



**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 II.1 to the application for funding under the EXIST Research Transfer programme (phase II)

Business plan (recommended structure)

The business plan should provide a thorough outline of the concept upon which the start-up is based. It should set out the strategy and the goals and targets that the company has set itself and provide detailed information, particularly regarding the financial/business side of the venture (financing, manufacturing, sales, etc.). This means that, compared to the project outline required as part of the application for phase-I funding, the business plan must provide more information and go into greater detail.

- 1 Summary**
- 2 Business model**
- 3 Product/service**
 - Benefit to consumers
 - State-of-play in the development
 - Manufacturing / production
- 4 Sector and market**
 - Sector and overall market analysis
 - Market segments and end customers
 - Competition
- 5 Marketing**
 - Underlying marketing strategy
 - Sales concept
 - Sales promotion
- 6 Management and key individuals**
- 7 Knowledge management / technical edge**
- 8 Opportunities and risks**
- 9 Financial planning and funding**
 - Liquidity planning
 - Simulated profit-and-loss account
 - Simulated balance sheet

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

Report detailing the outcomes of phase I

(Results can be presented in the form of bullet points, but these should provide all the information that is relevant)

Beneficiary:

Grant number:

Title of the project:

Duration:

Reporting period:

The report should provide concise information on the following:

1. All the outcomes/results of a scientific or technical nature and all other significant results Where development goals have been modified, reasons must be specified as to why these adjustments were made Please give a brief outline of the state of the company’s development in terms of its business.
2. Please compare the current state of the project to the original work plan, time line, and spending plan (or, if changes have been approved by the funding body, to the adjusted versions). What is the state-of-play regarding proof of technical feasibility?
3. What state of development can realistically be achieved by the end of phase I – particularly with regard to proof of technical feasibility?
4. Please provide information as to the extent to which the “ESF cross-cutting themes” (“gender equality”, “non-discrimination”, and “sustainable development” have been met.

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

Outline of the project and work plan for phase II

(Results can be presented in the form of bullet points, but these should provide all the information that is relevant)

Beneficiary:

Grant number:

Title of the project:

Duration:

Reporting period:

1. List of all development tasks that are to be resolved during the funding period – including any tasks for which funding has not been provided under the programme is to be used.

2. Detailed work plan for all the tasks that are to be resolved using funding provided under the programme.
 - Description of all the work packages, providing the following information:
 - 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)
The need of human resources is to be calculated and specified in terms of “productive hours” as indicated in the AZK, (the plan detailing the work, working time, and the costs).

 - Bar chart showing milestones and work packages

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 you are 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 invoices *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.