individuals taking part in the research at risk?	◉ Yes ○ No	

7. ENVIRONMENT PROTECTION vi Directive 2001/18/EC - vii Directive 2009/41/EC - viii Regulation EC No 1946/2003 - ix Directive 2008/56/EC x Council Directive 92/43/EEC -xi Council Directive 79/409/EEC - xii Council Regulation EC No 338/97		Page
Does your research involve the use of elements that may cause harm to the environment, to animals or plants?	◉ Yes ○ No	
Does your research deal with endangered fauna and/or flora and/or protected areas?	◉ Yes ○ No	
Does your research involve the use of elements that may cause harm to humans, including research staff?	◉ Yes ○ No	

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8. DUAL USE xiii		Page
Does your research have the potential for military applications?	(•) Yes ( ) No	
9. MISUSE		**Page**
Does your research have the potential for malevolent/criminal/terrorist abuse?	(•) Yes ( ) No	
10. OTHER ETHICS ISSUES		**Page**
Are there any other ethics issues that should be taken into consideration? Please specify	(•) Yes ( ) No	
Maximum number of characters 1000		

I confirm that I have taken into account all ethics issues described above and if any ethics issues apply, I have attached the required documents. [X]

3 - Call specific questions

Call specific declaration(s)

I declare on my honour that: Neither I nor any of the members of the consortium (if relevant) are involved in concurrent submission or implementation with another SME instrument Phase 1 or Phase 2 project. ☒

Excluded Reviewers

You can provide up to three names of persons that should not act as an evaluator in the evaluation of the proposal for potential competitive reasons.

First Name	
Last Name	
Institution	
Town	
Country	
Webpage	

Validation result

Section	Description
	The form has not yet been validated, click "Validate Form" to do so!

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.

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: 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.

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.

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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 ant 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)

- 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.

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 possible[1]. 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

Table 3.1 a: Work package description

Work Package Title	Feasibility Study

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)

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
If yes, describe and justify the tasks to be subcontracted	

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 Security[2]

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)*