



**The application can be done only in German.
This English translation is just for your information.
The translation is provided without liability.**

Application documents

for the EXIST Research Transfer funding programme for research-intensive start-ups under the “EXIST – Business Start-ups in Science” programme of the Federal Ministry for Economic Affairs and Energy

Annex I.1 to the application for funding under the EXIST Research Transfer programme (phase I)

Project outline (suggested structure)

The project outline should describe the development or start-up project in detail. Based on the proof of principle established by the research team before the start of the project, the outline should describe the work done to prove technological feasibility of the product or process idea. The goal of the development process is to demonstrate proof of concept. The description should also detail the concept for commercialisation of the idea. Please also provide information on compliance with the ESF cross-cutting themes (“gender equality” and “non-discrimination” and “sustainable development”).

The project outline has a similar structure to the business plan and is a first draft. It serves as the basis for a more comprehensive business concept, which is to be developed during the first phase of funding. The project outline should be written in German and should not exceed a maximum of 25 pages. Additionally, an appendix with further relevant information is allowed, including e.g. letters of intent from potential customers and partners as well as max. of 3 pages of diagrams and measurement data of the proof of principle).

1. Executive Summary

2. Business idea

3. Team

- Owners of expertise, their qualification, competence and entrepreneurial experience
- Division of tasks
- An approach to close capability gaps
- Key supporters, network partners, cooperation partners
- Planned legal form of company and planned ownership structure
- Taking horizontal objectives of the ESF into account (“equality between men and women”, “non-discrimination” and “sustainable development”)

4. Innovation project

4.1. Background and current development status

- Background, relevant previous projects incl. previous application within the programme “EXIST transfer of research” (project number)
- Current status of development and the proof of principle

4.2. Innovation

- Level of innovation compared to the state of the art
- Similar or competing technologies

4.3. IP

- The current status of IP protection: list your own intellectual property rights including the publication number, legal status quo, the scope of granted or possible to grant IP rights (attach patents etc.)
- Concept for acquiring necessary intellectual property rights from the higher education institution or R&D institution
- Alternative strategy to protect the USP
- Freedom to operate assessment: existing IP rights of third parties that limit the freedom to operate

4.4. R&D concept

Please note: the detailed work plan is a separate document.

- Scientific and technical goals, explain the development concept for the first phase of funding and for the time afterwards until the product is launched.
- Define and describe measurable milestones for the whole development process
- Justify the project duration if you apply for funding of more than 18 months
- Proof of concept/ planned level of product development at the end of the funding period

5. Market and competition

5.1. Market situation

- Outline the target market
- Market potential, market segments, market growth
- Planned market share and sales potential

5.2. USP and customer benefits

- Customer problem and benefits
- USPs

5.3. Competitors

- Main competitors and competitive advantages

5.4. Market entry

- Target market segments and potential customers (if possible, add letters of intent)
- Possible market entry barriers (incl. certification requirements), sales and marketing activities
- Strategic partnerships for market entry and sales

6. Corporate planning

6.1. Business model incl. the planned price model

6.2. Financing concept (in years with explanations)

Please note: Provide a first estimation for the period of five years after incorporation, however at least until the break even point is reached.

- *Investment plan*
- *Profit and loss statement*
- *Liquidity plan*
- Estimated capital requirements and financing concept for the business

7. Corporate structure (legal form, organization chart etc)

Annex I.2 to the application for funding under the EXIST Research Transfer programme (phase I)

Work plan

Detailed description and timeline for the work packages and milestones within the project's first phase of funding and detailed description of the business plan for the start-up including the following information **for each work package**:

- goals and targets
- individual tasks (and the names of the team member(s) to whom they have been assigned)
- challenges to be resolved and risks associated with these
- plan as to how these are to be resolved
- financing requirements (material and human resources)

Further documents for the work plan:

- Bar chart showing milestones and work packages incl. responsible team member
- A table with an overview of milestones (no., title, short description, planned implementation time, definition of a proof of concept)

The work plan should comprise 5-10 pages.

Annex I.3 to the application for funding under the EXIST Research Transfer programme (phase I)

Information on start-up team members and their qualifications

Fill in form for each person; attach the signed document to the application

Personal information			
Form of address (Mr/Ms)		Title	
First name		Family name	
Date of birth		Nationality <i>(if applicable attach a copy of a residence/work permit)</i>	
Private address			
House number and street		Additional address information	
Town/city		Postcode	
Contact details			
Phone		Email	

Address at the higher education institution or research institute			
Institute/chair			
House number and street		Additional address information	
Town/city		Postcode	

Information on qualifications (incl. current or planned studies)			
<i>(please attach copy of most recent qualification)</i>			
<i>Institution</i>	<i>Course of study</i>	<i>Date of graduation</i>	<i>Academic degree</i>

Employment after university studies or vocational training			
No	Employer	Employed from	Employed until
1			
2			
3			
4			

Current business activities and business stakes				
No	Business name / reg. no.	Business purpose	Role (e.g. CEO)	Percentage stake
1				
2				
3				

- I have no stakes in any company
 I am not a member of a management board of any company

Description of professional career

Please describe your motivation, education, previous academic work, professional activities etc. (including the duration, work-related tasks, research topic etc.) on approx. 1 page. Please explain the importance of your knowledge and practical skills (including project management) for making the EXIST Research Transfer project you applied for a success.

