

## **ANNEX to decision ECSEL GB 2017.80**

### **ECSEL JOINT UNDERTAKING**



## **ANNUAL WORK PLAN and BUDGET 2017 (amendment 1)**

In accordance with the Statutes of the ECSEL JU annexed to the Council Regulation (EU) No 516/2014, and with Article 31 of the Financial Rules ECSEL GB 2016.67

The annual work plan will be made publicly available after its adoption by the Governing Board.

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# 1. INTRODUCTION

The scope of the work plan is mainly to inform potential beneficiaries in a transparent manner about the Joint Undertakings intentions to support and fund actions in their specific field of research, in accordance with the legal provisions, in particular:

- COUNCIL REGULATION (EU) No 561/2014 of 6 May 2014 establishing the ECSEL Joint Undertaking (in the following, the ECSEL Regulation)
- REGULATION (EU, EURATOM) No 966/2012 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002, *Article 128*
- REGULATION (EU) No 1290/2013 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" and repealing Regulation (EC) No 1906/2006 *Article 2*
- Commission Delegated Regulation (EU) No 110/2014 of 30 September 2013 on the model financial regulation for public-private partnership bodies referred to in Article 209 of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council *Article 31*
- Financial rules of the Joint Undertaking, Decision ECSEL GB 2016.67.
- The ECSEL Multiannual Strategic Plan (MASP) 2017, Decision ECSEL GB 2016.70.
- The Multiannual Strategic Research and Innovation Agenda (MASRIA) 2017 issued by the Private Members Board
- The Research and Innovation Annual Plan (RIAP) 2017 issued by the Private Members Board.

The “Electronics Components and Systems for European Leadership” Joint Undertaking (ECSEL JU) has the mission to contribute towards keeping Europe at the forefront of the technology development addressing capabilities of essential systemic and strategic importance for each citizen, company and nation in the contemporary world and even more in the future world. The information and communication technology and its applications run on this fabric: no industrial product, no entertainment, no defence system is conceivable today without extensive usage of electronic components and systems (ECS), and the trend will become stronger in the future. The ever-increasing capabilities of the electronic component and systems create cyber-physical systems with unprecedented capabilities, enabling the internet of things, the internet of services, and the incorporation of ICT in all industrial branches: the very essence of the contemporary revolution also described as “Industry 4.0”.

The ECSEL JU has the statutory task to “draw up and implement the work plans for executing the multiannual strategic plan”. Specifically, the Executive Director shall “prepare and submit for adoption to the Governing Board the draft work plan including the scope of the calls for proposals needed to implement the research and innovation activities plan as proposed by the Private Members Board and the corresponding expenditure estimates as proposed by the public authorities”. The work plan shall include the specific reimbursement rates by the Union and by each ECSEL Participating State; the financial commitments reserved for each call for proposals as communicated by the public authorities to the Executive Director; the research and innovation activities plan, the administrative activities and the corresponding expenditure estimates. The work plan shall be adopted by the Governing Board (GB) by the end of the year prior to its implementation and shall be made publicly available. Once the Work Plan is adopted:

- The Public Authorities Board (PAB) shall approve the launch of calls for proposals, in accordance with the work plan,
- The Executive Director shall manage the calls for proposals as provided for in the work plan,

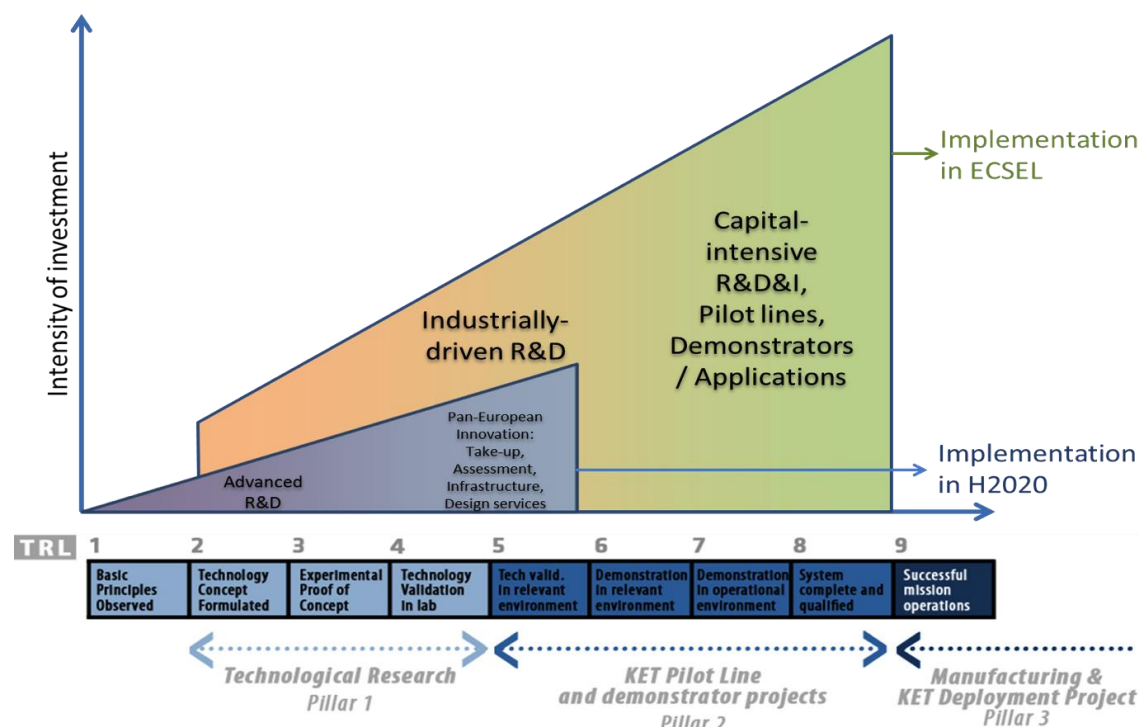
- The Executive Director shall describe in the annual activity report the progress made by the ECSEL Joint Undertaking in relation to the annual work plan for that year.

This work plan is written using a template provided by the Commission services in charge of Horizon 2020 so that it can be consolidated with the related activities throughout the European Union.

## 2. MULTI-ANNUAL PROGRAMMING

### A. Multi-annual objectives

The Commission proposal for a European strategy in electronic components and systems has been laid out in 2013<sup>1</sup>



The strategy includes a Joint Technology Initiative implemented as ECSEL JU that “will mainly support capital-intensive actions such as pilot lines or large scale demonstrators at higher Technology Readiness Level up to level 8 as shown above.... Within the new JTI the Commission will furthermore explore how to simplify and accelerate state aid approvals including through a Project of Common European Interest according to Article 107.3(b) of TFEU.”

The objectives of the ECSEL JU are listed in the Article 2 of its basic act, paraphrased here:

- 1) To contribute to the implementation of Horizon 2020, and to LEADERSHIP IN ENABLING AND INDUSTRIAL TECHNOLOGIES (LEIT).
- 2) To contribute to the development of a strong and competitive Electronic Components and Systems (ECS) industry in the Union.
- 3) To ensure the availability of ECS for key markets and for addressing societal challenges, aiming at keeping Europe at the forefront of the technology development, bridging the gap between research and exploitation, strengthening innovation capabilities and creating economic and employment growth in the Union.
- 4) To align strategies with Member States to attract private investment and contribute to the effectiveness of public support by avoiding unnecessary duplication and fragmentation of efforts, and easing participation for actors involved in research and innovation.

<sup>1</sup>

COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS. A EUROPEAN STRATEGY FOR MICRO- AND NANOELECTRONIC COMPONENTS AND SYSTEMS, Brussels, 23.5.2013, COM(2013) 298

- 5) To maintain and grow semiconductor and smart system manufacturing capability in Europe, including leadership in manufacturing equipment and materials processing.
- 6) To secure and strengthen a commanding position in design and systems engineering including embedded technologies.
- 7) To provide access for all stakeholders to a world-class infrastructure for the design and manufacture of electronic components and embedded/cyber-physical and smart systems.
- 8) To build a dynamic ecosystem involving Small and Medium-Sized Enterprises (SMEs), thereby strengthening existing clusters and nurturing the creation of new clusters in promising new areas.

## **B. Multi-annual programme**

The Executive Director (ED) has the statutory task to “consolidate and submit for adoption to the Governing Board the draft Multi-Annual Strategic Plan (MASP) composed of the Multi-Annual Strategic Research and Innovation Agenda (MASRIA) as proposed by the Private Members Board and the multiannual financial perspectives from the public authorities”.

The Private Members Board (PMB) submitted their draft MASRIA to the ED’s representative on 25<sup>th</sup> October 2016 (with an addendum on 27<sup>th</sup> October). The Multi-Annual Strategic Plan 2017 (MASP2017) has been adopted by the Governing Board in November 2016.<sup>2</sup> The present Work Plan 2017 is based on this document. A Research and Innovation Action Plan (RIAP) was then submitted by the PMB regarding the topics selection for 2017.

The MASP includes five key application areas (Smart mobility, Smart society, Smart energy, Smart health, Smart production) and five essential capabilities (Semiconductor manufacturing, technology, equipment and materials; Design technology; Cyber-physical systems; Smart system integration; Safety and Security (new as from 2017)) as defined in the MASRIA, providing detailed descriptions of the sub-domains objectives, activities and roadmaps.

The MASP 2017 provides the generic frame for the content of the Calls. The actions to be performed in 2017 have been selected by the Executive Director considering the RIAP as provided by the Private Members. The details are presented in the Chapter 3 of this document.

## **C. Human and financial resource outlook**

ECSEL has no multi annual resource outlook except for the establishment plan going until 2018 mentioned in Chapter 8.B.

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<sup>2</sup>

Decision ECSEL GB 2016.70



### 3. ANNUAL WORK PLAN 2017

#### A. Executive Summary

The Annual work plan 2017 foresees the following activities:

##### Operations:

- **In 2017, ECSEL will launch Calls for proposals following its normal call cycle:**
  - ECSEL Call 2017-1 for Innovation Actions (IA),
  - ECSEL Call 2017-2 for Research and Innovation Actions (RIA).
- **A total budget of 160M € is foreseen for these calls.** This budget is to be supported from the 2017 and 2018 budgets. The EU contribution is based on the budget foreseen for JTI in the general Union budget. The total EU contribution for the 2017 ECSEL calls is 160 M€, of which:
  - 128.586.740 € represents revenues from the 2017 general Union budget, and
  - 31.413.260 € represents estimated revenues from 2018 estimated general Union budget. The amount of 31.413.260 € deriving from the 2018 estimated general Union budget is subject to its adoption by the budgetary authority and may be updated accordingly
- Other activities include: the Grant Agreement signature and start of the projects selected for Call 2016, the monitoring of the ECSEL projects selected in the calls 2014 and 2015 and the management of the legacy projects launched under ENIAC and ARTEMIS.
- A new activity for 2017 consists in various supporting activities to the selected Lighthouse Initiatives: organization and logistics of meetings, writing of documents, etc.

##### Communication:

Noting that the work of the Communications Working Group set up by the Governing Board is still ongoing, the communications activities of ECSEL JU in 2017 will continue in essentially the same modes as in 2016, with the following key features:

#### **1. Events.**

- a. A number of major events will be organised to assure stronger branding of the ECSEL JU, complementing the events of the other Members of the JU. A strategy that assures high attention to the positive impact of ECSEL at all levels will be pursued.
- b. Specific support will be provided for the emerging Lighthouse initiatives through specific events and (digital) publications.
- c. The cooperation with ECSEL Participating States and their regions will be enhanced by information / brokerage events at national / regional level.

#### **2. Dissemination Support**

- a. Provide support to the ECSEL projects in their dissemination activities (project posters and flyers, events, publications).
- b. Implement Coordinators' Info day.

### **3. Public Communications**

- a. Focus on regularity and interesting content for the “ECSELeRate” newsflashes.
- b. Continued attention to press releases, to be issued timely at key points in the annual calendar.
- c. Website: further evolution to implement necessary improvements in the visual aspects and content of the site. A new Content Management System (CMS) will be acquired, to assure long-term support of the JU.

#### Administration and Finance:

The budget is established in accordance with the provisions of the Council Regulation (EC) No 561/2014 of 06 May 2014 setting up the ECSEL Joint Undertaking.

The budget includes the description of human and financial resources deployed by the ECSEL JU for the implementation of its programmes and plans in 2017 as well as estimates for 2018. The budget execution is a key performance indicator assuring the progress towards the ECSEL JU objectives.

Budget commitments which form the basis for the new legal obligations of the ECSEL JU will continue increasing in 2017:

- 177 337 720 € in 2017: + 5 % year to year
- 180 200 000 € in 2018: + 2 % year to year.

Budget payments which are dedicated for the main part to payments of participants in the selected running projects and for the minor part to the running costs (including the payments of experts involved in the reviews and evaluations) will continue to increase in 2017 and 2018, with respect of the follow up of certificates received from the Participating States for the legacy, and in accordance with the rules under H 2020 for the new programme.

- 287 710 000 € in 2017: + 18 % year to year
- 235 200 000 € in 2018: - 18 % year to year

The part of the running costs in the total budget will be as follows:

- with regard to commitments: 2.9 % in 2017 and 2.9 % in 2018.
- with regard to payments: 1.8 % in 2017, and 2.2 % in 2018.

Should there be a need not yet identified, the Governing Board will be invited to enter the necessary adaptations for the appropriations.

## B. Operations

### 1. Calls for proposals

In 2017 ECSEL will launch two calls.

The EU contribution is based on the budget foreseen for JTIs in the general Union budget. The total EU contribution for the 2017 ECSEL calls is 160 M€, of which 128 586 740 € represents revenues from the 2017 general Union budget and 31 413 260 € represents estimated revenues from 2018 estimated general Union budget. The amount of 31 413 260 € deriving from the 2018 estimated general Union budget is subject to its adoption by the budgetary authority and may be updated accordingly.

Hereafter a short overview is given, details on the calls can be found in the annexes 1 to 5.

|   | Topics                 | Estimated EU expenditure | Estimated public expenditure (EU + national)                          |
|---|------------------------|--------------------------|---|
| <b>ECSEL Call 2017-1: Innovation Actions</b>              | All topics of the MASP | <b>92.5 M€</b>           | <b>185 M€</b><br>(total costs: 560 M€; in-kind contributions: 375 M€) |
| <b>ECSEL Call 2017-2: Research and Innovation Actions</b> | All topics of the MASP | <b>67.5 M€</b>           | <b>135 M€</b><br>(total costs: 270 M€; in-kind contribution: 135 M€)  |
| <b>Total Estimated EU funding</b>                         |                        | <b>160 M€</b>            |   |

The two calls will be executed in parallel and have two phases: a Project Outline (PO) and a Full Project Proposal (FPP) phase.

- The launch of the calls is foreseen for 22 February 2017,
- The PO phase will close on 11 May 2017,
- The deadline for the FPP phase is 21 September 2017.

Selection and award criteria are provided in the Annexes 2 and 3, in particular per call the eligibility criteria, evaluation criteria, weightings, thresholds and EU reimbursement rates. The aim is to reinforce industrial competitiveness and to foster partnerships between stakeholders across the ECSEL value chain from components to systems and embedded software and to re-enforce user-supplier interactions. The aim is also to support industry-academia cooperation including SMEs. The ECSEL Programme will contribute to achieving the targets for SME participation in H2020.

Both calls envisage implementation of lighthouse initiatives. Motivation, objectives and expected results for the lighthouse initiatives are given in Annex 1.

## **2. Dissemination and information of projects**

### ***a. Legacy projects (ARTEMIS and ENIAC)***

For the monitoring of the legacy projects from ARTEMIS and ENIAC, 20 reviews are planned, that will require 40 expert appointments. Dissemination activities will be supported via the appropriate channels enabled by the Associations

### ***b. ECSEL projects***

For the monitoring of the legacy projects from ECSEL projects selected in previous calls, 25 reviews are planned, that will require 50 expert appointments. Project dissemination will be encouraged and facilitated, through direct help to projects in developing attractive project documentation (posters, project descriptions...) and active support at appropriate community and JU events.

## **4. Call management rules**

The Calls are managed according to the PAB Decision ECSEL PAB 2016.23 (Annex 7). General Annexes of the Horizon 2020 apply; those are included as Annex X.A to X.F. Any specificity for ECSEL JU is highlighted in those annexes.

The relevant parts A to L of the General Annexes to the Horizon 2020 Work Programme 2016 – 2017 shall apply *mutatis mutandis* for the actions covered by this Work Plan. These General Annexes are included in Annex 4. Any specificity for ECSEL JU is highlighted in those annexes.

Topics and the categories of actions are described in the MASP2017 (ECSEL GB 2016.70); RIA and IA essentially differ by the Technology Readiness Level (TRL) they focus on and therefore by the reimbursement rates.

Specific eligibility and evaluation criteria are described in Annexes 2 and 3.

Applicants may submit proposals referring to cost items contributing towards the milestones and deliverables of an action that are independently funded by other European sources.

***Provided that the Commission Decision authorizing the use of unit costs is adopted, beneficiaries other than those who comply with conditions listed in ECSEL Model Grant Agreement and can declare capitalized and operating costs for large research infrastructure may declare the eligible costs related to operating clean rooms on the basis of unit costs established in line with a methodology set up in a Commission Decision.***

## 5. Support to Operations

### A. Communication and events

The following table summarises the key elements of the Communications Strategy for the ECSEL JU, and gives an indicative guide to the allocation of resources to each target audience.

| Target audience                                     | Objective  | Actions  | Aprox. Resource (% of total) |
|---|--|--|------------------------------|
| 1 - Internal Communication (*)                      | To define clear targets known and embraced by the whole staff in executing the operational activities and in ensuring compliance with rules and regulations  | Monthly operation reviews  | 0%                           |
|   | To generate personal motivation and commitment in task execution   | One team building event  |                              |
|   | To ensure involvement in measuring progress towards the targets  | Monthly internal meeting with all staff  |                              |
|   | To establish an interactive continuous improvement process to evolve procedures  | Review based on staff improvement suggestions, exceptions and (external) process adaptation.   |                              |
| 2 - Communication to ECSEL JU Bodies (GB, PAB, PMB) | Key Performance Indicators measuring progress towards strategic goals  | Annual activity report   | 10%                          |
|   |  | Executive Director updates at meetings   |                              |
|   | Establish an atmosphere of trust and collaboration, crisp roles definition   | Organise a Public Authorities Day and a Coordinators Day   |                              |
|   |  | Presentations at national regional or Commission events  |                              |
|   |  | Regular consultation with representatives of each body   |                              |
| 3 - Communication to EU Bodies                      | Comply with H2020 rules of participation and dissemination   | Data collection and input in the H2020 system  | 30%                          |
|   | Satisfy the obligations, especially the Annual Activity Report and the financing reporting   | Report generation and publication as per Statutes and Financial Rules  |                              |
|   |  | Translation and publications in the Official Journal   |                              |
|   | Provide information required by the Court of Auditors  | Data collection and sending  |                              |
|   | Keep the Union Bodies sensitized to the strategic importance of nano electronics, smart systems, embedded and cyber physical systems to the issues facing the industry and to the possible lines of action | Organization and participation in events organized by European initiatives and organizations (The JTI/JUs joint initiatives and coordinated events in the European Parliament) |                              |

|   |  |   |             |
|---|--|---|-------------|
| <b>4 - Communication to community: R&amp;D actors</b> | Ensure clarity of procedures, technical reporting, financial mechanisms                  | Generate the content of the Call for Proposal including the Multi Annual Strategic Plan, the Work Plan and all related documents    | <b>30%</b>  |
|   |  | Contribute to the H2020 call publication and dissemination instruments  |             |
|   | Prepare R&D&I topics for the future calls  | Assure collection and publication of relevant data on projects selected for funding   |             |
|   |  | Contribute to brokerage events and consortium building events   |             |
|   | Assure results dissemination   | Assure the public exposure of the main results obtained in the projects supported through the programme (events, publications, ...) |             |
|   |  | Execute a yearly communication day for the Project Coordinators and other groups, as appropriate and needed                         |             |
| <b>5 - Communication to the public at large</b>       | Establish ECSEL Joint Undertaking corporate identity                                     | Publications, interviews, participation in public events  | <b>30%</b>  |
|   |  | Participate in actions and provide sponsorship to enhance international visibility on the whole European ECS value chain.           |             |
|   |  | Provide support/sponsorship for yearly events of the Private Members activities along the full value chain.                         |             |
|   | Maintain and enhance the Internet presence of ECSEL Joint Undertaking                    | Establish and maintain the web site   |             |
|   | Ensure presence in public media reflecting achievements and sparking further investments | Prepare at least 2 press releases per year  |             |
|   |  | Organize a yearly ECSEL event   |             |
|   |  | Execute publications, participate in public events  |             |
| <b>TOTAL</b>  |  |   | <b>100%</b> |

\* The Working Group (WG) for Communications of the Governing Board has already indicated that Internal Communications are to be regarded as part of the general management of the Office but it is noted here for completeness. The reference descriptions in the above table will in future be updated to reflect the further outcome of the WG's recommendations. However, it is expected that the major audiences identified will remain unchanged.

In 2017 the following activities are planned:

### **ECSEL JU Events 2017:**

#### **A. MAJOR “ECSEL JU” branded events for communication and dissemination**

1. A specific ECSEL JU Call Forum Event, estimated timing: March 2017, content: information day about participation in the ECSEL Calls for 2017 and all related application aspects. This will be coupled with a special information session /training for coordinators of running ECSEL JU projects.
2. ECSEL JU Stakeholders’ Forum. (tbc) This event will be organised by ECSEL JU on behalf of the Private Members Board (PMB).
3. ECSEL JU Symposium, estimated timing: June, together with the EU presidency by Malta, the main annual ECSEL JU event, embracing all ECSEL communities and the full ECS value chain, including an project exhibition (with ARTEMIS, ENIAC, ECSEL projects), estimated audience: up to 300 people and targeting regional, national and European policy makers, close cooperation with the ECSEL JU members and around 2 main activities:
  - **Presentation and exhibition of projects**, including guided tours for policymaker and press, panel discussions around specific technical themes.
  - **Opinion-building and foresight looking symposium** with ECS policy-makers’ and industry/RTO representatives towards road-mapping.

#### **B. ECSEL JU events on specific topics**

1. ECSEL JU “Lighthouse” Launch event and info day, specifically branded as an “Innovation enabler” event.
2. Coordinator’s Day (see also ECSEL JU Call Forum above)
3. PAB / NFA workshop to clarify administrative arrangements.
4. SME Engagement Event (in collaboration with National / Regional authorities and/or local ECSEL mirror-organisations such as ECSEL-AT, ECSEL-DE...).

#### **C. Specific events for communication with Institutions (Parliament, Council)**

1. Under evaluation, a common event with the other JUs in view of the mid-term programme review.
2. Breakfast Sessions with MEPs / Cabinets of important Working Groups.
3. Presence and active participation in working-group meetings of the various committees: (non exhaustive) EESC, Round Tables of EC Commissioners, political working-groups, EC Agencies Forum, ...

#### **D. Support to Community-building and road-mapping facilitation**

1. Support, through Service Level Agreements and/or “Sponsoring”, of events organised by Members Industrial Associations.
2. Support by direct participation in relevant events organised by the European Commission.
3. Support by direct participation to events set up by National and/or Regional authorities to promote ECSEL participation in their area.

### **PUBLICATIONS**

#### **Flyers/Brochures:**

ECSEL JU will publish informative brochures / flyers on relevant topics for general promotion of the programme. Specific instruments of this type which are relevant for participants in the programme will be developed. These instruments shall be foreseen for primarily digital

distribution, but shall also be printable as needed. Other promotional materials (“Merchandising”) will be prepared, as supporting tools for the Events.

ECSEL JU will also provide assistance to the projects in achieving the levels of active dissemination required by the Dissemination and Exploitation Strategy of H2020 by providing for preparation of basic materials such as an exhibition poster and project summary information, professionally edited and produced to assure clear and concise communication to a broad public.

In 2016, an impact study was executed on the existing programme so far. This provides the ECSEL JU with a useful tool for promotion of its activities, and effort will be carried through into 2017 and beyond to assure full visibility of the impact of the programmes results.

#### **“ECSELeRate” newsflashes:**

ECSEL JU will revive a regular “newsflash”, though this will depend on the news value of activities in the ECSEL JU community context. To be further supported through Social Media – e.g. the ECSEL Twitter and LinkedIn channels.

#### **Website:**

ECSEL JU will fully rework its public website (outsourced to an external contractor through Procurement procedure in 2016) to assure easy access to information in a modern and attractive graphic design that reflects the subject matter and goals of the ECSEL JU programme.

#### **Social Media**

ECSEL JU will maintain and expand the use of a Twitter account and a LinkedIn page.

#### **Press releases**

In addition to press releases independently published by members, ECSEL JU can foresee approximately 4 press releases, distributed by the JU using its own means, covering, but not limited to, the following key events:

- ECSEL JU Call 2017 launch.
- Event relevant for the constituents and JU Members.
- Key events relevant for the Institutions.
- Outcome of the ECSEL JU Calls 2017 (funding decisions).

#### **Service-Level Agreements (SLAs)**

Effective Dissemination and Communication requires specialist resources, many of which are already available within Members of the ECSEL JU. Therefore, execution of parts of the ECSEL JU Communications and Events and related actions may be implemented by means of Service Level Agreements (SLA) with relevant member organisations, though bearing in mind that clear, individual branding of ECSEL JU must be and remain a priority.

## **B. Procurement and contracts**

Procurement and contracts are managed in accordance with the provisions of the Financial Rules adopted by the Governing Board of ECSEL and updated in 2016 ([Decision GB 2016.67](#)).



## C. IT and logistics

At present, 6 Joint Undertakings are sharing the housing location in the building “White Atrium”, Brussels Belgium: Clean Sky, FCH, IMI, BBI, S2R, and ECSEL.

The arrangements for the facilities are subject to a common contract for the office space and also for the IT management of equipment, maintenance and help desk.

The 6 Joint Undertakings have jointly developed a common IT work programme and a common IT Security Policy. They also developed joint Business Continuity and Disaster Recovery Plans (BCP+DRP). The common IT programme includes a roadmap and a timeline, in order to be able to cope with business needs and required updates of networks and equipment. It also includes the criteria and definition for IT services which are outsourced.

Costs are then shared in accordance with a repartition key based on space occupied and staff on duty: the part of ECSEL at the end of 2016 is of 15.7%.

In accordance with the principles of economy, efficiency and effectiveness, ECSEL as well as the other JUs are also using tools and applications developed by the Commission, namely for finance (ABAC and SAP) and for grant management under H2020 (SYGMA and COMPASS).

## D. JU Executive Team – HR matters

The number of staff employed by the ECSEL JU in 2017 will be in total of 30 statutory staff.

These limited human resources are to be considered as a challenge for the ECSEL JU, which is in charge of the management of 2 programmes at the same time (FP7 and H2020) and running with different rules. Should the need be identified, the ECSEL JU may decide to call for temporary interim solutions and may also invite trainees to participate.

Details on the positions can be found under Chapter 8 below.

## E. Administrative Budget and Finance

The overall budget of the ECSEL JU will increase in 2017, and a new increase is foreseen in 2018. This increase is to be seen as the immediate consequence of the success of the programme in the first calls launched in 2014, 2015 and 2016 by the ECSEL JU.

