

The EU Framework Programme for Research and Innovation

HORIZON 2020

H2020 Programme

Proposal template 2018-2020

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

SME instrument Phase 1

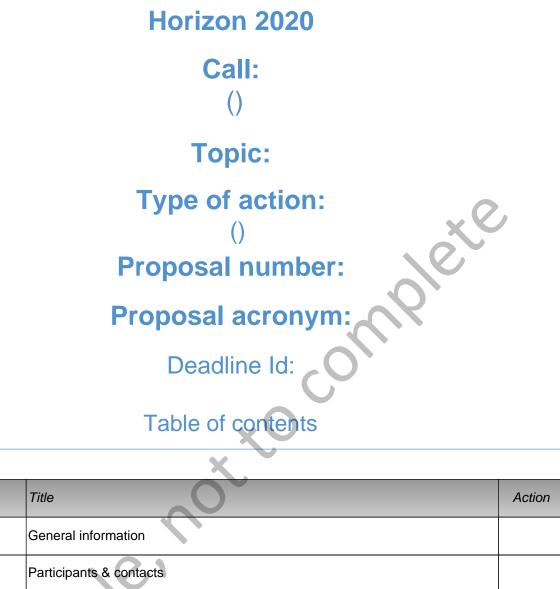
Version 3.4 30 October 2018

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.

		HISTORY OF CHANGES	
Version	Publication Date	Change	Page
1.0	11.12.2013	Initial version	
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	7
2.0	28.01.2016	 new links added to WP16-17 General Annexes 	2
		 sentence inserted in instruction page: "The page limit will be applied automatically, therefore you must remove this instruction page before submitting." + page numbers starting at cover page 	1
		 subtitles "Tables for section 3.n" added in the tables section 	6
		 explanations on third party parties and subcontracts have been added to section 4.1 	7
3.0	21.12.2016	Part A	
		 In ethics issues table: Sub-question on 'destruction of Human embryos' added (S1) Questions on 'Dual use' and 'Misuse' redrafted (S8, S10) 'Exclusive focus on civil applications' added (S9) 	9 11 11
		 SME-status updated calculation method: the system reads now the closing date of the accounts for the financial year on which the assessment of the SME status was based. The confirmation of the SME status applies for two years. 	
		Part B	
		 new instructions added 	cove
		 small correction in paragraph numbering "4.1" 	par.4
		 replacement of "malevolent use" by "misuse" 	par.5.
		 reference to ethics guidance on the Participant Portal 	par.5
		 removal of the security paragraph 5.2 since it is not applicable to this type of action 	par.5.
3.1	21.02.2017	 additional bullet point under expected impacts: addressing climate change or the environment, or bringing other important benefits to society 	par. 2.1.a
3.2	27.10.2017	 On 27/10 the revision of the WP is adopted. New template for the pilot on the European Innovation Council. 	
3.3	07.11.2017	 Small corrections of editorial nature 	
3.4	30.10.2018	 removal of the security paragraph 5.2 since it is not applicable to this type of action 	5.2

Please check our wiki for help on navigating the form.



3	Budget	
4	Ethics	
5	Call-specific questions	

How to fill in the forms

Section

1

2

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 steps in the submission wizard.

Proposal ID

Acronym Acronym is mandatory

1 - General information

Торіс	Type of Action
Call Identifier	Deadline Id
Acronym	Acronym is mandatory
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.
will evaluate the p possible. In order to ensure	words (main keyword 1 and sub-keyword 1) will have the heaviest weight in matching the expert-evaluators who roposal, therefore it is crucial to ensure this first set of keywords reflects the area of your proposal as accurately as your proposal is matched to evaluators with the best expertise, we highly recommend that you choose at least one one sub-keyword.
Main Keyword 1	
Sub Keyword 1	Word or words that best describe(s) the subject of your project.
	ended to select the highest number of relevant keywords that correspond to your proposal with a maximum of three d three sub-keywords. The main keyword can be repeated up to three times, but a different sub-keyword should be each time.
Main Keyword 2	
Sub Keyword 2	Word or words that best describe(s) the subject of your project.
Main Keyword 3	
Sub Keyword 3	Word or words that best describe(s) the subject of your project.

