



ECSEL Joint Undertaking

Electronic Components and Systems for European Leadership



Horizon 2020
European Union Funding
for Research & Innovation

Guide for applicants

Calls ECSEL 2017-1 and 2017-2

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INTRODUCTION

Questions?

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The ECSEL Joint Undertaking is a public-private partnership in nanoelectronics, embedded software and smart system integration, with the mission to implement a Joint technology Initiative within Horizon 2020. The specificity of the ECSEL JU consists essentially in its three-partite funding scheme: the actions are indeed funded by the private sector supported by both European and national grants. ECSEL JU provides grants for R&I projects selected in open and competitive calls for proposals.

Since ECSEL JU is an instrument under the H2020 programme, the submission of proposals does not differ too much from the other H2020 calls and most of the H2020 documents apply as such or to a large extent to the ECSEL JU calls. This “Guide for applicants” highlights the differences imposed by the ECSEL JU specificity, provides clarification where needed and gives additional information on an important topic: how to include in the projects partners and/or cost items supported using European Structural and Investment Funds (ESI Funds or ESIF).

In this document differences between H2020 and ECSEL JU as well as important issues the beneficiaries are confronted with at various stages at submission and grant management phases were addressed as follows:

- The Project Outline phase: specificities for ECSEL JU. ***Please observe that there are some differences between the PO requirements in the Calls 2017 compared to the Calls 2016. The participants are strongly advised to carefully check the Part B template and the Guide for Applicants***
- Differences in the Part A of the documents to be provided at the Project Outline (PO) and Full Project Proposal (FPP) phases of the calls:
 - Budgets
 - Tick boxes
- Differences in the Part B of the documents to be provided at the PO and FPP phases
- The evaluation criteria in the frame of ECSEL JU
- The Part C of the proposal : a necessity for certain partners
- ***ECSEL Lighthouse Initiative – Expression of Interest (Eoi)***
- The selection and evaluation procedure for ECSEL JU
- Partners supported through one of the ESI Funds
- Linked third parties
- Legal Status of the organization
- SMEs: self-assessment and checks specific to ECSEL JU
- Project Coordinators financial viability check
- ECSEL JU Grant Agreement: specifics

There is also a section with *important new information* compared to previous calls.

To find information on the H2020 procedures, etc. please consult the Participant Portal:

<http://ec.europa.eu/research/participants/portal/desktop/en/funding/index.html>

that provides a useful step by step explanation of the process:

http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/applying-for-funding/submit-proposals_en.htm

Alternatively, you can go directly to the relevant H2020 documents available under:

http://ec.europa.eu/research/participants/portal/desktop/en/funding/reference_docs.html

On the webpage above you can find under the entry “H2020 Grants Manual”:

- A. In the “Section on beneficiary registration, validation, financial viability” you can find:
 - the “Guide on beneficiary registration, validation, financial viability check” linked to the address
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/lev/h2020-guide-lev_en.pdf
 - the Legal Entity Appointed Representative (LEAR, a necessity for all Beneficiaries who will sign a grant agreement) and how to appoint him,
 - the Terms and Conditions of use of the participant portal, and a
 - consent declaration as to the use of this Participant Portal
- B. In the “Section on proposal submission and evaluation” you can find the “Guide on submission and evaluation” linked to the address
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/pse/h2020-guide-pse_en.pdf
- C. The “Annotated Model Grant Agreement” (AMGA)
http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

Differences between the AMGA and the ECSEL Grant Agreement are explained in the chapter “ECSEL JU Grant Agreement Specifics” of this document.

- D. Section “Horizontal issues” where you can find information on: Third country participation, Ethics, Large Research Infrastructure, Open Access specific guides, Gender balance, Security issues

IMPORTANT NEW INFORMATION COMPARED TO PREVIOUS CALLS

Two stage calls

Both ECSEL calls in 2017 have two states, a first stage or project outline phase (PO Phase) and a second stage or Full Project Proposal (FPP). The project outline phase is blocking, in other words only proposals having submitted a project outline will be allowed to submit a full project proposal. The project outline phase will be evaluated and proposals can be rejected at that stage. ***Please observe that there are some differences between the PO requirements in the Calls 2017 compared to the Calls 2016. The participants are strongly advised to carefully check the Part B template and refer to the Project Outline chapter in this document.***

Attention: The Calls 2017 identifiers have been swapped compared to Calls 2016 as follows:

For IA: ECSEL-Call 2017-1-IA

For RIA: ECSEL-Call 2017-2-RIA

SMEs

As the funding rate for SMEs is different (higher) than the funding rate for the large enterprises, the SMEs will have to complete the self-assessment step (self-assessed SME), please refer to the SME chapter in this document for further information. Only declaring the organization as being a SME (self-declared SME) is not sufficient.