In terms of commitment appropriations, the budget increase is of + 5 % in 2017 and + 2% in 2018. With regard to the payment appropriations, the increase is of +18 % in 2017 and -18 % for year 2018. The important increase of payment appropriations in 2017 is in fact the direct consequence of the combination of 2 different factors:

- The implementation of “big” projects (in terms of financial impact) initiated in the second part of FP 7
- The new rules in place for financial management under Horizon 2020.

Funding sources for the budget of ECSEL are at present limited to;

- The EU budget for the operational costs (grants) and a part of the running costs,
- The Private Members for the remaining part of the running costs.

The part of the running costs is kept at a very low level (3% and below), which is to be considered as an indicator for efficiency.

Details on revenue and expenditure can be found under Chapter 8 below.

## **F. Data protection and conflicts of interest**

Regulation 45/2001 on the protection of individuals with regard to the processing of personal data by the Community is applicable to ECSEL JU. In accordance with this Regulation, the Executive Director has appointed the legal officer of the JU as data protection officer in August 2016 as well as implemented rules concerning the data protection officer.

Data protection is dealt with at several levels: setting up of a register of data operations processed by the JU, interactions with the European Data Protection Supervisor notably the notifications of data processing that require a prior notification, drafting of privacy policies to ensure that data protection rules are complied with, both for data concerning staff and other data processed by the JU.

The Governing Board has adopted comprehensive rules on the prevention and management of conflicts of interest in June 2015 (ECSEL GB 2015.41). It addresses all actors involved in the Joint Undertaking activities, such as the staff, PAB and GB members, experts involved in projects reviews and evaluations, participants in procurement and recruitment committees.

## 6. Governance

Governance of the Joint Undertaking includes the following bodies:

- The **Governing Board** has overall responsibility for the strategic orientation and the operations of the ECSEL Joint Undertaking and supervises the implementation of its activities. Its Chairperson is Mr. Andrea Cuomo.
- The **Executive Director** is the chief executive responsible for the day-to-day management of the ECSEL Joint Undertaking in accordance with the decisions of the Governing Board. Mr. Bert De Colvenaer is the Executive Director of ECSEL JU since January 2016.
- The **Public Authorities Board** is competent for matters related to calls for proposals and allocation of public funding. Its Chairperson is Mr. Ben Ruck.
- The **Private Members Board** is responsible for drawing up the draft multiannual strategic research and innovation agenda and the draft research and innovation activities plan. It consists of the three industry associations, AENEAS, ARTEMISIA and EPoSS. Its Chairperson is Mrs. Laila Gide.

## 7. Internal Control framework

### A. Financial procedures

#### 1. Legacy projects (ARTEMIS and ENIAC)

The financial procedures of ENIAC and AREMIS projects have been harmonized. Despite the intrinsic similitudes, some adjustments in the internal procedures (check-lists, work-flows, etc.) were implemented taking into account the best practices of both programmes. The essential of the process remains the same with the payments based on certificates provided by the Participating States in both cases.

#### 2. ECSEL projects

The financial procedure for projects under H2020 depends on the H2020 IT tools developed by the European Commission. These IT tools have the control of the full cycle including the work-flow, check-lists, etc.

### B. Ex-ante and ex-post controls

The internal control processes and methods have been subject, from the first days of existence of the ECSEL JU, to a decision of the Governing Board (ECSEL GB 2014.15 of 03 July 2014) adopting the internal control standards for efficient management. The ECSEL JU is reporting on a bi annual basis on progress made on its implementation.

With regard to financial matters, ex-ante and ex-post controls are organised in accordance with the Financial Rules of the ECSEL JU ([Decision ECSEL GB 2016.67](#), in particular its articles 18 and 19).

#### 1. Legacy projects (ARTEMIS and ENIAC)

The ECSEL JU continues to operate under the stipulations previously defined under FP7 for the former organisations ARTEMIS and ENIAC. The procedures have been updated to ensure a high level of quality, in close cooperation with the national funding authorities issuing certificates for payments.

#### 2. ECSEL projects

The current developments for the electronic management of calls and selected projects shall be complemented in cooperation with the Common Support Service of the Commission, in charge of the applications, and in due consideration of the specificities of the tripartite model of the ECSEL JU.

### C. Audits

Audits are organised both on an internal and an external basis:

**C1 Internal audits** are operated by the internal auditor of the JU (the competent service of the Commission) and by the staff member appointed by the Governing Board for performing the internal audit capability, in accordance with the provisions of Chapter 5 of the [Financial rules of the ECSEL JU](#).

**C2 External audits** are operated by the European Court of Auditors, reporting to the European Parliament and the Council, responsible for the discharge procedure.

**C3 Ex-post audits of beneficiaries** are also operated by or on behalf of the ECSEL JU, with methods which are adapted to the specificities of the programmes:

### **1. Legacy projects (ARTEMIS and ENIAC)**

In accordance with the financial rules applying to the projects previously managed by the ARTEMIS and ENIAC JUs, the National Authorities of the Participating States are entrusted with the ex-post audit of the beneficiaries. The role of the JU is, in accordance with the ex-post audit strategy defined under FP7, to assess the means and outputs of the audits operated by the National Funding Authorities.

### **2. ECSEL projects**

Under the regime of H2020, the ECSEL JU has defined the needs and methods for the ex-post audits, in close cooperation with the Common Support Centre of the European Commission, in view of a coordinated approach of audits of beneficiaries. A common audit plan for all EU services involved in the programme H2020 will be implemented by the CSC of the Commission, acting on behalf of the ECSEL JU. The first audits of the CSC on behalf of the ECSEL JU will be launched in 2017.

## 8. BUDGET YEAR 2017

### A. Budget information

#### 1. Revenue

In accordance with the provisions of the legal framework applicable to the ECSEL JU, there are 2 main contributors to the budget of the JU:

- The EU budget with a decision of the European Parliament and Council upon proposal of the Commission. This contribution is intended to fund projects (operational costs) and a part of the running costs.
- The Industry represented by the Private Members (for the time being AENEAS, ARTEMIS-IA and EPOSS) contributing to a part of the running costs in accordance with the JU statutes.

Until now, none of the ECSEL Participating States have opted in favor of entrusting the ECSEL JU with the management of their financial contribution as foreseen in the provisions of Article 17.1 of the Statutes of the ECSEL JU.

#### I. Budget Revenue (authorised/proposed/estimate) 1.1 Appropriations for Commitments (p.m.)

| €  | 2015                       | 2016 (a)                   | 2017 (p)                      | Δ %          | 2018 (e)                   | Δ %        |
|--|----------------------------|----------------------------|-------------------------------|--------------|----------------------------|------------|
| -Revenue EU Budget (*)<br>(incl.for running costs) | 104 664 814<br>(2 210 000) | 159 414 391<br>(2 106 952) | 174 143 725(*)<br>(2 006 005) | +9<br>-5     | 177 010 000<br>(2 010 000) | 2<br>0     |
| -Revenue Industry<br>(incl.for running costs)      | 2 990 000<br>(2 990 000)   | 3 093 048<br>(3 093 048)   | 2 455 998<br>(2 455 998)      | -21<br>(-21) | 2 690 000<br>(2 690 000)   | +9<br>(+9) |
| -Other contributions(**)                           | p.m.                       | 6.844.365,32               | 737 997                       |              | 500 000                    | -          |
| -Revenue generated by ECSEL                        | p.m.                       | p.m.                       | p.m.                          |              | p.m.                       | -          |
| -Budget result 2016 (if>0)                         | p.m.                       | p.m.                       | p.m.                          |              | p.m.                       | -          |
| <b>Total Revenues</b>                              | 107 654 814                | 169 351 804,32             | 177 337 720                   | +5           | 180 200 000                | +2         |

(\*) The EU contribution (including EFTA contribution est.at 2.44%) is based on the budget for the ECSEL JU in the general Union Budget.

(\*\*) Unused appropriations from the previous budget exercises (Art.6.5 of the ECSEL Financial Rules).

1.2 Appropriations for Payments

| €  | 2015                       | 2016 (a)                   | 2017 (p)                   | Δ %          | 2018 (e)                   | Δ %        |
|--|----------------------------|----------------------------|----------------------------|--------------|----------------------------|------------|
| -Revenue EU Budget<br>(incl.for running costs) | 163 710 000<br>(2 210 000) | 240 976 082<br>(2 106 952) | 284 516 005<br>(2 006 005) | +18<br>(-5)  | 232 010 000<br>(2 010 000) | -18<br>0   |
| -Revenue Industry<br>(incl.for running costs)  | 2 990 000<br>(2 990 000)   | 3 093 048<br>(3 093 048)   | 2 455 998<br>(2 455 998)   | -21<br>(-21) | 2 690 000<br>(2 690 000)   | +9<br>(+9) |
| -Other contributions (**)                      | p.m.                       | p.m.                       | 737 997                    |              | 500 000                    |            |
| -Revenue generated by ECSEL                    | p.m.                       | p.m.                       | p.m.                       |              | p.m.                       | -          |
| -Budget result 2016 (if<0)                     | p.m.                       | p.m.                       | p.m.                       |              | p.m.                       | -          |
| <b>Total Revenues</b>                          | <b>166 700 000</b>         | <b>244 069 130</b>         | <b>287 710 000</b>         | <b>+18</b>   | <b>235 200 000</b>         | <b>-18</b> |

(\*\*) Unused appropriations from the previous budget exercises (Art.6.5 of the ECSEL Financial Rules).

2. ExpenditureII. Budget expenditure (authorized/proposed/estimated)2.1 Appropriations for Commitment

| €   | 2015(a)            | 2016 (a)              | 2017 (p)           | Δ%        | 2018 (e)           | Δ%        |
|---|--------------------|-----------------------|--------------------|-----------|--------------------|-----------|
| Title1:Staff                                | 3 200 000          | 3 100 000             | 3 200 000          | +3        | 3 200 000          | 0         |
| Title2: Buildings-Equipment<br>and Services | 2 000 000          | 2 100 000             | 2 000 000          | -5        | 2 000 000          | 0         |
| <b>Title 1 + 2 : Running costs</b>          | <b>5 200 000</b>   | <b>5 200 000</b>      | <b>5 200 000</b>   | <b>0</b>  | <b>5 200 000</b>   | <b>0</b>  |
| Title 3 : Operations = projects             | 102 454 814        | 164 151 804,32        | 172 137 720        | +5        | 175 000 000        | +2        |
| <b>Titles 1 + 2 + 3: Total budget</b>       | <b>107 654 814</b> | <b>169 351 804,32</b> | <b>177 337 720</b> | <b>+5</b> | <b>180 200 000</b> | <b>+2</b> |

## 2.2 Appropriations for Payment

| €                                       | 2015 (a)    | 2016 (a)    | 2017 (p)    | Δ%  | 2018 (e)    | Δ%  |
|---|-------------|-------------|-------------|-----|-------------|-----|
| Title1:Staff                            | 3 200 000   | 3 100 000   | 3 200 000   | +3  | 3 200 000   | 0   |
| Title2:Buildings-Equipment and Services | 2 000 000   | 2 100 000   | 2 000 000   | -5  | 2 000 000   | 0   |
| <b>Title 1 + 2 : Running costs</b>      | 5 200 000   | 5 200 000   | 5 200 000   | 0   | 5 200 000   | 0   |
| Title 3 : Operations = projects         | 161 500 000 | 238 869 130 | 282 510 000 | +18 | 230 000 000 | -18 |
| <b>Titles 1 + 2 + 3: Total budget</b>   | 166 700 000 | 244 069 130 | 287 710 000 | +18 | 235 200 000 | -18 |



| EXPENDITURE   |                      |                     |                     |            |
|---|----------------------|---------------------|---------------------|------------|
|   | Executed Budget 2015 | Budget 2016 amended | Budget 2017         |            |
| Commitments   |                      |                     | Budget Proposed     | VAR %      |
| <b>Title 1</b>  | <b>3.200.000,00</b>  | <b>3.100.000,00</b> | <b>3.200.000,00</b> | <b>3%</b>  |
| <b>Staff Expenditure</b>                              |                      |                     |                     |            |
| <b>11 Salaries &amp; allowances</b>                   | 3.000.000,00         | 2.885.000,00        | 2.980.000,00        | 3%         |
| - of which establishment plan posts                   | 2.460.000,00         | 2.760.000,00        | 2.460.000,00        | -11%       |
| - of which external personnel                         | 540.000,00           | 125.000,00          | 520.000,00          | 316%       |
| <b>12 Expenditure relating to Staff recruitment</b>   | 30.000,00            | 35.000,00           | 30.000,00           | -14%       |
| <b>13 Mission expenses</b>                            | 135.000,00           | 140.000,00          | 150.000,00          | 7%         |
| <b>14 Socio-medical infrastructure &amp; training</b> | 35.000,00            | 40.000,00           | 40.000,00           | 0%         |
| <b>Title 2</b>  | <b>1.980.000,00</b>  | <b>2.100.000,00</b> | <b>2.000.000,00</b> | <b>-5%</b> |
| <b>Infrastructure and operating expenditure</b>       |                      |                     |                     |            |
| <b>20 Rental of buildings and associated costs</b>    | 550.000,00           | 560.000,00          | 620.000,00          | 11%        |
| <b>21 Information and communication technology</b>    | 130.000,00           | 165.000,00          | 140.000,00          | -15%       |
| <b>22 Movable property and associated costs</b>       | 14.400,00            | 30.000,00           | 25.000,00           | -17%       |
| <b>23 Current administrative expenditure</b>          | 25.000,00            | 30.000,00           | 30.000,00           | 0%         |
| <b>24 Postage / Telecommunications</b>                | 15.000,00            | 40.000,00           | 30.000,00           | -25%       |
| <b>26 R&amp;D support (evaluations and reviews)</b>   | 686.600,00           | 700.000,00          | 580.000,00          | -17%       |
| <b>27 Innovation</b>                                  | 20.000,00            | 40.000,00           | 35.000,00           | -13%       |
| <b>28 Communication</b>                               | 450.000,00           | 450.000,00          | 440.000,00          | -2%        |
| <b>29 Audits</b>                                      | 89.000,00            | 85.000,00           | 100.000,00          | 18%        |

|                                   |                       |                       |                       |           |
|-----------------------------------|-----------------------|-----------------------|-----------------------|-----------|
|                                   |                       |                       |                       |           |
| <b>Title 3</b>                    | <b>102.454.814,00</b> | <b>164.151.804,32</b> | <b>172.137.720,00</b> | <b>5%</b> |
| <b>Operational expenditure</b>    |                       |                       |                       |           |
| <b>to be specified by chapter</b> |                       |                       |                       |           |
| <b>TOTAL EXPENDITURE</b>          | <b>107.634.814,00</b> | <b>169.351.804,32</b> | <b>177.337.720,00</b> | <b>5%</b> |

| EXPENDITURE   |                      |                     |                     |            |
|---|----------------------|---------------------|---------------------|------------|
|   | Executed Budget 2015 | Budget 2016 amended | Budget 2017         |            |
| Payments  |                      |                     | Budget Proposed     | VAR %      |
| <b>Title 1</b>  | <b>2.766.001,00</b>  | <b>3.100.000,00</b> | <b>3.200.000,00</b> | <b>3%</b>  |
| <b>Staff Expenditure</b>                              |                      |                     |                     |            |
| <b>11 Salaries &amp; allowances</b>                   | 2.559.637,00         | 2.885.000,00        | 2.980.000,00        | 3%         |
| <i>- of which establishment plan posts</i>            | 2.559.637,00         | 2.760.000,00        | 2.460.000,00        | -11%       |
| <i>- of which external personnel</i>                  |                      | 125.000,00          | 520.000,00          | 316%       |
| <b>12 Expenditure relating to Staff recruitment</b>   | 34.615,00            | 35.000,00           | 30.000,00           | -14%       |
| <b>13 Mission expenses</b>                            | 136.175,00           | 140.000,00          | 150.000,00          | 7%         |
| <b>14 Socio-medical infrastructure &amp; training</b> | 35.574,00            | 40.000,00           | 40.000,00           | 0%         |
| <b>Title 2</b>  | <b>1.881.633,00</b>  | <b>2.100.000,00</b> | <b>2.000.000,00</b> | <b>-5%</b> |
| <b>Infrastructure and operating expenditure</b>       |                      |                     |                     |            |
| <b>20 Rental of buildings and associated costs</b>    | 522.526,00           | 560.000,00          | 620.000,00          | 11%        |
| <b>21 Information and communication technology</b>    | 133.484,00           | 165.000,00          | 140.000,00          | -15%       |
| <b>22 Movable property and associated costs</b>       | 3.944,00             | 30.000,00           | 25.000,00           | -17%       |
| <b>23 Current administrative expenditure</b>          | 26.469,00            | 30.000,00           | 30.000,00           | 0%         |
| <b>24 Postage / Telecommunications</b>                | 10.812,00            | 40.000,00           | 30.000,00           | -25%       |

|   |                       |                       |                       |            |
|---|-----------------------|-----------------------|-----------------------|------------|
| <b>26 R&amp;D support<br/>(evaluations and reviews)</b> | 699.289,00            | 700.000,00            | 580.000,00            | -17%       |
| <b>27 Innovation</b>                                    |                       | 40.000,00             | 35.000,00             | -13%       |
| <b>28 Communication</b>                                 | 425.324,00            | 450.000,00            | 440.000,00            | -2%        |
| <b>29 Audits</b>  | 59.785,00             | 85.000,00             | 100.000,00            | 18%        |
| <b>Title 3<br/>Operational expenditure</b>              | <b>147.354.652,00</b> | <b>238.869.130,00</b> | <b>282.510.000,00</b> | <b>18%</b> |
| <b>to be specified by chapter</b>                       |                       |                       |                       |            |
| <b>TOTAL EXPENDITURE</b>                                | <b>152.002.286,00</b> | <b>244.069.130,00</b> | <b>287.710.000,00</b> | <b>18%</b> |

### **Details on the use of financial resources**

#### *4.2.1. Title 1*

##### Chapter 11 – Salaries and allowances

This appropriation is intended to cover the cost of remuneration of temporary and contractual staff in accordance with the Staff Regulations. Concerning the remuneration, detailed tables of staff costs per type of agent and per year have been established. This chapter also covers the costs of the employer's social security contributions in accordance with the applicable Staff Regulations.

##### Chapter 12 – Expenditure relating to staff recruitment

This appropriation is intended to cover the recruitment costs for new staff as well as expenditure foreseen in the relevant provisions of the Staff Regulations, e.g. installation allowances for staff changing residence after taking up duties or when they cease definitively their duties and settle elsewhere and the daily subsistence allowances due to staff able to prove that they were obliged to change their place of residence after taking up duties.

##### Chapter 13 – Missions expenditure

The missions' appropriation is intended to cover expenditure on transport, the payment of daily mission allowances and the ancillary or exceptional expenses incurred by the staff in the interest of the service in accordance with the Staff Regulations.

##### Chapter 14 – Socio-medical infrastructure

This appropriation is intended to cover the costs of the annual medical check-up of staff and associated analyses required, complementary health insurance and schooling allowances. Under this chapter are also covered costs for training of staff.

#### *4.2.2. Title 2*

##### Chapter 20 – Rental of buildings and associated costs

The JU is operating since 2011 in its final premises located in the White Atrium building, 60 avenue de la Toison d'Or in Brussels. This office location is shared with 5 other JUs in order to minimise maintenance costs and share a number of expenses, like security and safety of staff and installations, cleaning and maintenance. Common space shared by JUs in that location has been augmented from the end of year 2014 to offer more possibilities for meetings.

#### Chapter 21 – Information and communication technology

Further to new purchases and applications taking place in years 2011 and 2014, the costs will not increase in 2017 with mainly developments relating to the consolidation of tools for project management, with a view to secure and facilitate data exchange. This chapter also includes the helpdesk function which is externalised.

#### Chapter 22 – Movable Property

This chapter relates to purchase of furniture, office equipment and archiving facilities with the total costs gradually reduced.

#### Chapter 23 – Current Administrative expenditures

This chapter relates to legal costs, insurance and stationery, as well as financial costs (e.g. interest due in case of late payments).

#### Chapter 24 – Postage and Telecommunications

The costs for internet connexions and telecom equipment as needed (e.g. for replacement) are also included in this chapter.

#### Chapter 25 – Formal and other meetings

The chapter has been included to cover the issue of financing meetings which are taking place outside of the JU's premises, with the ECSEL JU secretariat having to support/share the costs.

#### Chapter 26 – R&D support

This chapter contains the costs related to the evaluation, selection and review of projects, including the costs incurred for evaluators and reviewers. It includes the costs of evaluation for the calls launched under H2020 and the costs of reviews of projects selected both under H2020 and FP7.

#### Chapter 27 – Innovation

In accordance with its mandate, the ECSEL JU will continue to promote SMEs contribution, to support scientific guidance and to liaise with regional activities and worldwide initiatives. This decision is the direct consequence of the entry into force of the H2020 programme.

#### Chapter 28 – Information and Communication

ECSEL JU is a PPP and in its actual configuration: 3 industry associations are involved in 3 different areas: Embedded Computing Systems, Nanoelectronics and Smart Systems Integration. Dissemination and communication actions are entrusted to the Industry Associations with three different forums and groups of interest.

Like in previous years, communication actions will be organised under five headings:

- Conferences, info days and workshops,
- Internal communication,

- Publication and acquisition of information (DB),
- Website developments and consolidation,
- General public relations (PR) and publicity.

Actions will be implemented in accordance with the communication plan and may be coordinated with Industry Associations members of ECSEL under a service level agreement to be revised each year.

#### Chapter 29 – Evaluation and Audits

This provision is for external and internal audits needs, legal assistance and other costs. It will cover actions initiated under FP7 as well as under H2020.

#### 4.2.3. Title 3

##### Chapter 31 – Selected projects

These are exclusively the costs related to Calls for proposals for R&D projects.

| Multiannual Cash Flow Forecast  |      |       |       |       |       |       |       |       |       |       | In Meur |
|---|------|-------|-------|-------|-------|-------|-------|-------|-------|-------|---------|
|   | RAL  | Y2015 | Y2016 | Y2017 | Y2018 | Y2019 | Y2020 | Y2021 | Y2022 | Y2023 | Totals  |
| FP7   | 470  | 90    | 113   | 160   | 85    | 22    |       |       |       |       | 470     |
| H2020   |      |       |       |       |       |       |       |       |       |       |         |
| <i>Pre-financing assumed 160% of first reporting period for call 2016</i> |      |       |       |       |       |       |       |       |       |       |         |
| Call 2014   | 155  | 55    | 50    | 50    |       |       |       |       |       |       | 155     |
| Call 2015   | 143  |       | 41,0  | 51,0  | 51,0  |       |       |       |       |       | 143     |
| Call 2016   | 150  |       |       | 65,0  | 42,5  | 42,5  |       |       |       |       | 150     |
| Call 2017   | 160  |       |       |       | 69,3  | 45,3  | 45,3  |       |       |       | 160     |
| Call 2018   | 170  |       |       |       |       | 73,7  | 48,2  | 48,2  |       |       | 170     |
| Call 2019   | 190  |       |       |       |       |       | 82,3  | 53,8  | 53,8  |       | 190     |
| Call 2020   | 200  |       |       |       |       |       |       | 86,7  | 56,7  | 56,7  | 200     |
| Total H2020   | 1168 | 55    | 91,0  | 166,0 | 162,8 | 161,5 | 175,8 | 188,7 | 110,5 | 56,7  | 1168    |
| Payments H2020+FP7  | 1638 | 145   | 204,0 | 326,0 | 247,8 | 183,5 | 175,8 | 188,7 | 110,5 | 56,7  | 1638    |

#### Chapter 32 – Overview on the Budget decisions relating to operations

| Budget Implement Operations (Mios €) | 2014  | 2015  | 2016  | 2017    | Sum 2014-2017 |
|--------------------------------------|-------|-------|-------|---------|---------------|
| EU Budget (OJ) (1)                   | 135,0 | 102,5 | 153,1 | 168,0   | 558,6         |
| EFTA Contribution (2)                | 3,6   | 2,5   | 4,1   | 4,1     | 14,3          |
| EU Budget (OJ)+EFTA (1+2)            | 138,6 | 105   | 157,2 | 172,1   | 572,9         |
| ECSEL Budgets *                      | 155,0 | 102,5 | 157,3 | 172,1   | 586,9         |
| ECSEL PAB calls **                   | 155   | 141,7 | 167,1 | (172,1) | 635,9         |

\* ECSEL budgets as approved by the Governing Board:

2014: GB 2014.08 and GB 2014.27

2015: GB 2014.24 and GB 2015.45

2016: GB 2015.54 and GB 2016.71

\*\* Decisions on selection of proposals and allocation of funding, as approved by the Public Authorities Board:

2014: PAB 2014.05 and 06, PAB 2015.10 and 11

2015: PAB 2015.15 and 16, and PAB 2016.18 and 19

2016: PAB 2016.24 and 25

## B. Staff Establishment Plan

Establishment plan (authorised/proposed/estimate)

| Staff nb         | 2016 (a) | 2017 (p) | Δ nb | 2018(e) | Δ nb |
|------------------|----------|----------|------|---------|------|
| Temporary agents | 14       | 14       | =    | 14      | =    |
| Contract agents  | 16       | 16       | =    | 16      | =    |
| Total staff      | 30       | 30       | =    | 30      | =    |

In addition to the statutory staff, one seconded national expert (SNE) is also member of the staff and this position is to be maintained.

