European Commission

Example of administrative forms and template for the technical annex for proposals for SME instrument Phase 2

Version 1.0
11 December 2013

Research and Innovation

Disclaimer

Template for

administrative proposal forms (part A)

not yet available – coming soon

Proposal template
(technical annex)

SME instrument – phase 2

Note: This is for information only. The definitive template for your call will be available in the submission system, which you can then use when writing your proposal.

Proposals shall be based on a feasibility assessment and contain an elaborated business plan, either developed through SME instrument phase 1 support of other means.

Proposals should contain a specification for the outcome of the project, including a first commercialisation plan, and criteria for success.

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:** For full proposals, the cover page, and sections 1, 2 and 3, together should not be longer than 30 pages. All tables in these sections must be included within this limit. The minimum font size allowed is 11 points. The page size is A4, and all margins (top, bottom, left, right) should be at least 15 mm (not including any footers or headers).

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

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

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

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.***

1.1 Objectives

- Describe the specific objectives for the project, 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);
- Explain the industrial/economic/social problem to overcome, or the business opportunity to be taken advantage of, that has not yet been solved / offered and can be solved / offered through your innovation business project and how this relates to the work programme topic;
- Explain also how your solution solves the stated problem or avails of the business opportunity;
- Describe the objectives and expected outcome of your innovation business project.

1.2 Relation to the work programme

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

1.3 Concept and approach

- Explain the current stage of development of the business innovation project and the key milestones that have led to it (e.g. proof of concept completed, early field trials under way), or similar indications of results. The description shall refer to the results obtained in the feasibility analysis carried out in Phase 1, or through other means, in case of direct application to Phase 2;
- 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 and explain the concept and the approach/activities that you will implement during this project (e.g. demonstration, testing, prototyping, pilot lines, scale-up studies, miniaturisation, design, performance verification, market replication encouraging the involvement of end users and potential clients, research etc.);
- Explain how the concept and objectives for the project fit into the overall plan to reach the market;
- Describe how your project intends to develop something new to Europe that addresses EU-wide 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*

1.3 Ambition

- Explain the novelty of your innovation business project;
- Describe the expected key market application(s) extracted from the results already achieved, that differentiates your project and provides the highest added value for potential customers;
- Describe the expected performance/impact on defined needs, when in use, including improvement potential over time, regarding costs, environmental benefits, ease-of-use and any other relevant benefit and/or added value for end users and/or potential clients compared to alternatives solving the same or similar problems. Main advantages of your solution with respect to competing solutions.

2. Impact

2.1 Expected Impacts

a) Users / Market

- Explain 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? What are the market trends? Describe if and how your project addresses European and/or global markets;
- List main competitors and describe their competitive solutions;
- Describe the most relevant market segments for initial introduction of the new solution;
- Describe the most important market barriers to be overcome to realise the commercialization strategy;
- 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?

b) Company

- Describe the relevance, rationale and alignment of the innovation business project with regard to the business strategy of the participating SME(s);
- Indicate the growth potential of your solution (Turnover, market share, employment creation, sales, return on investment and profit);
- Explain if and how you will use the offered coaching services for SME instrument beneficiaries (of up to 12 days) to fully exploit the project result in your company based on the gaps and feasibility assessment developed under phase 1 or through other means;

- Indicate the estimated funding requirements to reach the commercialisation stage. Envisaged financial mix: percentage or relevance of own funds, SME instrument funding, other external funding.

2.2 Measures to maximise impact

a) Dissemination and exploitation of results

- Explain which stakeholders are key to get involved for making a successful commercial exploitation;
- Describe briefly, apart from the activities planned to be developed during phase 2, further steps needed to be taken before the results/ applications /products are fully ready for the market;
- Describe the strategy plan for commercialisation of your business innovation project, including own commercialisation means or/and cooperation(s) needed with key third parties. Approximate time to market/deployment. Provide a draft plan for commercialisation. Add further measures for dissemination and exploitation as appropriate.

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

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 ('freedom to operate');
- Outline the strategy for knowledge management and protection as well as current IPstatus;
- 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;
- **Where relevant** include information on how the participants will manage the research data generated and/or collected during the project, in particular addressing the following issues:[1]
    - o What types of data will the project generate/collect?
    - o What standards will be used?
    - o How will this data be exploited and/or shared/made accessible for verification and re-use? If data cannot be made available, explain why.

[1] For further guidance on research data management, please refer to the H2020 Online Manual on the Participant Portal.

- How will this data be curated and preserved?