Please also explain why self-employment is a professional option for you.

Place, Date

Signature

Annex I.4 to the application for funding under the EXIST Research Transfer programme (phase I)

Declaration by the mentor

To be filled in and signed by your research mentor.

Personal information			
Institution/chair			
Position			
Form of address (Mr/Ms)		Title	
First name		Family name	
Address			
Address line 1		Address line 2	
Town/city		Postcode	
Contact information			
Phone		Email	

I hereby declare that in case the project entitled

(add short title)

is funded under the EXIST Research Transfer programme,

- I will support the technical side of the project,
- I will provide information on the progress and support of the start-up project upon request by the Federal Ministry for Economic Affairs and Energy or the project management.

Place, Date

Signature

Annex I.5 to the application for funding under the EXIST Research Transfer programme (phase I)

Declaration by the start-up network of the higher education institution or research institute

To be filled in and signed by the start-up network.

In the opinion of the start-up network, the start-up project entitled (*short title*) is eligible to receive EXIST Research Transfer funding. **The founders were coached by the entrepreneurial network before the application.**

In case that the project is funded under the EXIST Research Transfer programme, the start-up network pledges

- to support the start-up team in all start-up matters;
- to support the start-up team in searching for a qualified coach/start-up adviser;
- to help the start-up team write the business plan and track progress together;
- to support the start-up team in negotiations concerning the usage of IP rights;
- after 12 months of funding, to give an extensive feedback to the start-up team on the progress of the business plan – especially on the sections business model, customer benefit, USPs, market and competitive environment;
- to provide information on intermediate results, incl. their short evaluation and a pitch deck;
- to pre-evaluate the business plan and to send both documents (business plan and the pre-evaluation) to the project management not later than 6 months before the project ends;
- to provide information on the development and support of the start-up project upon request.

Information on the start-up network of the higher education institution or research institute in accordance with the requirements provided under section 3.1 [beneficiaries] of the directive on the funding of research-intensive start-ups (EXIST Research Transfer)

is attached to this declaration.

has already been provided.

Start-up network			
Name			
Address line1		Address line 2	
Town/city		Postcode	
Authorized person			
Form of address (Mr/Ms)		Title	
First name		Family name	
Phone		Email	

Place, Date

Name and signature

Annex I.6 to the application for funding under the EXIST Research Transfer programme (phase I)

Annex II.4 to the application for funding under the EXIST Research Transfer programme (phase II)

Declaration that the applicant has taken notice of the legal provisions related to subsidies

The grant I am applying for constitutes a subsidy within the meaning of Section 264 of the German Criminal Code.

The facts listed in the following are considered as relevant within the meaning of Section 264 of the German Criminal Code (“Subsidy Fraud”):

1. Applicant’s name, implementing body, legal form, beneficiary, information with regard to the right to deduct VAT from invoices¹ *data that relates to the research institution*
2. Information about the project leader(s), the administrative contacts, the authorised signatory to the AZA (plan detailing the work, working time, and expenses); / the AZK (plan detailing the work, working time, and the costs) *personal data*
3. The information provided in the outline of the project furnished within the AZA / AZK *project data* and the annexes (overall objective of the project, scientific and technical goals and targets of the projects, preparatory work conducted in the context of the innovation project, objective with regard to commercial exploitation)
4. Declaration by the applicant(s) that the project has not yet started and does not receive any other form of public-sector funding or financing; declaration must specify whether the research institution/higher-education institute is part of the for-profit or the non-for-profit activities of the research institute/higher-education institute within the AZA / AZK *Declarations*
5. Annex providing personal information about the entrepreneurs, including details about their qualifications
(applies only to phase I - annex I.3 of the application for funding under the EXIST Research Funding programme)
6. Information as to how the applicant’s own contribution is being financed
(if applicable)
7. All of the information provided in the interim documentation, as proof of use (including the relevant annexes), and in all the interim and final reports.

The relevant excerpts from the German Criminal Code (*Section 264 “Subsidy Fraud”*) and from the Subsidies Act (*Section 3 Requirement of disclosure of information for recipients of subsidies*) are available for download from the EXIST website (www.exist.de).

I am / We are aware that subsidy fraud is punishable under criminal law (Section 264 of the German Criminal Code). I am / We are aware of my / our obligation under Section 3 of the Subsidies Act to inform the project-management body of any changes to the information provided above without delay.

Applicant (*Higher-education institution / research institute / company*)

Place and date of signing

Name and legally-binding signature

This declaration must be submitted to the project-management agency along with the AZA/AZK, which must be duly signed and is legally binding.

¹ Relevant only for projects conducted under the AZK scheme (Helmholtz / Fraunhofer)