### Human Resources

| Human Resources                  | 2016       | 2017     |
|----------------------------------|------------|----------|
|                                  | Authorised | Proposed |
| Establishment plan posts: AD     | 14         | 14       |
| Establishment plan posts: AST    |            |          |
| Establishment plan posts: AST/SC |            |          |
| Total AD+AST posts               | 14         | 14       |
| Contract Agents                  | 16         | 16       |
| Seconded National Experts        | 1          | 1        |
| Total staff                      | 31         | 31       |

**Establishment plan posts for temporary agents**

| Function group<br>and grade | 2016                              |                     | 2017            |                 |
|-----------------------------|-----------------------------------|---------------------|-----------------|-----------------|
|                             | Authorised under the<br>EU Budget |                     | Proposed Budget |                 |
|                             | Permanen<br>t Posts               | Temporar<br>y Posts | Permanent posts | Temporary Posts |
| AD 16                       |                                   |                     |                 |                 |
| AD 15                       |                                   |                     |                 |                 |
| AD 14                       |                                   | 1                   |                 | 1               |
| AD 13                       |                                   |                     |                 |                 |
| AD 12                       |                                   | 1                   |                 | 1               |
| AD 11                       |                                   | 3                   |                 | 3               |
| AD 10                       |                                   |                     |                 |                 |
| AD 9                        |                                   | 3                   |                 | 4               |
| AD 8                        |                                   | 6                   |                 | 5               |
| AD 7                        |                                   |                     |                 |                 |
| AD 6                        |                                   |                     |                 |                 |
| AD 5                        |                                   |                     |                 |                 |
| AD total                    |                                   | 14                  |                 | 14              |
| AST 11                      |                                   |                     |                 |                 |
| AST 10                      |                                   |                     |                 |                 |
| AST 9                       |                                   |                     |                 |                 |
| AST 8                       |                                   |                     |                 |                 |
| AST 7                       |                                   |                     |                 |                 |
| AST 6                       |                                   |                     |                 |                 |
| AST 5                       |                                   |                     |                 |                 |
| AST 4                       |                                   |                     |                 |                 |
| AST 3                       |                                   |                     |                 |                 |
| AST 2                       |                                   |                     |                 |                 |
| AST 1                       |                                   |                     |                 |                 |
| AST total                   |                                   |                     |                 |                 |
| AST/SC 6                    |                                   |                     |                 |                 |
| AST/SC 5                    |                                   |                     |                 |                 |
| AST/SC 4                    |                                   |                     |                 |                 |
| AST/SC 3                    |                                   |                     |                 |                 |
| AST/SC 2                    |                                   |                     |                 |                 |
| AST/SC 1                    |                                   |                     |                 |                 |
| AST/SC<br>total             |                                   | 0                   |                 | 0               |
| TOTAL                       |                                   | 14                  |                 | 14              |
| GRAND<br>TOTAL              | 14                                |                     | 14              |                 |

**Contract agents**

| Contract Agents    | Authorised 2016 | Proposed Budget 2017<br>(*) |
|--------------------|-----------------|-----------------------------|
| Function Group IV  | 4               | 4                           |
| Function Group III | 7               | 7                           |
| Function Group II  | 5               | 5                           |
| Function Group I   |                 |                             |
| <b>Total</b>       | <b>16</b>       | <b>16</b>                   |

(\*) Estimated full time equivalent units (FTE) on the basis of average costs

**Seconded national experts**

| Seconded National Experts | Authorised 2016 | Proposed Budget 2017<br>(*) |
|---------------------------|-----------------|-----------------------------|
| <b>Total</b>              | <b>1</b>        | <b>1</b>                    |

(\*) Estimated full time equivalent units (FTE) on the basis of average costs

The estimation of the cost of human resources is based on the actual staff costs at ECSEL JU. The budget appropriations covering staff expenditure for year 2016 are based on the estimate (average Full Time Equivalents on a yearly basis) of 14 temporary agents and 16 contract agents and 1 SNE. Remuneration and social costs are estimated in accordance with the EU staff regulations and rules applicable, including pension rights.

**\*\*\***



## 9. ANNEXES

### Annex 1: Lighthouse Initiative

- *Motivation*

Technology developments and deployment of electronic component and systems in the industry and society at large are transforming economic value creation, reshuffling value chains and disrupting business models. With the advent of smart connected objects, Internet of Things and big data, digital value chains are moving from layered structures to more integrated ecosystems and constellations with systematic blurring of boundaries between components, devices, software, products and services.

Today's industrial and innovation policies for Europe must take the above into account and ensure technology and industrial presence on all key parts of the digital supply and value chains. This is essential to ensure strong, dynamic and resilient growth in all economic sectors and the creation of jobs. Proximity is important for innovation and for the development of multi-disciplinary skills with spill over to the whole economy.

Digital business ecosystems are developing around core "platforms" and/or "core technologies", «control points" and/or "leading edges" that constitute key elements of the supply and/or value chain. They span from devices to operating systems, web search engines, social networks, E-Commerce platforms and application stores.

The positioning on the digital platforms and technology leading edges, including as de facto standards when appropriate, through which providers and users of technology can closely cooperate and on which eco-systems can be built is a major 'battleground' for companies as well as for competing regions and economies. Digital platforms have shown to be determining for competitiveness and for creating a vibrant entrepreneurial eco-system in which, amongst others, SME's and new businesses can prosper.

Although Europe's presence in consumer platforms has been weak so far, it has maintained a strong presence in professional and vertical markets (automotive, business software, automation and industrial systems, energy, security, health, ...). The advent of the Internet of Things and smart connected objects offers a unique opportunity for industry in Europe to build on this strength and capture important part of growing professional and consumer markets in a fully digitised economy.

On this basis, it is proposed to launch lighthouse initiatives.

The goal of lighthouse initiatives is to focus part of the ECSEL JU activities on achieving concrete socio-economic objectives along an agreed approach, including for establishing de facto standards when appropriate. Lighthouse initiatives should improve and accelerate the impact of ECSEL JU by engaging all needed actors in the supply/value chain to achieve these goals and by connecting (without duplicating) investment in R&I in ECSEL JU to investments done for example in application areas in the Societal Challenges in HORIZON 2020 as well as to other policy measures such as standardisation or deployment, and when needed regulatory measures.

Lighthouse initiatives in ECSEL JU can give industry in Europe differentiating factors to compete in next generation integrated solutions for electronic components and systems and notably in platforms for "Smart X" markets by building on and combining its strong presence in cyber-physical systems, smart systems integration and MEMS as well as low power and secure components.

They should enable closer cooperation between Europe's key actors, including technology providers, system integrators, application providers, users' industries and end users in a meaningful and substantial way, in innovation and regulation contributing to the overall goal of the ECSEL JU. Most importantly they should strengthen Europe's position in key parts of future digital value chains and notably digital platforms.

Lighthouse initiatives should address concrete and convincing measures to facilitate deployment and should include an effective outreach strategy.

Projects for the lighthouse initiatives shall be adopted out of the projects selected for funding by the PAB in the two calls (RIA and IA).

- ***Selection of projects in line with 2016 Lighthouse Initiatives***

Lighthouses are ECSEL initiatives to support projects addressing strategic entrepreneurial and societal topics. Projects supported by national or regional funding, by Eureka, by H2020 or by ECSEL can become part of the Lighthouse. A Lighthouse advisory service will give support on invitation or on request to those projects who's impact is dependent on the successful implementation of additional measures like legislation, standardisation, inclusion of other societal organisations etc. The advisory service will neither be involved in project selection nor in the management of individual projects.

The ECSEL JU supports, as of 2017, the Industry 4.E and Mobility.E Lighthouse Initiatives that will focus respectively on digitisation of industry and on mobility.

The **"Industry 4.E" Lighthouse Initiative** supports the efforts around Industry 4.0, the trend towards interconnected manufacturing sites integrated in automated supply chains. It focuses on the digitisation of European industrial production. The approach in the ECSEL JU program addresses both automation and data exchange in manufacturing processes. Proposals on this Lighthouse Initiative should address topics as described in the chapter on the smart production key application and/or its underpinning essential capabilities.

The **"Mobility.E" Lighthouse Initiative** supports the efforts towards autonomous transportation, including infrastructure. Next to technical aspects it focuses on areas like safety and security, connectivity, standardisation and regulation where public-private **interaction is essential for** finding solutions. Proposals on this Lighthouse Initiative should address topics as described in the chapter on the smart mobility key application and/or its underpinning essential capabilities.

In this context, ECSEL draws the attention of the stakeholders to the possibility of submitting proposals in topics which can be covered in the existing lighthouse initiatives, Industry 4.E and Mobility.E, as well as to the possibility of submitting proposals for new lighthouse initiatives.

- ***Selection of Lighthouse Initiatives from Call 2017***

Lighthouses Initiatives from Call 2017 will be selected following the procedure described in decision GB 2017.79 on “ECSEL Lighthouse Initiatives”.

Further details will be provided in the “***Guidelines for applicants***” as part of the PAB decision for the call launch.

## Annex 2: Call 2017-1, IA specific details

### a) Scope and objectives

The call will be open for the following topics:

| Chapter  | Sub Chapter / Topic   | MASP Chapter | Open / Closed |
|--|---|--------------|---------------|
| <b>Key Applications</b>  |   |              |               |
| <b>1. SMART MOBILITY</b>   |   |              |               |
|  | 1.1 ECS for resource efficient vehicles   | 1.5.1        | Open          |
|  | 1.2 ECS for partial, conditional, highly and fully automated transportation           | 1.5.2        | Open          |
|  | 1.3 ECS for integrated and multimodal mobility networks                               | 1.5.3        | Open          |
| <b>2. SMART SOCIETY</b>  |   |              |               |
|  | 2.1 European independence for Security enabling components and systems                | 2.3.1        | Open          |
|  | 2.2 European leadership for Smart and Connected Things (including Internet of Things) | 2.3.2        | Open          |
|  | 2.3 European assets protection  | 2.3.3        | Open          |
| <b>3. SMART ENERGY</b>   |   |              |               |
|  | 3.1 Sustainable power generation and energy conversion                                | 3.2          | Open          |
|  | 3.2 Reduction of energy consumption   | 3.2          | Open          |
|  | 3.3 Efficient community energy management   | 3.2          | Open          |
| <b>4. SMART HEALTH</b>   |   |              |               |
|  | 4.1 Home Healthcare   | 4.4.1        | Open          |
|  | 4.2 Hospital Healthcare   | 4.4.2        | Open          |
|  | 4.3 Heuristic Healthcare  | 4.4.3        |               |
| <b>5. SMART PRODUCTION</b>   |   |              |               |
|  | 5.1 Instant access to a Virtual dynamic factory.                                      | 5.5          | Open          |
|  | 5.2 Increased Information transparency between field devices and ERP.                 | 5.5          | Open          |
|  | 5.3 Real-time sensing & networking in challenging environments.                       | 5.5          | Open          |
|  | 5.4 Process Industry as an agile part of the energy system.                           | 5.5          | Open          |
|  | 5.5 Management of critical Knowledge maintenance decision-support.                    | 5.5          | Open          |
|  | 5.6 Automation service and function engineering.                                      | 5.5          | Open          |
|  | 5.7 Open simulator platform.  | 5.5          | Open          |
|  | 5.8 Automation system for flexible, distributed production.                           | 5.5          | Open          |
|  | 5.9 Balancing of system security and production flexibility.                          | 5.5          | Open          |
| <b>ESSENTIAL CAPABILITIES</b>  |   |              |               |
| <b>6. SEMICONDUCTOR MANUFACTURING, TECHNOLOGY, EQUIPMENT AND MATERIALS</b> |   |              |               |
|  | 6.1 Process Technology Integration: advanced and distributed compute infrastructure   | 6.5.1        | Open          |
|  | 6.2 Process Technology Integration: Complex   | 6.5.1        | Open          |

|                                     |   |       |      |
|-------------------------------------|---|-------|------|
|                                     | heterogeneous functionality components  |       |      |
|                                     | 6.3 Process Technologies: System in Package   | 6.5.1 | Open |
|                                     | 6.4 Equipment, Materials and Manufacturing: More-Moore equipment and materials for sub-10nm technologies                  | 6.5.2 | Open |
|                                     | 6.5 Equipment, Materials and Manufacturing: More-than-Moore equipment and materials                                       | 6.5.2 | Open |
|                                     | 6.6 Equipment, Materials and Manufacturing: Manufacturing   | 6.5.2 |      |
| <b>7. DESIGN TECHNOLOGIES</b>       |   |       |      |
|                                     | 7.1 Managing critical systems including safety, security and certification  | 7.5.1 | Open |
|                                     | 7.2 Managing complexity   | 7.5.2 | Open |
|                                     | 7.3 Managing diversity  | 7.5.3 | Open |
|                                     | 7.4 Managing multiple constraints   | 7.5.4 | Open |
| <b>8. CYBER-PHYSICAL SYSTEMS</b>    |   |       |      |
|                                     | 8.1 Principles, architectures and models for dependable CPS   | 8.2.1 | Open |
|                                     | 8.2 Enabling technologies for autonomous, adaptive and cooperative CPS  | 8.2.2 | Open |
|                                     | 8.3 Computing Platforms including hardware, software and communication  | 8.2.3 | Open |
|                                     | 8.4 Digital Platforms   | 8.2.4 |      |
| <b>9. SMART SYSTEMS INTEGRATION</b> |   |       |      |
|                                     | 9.1 Building blocks of Smart Systems (sensors, actuators, controls and interfaces)  | 9.5   | Open |
|                                     | 9.2 Safe, secure and efficient transfer of information and power  | 9.5   | Open |
|                                     | 9.3 Integration methods enabling smart functionality, automation and reliable operation in harsh and complex environments | 9.5   | Open |
| <b>10. Safety and Security</b>      |   |       |      |
|                                     | 10.1 Safety, security & privacy by design   | 10.5  | Open |
|                                     | 10.2 Authentication   | 10.5  | Open |
|                                     | 10.3 Distributed models of trust  | 10.5  | Open |
|                                     | 10.4 Decentralized trust frameworks (blockchain)  | 10.5  | Open |
|                                     | 10.5 Data Protection  | 10.5  | Open |
|                                     | 10.6 Network Protection   | 10.5  | Open |
|                                     | 10.7 Safety and security risks related to infrastructures (systems of systems, cloud, new generation networks)            | 10.5  | Open |
|                                     | 10.8 Safe and secure execution platforms  | 10.5  | Open |
|                                     | 10.9 Safe and secure updates in the field   | 10.5  | Open |
|                                     | 10.10 Safety and security aware development   | 10.5  | Open |
|                                     | 10.11 Safe and secure services  | 10.5  | Open |

Proposals that cut across disciplines, support platform building, interoperability, establishment of open standards are particularly encouraged.

Note that National priorities may be applicable to specific topics (refer to Annex 6).

Objectives of each topic can be found in the MASP 2017 (decision ECSEL GB 2016.77).

*b) Specific Conditions*

Mode

2 phases: Project Outline (PO) and Full Project Proposal (FPP)

Publication date

22 February 2017

Deadline PO phase

at 17:00:00 Brussels time on 11 May 2017

Deadline FPP phase

at 17:00:00 Brussels time on 21 September 2017

**Type of action: ECSEL Innovation Action**

*Description:* An ECSEL Innovation Action (IA) primarily consists of activities aiming at pilot lines, test beds, demonstrators, innovation pilots and zones of full-scale testing. These activities produce plans and arrangements or designs for new, altered or improved products, processes, methods and tools or services. For this purpose they may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication.

A 'technology or method introduction' aims at the development, testing, and implementation of new technologies, tools or methods, which are a critical element of innovative products, which will be created in subsequent projects.

A 'demonstration or pilot' aims to validate the technical and economic viability of a new or improved technology, product, process, service or solution in an operational (or nearly operational) environment, whether industrial or otherwise, involving, where appropriate, a larger scale prototype or demonstrator.

A 'market replication' aims to support the first application/deployment in the market of an innovation that has already been demonstrated but not yet applied/deployed in the market due to market failures/barriers to uptake. 'Market replication' does not cover multiple applications in the market of an innovation that has already been applied successfully once in the market. 'First' means new at least to Europe or new at least to the application sector in question. Often such projects involve a validation of technical and economic performance at system level in real life operating conditions provided by the market.

The activities have their centre of gravity at the TRL 5-8.

An IA proposal in ECSEL JU is characterized by:

**Execution by an industrial consortium including universities, institutes, SMEs and large companies;**

- Using innovative technology;
- Developing and demonstrating innovative solutions in relation with the ECSEL Strategic Thrusts as outlined in the ECSEL MASP;

**Establishment of a new and realistic innovation environment connected with an industrial environment, such as:**

- a pilot line facility capable of manufacturing
- a zone of full-scale testing;
- a development of new processes or tools and their introduction in several domains;
- the development of frameworks or platforms together with the usage of these frameworks or platforms in innovative products.

**Having a deployment plan leading to economic value creation in Europe.**

In order to maximize effective implementation of the ECSEL top-level objectives, the list of IA proposals to be retained for public funding should constitute a balanced portfolio of projects applying innovative technologies (as defined in the MASP in the essential technology section) and applying them in different domains as defined in the MASP. The domains represent the demand side of technologies, and the development of new technologies represents the supply side of technologies.

### **Admissibility and Eligibility conditions:**

#### Admissibility conditions

Refer to Annex 4B

#### Eligibility conditions

All proposals must comply with the conditions set out in the **Rules for Participation contained in Regulation (EU) No 1290/2013 of 11 December 2013**.

A proposal will only be considered eligible if:

- its content corresponds, wholly or in part, to the topic description for which it is submitted;
- it complies with the eligibility conditions set out below, depending on the type of action.

| Type of action          | Conditions for participation & eligibility for funding   |
|-------------------------|--|
| ECSEL Innovation Action | At least three legal entities. Each of the three shall be established in a different Member State or associated country. All three legal entities shall be independent of each other. <sup>3</sup> |

Specific rules apply for eligibility for funding by ECSEL Participating State (refer to Annex 6).

#### Page Limits for RIA and IA ECSEL actions

- The page limit for the chapter on EXCELLENCE is 60 pages
- The page limit for the chapter on IMPACT is 100 pages
- The page limit for the chapter on IMPLEMENTATION is 100 pages

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<sup>3</sup>

Please see also the REGULATION (EU) No 1290/2013 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" and repealing Regulation (EC) No 1906/2006, OJ L 347/81, 20.12.2013.; particularly Articles 9 and 10 stipulating detailed conditions for participation and eligibility for funding.



**Evaluation criteria, scoring and threshold****Evaluation procedure**

The decision ECSEL PAB 2016.23 adopted on 10.11.2016 (Annex 7) contains further elements on the evaluation and selection of processes.

1. **Excellence**: The following aspects will be taken into account, to the extent that the proposed work corresponds to the relevant work plan topic description in the ECSEL MASP:
  - a. Clarity and pertinence of the objectives and the expected results of the proposed work;
  - b. Credibility (soundness) of the concept (*what*), including trans-disciplinary considerations, where relevant;
  - c. Credibility (soundness) of the proposed approach (*how*);
  - d. Extent to which the proposed work is ambitious, has clear innovation potential, and is beyond the state of the art.
2. **Impact**: The extent to which the outputs of the project should contribute at the European and/or International level to:
  - a. The creation and exploitation of market potential and the gain of a competitive technology advantage (*Impact from beneficiary perspective*);
  - b. Enhancing innovation capacity and integration of new knowledge (*Impact from beneficiary perspective*);
  - c. Creating economic value in Europe (by future employment and industrial investment), including industrial end-user leverage (*Impact from EU perspective*);
  - d. Strengthening Europe and the competitiveness and growth of companies by developing innovations that meet the needs of European and global markets; and by delivering such innovations to the markets or introducing new technologies/processes/tools to the European industry (*Impact from EU perspective*);
  - e. The exploitation of project results per beneficiary and where relevant at project level; management of IPR.
  - f. The dissemination of project results, the communication of the project; the contribution of standards, where appropriate.
3. **Quality and efficiency of the implementation**: The following aspects will be taken into account:
  - a. Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks, resources and budget;
  - b. Significant coverage of the value chain, including industrial end-users, and/or different industry domain where relevant;
  - c. Competence and complementarity of the participants within the consortium (when relevant);
  - d. Adequate participation of large companies, SMEs, universities and research institutes;
  - e. Appropriateness of the management structures and procedures, including risk and innovation management.

Scoring

## A. PO Phase

The scores will be given using - half marks.

| Criteria                                     | Range | Weight | Threshold |
|--|-------|--------|-----------|
| Excellence                                   | 0-5   | 1      | 2.5       |
| Impact                                       | 0-5   | 1      | 2.5       |
| Quality and efficiency of the implementation | 0-5   | 1      | 2.5       |
| Total  | 0-15  |        | 10        |

## B. FPP Phase

The scores will be given with a resolution of one decimal. Only proposals which successfully passed the PO phase are eligible to the FPP phase.

| Criteria                                     | Range | Weight   | Threshold |
|--|-------|----------|-----------|
| Excellence                                   | 0-5   | 1        | 3         |
| Impact                                       | 0-5   | 1.5 (**) | 3 (*)     |
| Quality and efficiency of the implementation | 0-5   | 1        | 3         |
| Total  | 0-15  |          | 10 (*)    |

(\*) threshold applies to unweighted score

(\*\*) the weight is only used to establish the ranking of the proposals Evaluation criteria, scoring and threshold

Selection criteriaOnly in the FPP Phase

- *Financial capacity:* In line with the Financial Regulation and the Rules for Participation. At the full project proposal stage, coordinators will be invited to complete a self-assessment using an on-line tool.
- *Operational capacity:* As a distinct operation, carried out during the evaluation of the award criterion 'Quality and efficiency of the implementation', experts will indicate whether the participants meet the selection criterion related to operational capacity, to carry out the proposed work, based on the competence and experience of the individual participant(s).

Priority order for proposals with the same scorePO Phase

No priority order is required at this stage

FPP Phase

Unless the call conditions indicate otherwise, the following method will be applied. As part of the evaluation by independent experts, a panel review will recommend a ranked list for the proposals under evaluation, following the scoring systems indicated above. A ranked list will be drawn up for every indicative budget shown in the call conditions. If necessary, the panel will determine a priority order for proposals which have been

awarded the same score within a ranked list. The following approach will be applied successively for every group of *ex-aequo* proposals requiring prioritisation, starting with the highest scored group, and continuing in descending order:

- Proposals will be prioritised per the scores they have been awarded for the criterion impact. When these scores are equal, priority will be based on scores for the criterion excellence.
- Then proposals that address topics not otherwise covered by more highly-ranked proposals will be considered to have the highest priority.
- Further *ex-aequo* are discussed by the panel of experts and scored on the merit of the proposal to fulfil the objectives of ECSEL JU considering elements such as the enhancement of the quality of the project portfolio through synergies between projects, balance between the type of partners, SME participation, and gender balance. These factors will be documented in the report of the Panel.

#### **Indicative timetable for evaluation and grant agreement**

| <b>Information on the outcome of the evaluation</b> | <b>Indicative date for the signing of grant agreements</b> |
|---|--|
| Maximum 5 months from the final date for submission | Maximum 8 months from the final date for submission        |

#### **Consortium agreement**

In line with the Rules for Participation and the ECSEL JU Model Grant Agreement, participants are required to conclude a consortium agreement.

#### **Reimbursement rate for establishing the EU contribution**

Reimbursement rates as percentages of the eligible cost according to H2020.

| Type of beneficiary                   | EU Contribution as % of the Eligible Cost according to H2020 (*) |
|---------------------------------------|--|
| Large Enterprise (for profit non SME) | 20 %   |
| SME (for profit SME)                  | 25 %   |
| University/Other (not for profit)     | 35 %   |

(\*) beneficiaries may ask for a lower contribution

#### **Capping**

The EU contribution per project is capped at 30M€ and the maximum contribution per partner in a project is limited to 50% of the total EU funding for the project.

#### **Reimbursement rates for establishing national contributions**

Please refer to Annex 6.

**Financial support to third parties**

Not applicable for this call.

**Estimated expenditures**

EU Estimated expenditure for the Call: **92.5 M€** (1).

ECSEL Participating States, total estimated expenditure for IAs: 92.5 M€.

| ECSEL Participating State | Estimated expenditure (M€) |             |               |               |
|---------------------------|----------------------------|-------------|---------------|---------------|
|                           | IAs                        | RIAs        | Both IAs-RIAs | Total         |
| Austria (2)               |                            |             | 7             | <b>7</b>      |
| Belgium-Flanders          |                            |             | 12            | <b>12</b>     |
| Belgium-Brussels          |                            |             | 1             | <b>1</b>      |
| Bulgaria                  |                            |             |               | <b>0</b>      |
| Czech Republic            | 1.5                        | 1.5         |               | <b>3</b>      |
| Denmark                   |                            |             |               | <b>0</b>      |
| Finland                   | 2.5                        | 2.5         |               | <b>5</b>      |
| France (6)                |                            |             |               | <b>pm</b>     |
| Germany (3)               |                            |             | 38            | <b>38</b>     |
| Greece                    |                            |             |               | <b>0</b>      |
| Hungary                   |                            |             | 1             | <b>1</b>      |
| Ireland                   |                            |             | 2             | <b>2</b>      |
| Israel                    |                            |             | 8             | <b>8</b>      |
| Italy (5)                 |                            | 2.4         |               | <b>2.4</b>    |
| Latvia                    |                            |             | 0.42          | <b>0.42</b>   |
| Malta                     |                            |             |               | <b>0</b>      |
| Netherlands               | 10                         | 10          |               | <b>20</b>     |
| Norway                    |                            |             | 2.2           | <b>2.2</b>    |
| Poland                    |                            |             | 1.5           | <b>1.5</b>    |
| Portugal                  |                            |             |               | <b>0</b>      |
| Romania                   |                            |             | 2.6           | <b>2.6</b>    |
| Slovak Republic           |                            |             | 0.8           | <b>0.8</b>    |
| Spain (4)                 |                            |             | 6             | <b>6</b>      |
| Sweden                    |                            |             | 5.5           | <b>5.5</b>    |
| United Kingdom            |                            |             | 0             | <b>0</b>      |
| Turkey                    |                            |             | 3             | <b>3</b>      |
| EU                        | 92.5                       | 67.5        |               | 160           |
| <b>total</b>              | <b>106.5</b>               | <b>83.9</b> | <b>91.02</b>  | <b>281.42</b> |

- (1) Pending the corresponding financing decision to be adopted by the European Commission in 2017 and 2018.
- (2) Subject to final approval by financial authorities
- (3) The pre-commitment is divided as follows: BMBF EUR 26 million, Saxony EUR 12 million (for participants from Saxony only)
- (4) 1M from MINECO, 5M from MINETAD. The contribution of MINETAD could change when the budget for 2017 is approved and the economic scenario changes.
- (5) Further commitments from Ministry of Economic Development and ESI Funds will be communicated later
- (6) A financial commitment will be available. The amount will be communicated later. Participants are invited to contact the Ministry of Finance

## Annex 3: Call 2017-2, RIA specific details

### a) Scope and objectives

The call will be open for the following topics:

| Chapter  | Sub Chapter / Topic   | MASP Chapter | Open / Closed |
|--|---|--------------|---------------|
| <b>Key Applications</b>                            |   |              |               |
| <b>1. SMART MOBILITY</b>                           |   |              |               |
|  | 1.1 ECS for resource efficient vehicles   | 1.5.1        | Open          |
|  | 1.2 ECS for partial, conditional, highly and fully automated transportation           | 1.5.2        | Open          |
|  | 1.3 ECS for integrated and multimodal mobility networks                               | 1.5.3        | Open          |
| <b>2. SMART SOCIETY</b>                            |   |              |               |
|  | 2.1 European independence for Security enabling components and systems                | 2.3.1        | Open          |
|  | 2.2 European leadership for Smart and Connected Things (including Internet of Things) | 2.3.2        | Open          |
|  | 2.3 European assets protection  | 2.3.3        | Open          |
| <b>3. SMART ENERGY</b>                             |   |              |               |
|  | 3.1 Sustainable power generation and energy conversion                                | 3.2          | Open          |
|  | 3.2 Reduction of energy consumption   | 3.2          | Open          |
|  | 3.3 Efficient community energy management   | 3.2          | Open          |
| <b>4. SMART HEALTH</b>                             |   |              |               |
|  | 4.1 Home Healthcare   | 4.4.1        | Open          |
|  | 4.2 Hospital Healthcare   | 4.4.2        | Open          |
|  | 4.3 Heuristic Healthcare  | 4.4.3        |               |
| <b>5. SMART PRODUCTION</b>                         |   |              |               |
|  | 5.1 Instant access to a Virtual dynamic factory.                                      | 5.5          | Open          |
|  | 5.2 Increased Information transparency between field devices and ERP.                 | 5.5          | Open          |
|  | 5.3 Real-time sensing & networking in challenging environments.                       | 5.5          | Open          |
|  | 5.4 Process Industry as an agile part of the energy system.                           | 5.5          | Open          |
|  | 5.5 Management of critical Knowledge maintenance decision-support.                    | 5.5          | Open          |
|  | 5.6 Automation service and function engineering.                                      | 5.5          | Open          |
|  | 5.7 Open simulator platform.  | 5.5          | Open          |
|  | 5.8 Automation system for flexible, distributed production.                           | 5.5          | Open          |
|  | 5.9 Balancing of system security and production flexibility.                          | 5.5          | Open          |
| <b>ESSENTIAL CAPABILITIES</b>                      |   |              |               |
| <b>6. SEMICONDUCTOR MANUFACTURING, TECHNOLOGY,</b> |   |              |               |

|                                     |   |       |      |
|-------------------------------------|---|-------|------|
| <b>EQUIPMENT AND MATERIALS</b>      |   |       |      |
|                                     | 6.1 Process Technology Integration: advanced and distributed compute infrastructure                                       | 6.5.1 | Open |
|                                     | 6.2 Process Technology Integration: Complex heterogeneous functionality components  | 6.5.1 | Open |
|                                     | 6.3 Process Technologies: System in Package   | 6.5.1 | Open |
|                                     | 6.4 Equipment, Materials and Manufacturing: More-Moore equipment and materials for sub-10nm technologies                  | 6.5.2 | Open |
|                                     | 6.5 Equipment, Materials and Manufacturing: More-than-Moore equipment and materials                                       | 6.5.2 | Open |
|                                     | 6.6 Equipment, Materials and Manufacturing: Manufacturing   | 6.5.2 |      |
| <b>7. DESIGN TECHNOLOGIES</b>       |   |       |      |
|                                     | 7.1 Managing critical systems including safety, security and certification  | 7.5.1 | Open |
|                                     | 7.2 Managing complexity   | 7.5.2 | Open |
|                                     | 7.3 Managing diversity  | 7.5.3 | Open |
|                                     | 7.4 Managing multiple constraints   | 7.5.4 | Open |
| <b>8. CYBER-PHYSICAL SYSTEMS</b>    |   |       |      |
|                                     | 8.1 Principles, architectures and models for dependable CPS   | 8.2.1 | Open |
|                                     | 8.2 Enabling technologies for autonomous, adaptive and cooperative CPS  | 8.2.2 | Open |
|                                     | 8.3 Computing Platforms including hardware, software and communication  | 8.2.3 | Open |
|                                     | 8.4 Digital Platforms   | 8.2.4 |      |
| <b>9. SMART SYSTEMS INTEGRATION</b> |   |       |      |
|                                     | 9.1 Building blocks of Smart Systems (sensors, actuators, controls and interfaces)  | 9.5   | Open |
|                                     | 9.2 Safe, secure and efficient transfer of information and power  | 9.5   | Open |
|                                     | 9.3 Integration methods enabling smart functionality, automation and reliable operation in harsh and complex environments | 9.5   | Open |
| <b>10. Safety and Security</b>      |   |       |      |
|                                     | 10.1 Safety, security & privacy by design   | 10.5  | Open |
|                                     | 10.2 Authentication   | 10.5  | Open |
|                                     | 10.3 Distributed models of trust  | 10.5  | Open |
|                                     | 10.4 Decentralized trust frameworks (blockchain)  | 10.5  | Open |
|                                     | 10.5 Data Protection  | 10.5  | Open |
|                                     | 10.6 Network Protection   | 10.5  | Open |
|                                     | 10.7 Safety and security risks related to infrastructures (systems of systems, cloud, new generation networks)            | 10.5  | Open |
|                                     | 10.8 Safe and secure execution platforms  | 10.5  | Open |
|                                     | 10.9 Safe and secure updates in the field   | 10.5  | Open |

|  |   |      |      |
|--|---|------|------|
|  | 10.10 Safety and security aware development | 10.5 | Open |
|  | 10.11 Safe and secure services              | 10.5 | Open |
|  |   |      |      |

Proposals that cut across disciplines, support platform building, interoperability, establishment of open standards are particularly encouraged.

