H2020 Programme

Proposal template 2018-2020

Project proposal (Part B)

SME instrument Phase 1

Version 3.3
7 November 2017

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 ▪ 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 ▪ subtitles "Tables for section 3.n" added in the tables section ▪ explanations on third party parties and subcontracts have been added to section 4.1	2 1 6 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) ▪ 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 ▪ small correction in paragraph numbering "4.1" ▪ replacement of "malevolent use" by "misuse" ▪ reference to ethics guidance on the Participant Portal ▪ removal of the security paragraph 5.2 since it is not applicable to this type of action	 9 11 11 cover par.4 par.5.1 par.5.1 par.5.2
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	

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 Guidelines for Applicants.

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 dimension[1], 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 http://ec.europa.eu/research/swafs/gendered-innovations/index_en.cfm?pg=home

Example, not to complete

2. Impact

o 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?

o 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?

o 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.)?

o 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.

Example, not to complete

- 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.

o 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

o Resources

⚠ *Include the following budget table; no modification is possible*[2]*. 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

Example - not to complete

[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	Feasibility Study

Objectives

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

Example, not to complete

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

4. Company (or, if applicable: 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[1]. Please make sure that you do not include information here that relates to the headings under sections 1 to 3. Experts will be instructed to ignore any information here which appears to have been included to circumvent page limits applying to those sections.*

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? *If yes, describe and justify the tasks to be subcontracted*	Y/N

Example, not to complete

[1] For the definition of operational capacity as selection criterion for the SME instrument, please, refer to the corresponding section of the EIC work programme.

5. Ethics and security

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

5.1 Ethics

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

If you have entered any ethics issues in the ethical issue table in the administrative proposal forms, you must submit an ethics self-assessment, which:

- Describes how the proposal meets the national legal and ethical requirements of the country / countries where the tasks raising ethical issues are to be carried out;
- Explains in detail how you intend to address the ethical issues table:
  - 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.);
  - Potential impact of the research (e.g. dual use issues, environmental damage, stigmatisation of particular social groups, political or financial retaliation, benefit-sharing, misuse, etc.);
  - Provide the documents that you need under national law (if you already have them) e.g.:
    - An ethics committee opinion;
    - The document notifying activities raising ethical issues or authorising such activities.

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

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

5.2 Security[2]

Please indicate if your action will involve:

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

Example, not to complete

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