⚠ *You will need an appropriate consortium agreement to manage (amongst other things) the ownership and access to key knowledge (IPR, data etc.). Where relevant, these will allow you, collectively and individually, to pursue market opportunities arising from the project'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 project[2].

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

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

c) Communication

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

3. Implementation

3.1 Work plan – Work packages, deliverables and milestones

Please provide the following:

i) brief presentation of the overall structure of the work plan

ii) timing of the different work packages and their components (Gantt chart or similar)

iii) detailed work description i.e.

- a description of each work package (please use table 3.1a)

[2] Open access must be granted to all scientific publications resulting from Horizon 2020 actions. Further guidance on open access is available in the H2020 Online Manual on the Participant Portal.

- a list of work packages (table 3.1b);
- a list of major deliverables (table 3.1c);

iv) 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 project and the stages in which it is to be carried out. Include details of the resources to be allocated to each work package. The number of work packages should be proportionate to the scale and complexity of the project.*

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

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

⚠ *You will be required to include an updated (or confirmed) 'commercialisation plan' in both the periodic and final reports. This should include, where applicable, 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 project is taking part in the Pilot on Open Research Data[3], you must include a 'data management plan' as a distinct deliverable within the first 6 months of the project. 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 project in order to present the status of the project's reflections on data management.*

Definitions:

'Work package' means a major sub-division of the proposed project.

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

'Milestones' means control points in the project 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 project where, for example, the consortium must decide which of several technologies to adopt for further development.

[3] Certain actions under Horizon 2020 participate in the 'Pilot on Open Research Data in Horizon 2020'. All other actions can participate on a voluntary basis to this pilot. Further guidance is available in the H2020 Online Manual on the Participant Portal.

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

- 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 project;

- Describe, where relevant, how effective innovation management will be addressed in the management structure and project plan.

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

- Describe any critical risks, relating to project implementation, that the stated project objectives may not be achieved. Detail any risk mitigation measures. Please provide a table with critical risks identified and mitigating actions (table 3.2b).

3.3 Consortium as a whole (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

⚠ *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 personnel costs (according to the budget table in section 3 of the proposal administrative forms)

Table 3.1 a: Work package description

For each work package:

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

Objectives

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

Deliverables (brief description and month of delivery)

Table 3.1 b: List of work packages

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

Table 3.1 c: List of Deliverables

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

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

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

Type:
Use one of the following codes:
- R: Document, report (excluding project periodic or final report)
- 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 project start date (month 1)

Table 3.2 a: List of milestones

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

KEY

Estimated date
Measured in months from the project start date (month 1)

Means of verification
Show how you will confirm that the milestone has been attained. Refer to indicators if appropriate. For example: a laboratory prototype that is 'up and running'; software released and validated by a user group; field survey complete and data quality validated.

Table 3.2b: Critical risks for implementation

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

Table 3.4a: Summary of staff effort

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				
Participant Number/Short Name				
Participant Number/Short Name				
Total Person/Months				

Table 3.4 b: 'Other direct cost' items (travel, equipment, infrastructure, goods and services)

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		

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;
- a description of any third parties that are not represented as project partners, but who will nonetheless be contributing towards the work (e.g. providing facilities, computing resources)
- In case of a newly created company, explain the purpose of the company creation.

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	Y/N
If yes, describe and justify the tasks to be subcontracted respecting the principle of best value for money[4]	

[4] Best value for money does not necessarily mean the lowest price, but at least one of the following conditions must be met:

a) Subcontracting follows the usual business practices of the company meaning that there is a longstanding business relationship with a provider or subcontractor, i.e. at least 2 years for similar amounts or tasks to those that are going to be subcontracted. The participant shall include in the proposal:

- Description of the usual business practices to subcontract and
- identification of the subcontractor(s) and the relationship(s) with them.

b) Subcontracting ensuring best value for money. The participant shall include in the proposal:

- identification of the subcontractor(s) and explanation of the appropriateness of the subcontractor
- justification of the best value for money of the task that will be subcontracted.

c) In case the subcontractor is not identified in the proposal, the proposal has to define which procedure will be followed to ensure the best value for money for the tasks that will be subcontracted.

Does the participant envisage that part of its work is performed by linked third parties[5]	Y/N
If yes, 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	
Does the participant envisage the use of contributions in kind provided by third parties (Articles 10 and 11 of the Model Grant Agreement)	Y/N
If yes, describe the third party and their contributions	

[5] A third party that is an affiliated entity or has a legal link to a participant implying a collaboration not limited to the action. (Articles 14 of the Model Grant Agreement).

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[6]

Please indicate if your project will involve:

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

[6] 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)*