Free keywords

You may enter a number of keywords that you consider necessary to characterise the scope of your proposal. There is a limit of 200 characters.

Proposal Submission Forms

Proposal ID

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Abstract

Short summary (max. 2,000 characters, with spaces) to clearly explain: the objectives of the proposal how they will be achieved their relevance to the work programme. Will be used as the short description of the proposal in the evaluation process and in communications with the programme management committees and other interested parties. Do not include any confidential information. Use plain typed text, avoiding formulae and other special characters. If the proposal is written in a language other than English, please include an English version of this abstract in the "Technical Annex" section. 2000 Remaining characters Has this proposal (or a very similar one) been submitted in the past 2 years in response to a call for O Yes
No proposals under Horizon 2020 or any other EU programme(s)? Please give the proposal reference or contract number. Remove XXXXXX-X Etami

Proposal Submission Forms

Proposal ID

Acronym Acronym is mandatory

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/portal/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	0
- 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	0
- as sole participant in the proposal is exempt from the financial capacity check.	0

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 specifi	c 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

The assessment of your grant application will involve the collection and processing of personal data (such as your name, address and CV). which will be performed 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 purposes and means of the processing of your personal data as well as information on how to exercise your rights are available in 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 Detection and Exclusion system of the European Commission (EDES), the new system established by the Commission to reinforce the protection of the Union's financial interests and to ensure sound financial management, in accordance with the provisions of articles 105a and 108 of the revised EU Financial Regulation (FR) (Regulation (EU, EURATOM) 2015/1929 of the European Parliament and of the Council of 28 October 2015 amending Regulation (EU, EURATOM) No 966/2012) and articles 143 - 144 of the corresponding Rules of Application (RAP) (COMMISSION DELEGATED REGULATION (EU) 2015/2462 of 30 October 2015 amending Delegated Regulation (EU) No 1268/2012) for more information see the Privacy statement for the EDES Database.

Proposal Submission Forms		
Proposal ID	Acronym	Acronym is mandatory

2 - Participants & contacts

#	Participant Legal Name	Country	Action
1			

Example, not to complete

Proposal Submission	on Forms		
Proposal ID	Acronym	Acronym is mandatory	Short name
2 - Administrative	e data of pa	rticipating organ	isations
PIC Leg	gal name		
Short name:			
Address of the organisation	n		
Street			
Town			0.
Postcode			X
Country			
Webpage			0
Webpage			
Legal Status of your o	rganisation		
			C
		(γ
Research and Innovatio	on legal statuses	X	
Public body		unknown	gal personunknown
Non-profit		unknown	
International organisation		unknown	
International organisation of		Ind	dustry (private for profit)unknown
Secondary or Higher educat		unknown	
Research organisation		unknown	
Enterprise Data	N N		
	2		
SME self-declared status		unknown	
SME self-assessment		unknown	

SME validation sme..... unknown

Based on the above details of the Beneficiary Registry the organisation is not an SME (small- and medium-sized enterprise) for the call.

Proposal Subr	nission Forms
Proposal ID	Acronym Acronym is mandatory Short name
Department(s) ca	arrying out the proposed work
Department 1	
Department name	Name of the department/institute carrying out the work.
	Same as organisation address
Street	Please enter street name and number.
Town	Please enter the name of the town.
Postcode	Area code.
Country	Please select a country
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	7.0.
	- Aanolen notice

Proposal Submission Forms				
Proposal ID	Acronym	Acronym is mandatory	Short name	
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 OMale OFemale	
First name	Last name	
E-Mail		
Position in org.	Please indicate the position of the Contact Point above in the organisation.	
Department	Name of the department/institute carrying out the work.	
	Same as organisation address	
Street	Please enter street name and number.	
Town	Please enter the name of the town. Post code Area code.	
Country	Please select a country	
Website		
Phone	+xxx xxxxxxxx Phone 2 -xxx xxxxxxx Fax +xxx xxxxxxxx	
	Example	

Proposal ID

Acronym Acronym is mandatory

3 - Budget for the proposal

	Estimated eligible* cost	s (per budget category)		EU contribution	X
	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				\sim
Consortium/Beneficiary	50.000	71.429	70	50.000	50.000
		t-tan	se, no		