Note that National priorities may be applicable to specific topics (refer to Annex 6).

Objectives of each topic can be found in the MASP 2017.

### ***b) Specific Conditions***

#### Mode

2 phases: Project Outline (PO) and Full Project Proposal (FPP)

#### Publication date

22 February 2017

#### Deadline PO phase

at 17:00:00 Brussels time on 11 May 2017

#### Deadline FPP phase

at 17:00:00 Brussels time on 21 September 2017



### **Type of action: ECSEL Research and innovation action**

An ECSEL Research and Innovation Action (RIA) primarily consists of activities aiming to establish new knowledge and/or to explore the feasibility of a new or improved technology, product, process, service, method, tool or solution. For this purpose they may include applied research, technology development and/or method/tool and integration, testing and validation on a small-scale prototype in a laboratory or simulated environment.

The activities have their centre of gravity at TRL 3-4.

A RIA proposal is characterised by:

- **Execution by an industrial consortium that may consist of universities, institutes, SMEs and large companies;**
- Developing innovative technologies and/or using them in innovative ways;
- Targeting **demonstration of the innovative approach** in a relevant product, service or capability, clearly addressing the applications relevant for societal challenges in relation with the ECSEL Strategic Thrusts as outlined in the ECSEL MASP;
- **Demonstrating value and potential in a realistic lab environment reproducing the targeted application;**
- **Having a deployment plan showing the valorisation for the ECSEL ecosystem and the contribution to the ECSEL goals and objectives.**
- In order to maximize effective implementation of the ECSEL top-level objectives, the list of RIA proposals to be retained for public funding shall constitute a balanced portfolio of projects developing innovative technologies (as defined in the MASP in the essential technology section) and applying them in different domains as defined in the MASP (as defined in the application trust section).

The domains represent the demand side of technologies, and the development of new technologies represents the supply side of technologies.

The technologies in the MASP include semiconductor processing, equipment and materials; design technology; Cyber-Physical Systems, Integrated Smart System and Safety and Security.

**Admissibility and Eligibility conditions:**Admissibility conditions

Refer to Annex 4B

Eligibility conditions

All proposals must comply to the conditions set out in the **Rules for Participation contained in Regulation (EU) No 1290/2013 adopted on 11 December 2013.**

A proposal will only be considered eligible if:

- its content corresponds, wholly or in part, to the topic description for which it is submitted;
- it complies with the eligibility conditions set out below, depending on the type of action.

| Type of action                     | Conditions for participation & eligibility for funding   |
|------------------------------------|--|
| ECSEL Research & Innovation Action | At least three legal entities. Each of the three shall be established in a different Member State or associated country. All three legal entities shall be independent of each other. <sup>4</sup> |

Specific rules apply for eligibility for funding by ECSEL Participating States (refer to Annex 6).

Page Limits for RIA and IA ECSEL actions

- The page limit for the chapter on EXCELLENCE is 60 pages
- The page limit for the chapter on IMPACT is 100 pages
- The page limit for the chapter on IMPLEMENTATION is 100 pages

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<sup>4</sup>

Please see also the REGULATION (EU) No 1290/2013 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" and repealing Regulation (EC) No 1906/2006, OJ L 347/81, 20.12.2013.; particularly Articles 9 and 10 stipulating detailed conditions for participation and eligibility for funding.

## **Evaluation criteria, scoring and threshold**

### **Evaluation procedure**

The document ECSEL PAB 2016.23 adopted on 10.11.2016. (Annex 7) contains the details of the evaluation and selection process.

### **Award criteria**

The proposals will be evaluated along the following three evaluation criteria:

1. **Excellence**: The following aspects will be taken into account, to the extent that the proposed work corresponds to the relevant work plan topic description in the ECSEL MASP:
  - a. Clarity and pertinence of the objectives and the expected results of the proposed work;
  - b. Credibility (soundness) of the concept (*what*), including trans-disciplinary considerations, where relevant;
  - c. Credibility (soundness) of the proposed approach (*how*);
  - d. Extent to which the proposed work is ambitious, has clear innovation potential, and is beyond the state of the art.
2. **Impact**: The extent to which the outputs of the project should contribute at the European and/or International level to:
  - a. The creation and exploitation of market potential and the gain of a competitive technology advantage (*Impact from beneficiary perspective*);
  - b. Enhancing innovation capacity and integration of new knowledge (*Impact from beneficiary perspective*);
  - c. Strengthening Europe (by future employment and industrial investment) and the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets; and, where relevant, by delivering such innovations to the markets or introducing new technologies into the industry (*Impact from EU perspective*);
  - d. The exploitation of project results per beneficiary and, where relevant, at project level; management of IPR.
  - e. The dissemination of project results, the communication of the project; the development of standards, where appropriate.
3. **Quality and efficiency of the implementation**: The following aspects will be taken into account:
  - a. Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks, resources and budget;
  - b. Competence and complementarity of the participants within the consortium (when relevant);
  - c. Adequate participation of large companies, SMEs, universities and research institutes;
  - d. Appropriateness of the management structures and procedures, including risk and innovation management.

Scoring

## PO Phase

The scores will be given using half marks.

| Criteria                                     | Range | Weight | Threshold |
|--|-------|--------|-----------|
| Excellence                                   | 0-5   | 1      | 2.5       |
| Impact                                       | 0-5   | 1      | 2.5       |
| Quality and efficiency of the implementation | 0-5   | 1      | 2.5       |
| Total  | 0-15  |        | 10        |

## FPP Phase

The scores will be given with a resolution of one decimal. Only proposals which successfully passed the PO phase are eligible to the FPP phase.

| Criteria                                     | Range | Weight | Threshold |
|--|-------|--------|-----------|
| Excellence                                   | 0-5   | 1      | 3         |
| Impact                                       | 0-5   | 1      | 3         |
| Quality and efficiency of the implementation | 0-5   | 1      | 3         |
| Total  | 0-15  |        | 10        |

Selection criteria

Only in the FPP Phase

- *Financial capacity:* In line with the Financial Regulation and the Rules for Participation. At the full project proposal stage, coordinators will be invited to complete a self-assessment using an online tool.
- *Operational capacity:* As a distinct operation, carried out during the evaluation of the award criterion 'Quality and efficiency of the implementation', experts will indicate whether the participants meet the selection criterion related to operational capacity, to carry out the proposed work, based on the competence and experience of the individual participant(s).

**Priority order for proposals with the same score**PO Phase

No priority order is required at this stage

FPP Phase

Unless the call conditions indicate otherwise, the following method will be applied. As part of the evaluation by independent experts, a panel review will recommend a ranked list for the proposals under evaluation, following the scoring systems indicated above. A ranked list will be drawn up for every indicative budget shown in the call conditions. If necessary, the panel will

determine a priority order for proposals which have been awarded the same score within a ranked list. The following approach will be applied successively for every group of *ex-aequo* proposals requiring prioritisation, starting with the highest scored group, and continuing in descending order:

- Proposals will be prioritised according to the scores they have been awarded for the criterion impact. When these scores are equal, priority will be based on scores for the criterion excellence.
- Then proposals that address topics not otherwise covered by more highly-ranked proposals will be considered to have the highest priority.
- Further *ex-aequo* are discussed by the panel of experts and scored on the merit of the proposal to fulfil the objectives of ECSEL JU taking into account elements such as the enhancement of the quality of the project portfolio through synergies between projects, balance between the type of partners, SME participation and gender balance. These factors will be documented in the report of the Panel.

#### **Indicative timetable for evaluation and grant agreement**

| <b>Information on the outcome of the evaluation</b> | <b>Indicative date for the signing of grant agreements</b> |
|---|--|
| Maximum 5 months from the final date for submission | Maximum 8 months from the final date for submission        |

#### **Consortium agreement**

In line with the Rules for Participation and the ECSEL JU Model Grant Agreement, participants are required to conclude a consortium agreement.

#### **Reimbursement rate for establishing the EU contribution**

Reimbursement rates as percentages on the eligible costs according to H2020.

| Type of beneficiary                   | EU Contribution as % of the Eligible Cost according to H2020 (*) |
|---------------------------------------|--|
| Large Enterprise (for profit non SME) | 25 %   |
| SME (for profit SME)                  | 30 %   |
| University/Other (not for profit)     | 35 %   |

(\*) beneficiaries may ask for a lower contribution

#### **Capping**

The EU contribution per project is capped at 15M€ and the maximum contribution per partner in a project is limited to 40% of the total EU funding for the project.

**Reimbursement rates for establishing national contributions**

Please refer to Annex 6

**Financial support to third parties**

Not applicable for this call.

**Estimated expenditures**

EU Estimated expenditure for the Call for RIAs: **67.5 M€** (1)

| ECSEL Participating State | Estimated expenditure (M€) |             |               |               |
|---------------------------|----------------------------|-------------|---------------|---------------|
|                           | IAS                        | RIAs        | Both IAS-RIAs | Total         |
| Austria (2)               |                            |             | 7             | <b>7</b>      |
| Belgium-Flanders          |                            |             | 12            | <b>12</b>     |
| Belgium-Brussels          |                            |             | 1             | <b>1</b>      |
| Bulgaria                  |                            |             |               | <b>0</b>      |
| Czech Republic            | 1.5                        | 1.5         |               | <b>3</b>      |
| Denmark                   |                            |             |               | <b>0</b>      |
| Finland                   | 2.5                        | 2.5         |               | <b>5</b>      |
| France (6)                |                            |             |               | <b>pm</b>     |
| Germany (3)               |                            |             | 38            | <b>38</b>     |
| Greece                    |                            |             |               | <b>0</b>      |
| Hungary                   |                            |             | 1             | <b>1</b>      |
| Ireland                   |                            |             | 2             | <b>2</b>      |
| Israel                    |                            |             | 8             | <b>8</b>      |
| Italy (5)                 |                            | 2.4         |               | <b>2.4</b>    |
| Latvia                    |                            |             | 0.42          | <b>0.42</b>   |
| Malta                     |                            |             |               | <b>0</b>      |
| Netherlands               | 10                         | 10          |               | <b>20</b>     |
| Norway                    |                            |             | 2.2           | <b>2.2</b>    |
| Poland                    |                            |             | 1.5           | <b>1.5</b>    |
| Portugal                  |                            |             |               | <b>0</b>      |
| Romania                   |                            |             | 2.6           | <b>2.6</b>    |
| Slovak Republic           |                            |             | 0.8           | <b>0.8</b>    |
| Spain (4)                 |                            |             | 6             | <b>6</b>      |
| Sweden                    |                            |             | 5.5           | <b>5.5</b>    |
| United Kingdom            |                            |             | 0             | <b>0</b>      |
| Turkey                    |                            |             | 3             | <b>3</b>      |
| EU                        | 92.5                       | 67.5        |               | 160           |
| <b>total</b>              | <b>106.5</b>               | <b>83.9</b> | <b>91.02</b>  | <b>281.42</b> |

- (1) Pending the corresponding financing decision to be adopted by the European Commission in 2017 and 2018.
- (2) Subject to final approval by financial authorities
- (3) The pre-commitment is divided as follows: BMBF EUR 26 million, Saxony EUR 12 million (for participants from Saxony only)
- (4) 1M from MINECO, 5M from MINETAD. The contribution of MINETAD could change when the budget for 2017 is approved and the economic scenario changes.
- (5) Further commitments from Ministry of Economic Development and ESI Funds will be communicated later
- (6) A financial commitment will be available. The amount will be communicated later. Participants are invited to contact the Ministry of Finance

## Annex 4: General Annexes for the ECSEL Calls 2017-1 and 2017-2

### A. List of countries, and applicable rules for funding 5

1. Legal entities established in the following countries and territories will be eligible to receive funding through Horizon 2020 grants:

- The Member States (MS) of the European Union (EU), including their overseas departments;
- The Overseas Countries and Territories (OCT) linked to the Member States<sup>6</sup>:

Anguilla, Aruba, Bermuda, Bonaire, British Indian Ocean Territory, British Virgin Islands, Cayman Islands, Curaçao, Falkland Islands, French Polynesia, French Southern and Antarctic Territories, Greenland, Montserrat, New Caledonia, Pitcairn Islands, Saba, Saint Barthélemy, Saint Helena, Saint Pierre and Miquelon, Sint Eustatius, Sint Maarten, South Georgia and the South Sandwich Islands, Turks and Caicos Islands, Wallis and Futuna.

- The associated countries (AC): the latest information on which countries are associated, or in the process of association to Horizon 2020 can be found in the online manual<sup>7</sup>.
- The following countries, except where this is explicitly excluded in the call text<sup>8</sup>

Afghanistan, Algeria, American Samoa, Angola, Argentina, [Armenia], Azerbaijan, Bangladesh, Belarus, Belize, Benin, Bhutan, Bolivia, Botswana, Burkina Faso, Burundi, Cambodia, Cameroon, Cape Verde, Central African Republic, Chad, Chile, Colombia, Comoros, Congo (Democratic People's Republic), Congo (Republic), Costa Rica, Côte d'Ivoire, Cuba, Djibouti, Democratic People's Republic of Korea, Dominica, Dominican Republic, Ecuador, Egypt, El Salvador, Eritrea, Ethiopia, Fiji, Gabon, Gambia,, Ghana, Grenada, Guatemala, Guinea, Guinea-Bissau, Guyana, Haiti, Honduras, Indonesia, Iran, Iraq, Jamaica, Jordan, Kazakhstan, Kenya, Kiribati, Kosovo\*, Kyrgyz Republic, Lao, Lebanon, Lesotho, Liberia, Libya, Madagascar, Malawi, Malaysia, Maldives, Mali, Marshall Islands, Mauritania, Mauritius, Micronesia, Mongolia, Morocco, Mozambique, Myanmar, Namibia, Nepal, Nicaragua, Niger, Nigeria, Pakistan, Palau, Palestine, Panama, Papua New Guinea, Paraguay, Peru, Philippines, Rwanda, Samoa, Sao Tome and Principe, Senegal, Seychelles, Sierra Leone, Solomon Islands, Somalia, South Africa, South Sudan, Sri Lanka, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Sudan, Suriname, Swaziland, Syrian Arab Republic, Tajikistan, Tanzania, Thailand, Timor-Leste, Togo, Tonga, Turkmenistan, Tuvalu, Uganda, Uruguay, Uzbekistan, Vanuatu, , Venezuela, Vietnam, Yemen, Zambia, Zimbabwe.

*[] indicates country to be removed from list, as and when Association Agreement comes into force.*

If in the meantime one of these countries becomes associated to Horizon 2020, it will immediately be shown in the relevant on-line manual mentioned above. Note that entities

<sup>5</sup> From the Work programme 2016-2017 of the Commission, Annex A.

<sup>6</sup> Entities from Overseas Countries and Territories (OCT) are eligible for funding under the same conditions as entities from the Member States to which the OCT in question is linked

<sup>7</sup> [http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/international-cooperation\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/international-cooperation_en.htm)

<sup>8</sup> Provided that natural or legal persons, groups or non-State entities are not covered by the Council sanctions in force. Please see: the consolidated list of persons, groups and entities subject to EU financial sanctions, available at [http://eeas.europa.eu/cfsp/sanctions/consol-list\\_en.htm](http://eeas.europa.eu/cfsp/sanctions/consol-list_en.htm)



from associated countries are eligible to participate according to the conditions set out in Annex C.

(\*) This designation is without prejudice to positions on status and is in line with UNSCR 1244/99 and the ICJ Opinion on the Kosovo declaration of independence).

2. International European interest organisations<sup>9</sup> will also be eligible to receive funding from Horizon 2020.

3. Legal entities established in countries not listed above will be eligible for funding when such funding is explicitly foreseen in the call.

4. In addition, legal entities established in countries not listed above and international organisations (IOs) will be eligible for funding:

- When funding for such participants is provided for under a bilateral scientific and technological agreement or any other arrangement between the EU and an international organisation or a third country;
- When the ECSEL JU deems participation of the entity essential for carrying out the action funded through Horizon 2020;
- For Prizes, any legal entity, regardless of its place of establishment, or international organisation may receive funding<sup>10</sup>.

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<sup>9</sup> These are international organisations, the majority of whose members are Member States or associated countries, and whose principal objective is to promote scientific and technological cooperation in Europe

<sup>10</sup> Provided that natural or legal persons, groups or non-State entities are not covered by the Council sanctions in force.

## **B. Standard admissibility conditions for grant proposals, and related requirements**

### 1. Admissibility conditions

For all actions under this Work Programme (except for ERC actions; see below), proposals/prize applications must comply with the admissibility conditions set out in this Annex, unless they are supplemented or modified in the call conditions or rules of contest.

To be considered **admissible**, a proposal/application must be:

- a) submitted in the electronic submission system before the deadline given in the call conditions or rules of contest;
- b) readable, accessible and printable.

### 2. Incomplete proposals

**Incomplete** proposals/applications may be considered inadmissible. This includes the absence of requested administrative data, the proposal description, and any supporting documents specified in the call/contest.

### 3. Supporting documents

The following supporting documents will be required to determine the **operational capacity** for grant proposals, unless otherwise specified in the call:

- A curriculum vitae or description of the profile of the persons who will be primarily responsible for carrying out the proposed research and/or innovation activities;
- A list of up to five 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 five 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)

### 4. Plan for exploitation and dissemination

Grant proposals must include a **draft plan for the exploitation and dissemination** of the results, unless otherwise specified in the call conditions. The draft plan is not required for proposals at the first stage of two-stage procedures.

### 5. Other requirements

In addition to the above admissibility conditions, the following related requirements apply.

- Page limits:
  - The page limit for the chapter on EXCELLENCE is 60 pages,
  - The page limit for the chapter on IMPACT is 100 pages,
  - The page limit for the chapter on IMPLEMENTATION is 100 pages.

Expert evaluators will be instructed to disregard these excess pages.

The page limits and sections subject to limits will be clearly shown in the proposal templates in the Participant Portal electronic submission system.

- Legible front and formatting

Proposals must be written in a legible font, further guidance on the use of fonts, margins and other page formatting will be included in the proposal templates.

The structure of proposals must correspond to the requirements specified under each section of the proposal template.

### C. Technology readiness levels (TRL)

Where a topic description refers to a TRL, the following definitions apply, unless otherwise specified:

| TRL      | Definition   | Hardware description  | Software description  | Exit criteria   |
|----------|--|---|---|---|
| <b>1</b> | Basic principles observed and reported.  | Scientific knowledge generated underpinning hardware technology concepts/applications.  | Scientific knowledge generated underpinning basic properties of software architecture and mathematical formulation.   | Peer reviewed publication of research underlying the proposed concept/application.  |
| <b>2</b> | Technology concept and/or application formulated.  | Invention begins, practical application is identified but is speculative, no experimental proof or detailed analysis is available to support the conjecture.  | Practical application is identified but is speculative, no experimental proof or detailed analysis is available to support the conjecture. Basic properties of algorithms, representations and concepts defined. Basic principles coded. Experiments performed with synthetic data. | Documented description of the application/concept that addresses feasibility and benefit.                                       |
| <b>3</b> | Analytical and experimental critical function and/or characteristic proof of concept.                                      | Analytical studies place the technology in an appropriate context and laboratory demonstrations, modelling and simulation validate analytical prediction.   | Development of limited functionality to validate critical properties and predictions using non-integrated software components., modelling and simulation  | Documented analytical/experimental results validating predictions of key parameters.  |
| <b>4</b> | Technology validation in laboratory environment.   | A low fidelity system/component breadboard is built and operated to demonstrate basic functionality and critical test environments, and associated performance predictions are defined relative to the final operating environment. | Key, functionally critical, software components are integrated, and functionally validated, to establish interoperability and begin architecture development. Relevant Environments defined and performance in this environment predicted.  | Documented test performance demonstrating agreement with analytical predictions. Documented definition of relevant environment. |
| <b>5</b> | Technology validated in relevant environment. (industrially relevant environment in the case of key enabling technologies) | A medium fidelity system is built and operated to demonstrate overall performance in a simulated operational environment with realistic support   | End-to-end software elements implemented and interfaced with existing systems/simulations conforming to target environment. End-to-end software system, tested  | Documented test performance demonstrating agreement with analytical predictions. Documented definition of scaling               |

|          |  |   |  |  |
|----------|--|---|--|--|
|          |  | elements that demonstrates overall performance in critical areas. Performance predictions are made for subsequent development phases.   | in relevant environment, meeting predicted performance. Operational environment performance predicted. Prototype implementations developed.  | requirements.  |
| <b>6</b> | Technology demonstrated in relevant environment (industrially relevant environment in the case of key enabling technologies) | A high fidelity system/component prototype that adequately addresses all critical scaling issues is built and operated in a relevant environment to demonstrate operations under critical environmental conditions.   | Prototype implementations of the software demonstrated on full-scale realistic problems. Partially integrate with existing hardware/software systems. Limited documentation available. Engineering feasibility fully demonstrated.   | Documented test performance demonstrating agreement with analytical predictions. |
| <b>7</b> | System prototype demonstration in an operational environment.  | A high fidelity engineering unit that adequately addresses all critical scaling issues is built and operated in a relevant environment to demonstrate performance in the actual operational environment and platform. | Prototype software exists having all key functionality available for demonstration and test. Well integrated with operational hardware/software systems demonstrating operational feasibility. Most software bugs removed. Limited documentation available.  | Documented test performance demonstrating agreement with analytical predictions. |
| <b>8</b> | Actual system completed and qualified through test and demonstration.  | The final product in its final configuration is successfully demonstrated through test and analysis for its intended operational environment and platform   | All software has been thoroughly debugged and fully integrated with all operational hardware and software systems. All user documentation, training documentation, and maintenance documentation completed. All functionality successfully demonstrated in simulated operational scenarios. Verification and Validation (V&V) completed. | Documented test performance verifying analytical predictions.                    |
| <b>9</b> | Actual system proven in operational environment (competitive manufacturing in the case of key enabling                       | The final product is successfully operated in the target environment and/or application.  | All software has been thoroughly debugged and fully integrated with all operational hardware/software  | Documented mission operational results.  |

|  |               |  |   |  |
|--|---------------|--|---|--|
|  | technologies) |  | systems. All documentation has been completed. Sustaining software engineering support is in place. System has been successfully operated in the operational environment. |  |
|--|---------------|--|---|--|

## **D. Classified Information**

In the case of actions involving security-related activities, special provisions for classified information (as defined in the [Commission Rules of Procedure](#) (*Decision 2015/444/EC, ECSC, Euratom*, and further explained in the [Guidelines for the classification of research results](#)<sup>11</sup>) will be taken in the grant agreement, as necessary and appropriate.

Proposals should not contain any classified information. However, it is possible that the output of an action ('results') needs to be classified, or that classified inputs ('background') are required. In such cases proposers have to ensure and provide evidence of the adequate clearance of all relevant facilities. Consortia have to clarify issues such as e.g. access to classified information or export or transfer control with the National Authorities of their Member States/Horizon 2020 associated countries prior to submitting the proposal. Proposals need to provide a draft security classification guide, indicating the expected levels of classification. Appropriate arrangements will have to be included in the consortium agreement.

The Work Programme will indicate which topics are likely to lead to a security scrutiny.

This applies primarily to the actions under Part III of the Horizon 2020 Framework Programme, Societal Challenge 7 'Secure Societies — Protecting freedom and security of Europe and its citizens', but the provisions may appear in other parts. These references do not however preclude a different assessment following the security scrutiny. To that effect positively evaluated proposals involving sensitive or classified information will be flagged to the members of the Secure Societies Programme Committee configuration and dealt with according to its Rules for Procedure.

These provisions do not apply to prizes.