Proposal Submission Forms

Proposal ID

Acronym Acronym is mandatory

4 - Ethics

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	
Does your research involve the use of human embryos?	⊖Yes	No	
Does your research involve the use of human foetal tissues / cells?	⊖Yes	• No	0
2. HUMANS		0	Page
Does your research involve human participants?	⊖ Yes	ΘNo	
Does your research involve physical interventions on the study participants?	OYes	No	
3. HUMAN CELLS / TISSUES			Page
Does your research involve human cells or tissues (other than from Human Embryos/ Foetuses, i.e. section 1)?	⊖Yes	No	
4. PERSONAL DATA			Page
Does your research involve personal data collection and/or processing?	⊖Yes	No	
Does your research involve further processing of previously collected personal data (secondary use)?	⊖Yes	No	
5. ANIMALS			Page
Does your research involve animals?	⊖Yes	No	
6. THIRD COUNTRIES			Page
In case non-EU countries are involved, do the research related activities undertaken in these countries raise potential ethics issues?	⊖ Yes	No	
Do you plan to use local resources (e.g. animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna or flora samples, etc.)?	IL TES	⊙ No	
Do you plan to import any material - including personal data - from non-EU countries into the EU?	⊖Yes	● No	
Do you plan to export any material - including personal data - from the EU to non-EU countries?	⊖ Yes	No	
In case your research involves <u>low and/or lower middle income countries</u> , are any benefits-sharing actions planned?	⊖Yes	⊙ No	

Proposal Submission Forms			
Proposal ID Acronym Acronym is mandatory			
Could the situation in the country put the individuals taking part in the research at risk?	⊖Yes	⊙ No	
7. ENVIRONMENT & HEALTH and SAFETY			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	2
8. DUAL USE			Page
Does your research involve dual-use items in the sense of Regulation 428/2009, or other items for which an authorisation is required?	C Yes	⊙ No	
9. EXCLUSIVE FOCUS ON CIVIL APPLICATIONS			Page
Could your research raise concerns regarding the exclusive focus on civil applications?	⊖ Yes	⊙ No	
10. MISUSE			Page
Does your research have the potential for misuse of research results?	⊖ Yes	● No	
11. OTHER ETHICS ISSUES			Page
Are there any other ethics issues that should be taken into consideration? Please specify	⊖ Yes	No	

I confirm that I have taken into account all ethics issues described above and that, if any ethics issues apply, I will complete the ethics self-assessment and attach the required documents. $\hfill\square$

How to Complete your Ethics Self-Assessment

Proposal ID

Acronym Acronym is mandatory

5 - 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	
	ander

Validation result



The red 'Show Error' button indicates an error due to a missing or incorrect value related to the call eligibility criteria. The submission of the proposal will be blocked unless that specific field is corrected!

The yellow 'Show Warning' button indicates a warning due to a missing or incorrect value related to the call eligibility criteria. The submission of the proposal will not be blocked (proposal will be submitted with the missing or incorrect value).

Section

Description

Example, not to complete



Proposal template (Technical annex) SME instrument – phase 1 [Adapted for EIC]

Proposal must be based on an initial business plan and describe the activities to be undertaken that shall result in a comprehensive feasibility study.

Please follow the structure of the template when preparing your proposal. It has been designed to ensure that the important aspects of your innovation and planned work are presented in a way that will enable the experts to make an effective assessment against the award criteria.

If you upload a proposal longer than 10 pages (only sections 1-3, including cover page and executive summary) before the cut-off date, you will receive an automatic warning and will be advised to shorten and re-upload the proposal. After the call cut-off date, excess pages will be automatically made invisible and will not be taken into consideration. The proposal is a self-contained document.

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 respect the following formatting constraints:

- Times New Roman, Arial or similar, at least font size 11, page size A4, margins (2.0 cm side and 1.5 cm top and bottom), at least single line spacing.

Further guidance is available in the <u>Guidelines for Applicants</u>.