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<sup>11</sup> [http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/secur/h2020-hi-guide-classif\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/other/hi/secur/h2020-hi-guide-classif_en.pdf)

## **E. Financial support to third parties**

Where a topic allows for grant proposals which foresee a financial support to third parties (in accordance with Article 137 of the Financial Regulation No 966/2012), the proposal must clearly detail the objectives and the results to be obtained and include at least the following elements:

- a fixed and exhaustive list of the different types of activities for which a third party may receive financial support,
- the definition of the persons or categories of persons which may receive financial support,
- the criteria for awarding financial support
- the criteria for calculating the exact amount of the financial support,
- the maximum amount to be granted to each third party (may not exceed EUR 60 000 for each third party unless it is necessary to achieve the objectives of the action) and the criteria for determining it.

Projects must publish widely their open calls and adhere to Horizon 2020 standards with respect to transparency, equal treatment, conflict of interest and confidentiality. All calls for third parties must be published on the Horizon 2020 Participants Portal, and on the projects own web site. The calls must remain open for at least three months. If call deadlines are changed this must immediately be published on the call page on the participant's portal and all registered applicants must be informed of the change.

The calls must have a clear European dimension – either by carrying out cross border experimentation or in other ways expanding the impact of local experiments to European scale.

The financial support may also take the form of a prize awarded following a contest organised by the beneficiary.

In this case, proposals must clearly detail at least the following elements:

- the conditions for participation;
- the award criteria;
- the amount of the prize;
- the payment arrangements.

Further conditions regarding the above-listed elements or other elements may be laid down in the call conditions.

The beneficiary of the EU grant must ensure that the recipients of the financial support allow the Commission, the European Anti-fraud Office (OLAF) and the Court of Auditors to exercise their powers of control on documents, information, even stored on electronic media, or on the final recipient's premises.



## **F. Conditions related to open access to research data**

Where indicated in the introduction of the work programme participants will engage in research data sharing, according to Article 29.3 of the Horizon 2020 Model Grant Agreement(s). This means that beneficiaries must deposit and take measures to make it possible for third parties to access, mine, exploit, reproduce and disseminate, free of charge for any user: (1) data needed to validate the results presented in scientific publications ('underlying data'); and (2) other data as specified by the beneficiaries in their Data Management Plan (DMP, see below).

Projects can "opt-out" of these provisions before or after the signature of the grant agreement (thereby freeing themselves from the associated obligations) on the following grounds:

- a) Incompatibility with the Horizon 2020 obligation to protect results that are expected to be commercially or industrially exploited
- b) Incompatibility with the need for confidentiality in connection with security issues
- c) Incompatibility with rules on protecting personal data
- d) Incompatibility with the project's main aim
- e) If the project will not generate / collect any research data, or
- f) If there are other legitimate reasons not to provide open access to research data

Any costs related to the implementation of these provisions are eligible for reimbursement during the duration of the grant.

A proposal will not be evaluated more favourably if the consortium agrees to share its research data, nor will it be penalised if it opts-out.

Further information on open access to research data is available on the Participant Portal.

A Data Management Plan (DMP) details what data the project will generate, how it will be exploited and made accessible for verification and re-use, and how it will be curated and preserved. The use of a Data Management Plan is obligatory for all projects that do not opt-out. Projects that opt-out are also strongly encouraged to submit a Data Management Plan if relevant for their planned research. Further information on Data Management Plans is available on the Participant Portal.

## Annex 5: ENTRUSTING FOR THE CALLS 2017

The two modes of entrusting the ECSEL Joint Undertaking from the ECSEL Participating States are:

- A. ECSEL Participating States entrusting the implementation and/or the payment of their national contribution to ECSEL JU (Article 17.1 of the Statutes of Council Regulation 561/2014). There are two possibilities:
  - a) Entrusting implementation only,
  - b) Entrusting implementing and payment.
- B. ECSEL Participating States not entrusting the implementation of their national contribution to ECSEL JU (**Article 17.2** of the Statutes of Council Regulation 561/2014)

| ECSEL Participating States | Delegation Mode | ECSEL Participating States | Delegation Mode |
|----------------------------|-----------------|----------------------------|-----------------|
| Austria                    | 17.2            | Malta                      | -               |
| Belgium-Flanders           | 17.2            | Netherlands-RVO            | 17.2            |
| Belgium-Brussels           | 17.2            | Netherlands-TKI            | 17.2            |
| Bulgaria                   | -               | Norway                     | 17.2            |
| Czech Republic             | 17.2            | Poland                     | 17.1 a)         |
| Denmark                    | 17.2            | Portugal                   | 17.1 a)         |
| Finland                    | 17.2            | Romania                    | -               |
| France                     | 17.2            | Slovak Republic            | 17.2            |
| Germany                    | 17.2            | Spain                      | 17.2            |
| Greece                     | 17.2            | Sweden                     | 17.2            |
| Hungary                    | 17.2            | United Kingdom             | 17.2            |
| Ireland                    | 17.2            | Turkey                     | 17.2            |
| Israel                     | 17.2            |                            |                 |
| Italy                      | 17.2            |                            |                 |
| Latvia                     | 17.2            |                            |                 |

## **Annex 6: COUNTRY SPECIFIC ELIGIBILITY RULES**

The conditions and rules expressed in the next Participating State sections apply only to the participants of that Participating State in particular as to their eligibility for national funding or as to the attribution of national funding.

**Austria**National contact person for ECSEL JU programme

| Country | Name      | First name | Tel                | E-mail   |
|---------|-----------|------------|--------------------|--|
| AUSTRIA | Vierbauch | Doris      | +43 (0)5 7755-5024 | <a href="mailto:doris.vierbauch@ffg.at">doris.vierbauch@ffg.at</a> |

## 1 National Eligibility Criteria for Austrian Participants

### 1.1 Legal requirements for the eligibility of a partner or a project

#### 1.1.1 Type or nature of participants<sup>12</sup>

Legal entities, partnerships and sole traders that are not part of the Austrian federal administration are eligible to receive funding.

*The following are eligible for funding:*

- **Companies of any legal form**
- **Institutions of research and knowledge dissemination**
  - Universities and universities of applied sciences
  - Non-university research institutions
  - Technology transfer institutions, innovation agents and other research-oriented organisations such as associations with a relevant purpose
- **Other non-commercial institutions**
  - Local authorities<sup>13</sup> and autonomous bodies
  - Non-profit making organisations such as NPOs<sup>14</sup>

#### 1.1.2 Legal, administrative and financial conditions

The national application of Austrian partners has to be submitted electronically via eCall: <https://ecall.ffg.at> before the deadline of the project outline submission and before the deadline of the Full Project Proposal submission respectively.

Formal correctness and completeness of the application are examined in a formal check.

<sup>12</sup> “Guidelines for Cooperative R&D Projects” (Version 2.2, section 1.4)

<sup>13</sup> Activities of local authorities falling within their statutory mandate are not eligible for funding.

<sup>14</sup> “Non-profit making organisations” do not distribute profits to their owners, members or other natural persons or legal entities in accordance with their legal status or articles of association.

FFG experts will check the financial potential (credit rating and liquidity) of the participating enterprises. It is not possible to provide funding to undertakings in difficulty<sup>15</sup>.

Austrian Partners have to provide the following documents:

- Companies have to upload the balance sheets of the last two years in the FFG eCall.
- The company size is to be determined according to the SME definition as specified by EU competition law: information on SME definition<sup>16</sup>.

### **1.1.3 Consortium configuration**

The ratio of the project volume (costs) between Austrian companies and Austrian research organisations has to be 1.5 to 1 or higher within each project.

### **1.1.4 Other Conditions**

All topics of the Annual Work Plan 2017 are eligible for national funding in Call 2017-1 and Call 2017-2. A certain amount of the available national budget is earmarked for the funding of national priorities:

- Being a national priority for national funding the key application “Smart Production” should receive a minimum funding of 2.5 Mio. €.
- Being a national priority for national funding the key application “Smart Mobility” should receive a minimum funding of 2.5 Mio. €.
- Projects addressing the national priorities “Smart Production” and “Smart Mobility” have to be in line with the prospective “ECSEL lighthouse initiatives”.

Projects addressing the national priority “Smart Mobility” have to be in line with the “Austrian Research, Development & Innovation Roadmap for Automated Vehicles – in particular chapter 4”<sup>17</sup>.”.

Individual Austrian project participations have to be balanced in relation to the total national commitment.

Project participations of Austrian partners are eligible for national funding only if they comprise mainly R&D activities.

## **1.2 Eligibility of costs and funding**

### **1.2.1 Eligibility of costs**

The eligibility of costs is in accordance with the national rules on eligible costs

<https://www.ffg.at/recht-finanzen/kostenleitfaden/version-2> (Kostenleitfaden V2.0) and the section 1.7 of the “Guidelines for Cooperative R&D Projects” (Version 2.2) from the FFG at:

[https://www.ffg.at/sites/default/files/downloads/call/guidelines\\_cooperative\\_rd\\_projects\\_v22.pdf](https://www.ffg.at/sites/default/files/downloads/call/guidelines_cooperative_rd_projects_v22.pdf)

Eligible costs must be allocable directly to the project. This means that:

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<sup>15</sup> Undertakings in difficulty as defined in the General block exemption Regulation (EU) N°651/2014 of 17 June 2014

<sup>16</sup> Information SME Definition: [https://www.ffg.at/recht-finanzen/rechtliches\\_service\\_KMU](https://www.ffg.at/recht-finanzen/rechtliches_service_KMU)

<sup>17</sup> Details can be obtained from the ECSEL website at FFG.

- they are incurred additionally to the normal operating costs during the funding period
- they are in accordance with the Funding Contract
- they can be evidenced by receipts

The earliest possible date for the start of the project is after submission of the application for funding.

Third-party costs are limited to 20% of the total costs per partner. Any excess must be justified in the national application.

## 1.2.2 Funding Rates

**Table 1 Funding rates of the national public subsidy**

|   | Percentage of the national subsidy to the beneficiaries <sup>18</sup> |                         |                  |  |
|---|---|-------------------------|------------------|--|
|   | Large enterprise  | Medium-sized enterprise | Small enterprise | Research institutions and other institutions <sup>19</sup> |
| <b>Industrial research (call 2017-1, RIA)</b>     | up to 25 %  | up to 30 %              | up to 40 %       | up to 35 %   |
| <b>Experimental development (call 2017-2, IA)</b> | up to 20 %  | up to 25 %              | up to 35 %       | up to 30 %   |

The funding rate varies depending on the research category and the type of partner:

- The company size is to be determined according to the SME definition as specified by EU competition law: information on SME definition<sup>20</sup>
- Industrial research correspond to the category “RIA - Research and Innovation Action” in the ECSEL Workplan for the year 2017
- Experimental development correspond to the category “IA - Innovation Action” in the ECSEL Workplan for the year 2017  
If the contribution to the project involves a commercial activity the funding rates for research institutions and other institutions are the same as those for enterprises.
- The centre of gravity of individual Austrian partner’s project participation has to be within the type of action that the overall project addresses (RIA/IA).  
Experimental development does not extend further than Technology Readiness Level (TRL) 7: System prototype demonstrated in operational environment.<sup>21</sup>

<sup>18</sup> calculation based on national eligible costs

<sup>19</sup> for non-commercial activities

<sup>20</sup> Information SME Definition: [https://www.ffg.at/recht-finanzen/rechtliches\\_service\\_KMU](https://www.ffg.at/recht-finanzen/rechtliches_service_KMU)

Exception: commercially usable prototypes and pilot projects if the developed product would be too expensive for demonstration and validation purposes alone. In justified exceptional cases funding may be provided up to Technology Readiness Level (TRL) 8. Market replication can not be funded.

### **1.3 Additional information to be provided at submission and other conditions**

- **Registration at the eCall System of the FFG** at <https://ecall.ffg.at> for **Project Outline stage AND Full Project Proposal stage** – completion of all relevant forms.
- Upload of relevant documents in the eCall, in particular “ECSEL 2017 work package description for Austrian partners” for FPP
- **For Full Project Proposal stage:** Description of the alignment with the “*Austrian Research, Development & Innovation Roadmap for Automated Vehicles<sup>22</sup>*” if the project is submitted in the topic “Smart Mobility”.

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<sup>21</sup> Guidelines for Cooperative R&D Projects” (Version 2.2, section 5.2)

<sup>22</sup> Details can be obtained from the ECSEL website at FFG.

**Belgium****National contact person for ECSEL JU programme**

| Country                 | Name    | First name | Tel                | E-mail   |
|-------------------------|---------|------------|--------------------|--|
| BELGIUM                 |         |            |                    |  |
| Flanders                | DEPREZ  | Francis    | +32 (0) 2 432 4301 | <a href="mailto:francis.deprez@vlaio.be">francis.deprez@vlaio.be</a>         |
| Brussels-Capital Region | REUMAUX | Mathilde   | +32 (0) 2 600 5031 | <a href="mailto:mreumaux@innoviris.brussels">mreumaux@innoviris.brussels</a> |

Funding authority websites: Flanders: [: http://www.vlaio.be/](http://www.vlaio.be/)

Brussels: [www.innoviris.be](http://www.innoviris.be)

**Legal requirements for the eligibility of a partner or a project****1) Type or nature of participants*****For Flanders:***

The participant must be a company established in the Flemish region, with a sustainable activity in this region, based upon a sound business model.

Flemish Strategic Research Centres (SOC) can be legitimate participants.

Research centres and universities can be legitimate participants in projects compliant to the Flemish O&O-subsidy conditions

***For Brussels:***

Participants in ECSEL projects wishing to receive a funding from Innoviris must be a company or a research organisation (in accordance with the definitions provided for by the General Block exemption Regulation for State Aid and the Brussels legislation regulating the action of Innoviris) established on the territory of the Brussels-Capital Region and performing RDI activities within the project.

Research organisations will only be awarded with a regional financial support if within the project they collaborate with a Brussels-based enterprise.



## **2) Legal, administrative and financial conditions**

### ***For Flanders:***

The participant can have no other public funding for the same activities.

In case of a multinational company, the application needs to be done by the local branch or subsidiary.

Research centres and universities may participate in accordance to the Flemish O&O-subsidy conditions.

For a project application by a research centre or university, the legitimate status of Strategic Research Centre (SOC) is mandatory. A specific agreement with IWT is compulsory. Flemish governmental funding outside IWT applies.

### ***For Brussels:***

The beneficiaries must:

- demonstrate a sustainable RDI activity in the Brussels-Capital Region and carry out, partly or totally, the activities planned in the project within this territory.
- prove a sound financial situation and their financial capability to cover the share of their expenses which will not be covered by public funding
- have fulfilled their obligations in the framework of past financial support they would have received from the region.

No other public funding (except the European contribution provided by the JU) can be received by the beneficiaries for the activities performed within the project. Any other funding must be declared at Innoviris.

## **3) Consortium configuration**

### ***For Flanders:***

Project application is done by either a company with a branch in Flanders or a legitimate Strategic Research Centre.

Projects need to be primarily executed to the benefit of these entities.

Applications by a Strategic Research Centre need to be stand-alone in Flanders.

### ***For Brussels:***

Research Organizations participating in a project may be awarded with a regional financial support but only in the framework of collaboration with a Brussels-based company.

## **4) Other conditions**

### ***For Flanders:***

Participants need to prove adequate (financial) means to execute the project and a potential to use the results.

The project should yield socio-economic effects which can be quantified by activities or investments by the Flemish participants after the completion of the project, in accordance with the ruling detailed in the document (except for project applications by Strategic Research Centres):

[http://www.iwt.be/sites/default/files/subsidies/documenten/O&O\\_toelichtingsdoc\\_valorisatie\\_sept2010.pdf](http://www.iwt.be/sites/default/files/subsidies/documenten/O&O_toelichtingsdoc_valorisatie_sept2010.pdf)

In case of potential military applications (including dual use), funding can be restricted.

***For Brussels:***

Exploitation and valorisation conditions:

Brussels-based participants must demonstrate their capability to carry out the tasks assigned to them in the project, exploit the results of the latter and the project's likelihood to have a positive impact on the Brussels-Capital Region's economy, employment and/or sustainable development.

**Eligibility of the costs and funding**

**1) Eligibility of costs**

***For Flanders***

Eligibility of costs is in accordance with the ruling of the O&O bedrijfssteun of Flanders, detailed in the documents related to <http://www.iwt.be/subsidies/oeno-bedrijfsproject>.

Eligible cost calculation will be done on the costs formulated in the ECSEL application.

In case of stand-alone Strategic Research Centre projects, ECSEL eligible cost system is applicable for both ECSEL and national funding

***For Brussels***

For ECSEL projects, the Brussels-Capital Region will align on the JU and will therefore not apply additional rules, such as the regional rules applicable for individual RDI projects, on the eligibility of costs. The eligible costs will therefore be those retained by the JU for the European contributions in accordance with the Horizon 2020 Rules for Participation.

## 2) Funding rates

### For Flanders

| Type of Organisation<br>Type of activity | Percentage of the national subsidy to the beneficiaries (1) |                    |                   |  |
|--|---|--------------------|-------------------|--|
|  | Large Enterprises, Groups and Associations of Enterprises   | Medium Enterprises | Small Enterprises | Public Research Institutes and Universities<br>(2) (3) |
| Industrial/Applied Research projects     | 60%-JU  | 70%-JU             | 80%-JU            | = JU (1:1 ratio)                                       |
| Experimental development projects        | 35%-JU  | 45%-JU             | 55%-JU            | = JU (1:1 ratio)                                       |

#### Notes:

- (1) These percentages are maxima and given under the constraints that the project proposal fulfils the ECSEL eligibility criteria and that no participant in the ECSEL project holds more than 70% of the total (international) ECSEL project budget.
- (2) The funding of stand-alone Strategic Research Centre contributions is determined by specific project related agreement with IWT. These projects have no specific funding limit. The eligible costs for these projects may be set equal to the ECSEL eligible costs.
- (3) The funding of public research institutes and universities in projects initiated by industrial participants in Flanders, is determined by the general principles of O&O-bedrijfsprojecten as published on the website (<http://www.iwt.be/subsidies/ono-bedrijfsproject>). The funding level of the participating (initiating) industrial partner applies.

Except for stand-alone Strategic Research Centre projects, funding is limited to € 3M per project. Total funding for not stand-alone Strategic Research Projects may be limited to € 4M. Funding to industrial participants may be limited if combined R&D funding (national and international) to an industrial participants exceeds IWT applicable ruling.

**For Brussels:**

| Type of Organisation<br>Type of activity | Percentage of the national subsidy to the beneficiaries (1) |                    |                   |   |
|--|---|--------------------|-------------------|---|
|  | Large Enterprises, Groups and Associations of Enterprises   | Medium Enterprises | Small Enterprises | Public Research Institutes and Universities |
| Industrial/Applied Research projects     | 65%-JU%   | 75%-JU%            | 80%-JU%           | 100%-JU%                                    |
| Experimental development projects        | 40%-JU%   | 50%-JU%            | 60%-JU%           | 100%-JU%                                    |

## Notes:

- (1) These percentages are maxima and given under the constraints that the project proposal fulfils the ECSEL eligibility criteria and that no participant in the ECSEL project holds more than 70% of the total (international) ECSEL project budget.

Project funding for Brussels may be limited to € 0,5M.

**Additional Information to be provided at submission and other conditions****For Flanders:**

Additional information is mandatory in the PO-phase, as in the Part C form detailed in the document

[http://www.iwt.be/sites/default/files/subsidies/documenten/ARTEMIS\\_ENIAC\\_templ\\_PartC\\_may2013.doc](http://www.iwt.be/sites/default/files/subsidies/documenten/ARTEMIS_ENIAC_templ_PartC_may2013.doc)

**For Brussels**

The submission of a Part C containing additional information is compulsory for all Brussels partners. The Part C template is available on the INNOVIRIS website <http://www.innoviris.be> (Financial Aid to enterprises / European Programmes/ECSEL).

**Bulgaria****National contact person for ECSEL JU programme**

| Country         | Name and surname | Telephone       | E-mail                          |
|-----------------|------------------|-----------------|---------------------------------|
| <b>Bulgaria</b> | Emil Komatichiev | +359(02)9407255 | e.komatichiev@mee.government.bg |

**Legal requirements for the eligibility of a partner or a project**

The legal requirements for the eligibility are the defined by:

[Regulation \(EU\) No 1290/2013](#) of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 – the Framework Programme for Research and Innovation (2014 – 2020)" and repealing Regulation (EC) No 1906/2006 (Article 26).

**Eligibility of the costs and funding****1) Eligibility of costs**

**Eligible costs** for a Bulgarian participant involved in an ECSEL project are defined by:

[Regulation \(EU\) No 1290/2013](#) of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 – the Framework Programme for Research and Innovation (2014 – 2020)" and repealing Regulation (EC) No 1906/2006 (Article 26).

[Regulation \(EU, EURATOM\) No 966/2012](#) of the European Parliament and the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002 (Article 126).

The maximum **indirect costs are 25 % (flat rate) of the direct costs without sub-contracting**.

**2) Funding rates**

The funding rates are the same as the EU rates.

**Additional Information to be provided at submission and other conditions**

## Czech Republic

### National contact persons for the ECSEL programme

| Country        | Name and surname    | National funding authority              | E-mail address   |
|----------------|---------------------|---|--|
| Czech Republic | Mr. Lukáš Levák     | Ministry of Education, Youth and Sports | <a href="mailto:lukas.levak@msmt.cz">lukas.levak@msmt.cz</a>       |
|                | Mrs. Jarmila Horská |   | <a href="mailto:jarmila.horska@msmt.cz">jarmila.horska@msmt.cz</a> |

The National Funding Authority (NFA) of the Czech Republic for the ECSEL programme is the **Ministry of Education, Youth and Sports** (hereinafter referred to as the “MEYS”), Department for Research and Development – Unit for European Research Area. Principal legal regulations and documents on public funding of research, development and innovation in the Czech Republic are available on the websites [www.msmt.cz/vyzkum-a-vyvoj](http://www.msmt.cz/vyzkum-a-vyvoj) and [www.vyzkum.cz](http://www.vyzkum.cz).

### Legal requirements for the eligibility of a partner or a project

#### *1) Type or nature of participants*

Public universities, public research institutes, private research organisations and/or other legal entities that can be classified as **“research and knowledge-dissemination organisations”** (hereinafter referred to as the “research organisation”) in accordance with the [Commission Regulation \(EU\) No 651/2014 of 17 June 2014](#) declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty (Chapter I, Article 2, Paragraph 83).

**“Enterprises”** – Small, medium and/or large-sized enterprises as defined by the [Commission Regulation \(EU\) No 651/2014 of 17 June 2014](#) declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty (Chapter I, Article 2, Paragraphs 2 and 24), listed in Business Register of the Czech Republic and performing research, development and innovation in the Czech Republic.

#### *2) Legal, administrative and financial conditions*

Public funding of research, development and innovation in the Czech Republic is provided pursuant to the **Act No. 130/2002 Coll. on the Support of Research, Experimental Development and Innovation from Public Funds** and on the Amendment to Some Related Acts (hereinafter referred to as the “Act on the Support of Research, Experimental Development and Innovation”).

#### *3) Consortium configuration*

**The Czech fraction of an ECSEL project consortium must be configured from at least one enterprise and at least one research organisation**, both these entities fulfilling the requirements stipulated in the clause 1 “Type or nature of participants”, thus complying with the Public-Private-Partnership principle.

#### *4) Other conditions*

It is obligatory that a Czech participant involved in an ECSEL project consortium proves its compliance with the eligibility criteria and fulfilment of the conditions stipulated by § 18 of the Act on the Support of Research, Experimental Development and Innovation by the means of a **Statutory Declaration**. The required procedures are described and the Statutory Declaration template is

available on the websites [www.msmt.cz/vyzkum-a-vyvoj-2/spolecne-technologicke-iniciativy-5](http://www.msmt.cz/vyzkum-a-vyvoj-2/spolecne-technologicke-iniciativy-5).

### Eligibility of the costs and funding

#### *1) Eligibility of costs*

**Eligible costs** for a Czech participant involved in an ECSEL project consortium are defined by:

[Regulation \(EU\) No 1290/2013 of the European Parliament and of the Council of 11 December 2013](#) laying down the rules for participation and dissemination in "Horizon 2020 – Framework Programme for Research and Innovation (2014 – 2020)" and repealing Regulation (EC) No 1906/2006 (Article 26).

[Regulation \(EU, EURATOM\) No 966/2012 of the European Parliament and the Council of 25 October 2012](#) on the financial rules applicable to the general budget of the Union and repealing the Council Regulation (EC, Euratom) No 1605/2002 (Article 126).

The maximum **indirect costs are 25 % (flat rate) of the direct costs without the sub-contracting**.

#### *2) Funding rates*

The MEYS consider the **Research and Innovation Actions (RIA)** being industrial research projects and the **Innovation Actions (IA)** being experimental development projects. Given these circumstances, the maximum intensity of the MEYS aid will be derived from the [Commission Regulation \(EU\) No 651/2014 of 17 June 2014](#) declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty (Chapter III, Section 4, Article 25, Paragraph 5).

The aid intensity for industrial research and experimental development will not be increased by the MEYS although the Czech participants in an ECSEL project consortium meet the conditions stipulated by the [Commission Regulation \(EU\) No 651/2014 of 17 June 2014](#) declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty (Chapter III, Section 4, Article 25, Paragraph 6). The aid intensities stipulated in the table below are definitive.

| <b>Funding rates</b>   | <b>Large enterprises</b>               | <b>Small and medium sized enterprises</b> | <b>Research organisations*</b>  |
|--|--|---|---------------------------------|
| Research and Innovation Actions (RIA) projects<br>= <b>Industrial Research</b> | 50 % including EU contribution         | 70 % including EU contribution            | 100 % including EU contribution |
| Innovation Actions (IA) projects<br>= <b>Experimental Development</b>          | 20 % + EU contribution<br>(up to 40 %) | 25 % + EU contribution<br>(up to 50 %)    | 100 % including EU contribution |

\* **The aid intensity for research and development activities carried out by the research organisation might be at the level of 100 % (EU and the Czech national contribution included) only if the research organisation entirely complies with the requirements stipulated by the Article 2.1.1 "Public funding of non-economic activities" of [Framework for State Aid for Research and Development and Innovation \(2014/C 198/03\)](#) and proves it by the means of a **Statutory Declaration** submitted to the MEYS using the form available on websites [www.msmt.cz/vyzkum-a-vyvoj-2/spolecne-technologicke-iniciativy-5](http://www.msmt.cz/vyzkum-a-vyvoj-2/spolecne-technologicke-iniciativy-5).**

If a legal entity does not comply with all the requirements stipulated for the research organisation, it will be considered as an enterprise (small, medium or large) and the aid intensity will be then adjusted appropriately by the MEYS.

**Additional Information to be provided at submission and other conditions**

All the information concerning additional requirements stipulated by the MEYS for the ECSEL program are available on websites [www.msmt.cz/vyzkum-a-vyvoj-2/spolecne-technologicke-iniciativy-5](http://www.msmt.cz/vyzkum-a-vyvoj-2/spolecne-technologicke-iniciativy-5).



## Denmark

### National contact person for ECSEL JU programme

| Country | Name    | First name | Tel           | E-mail   |
|---------|---------|------------|---------------|--|
| Denmark | Vittrup | Jens Peter | +45 6190 5023 | <a href="mailto:Jens.peter.vittrup@innofond.dk">Jens.peter.vittrup@innofond.dk</a> |

Denmark's national public funding authority for ECSEL is InnovationsFonden. InnovationsFonden's funding principles can be found at:

[www.innofonden.dk](http://www.innofonden.dk)

- No DK budget has been allocated by to the ECSEL 2016 call for proposals.
- DK organisations wishing to participate in ECSEL 2016 will have to self-fund.