I. Cover Page

- Title of proposal
- Acronym of proposal
- List of participants
- Fill the table (use the same participant number as the one used in the administrative proposal forms)

Participant number	Organisation name	Country
(Coordinator)		

II. Executive Summary (1-page maximum)

III. Content

1. Excellence

• Challenge and solution

- Describe the identified customer pain point. What is the business need, technological challenge or market opportunity?
- What is your innovation?
- What is the market's state-of-the-art? How would your innovation compare with available solutions, practices or products (e.g. performance, costs, ease-of-use, gender dimension¹, climate change or environmental aspects, benefits to society)?
- Approach
 - What is unique in your approach, compared to those of other companies?
 - Why now? Explain the historical evolution of your category and define recent trends that make your solution possible.
 - What is the current development stage of your innovation? (e.g. prototype, early field trials, pilot studies)?
 - What do you plan to achieve in the feasibility study? Explain the methodology distinguishing the activities to assess the technological/technical/practical feasibility and economic viability of your innovation.
 - What are the further stages and activities needed to commercialize your innovation?

¹ How your innovation takes into account the needs and interests of women and men users and/or customers. For examples of how gendered innovations can improve products and increase market share please refer to <u>http://ec.europa.eu/research/swafs/gendered-innovations/index_en.cfm?pg=home</u>

2. Impact

• Entering the market

- Who are the targeted users and/or customers and why will they want to buy your product/service (unique selling point)? Are they new or already part of your user/customer base? What is your relation with them (e.g. market survey, testing/feedback, letters of intent)?
- What is the market in terms of type (e.g. niche/high volume, new/mature, growth rate), size (e.g. volume, value, geographical scope) and growth? What is your envisaged market share?
- Who are your main direct and indirect competitors? (Competitors, substitutes and alternatives).
- Which are the barriers to entry? How do you intend to overcome them?

• Business model

- How does this innovation fit with your company's overall business strategy?
- Describe your value chain (suppliers and customers). Identify which of these or other stakeholders should be involved to ensure successful commercial exploitation. Define the nature of your current relation with them.
- What will be your business model, including the revenue model? How do you plan to commercialize?
- Why is your model scalable? How do you intend to scale-up and reach European and/or global markets?

• Financing

- What is the company's ownership and capital structure?
- What is the expected growth potential of your solution in terms of turnover, profit and jobs?
- Indicate the estimated funding requirements to reach the commercialization stage of your innovation. What are your plans to ensure the subsequent financing of your innovation (applying for a SME phase 2 grant, next rounds, top-up financing, etc.)?

• Intellectual Property Right (IPR) and legal framework

- Describe the legal and regulatory requirements to be fulfilled for the exploitation of your innovation and whether it is incorporated in or compliant with standards relevant to the technology.
- What are your IPR assets? Describe the key knowledge items and who owns them and who else may have rights to use them; patents (applied/granted) or other ways of protection.

- What is your strategy for knowledge management and protection?
- What are your measures to ensure commercial exploitation ('freedom to operate')?

3. Implementation

o Team

- Describe your team and their achievements and experience in relation to the approach you will be taking.
- Describe the roles of the team within your project. What is the role of the company's owner(s)? What are the main strengths and weaknesses of the team?
- If your project is to be implemented by a consortium, describe how the partners complement each other.

• Work plan – Work package and deliverable

- Present a detailed project plan comprising: (see table 3.a)
 - i. one work package: feasibility study
 - ii. one deliverable: feasibility report including a business plan

• **Resources**

▲ Include the following budget table; no modification is possible². The description of work (feasibility study) in table 3.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

² 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.a:Work package description

Work package title Fo	Feasibility Study

Objectives

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

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	,e,			
643				

Deliverable:

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

4. Company (or, if applicable: members of the consortium)

1 This section is not covered by the page limit.

Please provide for each participant, the following:

- 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 activities;
- a brief description of relevant products, services (including widely used datasets or software) or other achievements (which may also include previous projects or activities connected to the subject of the proposal);
- a description of significant infrastructure and/or any major items of technical equipment relevant to the proposed work;
- a description of any third parties that are not represented as project partners but who will nonetheless be contributing towards the work, for example by providing facilities or computing resources.

Do you plan to subcontract any tasks?	Y/N
If yes, describe and justify the tasks to be subcontracted	
c tange	

¹ For the definition of operational capacity as selection criterion for the SME instrument, please, refer to the corresponding section of the <u>EIC work programme</u>.

5. Ethics and security

This section is not covered by the page limit.

5.1 Ethics

A For more guidance, see the <u>document "How to complete your ethics self-assessment"</u>.

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.