**Finland*****Name of Participating State: Finland*****National contact person for ECSEL JU programme**

| Country | Name   | First name | Tel              | E-mail   |
|---------|--------|------------|------------------|--|
| Finland | Markus | Kari       | +358 50 5577 864 | <a href="mailto:kari.markus@tekes.fi">kari.markus@tekes.fi</a> |
|         | Ahola  | Kimmo      | +358 50 5577 756 | <a href="mailto:kimmo.ahola@tekes.fi">kimmo.ahola@tekes.fi</a> |
|         | Leino  | Kari       | +358 50 5577 698 | <a href="mailto:kari.leino@tekes.fi">kari.leino@tekes.fi</a>   |

Finland's national public funding authority for ECSEL is Tekes, the Finnish Funding Agency for Innovation. Tekes funding principles can be found at:

[www.tekes.fi/en](http://www.tekes.fi/en) (English)

[www.tekes.fi](http://www.tekes.fi) (Finnish)

**Legal requirements for the eligibility of a partner or a project****1) Type or nature of participants**

- **Companies (enterprises)**
- **Industry associations**
- **Universities and polytechnics**
- **Public research institutes and similar research organizations**

**2) Legal, administrative and financial conditions**

- **A company has considerable industrial or R&D&I activities in Finland**
- **A company has a clear financial record and has the financial capability to cover its own expenses during the project (e.g. the company must show positive equity at decision taking)**

**3) Consortium configuration**

- **A public research institute, university or a polytechnic shall be accompanied in the project by at least two eligible companies in Finland**
- **Research and Innovation Actions (RIA) projects: The project volume (costs) of public research institutes, universities and polytechnics from Finland combined shall not exceed 50 % of the total volume (costs) of Finnish participants based on national (Tekes) funding rules**
- **Innovation Action (IA) projects: The project volume (costs) of public research institutes, universities and polytechnics from Finland combined shall not exceed 30 % of the total volume (costs) of Finnish participants based on national (Tekes) funding rules**

**4) Other conditions**

- The project participation should have sufficient positive impact on the Finnish economy or society.
- Priority is given to the topics that are not covered by already funded ECSEL projects.

**Eligibility of the costs and funding for ECSEL Call 2017****1) Eligibility of costs**

Eligibility of the costs is in accordance with the national (Tekes) funding rules.

**2) National public funding**

| Type of activity               | Large Enterprises                  | Small and Medium Enterprises       | Public Research Institutes and Universities |
|--------------------------------|------------------------------------|------------------------------------|---|
| Research and Innovation action | 20 % grant                         | 35 % grant                         | 38 % grant                                  |
| Innovation Action              | 20 % grant<br>or<br>Max. 50 % loan | 35 % grant<br>or<br>Max. 50 % loan | 38 % grant                                  |

**Additional Information to be provided at submission and other conditions**

Every participant in Finland should submit a separate Tekes funding application within 14 days of ECSEL call closure date.

## France

### National contact person for ECSEL JU programme

| Country | Name    | First name | Tel            | E-mail                           |
|---------|---------|------------|----------------|----------------------------------|
| France  | Fontana | Quentin    | 01 79 84 30 19 | quentin.fontana@finances.gouv.fr |

Website reference:

[www.entreprises.gouv.fr/secteurs-professionnels/initiatives-technologiques-conjointes-jti](http://www.entreprises.gouv.fr/secteurs-professionnels/initiatives-technologiques-conjointes-jti)

### Legal requirements for the eligibility of a partner or a project

The items published in French in the following text are the official national eligibility criteria for funding. The items published in English are a translation. The text in French takes precedence over the text in English.

The partners of an ECSEL project proposal submitted for funding in the calls of 2016 have to comply with all the criteria mentioned in the present document to be eligible for funding by the French National Authorities.

Pour être admissibles à un financement par les autorités françaises, les partenaires d'un projet des appels ECSEL 2016 sollicitant un tel financement doivent respecter l'ensemble des critères énumérés dans le présent document.

The present criteria are without prejudice to the application of legal rules and regulations concerning the allocation of public funding by the French State.

Les présents critères ne préjugent pas de l'application des règles légales et réglementaires en vigueur concernant l'attribution de subventions par l'État français.

#### 1) Type or nature of participants

- Private and public companies of all sizes
  - Universities
  - Research Institutes
- 
- Entreprises privées ou publiques de toute taille
  - Universités
  - Instituts de recherche

## **2) Legal, administrative and financial conditions**

The work to be done by the partners must neither have already benefited from public funding (excluding generic fiscal aid) nor be redundant with similar projects already funded by French authorities.

Les travaux ne doivent pas déjà avoir fait l'objet d'un soutien public (hors mesures fiscales génériques) ni être en redondance avec des travaux similaires financés par les autorités françaises.

The financial situation of each private partner must be validated (financial structure, cash flow, operating accounts) and considered compatible (activity volume, workforce, financial capability) with the amount and the content of the eligible costs as well as with the amount of the demanded aid and of the already granted public aid.

La situation financière de chaque partenaire privé doit être validée (structure financière, flux de trésorerie, compte d'exploitation) et jugée compatible (volume d'activité, moyens humains, moyens financiers) avec le montant et le contenu de l'assiette des dépenses ainsi qu'avec le montant de l'aide sollicitée et des aides publiques déjà accordées par ailleurs.

## **3) Consortium configuration**

The ratio of companies in the total eligible costs of the French participants must represent at least two thirds of this total amount.

La part des entreprises dans l'assiette totale admissible au financement des autorités françaises doit représenter au moins les deux tiers de cette assiette.

## **4) Other conditions**

**Projects wishing to benefit from the funding rates specifics to the PIA label (as described in the the part « funding rate » of this document), must have received from the French competent authorities, a « PIA » label specific to R&D fields selected to the « programme d'investissement d'avenir ».**

**Innovation projects (TRL 5 to 8) must have received previously a « PIA » label, or a label from the « Direction Générale des Entreprises » (DGE) specific to strategic R&D programs, such as the program « Nano2017 ».**

**Partners who want to submit their projects to the labels PIA or DGE, are invited to contact the national correspondent right after the « Project Outline » submission.**

**Pourront bénéficier des taux spécifiques au label PIA (tels que détaillés dans la partie « funding rate » de ce document), les projets ayant reçu le label « PIA », décerné par les autorités françaises compétentes, au titre des axes de R&D retenus par le programme d'investissement d'avenir.**

**Les projets d'innovation (TRL 5 à 8) doivent, au préalable, avoir reçu le label PIA ou avoir été labellisés par la Direction Générale des Entreprises (DGE) au titre de programmes de R&D stratégiques, tels que le programme « Nano2017 ».**

**Les partenaires souhaitant soumettre leurs projets aux labellisations PIA ou DGE, sont invités à prendre contact dès le dépôt de la « Project Outline » avec le correspondant national.**

The partners must contribute to achieve one or several significant technological breakthroughs with the objective of designing or improving products, services or processes, and must set-up a capability to make these products or processes. These must have a sufficient potential impact on their activity in the European Union and in particular in France, in terms of employment, competitiveness, value creation and growth at short or medium-term.

Les partenaires doivent contribuer à lever un ou plusieurs verrous technologiques significatifs en vue de concevoir ou d'améliorer des produits, services ou procédés, ainsi que mettre en place les moyens de réalisation de ces produits et procédés. Ceux-ci doivent présenter pour eux des perspectives suffisantes de retombées sur le territoire de l'Union européenne, et notamment en France, en termes d'emplois, de compétitivité, de création de valeur et d'activité économique à court ou moyen terme.

The tasks assigned to partners must be well specified and should consist in « experimental development » or « industrial research » as defined in the R&D&I framework. « Fundamental research » will not be considered as eligible. In accordance with the R&D&I framework, the aid to each company must have an incentive effect on its R&D&I activities.

Les travaux réalisés par les partenaires doivent être bien spécifiés et pouvoir être considérés comme « développement expérimental » ou « recherche industrielle » au sens de l'encadrement des aides à la RDI. Les travaux de « recherche fondamentale » ne sont pas admissibles. Conformément à l'encadrement des aides à la RDI, l'aide à chaque entreprise doit avoir un effet d'incitation sur ses activités de RDI.

## **Eligibility of the costs and funding**

### **1) Eligibility of costs**

The French eligible costs will be based on the amount obtained using the financial data sheets available on the aforementioned web site, which will have to be filled by each French partner.

Les coûts éligibles français seront basés sur le montant obtenu en remplissant les annexes financières des autorités françaises, disponibles sur le site web précédemment mentionné.

### **2) Funding rates**

The following funding rates will be applied by French public authorities.

If the projects have received, from the French competent authorities, a label called «PIA», then the rate followed by \*\* are applied.

Les taux d'aide suivants seront appliqués par l'Etat français.

Pour les projets ayant reçu, par les autorités françaises compétentes, un label appelé «PIA», les taux suivis de \*\* sont appliqués.

| Type of partner  | Calls RIA (Research and Innovation Action) and IA (Innovation Action) |
|------------------|---|
| Industry         | 10%(15%**) )  |
| SME              | 10%(30%**) )  |
| RTO              | 15%   |
| Univ, non profit | 60%   |

### **Additional Information to be provided at submission and other conditions**

In parallel to the documents sent to the ECSEL JU, the French leader of each submitted project will have to send to the French public authorities, a file containing **all documents mentioned on the French web site, and this for all the French partners in the project.**

En complément du dossier de soumission du projet, transmis à l'entreprise commune, le responsable français de chaque projet doit adresser aux autorités françaises un dossier contenant **l'ensemble des documents spécifiés sur le site web de la DGE précédemment indiqué, et ceci pour chacun des partenaires français.**

The application submitted must **contain all elements which will allow the French authorities to assess and justify the eligibility of the aid** asked by the partners. In particular, the application must include, besides the documents required for application to the Joint Undertaking call and all documents listed in the reference website, information specifying for each partner the potential economic impact in the European Union in terms of employment, competitiveness, value creation and economic activity, as well as the positioning of the partner on the targeted markets and the timeframe of this impact.

Le dossier soumis doit **présenter les éléments permettant aux autorités françaises d'apprécier et de justifier l'admissibilité de l'aide** demandée par les partenaires. En particulier, le dossier doit comprendre, outre les documents requis au titre de l'appel à projets de l'entreprise commune et les documents spécifiés sur le site internet de référence, **une fiche précisant, pour chaque partenaire, les perspectives de retombées économiques sur le territoire de l'union européenne, en termes d'emploi, de compétitivité, de création de valeur et d'activité économique, ainsi que le positionnement du partenaire sur les marchés visés et l'horizon temporel de ces retombées.**

## Germany

### National contact people for the ECSEL JU programme

| Country | Name     | First name | Tel               | E-mail   |
|---------|----------|------------|-------------------|--|
| Germany | Rittner  | Johannes   | +49 30 310078 230 | <a href="mailto:Johannes.Rittner@vdivde-it.de">Johannes.Rittner@vdivde-it.de</a> |
| Germany | Schröder | Sabine     | +49 30 670 55 772 | <a href="mailto:Sabine.Schroeder@dlr.de">Sabine.Schroeder@dlr.de</a>             |

### Applicable documents

- German ECSEL website: <http://www.ecsel-ju.de>
- The German Federal Government's Framework programme for Research and Innovation 2016-2020 „Mikroelektronik aus Deutschland – Innovationstreiber der Digitalisierung“: [https://www.bmbf.de/pub/Rahmenprogramm\\_Mikroelektronik.pdf](https://www.bmbf.de/pub/Rahmenprogramm_Mikroelektronik.pdf) (English translation: „Microelectronics from Germany – Driver of innovation for the digital economy“ <http://www.elektronikforschung.de/dateien/publikationen/research-programme-microelectronics-from-germany.pdf>).
- Strategic framework „Die neue Hightech-Strategie – Innovationen für Deutschland“: [http://www.bmbf.de/pub/hts/HTS\\_Broschüre\\_Web.pdf](http://www.bmbf.de/pub/hts/HTS_Broschüre_Web.pdf) (English version at <http://www.hightech-strategie.de/de/The-new-High-Tech-Strategy-390.php>)
- For additional funding for partners from Saxony (see below): Sächsische ECSEL-Förderrichtlinie <http://www.revosax.sachsen.de/vorschrift/14170>

### Criteria and rules for the eligibility of a partner or a project

#### 1) Type or nature of participants

- Commercial companies in Germany
- State and non-state institutions of higher education and non-university research establishments in projects with commercial companies in Germany

#### 2) Legal, administrative and financial conditions

A contribution of German partners within the Work Plan 2016 is nationally eligible for funding by the BMBF

- if the contribution of the national partners focuses on research in electronics and smart systems;
- or
- if the contribution of the national partners focuses on research in software-intensive cyber-physical systems and the innovation is clearly in software.

Partners from Saxony will typically receive combined funding from the BMBF and Saxony based on a memorandum of understanding between these two parties ([https://www.bmbf.de/files/BMBF-Sachsen\\_Gemeinsame\\_Erklärung\\_zur\\_Foerderung\\_in\\_ECSEL.pdf](https://www.bmbf.de/files/BMBF-Sachsen_Gemeinsame_Erklärung_zur_Foerderung_in_ECSEL.pdf)). The Saxon funding decision will be based on the criteria listed in the Annex of the Sächsische ECSEL-Förderrichtlinie: <http://www.revosax.sachsen.de/vorschrift/14170>. Partners applying for funding from Saxony need to submit the appropriate form (available via <http://www.ecsel-ju.de>) in parallel with the BMBF grant application (see below).

Note:



Since 01.01.2012 national funding for R&D&I projects on electromobility is financed from the Energy and Climate Fund (Energie- und Klimafonds, EKF). Funding of such projects is subject to the availability of financial resources from the EKF.

- It is required that project proposals contribute significantly to “The new High-Tech Strategy – Innovations for Germany” and to the above-mentioned framework programme “Mikroelektronik aus Deutschland – Innovationstreiber der Digitalisierung”.
- The work planned by the partners must neither have already benefited from public funding nor be redundant with similar projects that are already being funded or that are under consideration in another programme.
- R&D&I projects shall relate to societally relevant questions. An essential ambition of funding is to strengthen the position of project partners and companies located in Germany which aim to exploit research results in Germany and Europe, as well as to accelerate technology transfer from the pre-competitive area into practical applications. Projects should illustrate the added value of R&D&I results on the basis of an appropriate application, e.g. a demonstrator.
- Funding will be allocated to R&D&I projects which promise a lasting benefit for Germany and Europe in terms of safeguarding and creating employment, maintaining competitiveness and increasing added value. Projects with a greater national and European added value are a greater priority for funding.
- Reimbursement rates requested in national grant applications should correspond to the TRL of the planned work and the type of applicant. Each national grant application will be assessed individually to determine the maximum total reimbursement rate as well as the nationally eligible costs/expenditures.
- To be eligible for national funding the overall effort of any project in the field of software-intensive cyber-physical systems with participants from Germany shall be at least 100 person years. Additionally, German participation in this project shall be at least 10% of the overall effort. Moreover, each German partner shall contribute substantially to the effort of the German consortium.
- The full project proposal (FPP) submitted to the ECSEL JU shall include a fully completed “National Grant” table. The “National Grant” table shall include the budget established according to the national rules for cost eligibility. Each German partner shall use the rules applicable in Germany for purely national funding.
- National grant applications shall not be handed in before they are requested by the national funding authority. In case the FPP is selected to be funded, the national funding authority will contact each partner individually in order to request a national grant application (for details please visit <http://www.ecsel-ju.de>).

### **3) Consortium configuration**

- As ECSEL is an industry-driven programme each consortium has to reflect an appropriate balance between industrial companies, RTOs and academia: the ratio of efforts (in person months) between companies and research institutions from Germany in any given project shall be 2:1 or higher.
- Germany aims at a high participation of SMEs and supports the Horizon 2020 goal that a minimum of 20 % of the total public funding should be awarded to SMEs.

### **4) Other conditions**

In the field of software-intensive cyber-physical systems the key application “Smart production” (MASP 2017, Chapter 5) and the technology field “Cyber-physical systems” (MASP 2017, Chapter 8) are a priority for national funding.

### **TRL 2 – 4: application-oriented projects**

Subjects to be funded in the ICT sector are high-risk industrial research projects and development projects of civil nature and civil use prior to competition which focus on cross-border technologies and an application oriented approach, meet a sufficiently high level of innovation and could not be accomplished without funding.

## **TRL 5 – 8: production-related projects**

Subjects to be funded in the ICT sector are high-risk industrial research and development projects of civil nature and civil use related to production prior to competition which focus on experimental development, meet a sufficiently high level of innovation and which could not be accomplished without funding.

The following projects are not eligible for BMBF funding:

- Projects in entertainment and gaming
- Projects that do not have an exclusive focus on civil applications and civil exploitation
- Projects of pure basic research

## **Eligibility of the costs and funding**

### **1) Eligibility of costs**

- The eligibility of costs is regulated in the BMBF's standard terms and conditions for grants on expenditure or cost basis and the administrative regulations under sections 23 and 44 of the Federal Budget Code (BHO).
- Identical rules will be applied in cases where applicants request funding from Saxony.

### **2) Funding and funding rates**

- Financial BMBF support may be awarded in the form of grants to participants through project funding as non-repayable grants.
- Project grants will be awarded in accordance with the BMBF's standard terms and conditions for grants on expenditure or cost basis and the administrative regulations under sections 23 and 44 of the Federal Budget Code (BHO).
- The "General Conditions for the Allocation of Benefits to Commercial Companies on a Costs Basis" (NKBF 98) and the „General and Specific Conditions for the Allocation of Benefits on an Expenditure Basis“ (ANBest-P or ANBest-GK and BNBest-BMBF 98) respectively form part of any notification of the award of grants.
- For project grants from regional German funding authorities (Länder) specific rules and conditions may apply.
- Universities may request a "Projektpauschale", which will be granted on the national funding part managed by the BMBF.
- The national funding aims at mirroring the funding which a participant actually receives from the Joint Undertaking in absolute amounts (EUR), matching up to 1:1. Furthermore, the total public funding (EU + BMBF + any other public funding) will not exceed the level that usually applies for purely national funding, in line with EU state aid rules, national funding policies, budgetary considerations, and the project structure. The national funding may therefore be below a 1:1 ratio per partner.

## **Additional Information to be provided at submission and other conditions**

- Applicants from Germany need to use the electronic application system "easy-Online" for formal national applications upon request by the national funding authority. In addition, they must submit each grant application by mail including a legally binding signature and a short description for all cost positions as well as an exploitation plan of the planned project in German language.
- Partners applying for funding from Saxony need to submit the appropriate form (available via <http://www.ecsel-ju.de>) in parallel with the BMBF grant application.

- Applicants should take care to ensure a consistent presentation of the project costs in the national and the European grant application, taking into account the respective criteria for the eligibility of costs.
- If additional information is requested, it will be specified in the national funding authority's request to submit a formal application.
- Guidelines, information for applicants and the auxiliary terms and conditions for the award of grants are available at "Formularschrank BMBF":  
[https://foerderportal.bund.de/easy/easy\\_index.php?auswahl=easy\\_formulare&formularschrank=bmbf](https://foerderportal.bund.de/easy/easy_index.php?auswahl=easy_formulare&formularschrank=bmbf)  
(except for funding from Saxony, for which see above).
- There is no legal entitlement to the award of a grant. BMBF will take a decision after due assessment of the circumstances and within the framework of the budget funds available.

## Hungary

### National contact person

| Country | Name    | First name | Telephone      | E-mail                    |
|---------|---------|------------|----------------|---------------------------|
| Hungary | Divinyi | Agnes      | +36 1 896-3754 | agnes.divinyi@nkfi.gov.hu |

National Funding Authority: National Research, Development and Innovation Office (1077 Budapest, Kéthly Anna tér 1.)  
website: [www.nkfi.gov.hu](http://www.nkfi.gov.hu)

### Legal requirements for the eligibility of a partner or a project

#### Type of participants

The following types of organisations are eligible for funding:

- Business enterprises with legal entity registered in Hungary;
- Foreign-registered enterprises with branch office in Hungary;
- Non-profit organisations with legal entity registered in Hungary;
- Public bodies or their institutes with legal entity

#### Legal, administrative and financial conditions

In order to conclude the national grant agreement the Hungarian applicants have to comply with the regulations of Act CXCV of 2011 on Public Finance, Government Decree No. 368/2011 on the implementation of Act on Public Finance, Government Decree No. 380/2014 on the rules of operation and use of National Research, Development and Innovation Fund.

Applicants are expected to contribute their own financial resources to the project costs. This amount depends on the project activities and the applicant's organization form. The own financial resources shall be determined by prevailing law.

#### Consortium configuration

Hungarian consortium members shall be autonomous<sup>23</sup> regarding their relation with each other in the consortium.

### Eligibility of costs and funding

#### Eligible costs

- Personnel costs: salaries, social security charges and other costs included in the usual remuneration of personnel assigned to the action based on the number of annual productive hours (excluding premium, cafeteria etc.),
- travel costs and related subsistence allowances,
- cost of other goods and services (e.g. consumables and supplies),
- subcontracting,
- equipment costs (depreciation) and immaterial expenses (depreciation),
- indirect costs (flat rate of 10% of total direct eligible costs, excluding direct eligible costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the beneficiary).

Ineligible costs in particular: deductible VAT, currency exchange losses, bank costs, mortgage costs, guarantee costs, interest owed, penalties and fines, debt and debt service charges, membership fee,

<sup>23</sup> autonomous: the enterprise is either completely independent or has one or more minority partnerships (each less than 25%) with other enterprises

representation costs, public procurement costs, excessive or reckless expenditure, costs incurred during suspension of the implementation of the action etc.

### Funding rates

Funding rates are based on Article 25 (aid for research and development projects) of Commission Regulation (EU) No 651/2014 of 17 June 2014 on declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty.

| Type of Organisation        | Percentage of maximum subsidy (EU contribution and national funding together) to the beneficiaries (calculated on the basis of the national eligible costs) |                    |                   |  |
|-----------------------------|---|--------------------|-------------------|--|
|                             | Large Enterprises   | Medium enterprises | Small Enterprises | Public Research Institutes, Universities, non-profit organisations |
| Type of activity            |   |                    |                   |  |
| Fundamental/Basic research  | 100%  | 100%               | 100%              | 100%   |
| Industrial/Applied Research | up to 65%   | up to 75%          | up to 80%         | 100%   |
| Experimental development    | up to 40%   | up to 50%          | up to 60%         | 100%   |

The aid intensity of

- industrial research is 50% and
- experimental development is 25%,

however these rates may be increased

- by 20 percentage points for small enterprises and
- by 10 percentage points for medium-sized enterprises.

Funding intensity per member may be increased by a further 15 percentage points up to a maximum of 80% (this means the whole public funding, i.e. Hungarian national funding + EC funding) if one of the following conditions are fulfilled:

- the project is implemented through effective collaboration
  - between undertakings among which at least one is an SME, or is carried out in at least two Member States, or in a Member State and in a Contracting Party of the EEA Agreement, and no single undertaking bears more than 70 % of the eligible costs, or
  - between an undertaking and one or more research and knowledge-dissemination organisations, where the latter bear at least 10 % of the eligible costs and have the right to publish their own research results
- the results of the project are widely disseminated through conferences, publication, open access repositories, or free or open source software.

Coordination, dissemination and IP protection activities are financed as de minimis aid, which has 100% funding rate.

Maximum national grant amount for an entity in a project is HUF 200 million.

### Additional Information to be provided at submission and other conditions

Please note that Hungarian project partners shall submit a proposal to the National Funding Authority for national financing if the project has been selected and approved for funding through the international evaluation and selection process.

A legal entity is allowed to participate in more than one project proposals, but in case of successful evaluation it will be financed in the framework of only one project.

**Ireland****National contact person for ECSEL JU programme**

| Country | Name     | First name | Tel             | E-mail   |
|---------|----------|------------|-----------------|--|
| Ireland | O'Reilly | Stephen    | +353 21 4800217 | <a href="mailto:stephen.oreilly@enterprise-ireland.com">stephen.oreilly@enterprise-ireland.com</a> |

[www.enterprise-ireland.com/JTIs](http://www.enterprise-ireland.com/JTIs)

**Legal requirements for the eligibility of a partner or a project****1) Type or nature of participants**

Companies that are eligible to receive R&D funding from one of the following agencies will be considered for funding; Enterprise Ireland, IDA Ireland or Udaras na Gaeltachta.

Irish third level research performing organisations will also be considered for national funding.

**2) Legal, administrative and financial conditions**

The relevant national funding agency should be satisfied that a company seeking national funding has the potential to derive a benefit, proportionate to the national funding being sought, through the exploitation of the results of the proposed project or otherwise.

All participants are advised to contact the relevant national funding agency before committing to participate in any proposal.

Higher Education Institutions will be eligible only if;

- there is also at least one Irish based company that meets the national eligibility criteria in the consortium, and
- the national funding agencies are satisfied that there will be a benefit from the participation of the Higher Education Institution, proportionate to the funding being sought, for an Irish based company or companies that the agencies are satisfied to support.

**3) Consortium configuration**

Projects should be introduced by companies and primarily executed to the benefit of these entities.

**4) Other conditions**

Example: eligibility conditions related to pilot lines

**Eligibility of the costs and funding****1) Eligibility of costs**

## 2) Funding rates

| Type of activity \ Type of Organisation | Percentage of the national subsidy to the beneficiaries <sup>24</sup> |                    |                   |   |
|---|---|--------------------|-------------------|---|
|   | Large Enterprises, Groups and Associations of Enterprises             | Medium Enterprises | Small Enterprises | Public Research Institutes and Universities |
|   | Up to 40%   | Up to 50%          | Up to 50%         | 100% less EU contribution                   |

### Additional Information to be provided at submission and other conditions

Only for the Full Project Proposal (not for the Project Outline):

Please note that each Irish participant must create a PDF file indicating how they meet the national eligibility criteria for funding as indicated in the Irish section of the Eligibility Criteria document published in the Call. You must upload this in the ECSEL JU Proposal Submission system as Part C of the **Full Project Proposal** (one file for each participant).

Note that Irish companies must clearly state in the proposal the following points:

1. From which of the three Irish agencies (Enterprise Ireland, IDA Ireland or Udaras na Gaeltachta) it is eligible to receive national R&D funding
2. Explain how it has the potential to derive a benefit, proportionate to the national funding being sought, through the exploitation of the results of the proposed project or otherwise.

<sup>24</sup> With regard to the size of the enterprise, the respective SME definition according to EU competition law applies as amended (definition of small and medium-sized enterprises according to Recommendation 2003/361/EC of the Commission of 6 May 2003, (OJ L 124 of 20.5.2003, pp 36-41) [http://ec.europa.eu/enterprise/enterprise\\_policy/sme\\_definition/index\\_en.htm](http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm)

**Israel****National contact person for ECSEL JU programme**

| Country | Name            | First name | Tel               | E-mail   |
|---------|-----------------|------------|-------------------|--|
| Israel  | Zeevi-Balasiano | Aviv       | +972 (0)35118-121 | <a href="mailto:aviv@iserd.org.il">aviv@iserd.org.il</a>   |
| Israel  | Daar            | Hadas      | +972 (0)35118-123 | <a href="mailto:hadas@iserd.org.il">hadas@iserd.org.il</a> |

<http://www.economy.gov.il/RnD/pages/default.aspx>

**Legal requirements for the eligibility of a partner or a project****1) Type or nature of participants**

The following legal entities are eligible for funding:

Industrial enterprises registered in Israel, with an R&D capabilities

**2) Legal, administrative and financial conditions**

The national rules on eligible costs for Israeli participants are available from the Ministry of Economy website at:

<http://www.economy.gov.il/Legislation/Procedures/Procedures/ChiefScientist200-03.pdf>

**3) Consortium configuration**

Israeli universities may take part as a sub-contractor of an Israeli company in a consortium

**4) Other conditions**

- financial viability and business soundness is verified by means of an internal check - companies that are in danger of insolvency cannot be funded

**Eligibility of the costs and funding****1) Eligibility of costs****I. Eligible costs as direct costs**

- Costs of personnel (up to 30,000 NIS per month)
- Costs of durable equipment (depreciation of 3 years)
- Consumables and supplies
- Subcontracting
- Other costs:



*Events- Ineligible*

*Travel -up to 20,000 NIS per year*

*Subsistence allowance- Ineligible*

II. Indirect Costs: Overheads - 20% on the salary cost

## 2) Funding rates

Israel intends to provide the following quota of the available national funds:

- All enterprises should receive at least 20% of total national funding
- Enterprises in the periphery should receive at least 40% of total national funding

| Type of Organisation<br>Type of activity | Percentage of the national subsidy to the beneficiaries |                              |   |
|--|---|------------------------------|---|
|  | Enterprises, Groups and Associations of Enterprises     | Enterprises in the Periphery | Public Research Institutes and Universities |
| Fundamental/Basic Research               | 20-50% - EU Contribution                                | 40-50% - EU Contribution     | as a sub-contractor                         |
| Industrial/Applied Research projects     | 20-50% - EU Contribution                                | 40-50% - EU Contribution     | as a sub-contractor                         |
| Experimental development projects        | 20-50% - EU Contribution                                | 40-50% - EU Contribution     | as a sub-contractor                         |

EU Contribution is the contribution of European Union. Calculated EU contribution is based on the cost eligibility based on H2020.

### Additional Information to be provided at submission and other conditions

Please check the document (the application procedure for Israeli entities for Call 2016 will be available soon): <http://www.iserd.org.il/?CategoryID=331&ArticleID=216>

**Italy****For Ministry of Education, University and Research (MIUR) – National funds****National contact person for ECSEL JU programme**

| Country | Name     | First name | Tel                                 | E-mail                   |
|---------|----------|------------|-------------------------------------|--------------------------|
| Italy   | Covello  | Aldo       | +39 06 9772 6465<br>+39 338 9364371 | aldo.covello@miur.it     |
| Italy   | Di Marco | Vincenzo   | +39 06 9772 7727                    | vincenzo.dimarco@miur.it |

Website: <http://www.ricercainternazionale.miur.it/era/jti/ecsel.aspx>

**Legal requirements for the eligibility of a partner or a project****1) Type or nature of participants**

According to art. 60 of the Decree-Law n. 83/2012 the following entities are eligible: enterprises, universities, research institutions, research organizations providing that they have stable organization in Italy.

**2) Legal, administrative and financial conditions**

The participant must not be defaulting with regard to other funding received by the Ministry.

The participant must not have requested/got any other funding for the same project.

The participant must respect the Italian law against "mafia".

For any private entity, the following financial criteria, calculated using the data reported in the last approved balance sheet, must be fulfilled

$$a) CN > (CP - I)/2$$

Where:

CN = net assets (Capitale netto)

CP = sum of the costs of all the projects for which public funding has been requested by the participant during the year

I = sum of the contributions received, approved or requested for the same projects

b)  $OF/F < 8\%$

Where:

OF = financial charges (Oneri finanziari)

F = turnover (Fatturato)

### **3) Consortium configuration**

Projects should be introduced by companies and primarily executed to the benefit of these entities. Other types of participants are allowed, provided that the financial participation of companies is higher than 50% of the total cost of the Italian consortium.

### **4) Other conditions**

Companies must have the financial means to execute the project and a potential to use the results.

The participant should foresee, after the end of the project, the exploitation of the results of the project so to guarantee the return of the investment.

### **Budget available and calls supported**

MIUR committed a budget of 2,5 million euro as grant and 5 million euro as loans.

The entire budget is reserved only for the call ECSEL-2016-1 Research and Innovation Actions.

Italian participants willing to participate to the call ECSEL-2016-2 Innovation Actions are required to self-fund their participation or to find other sources of funding.

In case part of the budget allocated to ECSEL-2016-1 call cannot be used for this call, it can be transferred to the ECSEL-2016-2 call.

### **Eligibility of the costs and funding**

#### **1) Eligibility of costs**

**In order to avoid double accounting and reporting to the Italian participants, in derogation to the national rules, are eligible for funding all cost typologies which are considered eligible by ECSEL JU. In addition, are eligible, as personnel costs, also the costs for researchers hired with contracts for "co.co.co", "co.co.pro" and "assegnisti di ricerca".**

#### **2) Funding rates**

MIUR will fund the Italian participants using the following funding rates:

|   | ECSEL-2016-01-RIA |      | ECSEL-2016-2-IA |      |
|---|-------------------|------|-----------------|------|
| Type of partner   | Grant             | Loan | Grant           | Loan |
| Large enterprise  | 10 %              | 60%  | 5%              | 55%  |
| Medium Enterprise   | 15 %              | 50%  | 10%             | 45%  |
| Small Enterprise  | 25 %              | 40%  | 20%             | 35%  |
| Universities, research centers and research organizations | 30 %              | 0%   | 20%             | 0%   |

Enterprises, including also SME, can renounce to the loan part of the funding. This renounce, however, does not imply any modification to the grant part of the funding.

### **Additional Information to be provided at submission and other conditions**

All Italian participants must send to MIUR a set of additional national documents (Part C) as published on MIUR website. These documents must be sent to MIUR by the same deadline of the Project Outline phase of the ECSEL call, using certified e-mail. Any participant who does not send its national documents by the pre-defined deadline, will be considered ineligible.

**Latvia****National contact person for ECSEL JU program**

| Country                      | Name    | First name | Tel           | E-mail                   |
|------------------------------|---------|------------|---------------|--------------------------|
| LV                           | Bērziņa | Dina       | +371 26598194 | dinab@latnet.lv          |
| LV – national funding issues | Plikša  | Ineta      | +371 67785485 | Ineta.Pliksa@viaa.gov.lv |

Website reference: [viaa.gov.lv/lat/zinatnes\\_inovacijas\\_progr/ecsel/ecsel\\_apraksts](http://viaa.gov.lv/lat/zinatnes_inovacijas_progr/ecsel/ecsel_apraksts)

**Legal requirements for the eligibility of a partner or a project****1) Type or nature of participants**

Following legal persons (as defined under the Latvian law) are eligible for funding, except natural persons:

- ✓ enterprises, companies and/or industry associations, when they form part of consortia with R&D institutions;
- ✓ R&D institutions - research institutes, universities, higher education establishments, their institutes and research centres etc.

**2) Legal, administrative and financial conditions**

The funding of RTD activities is provided pursuant in accordance with the Commission Regulation (EU) No 651/2014 of 17 June 2014 declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty, the Law of the Republic of Latvia on Research Activity (adopted on 14 April 2005 with amendments) and Regulation of the Council of Ministers of the Republic of Latvia No 259 on the procedure for providing support for participation in international cooperation programs for research and technology (adopted on 26 May 2015).

R&D institution (research institutes, universities, higher education establishments, research centres etc.) must be listed in the Registry of Research Institutions operated by the Ministry of Education and Science of the Republic of Latvia.

Private entities must be registered in the Registry of Enterprises of the Republic of Latvia and provide most of its R&D&I activities in the Republic of Latvia.

The principle of forbidding double funding will be applied when granting the National funding.

**3) Consortium configuration**

Enterprises, companies and/or industry associations participate in the projects, when they form part of consortia with Latvian R&D institutions.

If there is no Latvian enterprise or industry association involved as a partner in the project, the industrial relevance of the involvement of a R&D institution must be justified by declaration from the Latvian Information and Communications Technology Association (LIKTA) or from the Latvian Electrical Engineering and Electronics Industry Association (LEtERA) particularly indicating which

expected project outcomes will be further implemented in the national economy and what would be the concrete expected benefits of exploitation of these results. Declaration should be included as a part C of the full project proposal.

If there is no research organisation involved as a partner in the project, enterprises and industry associations must provide declaration on the possible industrial impact and justify that they have the necessary means to exploit the project results which is included as a part C of the full project proposal.

## **Eligibility of the costs and funding**

### **1) Eligibility of costs**

1. Direct costs:
  - 1.1. Personnel costs – R&D related personnel costs should not exceed 80% of person/months,
  - 1.2. Other direct costs such as consumables, equipment (only depreciation costs), materials and etc.,
  - 1.3. Subcontracts (up to 25% of total participant's direct costs),
  - 1.4. Travels costs (up to € 18,000 per participant per project),
  - 1.5. Project management costs,
2. Indirect costs (can reach a maximum of 25% of the total direct costs).

### **1) Funding rates\***

| Type of activity               | Large Enterprises | Small and Medium Enterprises | Public Research Institutes and Universities |
|--------------------------------|-------------------|------------------------------|---|
| Research and Innovation action | up to 50%         | up to 60%**                  | up to 100%***                               |
| Innovation action              | up to 35%         | up to 50%**                  | up to 100%***                               |

\* total public funding including National and ECSEL Joint Undertaking;

\*\* may be increased by 20%, if it is approved by National Funding Authority prior the proposal submission to ECSEL Call;

\*\*\* the aid intensity for research and development activities carried out by Public Research Institutes and Universities might be at the level of 100% only if the organisation entirely complies with the requirements set by the Commission Regulation (EU) No 651/2014 of 17 June 2014.

National funding for eligible Latvian partners is up to € 70,000 per partner, per year, per project.

## **Additional Information to be provided at submission and other conditions**

The national funding committed for the ECSEL 2017 Calls is € 420,000 primarily to the Research and Innovation Actions.

## Malta

### National contact persons for ECSEL JU programme:

| Country | Name   | First name | Tel          | E-mail                |
|---------|--------|------------|--------------|-----------------------|
| Malta   | Foden  | James      | 356 23602176 | james.foden@gov.mt    |
| Malta   | Dimech | Maria      | 356 23602132 | maria.b.dimech@gov.mt |

Website reference: [www.mcst.gov.mt](http://www.mcst.gov.mt)

### Legal requirements for the eligibility of a partner or a project

#### 1) Type or nature of participants

The following Maltese institutions are eligible to receive national funding in the ECSEL Calls 2016:

- Commercial companies
- Public Institutions including higher education institutions
- Non profit research institutions

#### 2) Legal, administrative and financial conditions

Malta requires the following eligibility criteria for Maltese participants:

- The themes of the project proposals must fall within the priority areas indicated by the local National Research and Innovation Strategy 2020 as well as those priorities outlined in the ECSEL JU programme.
- Any entity will have to comply with the applicable state aid regulations.
- Timely submission as specified in the relevant call for proposals
- Submission of a complete proposal
- For commercial organisations: have the means to execute the project and drive towards a potential commercialisation and use of the research results
- Organisations that are in danger of insolvency or are listed on the Malta Council for Science and Technology's Non-Compliance list, cannot be funded.

#### 3) Consortium configuration

The institutions stated above can participate on their own or join other Maltese entities to form a consortium.

#### 4) Other conditions

-

### Eligibility of Costs and Funding

#### 1) Eligible Costs

- Personnel Costs: maximum 10hrs average per week per existing employee and capped at a maximum of 20% of the grant value. Standard capped hourly rates will be specified and applied in the grant agreement.

- Researchers, operators and students employed specifically for the project would fall in the category of Operational/ Researcher and their salary would not form part of the personnel costs limit of 20% of the project value.
- Personnel Costs related to Project Management are further limited to 10% of the project value and form part of the 20% limit set on personnel costs. Any project management which is not carried out by any of the partners shall be deemed to be subcontracting and, apart from being subject to the 10% maximum threshold detailed herein, will also be calculated as part of the 25% maximum referred to subcontracting costs.
- Specialised equipment: Purchase of specialised equipment including software.
- Travel: Travel is allowed for one individual per project per conference, with a maximum of €7000 across the two conferences per project. Only travel in relation to dissemination and externalization activities is eligible.
- Scientific information: Access to scientific information sources including databases and publications
- Consumables: Overall value of consumables typically cannot exceed 30% of project value. Proposals with consumables exceeding 30% of the project value need to be discussed at application stage.
- Other: Other operating expenses directly related to the project. Details have to be submitted at application stage.
- Subcontracted Activities shall be up to a limit of 25% of the project value, provided that prior approval is attained from the Committee before subcontracting to ensure fair procurement procedures.

#### **Eligible Indirect Costs:**

Overheads will be covered at 10% of direct eligible costs, excluding the costs of (1) subcontracting and (2) items of equipment above €5000 and (3) consumables above €5000.

## **2) Available funding**

No available funding

## **3) Funding rates**

Percentage of maximum costs (up to) covered by national funding:

|                          | <b>Large Enterprises</b> | <b>SMEs</b>            | <b>Universities/ Public Research Institutions</b> |
|--------------------------|--------------------------|------------------------|---|
| <b>Call 2016-1 (RIA)</b> | 50% - EU contribution%   | 50% - EU contribution% | 100% - EU contribution%                           |
| <b>Call 2016-2 (IA)</b>  | 50% - EU contribution%   | 80% - EU contribution% | 100% - EU contribution%                           |

Where each project can have a national allocation of up to € 200,000.



## Netherlands

### National contact person for ECSEL JU programme

| Country     | Name         | First name | Tel             | E-mail   |
|-------------|--------------|------------|-----------------|--|
| Netherlands | van der Bijl | Bob        | +31 88 602 5965 | <a href="mailto:robert-jaap.vanderbijl@rvo.nl">robert-jaap.vanderbijl@rvo.nl</a> |

Background documents and other information can be downloaded from the website of Netherlands Enterprise Agency: <http://www.rvo.nl/subsidies-regelingen/jti-ecsel>. The Dutch text on this web-site takes precedence over the English text below.

### Legal requirements for the eligibility of a partner or a project

#### 1) Admission conditions

The Netherlands will support the Dutch partners in projects selected by the ECSEL Joint Undertaking when:

- the project concerns industrial research, experimental development or a combination of these;
- in the project one or more Dutch partners are involved which include minimal one industrial partner. In the case of only one Dutch partner it has to be an SME;
- the industrial partners of the Dutch consortium provide the major contribution to the Dutch part of the project in such a way that the major part of the public funding (ECSEL + NL) involved goes to the industrial partners of the Dutch consortium;
- the objectives of the Dutch part of the project fit within the Innovation Contract High Tech Systems and Materials (HTSM) and its underlying Roadmaps ([www.hollandhightech.nl/htsm/Roadmaps](http://www.hollandhightech.nl/htsm/Roadmaps));
- the project duration is 3 years or fewer;
- the project complies with the “Algemene wet bestuursrecht” and the “Kaderwet EZ-subsidies”.

Dutch partners in a proposal must include in the Project Outline (PO) sent to the Joint Undertaking the following information:

- Explanation of the contribution to the objectives of the Innovation Contract High Tech Systems and Materials (HTSM) and its underlying Roadmaps ([www.hollandhightech.nl/htsm/Roadmaps](http://www.hollandhightech.nl/htsm/Roadmaps));

Dutch partners in a proposal must include in the Full Project Proposal (FPP) sent to the Joint Undertaking the following information:

- Authorisation form;
- Explanation of the contribution to the objectives of the Innovation Contract High Tech Systems and Materials (HTSM) and its underlying Roadmaps

([www.hollandhightech.nl/htsm/Roadmaps](http://www.hollandhightech.nl/htsm/Roadmaps));

- Model overview of the costs.

**Note** that in case that there are several Dutch partners in the proposal, the Dutch partner coordinating them (the so-called "Dutch coordinator") will be in charge of submitting the above information on their behalf. The information and forms will be submitted as Part C of the PO/FPP in a ZIP file through the ECSEL Proposal Submission system, as indicated in the Guide for Applicants in the section for The Netherlands. There will be only one ZIP file for all Dutch participants in a given proposal.

The required forms can be downloaded from the website of Netherlands Enterprise Agency:

<http://www.rvo.nl/subsidies-regelingen/jti-ecsel>

## 2) Rejection conditions

An application for support of the share of Dutch participants of a project is rejected when:

- in the case of more than one Dutch partner, the partner that submits the application on behalf of all Dutch partners (the "Dutch coordinator") is not an enterprise;
- it is not credible that the Dutch partners can finance their share in the project;
- it is not credible that the project can be completed within 3 years;
- it is credible that the project without subsidy would have been finished without substantial delays;
- there is insufficient trust that Dutch partners have the necessary capacities to fulfil the project as submitted;
- the project has insufficient positive effects on the Dutch economy;
- the Dutch part of the project contributes insufficiently to the objectives of the Innovation Contract High Tech Systems and Materials (HTSM) and its underlying Roadmaps ([www.hollandhightech.nl/htsm/Roadmaps](http://www.hollandhightech.nl/htsm/Roadmaps)).

## Eligibility of the costs and funding

### 1) Eligibility of costs

- The **eligible costs for subsidy** are in compliance with the RTD State Aid Rules, the "Algemene wet bestuursrecht" and the "Kaderwet EZ-subsidies".
- The Dutch subsidy percentages are indicated below in the section Funding Rates.
- In case another Dutch administrative body has already granted a subsidy for the eligible costs of the Dutch part of an ECSEL project or part of such project, the contribution by the Ministry of Economic Affairs will be granted so that the total amount of subsidy will not exceed the before-mentioned Dutch subsidy percentages.
- In case that a contribution has been already granted for the eligible costs for subsidy to the Dutch part of an ECSEL project or part of it on the basis of a subsidy scheme of the Ministry of Economic Affairs, no additional subsidy will be granted by the Ministry of Economic Affairs for the already subsidized part.
- Per individual Dutch partner the subsidy percentages will be applied according to the activities (industrial research, experimental development). The project eligible costs per partner will be defined and the corresponding percentages will be applied. The Dutch consortium is responsible for the distribution of the subsidy amongst the Dutch partners.

- The available Dutch initial budget for the ECSEL Call 2016 of € 20 million will be initially split as follows: € 10 million for ECSEL-2016-1 research and innovation actions (RIA) and € 10 million for ECSEL-2016-2 innovation actions (IA).
- Per ECSEL project in which a Dutch consortium takes part a total national maximum of € 5 million funding for the Dutch consortium will be initially applied.

## 2) Funding rates

|  | Large Enterprises, Groups and Associations of Enterprises | Medium Enterprises | Small Enterprises | Public Research Institutes and Universities |
|--|---|--------------------|-------------------|---|
| Fundamental/Basic Research activities  | 0%  | 0%                 | 0%                | 0%  |
| Industrial/Applied Research activities | 21%   | 26%                | 26%               | 24%   |
| Experimental development activities    | 11%   | 16%                | 16%               | 11%   |

Rates apply to both the RIA and IA call

In case the EU funding rates and/or conditions are modified the national funding rates may be amended.

### Additional Information to be provided at submission and other conditions

## Norway

### National contact person for ECSEL JU programme

| Country | Name   | First name | Tel            | E-mail    |
|---------|--------|------------|----------------|-----------|
| Norway  | ESPELI | Tron       | (+47) 98223564 | te@rcn.no |

### Legal requirements for the eligibility of a partner or a project

#### 1) Type or nature of participants

- Norwegian companies: Commercial enterprises registered in Norway (The Register of Business Enterprises)
- Research organisations, recognized as such by the Research Council of Norway: Universities, Higher education institutions (HEI), Public research institutes.

#### 2) Legal, administrative and financial conditions

- General eligibility criteria and conditions for receiving project funding from the Research Council of Norway will apply (i.a. the beneficiary must be a registered legal entity, have credible capacity to execute the project activities, demonstrate financial viability, and provide transparency as to funding requested or received from other sources).
- Companies must be established with a considerable business activity in Norway and have relevant RTD capacities available.

#### 3) Consortium configuration

- At least one Norwegian company must be involved as a partner in the project, and a significant share (minimum 40 %) of the Norwegian efforts in the project must be from business partners.
- The industrial relevance of the participation of a Research organisation must be justified by declarations from Norwegian business partner(s) in the project or from some other enterprise(s) that would be eligible according to the criteria 1) and 2) above.

#### 4) Other conditions

- Companies (business partners in the project) must provide specific information on the possible industrial and commercial impact of the project, and justify that they have the necessary means to exploit the project results.
- Research organisations must specify national industrial impact in terms of exploitation opportunities for Norwegian companies.

### Eligibility of the costs and funding

#### 1) Eligibility of costs

Horizon 2020 rules and guidelines on eligible costs will apply.

#### 2) Funding rates

The maximum funding rates for the national funding provided by the Research Council of Norway will be as listed in the table below:

|                  | Large enterprises | SMEs | Research organisations |
|------------------|-------------------|------|------------------------|
| ECSEL 2016-1 RIA | 25 %              | 30 % | 50 %                   |
| ECSEL 2016-2 IA  | 25 %              | 30 % | 50 %                   |

#### Additional Information to be provided at submission and other conditions

- The total Norwegian funding budget for the two above ECSEL Calls is 2,5 mill. €.
- There is no pre-allocated distribution of the Norwegian funding budget between the two Calls, nor to specific topics of any of the two Calls.
- Norwegian applicants should consider 1 mill. € as a maximum amount of national funding for one single project, and that more than one Norwegian partner should be involved to reach this level of funding.
- National funding will be subject to conditions in current state aid rules (Commission Regulation (EU) No 651/2014). If other public funding, besides the EU funding, will be granted for the project, the listed national funding rates will be reduced if so required to ensure that aid intensity limits in the state aid rules are respected. Beneficiaries will have to submit declarations regarding company size and financial situation. See more details at: [www.forskningsradet.no/no/Statsstotterregelverket/1254004171884](http://www.forskningsradet.no/no/Statsstotterregelverket/1254004171884)
- Information providing the justifications required according to items 3) and 4) in the above eligibility criteria has to be provided as a separate attachment (Part C) at submission, both at the PO and at the FPP submission stage.
- Information necessary to confirm whether eligibility criteria mentioned in item 2) above are fulfilled shall be submitted to the Research Council of Norway (ECSEL contact person) on request.

**Poland****National contact person for ECSEL JU programme**

| Country | Name     | First name | Tel                                 | E-mail                      |
|---------|----------|------------|-------------------------------------|-----------------------------|
| Poland  | Chomczyk | Michał     | +48 519 687 484<br>+48 22 39 07 459 | michal.chomczyk@ncbr.gov.pl |

National Centre for Research and Development (Narodowe Centrum Badań i Rozwoju)

Section of Management of Applied Research Programmes INFOTECH.

**Legal requirements for the eligibility of a partner or a project****1) Type or nature of participants**

Following entities are eligible to apply:

- Research organization;
- Micro, Small, Medium and Large Enterprise

Organization must be registered in Poland.

**2) Legal, administrative and financial conditions**

All proposals must be aligned with National regulations, inter alia:

- The Act of 30 April 2010 on the Principles of Financing Science, published in Journal of Laws item 1620, 2014, as amended;
- The Act of 30 April 2010 on the National Centre for Research and Development, published in Journal of Laws item 1788, 2014, as amended;
- The Regulation of the Minister of Science and Higher Education of 25 February 2015 on criteria and rules on granting state aid and “de minimis” aid through the National Centre for Research and Development (Journal of Laws of 4 March 2015, item 299)

**3) Consortium configuration**

None

**4) Other conditions**

None

**Eligibility of the costs and funding****1) Eligibility of costs**

According to the rules for H2020

## 2) Funding rates

Funding quota of Polish participants can be up to 100% for research organisations. In the case of enterprises, funding quota will be decided on a case-by-case basis depending on the size of the company, type of research/development, risk associated with the research activities and commercial perspective of exploitation. Organization must be registered in Poland

|                                    | <b>Large Enterprises</b>                   | <b>Medium Enterprises</b>                     | <b>Small Enterprises</b>                      | <b>Research Organizations</b>   |
|------------------------------------|--|---|---|---------------------------------|
| <b>Fundamental/Basic Research</b>  | 0%   | 0%  | 0%  | 0%                              |
| <b>Industrial/Applied Research</b> | Up to 50+15 (max 65 %) – EU Contribution % | Up to 50+10+15 (max 75 %) – EU Contribution % | Up to 50+20+15 (max 80 %) – EU Contribution % | Up to 100 % - EU Contribution % |
| <b>Experimental development</b>    | Up to 25+15 (max 40 %) – EU Contribution % | Up to 25+10+15 (max 50 %) – EU Contribution % | Up to 25+20+15 (max 60 %) – EU Contribution % | Up to 100 % - EU Contribution % |

### Additional Information to be provided at submission and other conditions

Please note that for each Polish participant you need to create a file with administrative and financial information requested by the Polish authorities and upload this in the ECSEL Proposal Submission system as **Part C** (one file for each participant) or send directly to the NCBR.

Instruction can be found at:

<http://www.ncbr.gov.pl>

**Portugal****National contact person for ECSEL JU programme**

| Country  | Name  | First name | Tel              | E-mail           |
|----------|-------|------------|------------------|------------------|
| Portugal | Durão | Rui        | +351 213 911 543 | rui.durao@fct.pt |

Information pending



**Romania****Romania representatives of the Public Authorities Board of the ECSEL**

| Name       | First name | Tel                                  | E-mail   | Institution                         |
|------------|------------|--------------------------------------|--|-------------------------------------|
| DINU       | Elena      | + 40.21 318.30.50                    | <a href="mailto:elena.dinu@research.gov.ro">elena.dinu@research.gov.ro</a>               | Ministry of Research and Innovation |
| VULTURESCU | Viorel     | + 40.21 212.77.91                    | <a href="mailto:viorel.vulturescu@research.gov.ro">viorel.vulturescu@research.gov.ro</a> | Ministry of Research and Innovation |
| ANANIA     | Cristina   | + 40 21 303 21 28/2; + 32 2 303 3003 | <a href="mailto:cristina.anania@research.gov.ro">cristina.anania@research.gov.ro</a>     | Ministry of Research and Innovation |
| DUMITRESCU | Sorina     | 10. + 4021 303.41.70                 | <a href="mailto:sorina.dumitrescu@research.gov.ro">sorina.dumitrescu@research.gov.ro</a> | Ministry of Research and Innovation |

**Romania representatives of the Governing Board of the ECSEL**

| Name       | First name | Tel                                     | E-mail   | Institution                               |
|------------|------------|---|--|---|
| PRISECARU  | Tudor      | + 40.21402.96.92                        | <a href="mailto:tudor.prisecaru@upb.ro">tudor.prisecaru@upb.ro</a>                       | University POLITEHNICA of Bucharest (UPB) |
| DINU       | Elena      | + 40.21 318.30.50                       | <a href="mailto:elena.dinu@research.gov.ro">elena.dinu@research.gov.ro</a>               | Ministry of Research and Innovation       |
| VULTURESCU | Viorel     | + 40.21 212.77.91                       | <a href="mailto:viorel.vulturescu@research.gov.ro">viorel.vulturescu@research.gov.ro</a> | Ministry of Research and Innovation       |
| PADUROIU   | Beatrice   | + 40.21 212.77.91                       | <a href="mailto:beatrice.paduroiu@research.gov.ro">beatrice.paduroiu@research.gov.ro</a> | Ministry of Research and Innovation       |
| ANANIA     | Cristina   | + 40 21 303 21 28/2;<br>+ 32 2 303 3003 | <a href="mailto:cristina.anania@research.gov.ro">cristina.anania@research.gov.ro</a>     | Ministry of Research and Innovation       |
| DUMITRESCU | Sorina     | + 4021 303.41.70                        | <a href="mailto:sorina.dumitrescu@research.gov.ro">sorina.dumitrescu@research.gov.ro</a> | Ministry of Research and Innovation       |

**Ministry of Research and Innovation**

Website reference: <http://www.research.gov.ro/>

**Legal requirements for eligibility of a partner or a project****Type or nature of participants**

All Romanian entities which are legally set as research organizations or companies with R&D activities which meet the national eligibility requirements may participate in calls for proposals.

## **Legal, administrative and financial conditions**

Research and innovation projects for both research organizations as well as business sector which are selected for funding by the ECSEL Joint Undertaking calls within Horizon 2020 Program.

FEDR allocated through the Competitiveness Operational Programme 2014-2020, Axis 1, (FEDR) Action: 1.1.3 Creating synergies with research, development and innovation actions within H2020 Framework Program of the European Union and other international programs of RDI.

**RO ECSEL – Total budget for the open call -- 12.000.000 lei (2.6 mil EUR)**

**For one project maximum 6.000.000 lei (1,3 mil EUR )**

The duration of a project is the period of the project funded by ECSEL JU associated with HORIZONT 2020, but not later than June 30, 2023.

The applicant must provide a statement that they did not receive funding from ECSEL Joint Undertaking for RDI evaluated and selected activities that are financed within Structural funds.

**RO-ECSEL:** project for financing RD&I eligible activities of the applicants in Romania for the projects selected for funding by the Joint Technology Initiative **ECSEL Joint Undertaking** within the calls for proposals within Horizon 2020.

## **Eligibility of Applicant / Partners - for undertakings**

The eligibility conditions of the participants/partners must be in accordance with the Guidelines for Applicants (*Action: 1.1.3 Creating synergies with research, development and innovation actions within H2020 Framework Program of the European Union and other international programs of RDI*).

Guidelines for Applicants can be accessed at the following website:  
<http://www.poc.research.gov.ro/actiuni-1-1-3>

**Slovak Republic****National contact person for ECSEL JU programme**

| Country  | Name           | First name | Tel              | E-mail                        |
|----------|----------------|------------|------------------|-------------------------------|
| Slovakia | Stadtruckerová | Jana       | +421 2 59374 718 | jana.stadtruckerova@minedu.sk |

**Legal requirements for the eligibility of a partner or a project****1) Type or nature of participants**

Large company, SME, university; research institutes registered in the Slovak Republic are eligible.

**2) Legal, administrative and financial conditions**

The national co-funding of ECSEL JU projects is provided according to:

the Act No 172/2005 Coll. on the Organization of State Research and Development Support and Supplementation of Certain Acts

Community Framework for State Aid for Research and Development and Innovation (2006/C 323/01)

Eligible to ask for national co-funding is an R&D organization from every sector according to §7 of Act No 172/2005 Coll. and legal entity according to §2 art. 2 of the Slovak Code of Commerce.

**3) Consortium configuration**

Slovak partners are allowed to participate in projects alone or in cluster.

**4) Other conditions**

-

**Eligibility of the costs and funding****1) Eligibility of costs**

The eligible costs are: all personal costs, material costs, services, travel expenses, equipment amortization costs and indirect costs related to project solution within a period of project duration.

## 2) Funding rates

| Type of partner                    | Max. Total funding (EU Contribution+ National)<br>% of the national eligible cost |
|------------------------------------|---|
| Large industry                     | 50% for * RIA<br>40% for *IA  |
| SME                                | 70% for * RIA<br>60% for *IA  |
| University & Research Organization | 100%  |

\* RIA = Research and Innovation Action;    \* IA = Innovation Action

### **Additional Information to be provided at submission and other conditions**

The proposed projects should be within the scope of the national RIS3 initiative.

## Spain

### Spain

#### National contact persons for ECSEL JU programme

MINETAD Contact Point for doubts or other issues:

<http://www.minetad.gob.es/PortalAyudas/ecsel/Paginas/index.aspx>  
[id.tic@minetad.es](mailto:id.tic@minetad.es)

| Country | Name   | First name | Tel              | E-mail   |
|---------|--------|------------|------------------|--|
| Spain   | Lucena | Rafael     | +34 913 462 236  | <a href="mailto:rlucena@minetad.es">rlucena@minetad.es</a>               |
|         | Falcón | Severino   | +34 914 959 554  | <a href="mailto:severino.falcon@mineco.es">severino.falcon@mineco.es</a> |
|         | Dorado | Paloma     | +34 91 581 55 66 | <a href="mailto:paloma.dorado@cdti.es">paloma.dorado@cdti.es</a>         |

#### Legal requirements for the eligibility of a partner or a project

##### 1) Type or nature of participants

-Enterprises legally established in Spain (SME and LE).

-Groups and Associations of enterprises (GE).

-Research organizations (Public Research Organizations, Technology Centers, Health Institutions and other non-profit R&D organizations in which R&D activities will be implicitly defined as the main objective).

-Universities (UNI) public and private.

The Ministry of **Energy, Tourism and Digital Agenda (MINETAD)** is the national authority which funds in ECSEL calls the following participants:

- Spanish enterprises (SME, LE, GE)
- Private Technology Centers (TC, RD 2093/2008 29<sup>th</sup>. December) in ECSEL

According to the Spanish Regulation, enterprises and TC (RD 2093/2008 29<sup>th</sup>. December) should follow the MINETAD rules and procedures for loans and grants.

The Ministry of Economy Industry and Competitiveness (MINECO) is the national authority which funds non-profit R&D organizations such as research organizations, universities, technology centers (not funded by MINETAD), health institutions and other non-profit R&D organizations in which R&D activities will be implicitly defined as the main objective. MINECO will grant these institution

according to the mechanisms of the National Plan for Scientific and Technical Research and Innovation (2013- 2016).

## 2) Consortium configuration

To be eligible, a project must account for some kind of Spanish leadership: Minimum share of the Spanish consortium 5% in terms of eligible costs.

| NFA MINETAD (Enterprises + TC)  | NFA MINECO (NPO)  |
|---|---|
| <p>Enterprises should set up a national sub-consortium with the following rules:</p> <ol style="list-style-type: none"> <li>All members must show knowledge and expertise in their relative project matters.</li> <li>At least Fifty (50) % of the Spanish participation (Budget) must be enterprise.</li> <li>The participating entities must be legally established before 31/12/2014.</li> <li>At least one SME in the Spanish consortium.</li> <li>Each participant will send the form of its own part and must comply with the conditions of beneficiary.</li> <li>Budget of each Spanish participant: minimum 200.000 €, in terms of eligible costs.</li> </ol> | <p>MINECO will finance Non-profit organizations (NPO) with the exception of mentioned Technology Centres (CT, RD 2093/2008 29th. December), that will be financed by MINETAD</p> <p>NPOs could take part of the national sub-consortium formed within the MINETAD rules, NPOs should apply to the national call of the State Program for Research Aimed to the Challenges of the Society. Call 2017 “Retos, Acciones de Programación Conjunta Internacional” or equivalent.</p> <p>Principal Investigators of Spanish teams must be eligible according to the call "Acciones de Programación Conjunta Internacional 2017" (APCIN 2017) and must have experience as investigators in projects funded by previous Spanish R&amp;D State / National Plans, ERC Grants, or European Framework Programmes.</p> <p>Please see "Acciones de Programación Conjunta Internacional 2016" (APCIN 2016) or the latest corresponding national call as a tentative reference for the eligibility of the Principal Investigator and the research teams</p> <p>- Researchers are not allowed to apply for funding in more than one proposal of this ECSEL call as principal investigators.</p> <p>Incompatibility: Principal investigators who have been granted through calls APCIN 2016 won't be eligible to request funding in APCIN 2017 or equivalent.</p> |

### 3) Other conditions:

#### 3.1) Administrative requirements.

- Every national participant has to be established in Spain.
- Certification of up to date in due taxes, Social Security due payments and certification of no debts with administration.

| MINETAD  | MINECO   |
|--|--|
| <p>All Spanish enterprises must be included in the Registry for R&amp;D entities of the Spanish MINETAD (RESA). Ministerial Order ITC/570/2006. The registration number must be included in the proposal.</p> <p>Payment of the national contribution will be done in accordance with national rules in force.</p> <p>There will be two possible options for the payment of the national contribution and they will be reflected in two kind of National Grant Agreements:</p> <ul style="list-style-type: none"> <li>- Option 1. The payment will be done after the establishment of the National Grant Agreement. This option will require collaterals up to 100% of the amount of national funding, according to a solvency assessment (see 3.3). Collaterals must be in the form of guarantees provided by credit institutions or mutual guarantee societies.</li> <li>- Option 2. The National Grant Agreement will establish that the payment will be done after the verification of the eligibility of the cost performed by the JU ECSEL.</li> </ul> | <p>All non-profit organizations must be included in the Unified Register of Applicants of MINECO (RUS).</p> <p>MINECO will avoid double funding (overlapping with other EU or National funding), and will not grant projects or parts of projects already funded</p> |

#### 3.2) Legal requirements

It will be mandatory to fulfil all European current legal requirements for applying for public grants:

- Marco Comunitario sobre Ayudas Estatales de Investigación y Desarrollo e Innovación (DOUE 2014/C198/01).
- Reglamento 561/2014 del Consejo, de 6 de mayo de 2014, relativo a la Empresa Común ECSEL.
- Convocatorias de propuestas referentes al Programa ECSEL 2017.

Moreover, in everything not viewed in the ECSEL and European regulation, it will mandatory to fulfill other Spanish current applicable legal requirements ruled in the following legal texts:

- Ley 38/2003, de 17 de noviembre, General de Subvenciones
- Real Decreto 887/2006, de 21 de julio, por el que se aprueba el Reglamento de la Ley 38/2003, de 17 de noviembre, General de Subvenciones.
- Leyes anuales de Presupuestos Generales del Estado.
- Ley 47/2003, de 26 de noviembre, General Presupuestaria.
- Ley 39/2015, de 1 de octubre, del Procedimiento Administrativo Común de las Administraciones Públicas.
- Ley 40/2015, de 1 de octubre, de Régimen Jurídico del Sector Público.
- Ley 30/2007, de 30 de octubre, de Contratos del Sector Público.

The Spanish legal texts can be found on <http://WWW.BOE.ES>

### **3.3) Solvency and financial requirements**

MINETAD:

- MINETAD will check if the participants are eligible making sure they are not in crisis as defined by EU regulation 651/2014.
- Each Spanish participant should be solvent and have financial capacity to carry out the project and the Spanish Public Authorities has to assess it positively. That is the reason why MINETAD will carry on a financial analysis and will define for each participant a solvency rating factor. Depending on that factor, the level of possible collaterals shall be established.
- MINETAD could require collaterals up to 100% the amount of national funding.

### **3.4) Conditions on the technical content/scope.**



| MINETAD   | MINECO   |
|---|--|
| <p>For the FPP phase, the following documentation has to be submitted:</p> <ul style="list-style-type: none"> <li>- For each participant, a breakdown and a schedule of the activities to be carried out.</li> <li>- A short résumé of all key researchers CV must be included.</li> <li>- Large enterprises should describe the incentive effect of the aid on their R&amp;D activities, according to the Community Framework for State Aid for Research and Development and Innovation.</li> <li>- Increase in project size: increase in the total project costs (without decreased spending by the aid beneficiary by comparison with a situation without aid); increase in the number of people assigned to R&amp;D&amp;I activities;</li> <li>- Increase in scope: increase in the number of the expected deliverables from the project; more ambitious project illustrated by a higher probability of a scientific or technological break-through or a higher risk of failure (notably linked to the higher risk involved in the research project, to the long-term nature of the project and uncertainty about its results);</li> <li>- Increase in speed: shorter time before completion of the project as compared to the same project being carried out without aid;</li> <li>- Increase in total amount spent on R&amp;D&amp;I: increase in total R&amp;D&amp;I spending by the aid beneficiary; changes in the committed budget for the project (without corresponding decrease in the budget of other projects); increase in R&amp;D&amp;I spending by the aid beneficiary as a proportion of total turnover.</li> </ul> | <p>The conditions will be described in the corresponding competitive national call of MINECO.</p> <p>For more information, go to:</p> <p>Basis of call: BOE 02/10/2013<br/> <a href="http://boe.es/diario_boe/txt.php?id=BOE-A-2013-10259">http://boe.es/diario_boe/txt.php?id=BOE-A-2013-10259</a></p> <p>Call: BOE 06/11/2016<br/> <a href="http://www.idi.mineco.gob.es/portal/site/MICINN/menuitem.dbc68b34d11ccbd5d52f7eb801432ea0/?vgnextoid=abc8534b9da74510VgnVCM1000001d04140aRCRD">http://www.idi.mineco.gob.es/portal/site/MICINN/menuitem.dbc68b34d11ccbd5d52f7eb801432ea0/?vgnextoid=abc8534b9da74510VgnVCM1000001d04140aRCRD</a></p> <p>Call 2017 is pending</p> |

### **3.5) Conditions on budget distribution/exploitation/impact.**

- To be eligible in the FPP phase, the provided documentation has to include for each Spanish participant a detailed explanation at European and Spanish levels about:
  - The future exploitation of the results of the project.
  - The estimation of its potential impact in terms of competitiveness, employment, market position, returns on investment and added value.
  - The BU distribution and the local targets of the project should be in line with the national priorities and requirements, and must be accepted by the national PA.

#### **Eligibility of the costs and funding**

##### **1) Eligibility of costs:**

| MINETAD | MINECO |
|---------|--------|
|---------|--------|

| MINETAD   | MINECO  |
|---|---|
| <ul style="list-style-type: none"> <li>- Eligible costs as per H2020.</li> <li>- Earliest starting date for charging costs: will be defined on the call.</li> </ul> | <p>Eligible cost</p> <ul style="list-style-type: none"> <li>- Personnel costs for temporary contracts (fellowships are not eligible).</li> <li>- Current costs, small scientific equipment, disposable materials, travelling expenses and other costs that can be justified as necessary to carry out the proposed activities.</li> <li>- Indirect costs (overheads) or clinical assays (proofs of concept, proofs of principle) are not eligible for funding in the APCIN call.</li> </ul> <p>Additional conditions are described in the calls of MINECO. MINECO grants non-profit organization following the rules of marginal costs.</p> <p>MINECO grant up to 175.000 euros per participant.</p> <p>If the Spanish participant is the ECSEL project coordinator, the grant could be increased up to 100.000 euros.</p> <p>Centres formed by different Spanish legal entities will be considered as a unique entity, and thus the maximum funding should not exceed the limits per proposal established above (for example mixed centres).</p> <p>The final decision will take into account the transnational evaluation of the cooperative project and the financial resources available. Only excellent projects where international collaboration is a clear added value will be funded. For more information, please consult:</p> <p>Basis of call: BOE<br/>02/10/2013 <a href="http://boe.es/diario_boe/txt.php?id=BOE-A-2013-10259">http://boe.es/diario_boe/txt.php?id=BOE-A-2013-10259</a></p> |

**2) Funding rates:**

Maximum percentage of costs covered by ECSEL grants  
As a percentage of the eligible costs  
FOR THE CALL ECSEL 2016

|  | Maximum percentage of costs covered by National Funding Authorities |                |                     |                |
|--|---|----------------|---------------------|----------------|
|  | Industry, LE,<br>MINETAD  | SME<br>MINETAD | Private RTO MINETAD | POs*<br>MINECO |
| RIA (EPS)<br>Research and Innovation<br>Action | 25%   | 30%            | 35%                 | 40%            |
| IA (EPS)<br>Innovation Action                  | 20%   | 25%            | 35%                 | 40%            |

1) MINETAD: Eligibility of costs as defined in H2020.

\* Public universities and public RTO will be funded at according to MINECO national call.

**Additional Information to be provided at submission and other conditions.**

**Specific requests for Spanish participants.**

|         |        |
|---------|--------|
| MINETAD | MINECO |
|---------|--------|

| MINETAD  | MINECO  |
|--|---|
| <p>Forms and documents requested by MINETAD for the PO Phase:</p> <p>Part C for PO</p> <p>To be eligible in the PO phase, the provided documentation has to include for each Spanish participant:</p> <ul style="list-style-type: none"> <li>- RESA number</li> <li>- The Consortium configuration.</li> </ul> <p>In this phase, MINETAD could give some information about the solvency of the entity.</p> <p>Further information instructions and Part C template can be found at: <a href="http://www.minetad.gob.es/PortalAyudas/ecsel/Paginas/contactos-dudas.aspx">http://www.minetad.gob.es/PortalAyudas/ecsel/Paginas/contactos-dudas.aspx</a></p> <p>Part C for FPP</p> <p>To be eligible in the FPP phase, the provided documentation has to include for each Spanish participant:</p> <ul style="list-style-type: none"> <li>- RESA number</li> <li>- Information about the Consortium configuration</li> <li>- Conditions on the technical content/scope (3.4).</li> <li>- Conditions on budget distribution/exploitation/impact (3.5).</li> </ul> <p>In this phase, MINETAD could give some information about the solvency of the entity.</p> <p>Further information instructions and Part C template can be found at: <a href="http://www.minetad.gob.es/PortalAyudas/ecsel/Paginas/contactos-dudas.aspx">http://www.minetad.gob.es/PortalAyudas/ecsel/Paginas/contactos-dudas.aspx</a></p> <p>After the evaluation and selection procedure of the ECSEL Joint Undertaking, the Spanish participant in the selected proposals must complete all the forms and documents requested by the Spanish Public Authorities, in order to conclude the national grant agreements.</p> <p>These forms and documents must be electronically submitted to the Spanish Public Authorities before a specific deadline set by the Spanish Public Authorities. The submission should be made using an electronic signature.</p> | <p>POs should apply to the national call of the State Program for Research Aimed to the Challenges of the Society.</p> <p>Forms and documents must be electronically submitted according to the general rules of calls and the “Ley 11/2007”.</p> |

### Additional Information

- The participation on this program means the acceptance and compliance with all the conditions stated on this document.

Spanish proposals will be rejected when:

- It is not considered credible by the Spanish Public Authorities that partners can adequately fund their share in the project.
- It is not credible by the Spanish Public Authorities that the project can be completed on time.
- Spanish partners do not provide sufficient trust in their capacities from the technical or financial point of view, to fulfil the project as submitted.
- The effect or positive impact on the local economy is considered insufficient by the relevant authorities.

Any publication or dissemination activity resulting from the granted projects must acknowledge MINECO/MINETAD funding even after the end of the project: "Project (reference nº XX) funded by MINECO/MINETAD through APCIN XX/..."

- Amount of required collateral by MINETAD:

| Financial qualification | Collateral required |
|-------------------------|---------------------|
| AAA                     | 0 %                 |
| AA                      |                     |
| A                       | 10 %                |
| BBB                     | 20 %                |
| BB                      | 30 %                |
| B                       | 50 %                |
| CCC                     | 75 %                |
| CC                      | 100 %               |
| C                       | 100 %               |
| D                       | No funding          |

**Sweden****National contact person for ECSEL JU programme**

| Country | Name   | First name | Tel             | E-mail                   |
|---------|--------|------------|-----------------|--------------------------|
| Sweden  | Litwin | Andrej     | +46 8 473 30 45 | andrej.litwin@vinnova.se |

Swedish ECSEL participation information is available at: <http://www.vinnova.se/sv/Var-verksamhet/Strategiskt-viktiga-kunskapsomraden/Tjanster-och-IKT/ECSEL/>

**Legal requirements for the eligibility of a partner or a project****1) Type or nature of participants**

Calls are open for public and private companies of all sizes as well as for universities and research institutes in Sweden.

**2) Funding conditions**

Only legal entities are eligible for funding. Natural persons will not be funded.

Participating companies must be registered in Sweden as a limited company (*aktiebolag, AB*) and must have a considerable business along with a recognizable record of R&D and industrial activities in Sweden.

**3) Legal, administrative and financial conditions**

Participating companies must have a stable financial status with fulfilled fiscal obligations and must be able to cover their own expenses for the duration of the project.

- Participating company must have at least 500 000 SEK in annual revenue (net turn-over) according to the latest annual report.
- Participating company must have at least 3 employees.
- Participating company must be at least 2 years old, from the official registration date.

**Kommentar****4) Consortium configuration**

The total eligible costs of participating Swedish companies must amount to at least 50% of the aggregated eligible costs of all Swedish participants in the project consortium.

**5) Other conditions**

Participating companies are required to provide a credible description of the project's impact on the company's technological knowledge, economic growth and future assets in Sweden. Participating universities or research institutes are required to provide a credible description of the project's impact on the university's or research institute's scientific and technological knowledge base and for

the positive impact on Swedish society in general.

Accordingly, an [impact description](#) must be submitted by each participant together with the application. A project [impact interview](#) will be performed by VINNOVA together with the key representatives of all Swedish participants in the project consortium.

### **1) Eligibility of costs**

VINNOVA's [conditions](#) for eligible costs will be applied.

### **2) Funding rates**

**Sweden's national funding - within the limits given by [State Aid Rules](#)** (please be aware that EU contribution doesn't count as state aid)

| Type of activity                     | Large Enterprises | Small and Medium Enterprises | Universities and Research Institutes |
|--------------------------------------|-------------------|------------------------------|--------------------------------------|
| RIA - Research and Innovation Action | 25 %              | 30 %                         | 50 %                                 |
| IA -Innovation Action                | 20 %              | 25 %                         | 50 %                                 |

### **3) Additional funding**

- Proposal preparation grant for technical coordinators of the whole proposal at FPP stage: up to 300 000 SEK (proposal has to be submitted)
- Management grant for technical coordinators of the whole projects: up to 300 000 SEK/yr.
- Travel grant to brokerage events

### **Additional Information to be provided at submission and other conditions**

The total budget committed by VINNOVA for the two ECSEL calls of 2016 is a maximum of EUR 5 500 000 with the following limit:

Maximum VINNOVA contribution to one project is limited to EUR 2 500 000.

A total maximum of EUR 1 500 000 is available to finance ECSEL chapters 6 and 7, based on the



content of the tasks performed by the Swedish participants even if these tasks are embedded into other call topics.

VINNOVA uses the Riksbank's exchange rate for Euro on the date of ECSEL call FPP phase deadline.

## Turkey

### National contact person for ECSEL JU programme

| Country | Name   | First name | Tel              | E-mail   |
|---------|--------|------------|------------------|--|
| Turkey  | KARACA | Mete       | 90 312 298 17 86 | <a href="mailto:ncpict@tubitak.gov.tr">ncpict@tubitak.gov.tr</a> |
| Turkey  | BENER  | Ezgi       | 90 312 298 17 85 | <a href="mailto:ncpict@tubitak.gov.tr">ncpict@tubitak.gov.tr</a> |

The National Funding Authority (NFA) of the Turkey for the ECSEL JU program is the Scientific and Technological Research Council of Turkey (TUBITAK). Principal legal regulations and documents on the public funding of research, development and innovation in the Turkey are available on the TUBITAK websites.

### Legal requirements for the eligibility of a partner or a project

#### 1) Type or nature of participants

Calls are open for public and private companies of all sizes as well as for universities and research institutes in Turkey.

#### 2) Funding conditions

Only legal entities are eligible for funding. Natural persons will not be funded.

#### 3) Legal, administrative and financial conditions

Participants from Industry and SMEs can be funded via TUBITAK 1509 Programme. The national rules on eligible are available from TUBITAK website at:

<https://www.tubitak.gov.tr/tr/destekler/sanayi/uluslararasi-ortakli-destek-programlari/icerik-1509-tubitak-uluslararasi-sanayi-ar-ge-projeleri-destekleme-programi>

Participants from Universities and Research Organizations can be funded via TUBITAK 1001 Programme. The national rules on eligible are available from TUBITAK website at:

<https://www.tubitak.gov.tr/tr/destekler/akademik/ulusal-destek-programlari/icerik-1001-bilimsel-ve-teknolojik-arastirma-projelerini-destekleme-pr>

#### 4) Consortium configuration

There is no limitation for the consortium configuration.

### Eligibility of the costs and funding

#### 1) Eligibility of costs

- Personnel cost
- Travel expenditures of personnel and consultants

- Expenditures for instruments, equipment, computer software that would be used for R&D purposes
- Direct expenditures for materials etc.
- Expenditures for consultancy services and other services need for R&D work

## 2) Funding rates

| Type of activity/organisation                                 | Large Enterprises      | Small and Medium Enterprises | Universities and Research Institutes |
|---|------------------------|------------------------------|--------------------------------------|
| RIA - Research and Innovation Action<br>IA -Innovation Action | 60%-EU<br>Contribution | 75%-EU<br>Contribution       | 100%-EU<br>Contribution              |

## Additional Information to be provided at submission and other conditions

- The total Turkish funding budget for the two above ECSEL Calls is 3 million €.
- There is no pre-allocated distribution of the Turkish funding budget between the two Calls, nor to specific topics of any of the two Calls.
- Participants from Universities and Research Organizations are subject to [TUBITAK 1001](#) Programme rules.
- Participants from Industry and SMEs are subject to [TUBITAK 1509](#) Programme rules.

## United Kingdom

### National contact people for ECSEL JU programme

| Country | Type of Information | Name  | First name | Tel               | E-mail   |
|---------|---------------------|-------|------------|-------------------|--|
| UK      | General Information | Mobbs | Graham     | +44(0)7824 599585 | <a href="mailto:Graham.mobbs@innovateuk.gov.uk">Graham.mobbs@innovateuk.gov.uk</a>   |
| UK      | General Information | Jones | Myrddin    | +44 [0]7826861153 | <a href="mailto:Myrddin.jones@innovateuk.gov.uk">Myrddin.jones@innovateuk.gov.uk</a> |

### Website - UK Funding Body – Innovate UK

<https://interact.innovateuk.org> for information about all Innovate UK competitions

For general InnovateUK national eligibility conditions <https://interact.innovateuk.org/guidance-for-applicants>

- No budget has been allocated by Innovate UK to the ECSEL 2017 call for proposals.
- UK organisations wishing to participate in ECSEL 2017 will have to self-fund.

## **Annex 7: DECISION OF THE PUBLIC AUTHORITIES BOARD OF THE ECSEL JOINT UNDERTAKING ON THE EVALUATION AND SELECTION PROCEDURES RELATED TO CALLS FOR PROPOSALS**

Decision ECSEL PAB 2016.23, adopted on 10.11.2016, including the rules on conflicts of interest.

This document is available on ECSEL JU website at:

[http://www.ecsel-ju.eu/web/documents/PAB\\_Decisions.php](http://www.ecsel-ju.eu/web/documents/PAB_Decisions.php)