Capping for EU Contributions

For both Calls 2017 of ECSEL there will be capping at project and at partner level, as follows:

ECSEL-Call 2017-1-IA:

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.

ECSEL-Call 2017-2-RIA:

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.

Page limits

Mandatory page Limits for both 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

The above page limits apply both for the PO and the FPP phases of the proposal submission.

Expert evaluators will be instructed to disregard the excess pages.

The page limits and sections subject to limits are clearly shown in the proposal template in the Participant Portal electronic submission system.

Legible front and formatting

Proposals must be written in a legible font, indicated in the proposal template.

The structure of proposals must correspond to the requirements, specified under each section of the proposal template, which is identical for IA and RIA.

Lighthouse Initiative – Expression of Interest

The consortia that would like to have their proposal(s) considered for a “Lighthouse Initiative” are requested to submit a specific justification document (a “3-page” Expression of Interest EoI). The template for the EoI is provided in the SEP/Participant Portal. The EoI must be submitted in the FPP phase via the Participant Portal (the deadline is the same as for FPP!) by uploading it directly in the system using the specific place holder provided by the system for this purpose. Submission of an Lighthouse Initiative EoI is optional therefore not uploading the EoI is not blocking the FPP submission process. No action is required at the PO phase.

Please observe that all the information relative to the Lighthouse Initiative MUST be EXCLUSIVELY provided in the EoI document. No reference to the Lighthouse Initiative is allowed in either the Part A or the Part B of the proposal. Including any information on the Lighthouse Initiative in Part A and/or part B may interfere with the evaluation process by the experts. There will be neither benefits, nor “bonus” extra points, nor any other favourable evaluation of a proposal if it intends to be considered for a Lighthouse Initiative. Therefore, the consortia are kindly required to refrain from providing any Lighthouse Initiative-related information in the Part A and/or B or the proposals.

The Lighthouse Initiative EoI must be submitted through a separate place holder in the Participant Portal electronic submission system.

Funding rates

The funding rates for the Calls 2017 are described in the Work Plan 2017¹ (WP2017) and are reproduced here for reference:

Status of partner/Type of action	Innovation Action (IA)	Research and Innovation Action (RIA)
SME	25%	30%
Industry (for profit not SME)	20%	25%
Other (not for profit)	35%	35%

¹ The Work Plan in ECSEL is a Governing Board decision. You can find the Work Plan on the ECSEL Call page (http://www.ecsel.eu/web/calls/CALLS_2017.php)

List of topics

The following provides the list of topics valid for the calls 2017. All topics are open in both calls. Please note that you have to select three Subchapters and order them in priority in Part B of the proposal

Chapter	Sub Chapter / Topic	MASP Chapter	Open / Closed
Key Applications			
1. SMART MOBILITY			
	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
2. SMART SOCIETY			
	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
3. SMART ENERGY			
	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
4. SMART HEALTH			
	4.1 Home Healthcare	4.4.1	Open
	4.2 Hospital Healthcare	4.4.2	Open
	4.3 Heuristic Healthcare	4.4.3	
5. SMART PRODUCTION			
	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
ESSENTIAL CAPABILITIES			
6. SEMICONDUCTOR MANUFACTURING, TECHNOLOGY, EQUIPMENT AND MATERIALS			
	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	
7. DESIGN TECHNOLOGIES				
	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
8. CYBER-PHYSICAL SYSTEMS				
	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	
9. SMART SYSTEMS INTEGRATION				
	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
10. Safety and Security				
	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

THE PROJECT OUTLINE PHASE

The Project Outline (PO) phase in ECSEL JU serves a double purpose:

- It allows the Funding Authorities of the Participating States and ECSEL JU to already verify the eligibility of the proposals and/or of the partners;
- It allows the Funding Authorities of the Participating States to get a preview of the proposals under preparation as well as their budgets

The PO phase is blocking, that is **only** proposals that have submitted at the PO phase will be allowed to proceed to the Full Project Proposal phase (FPP).

The proposals submitted at the PO phase will be evaluated. Proposals below threshold will be blocked from further participation in the FPP phase. It is therefore important to provide all the required information as complete as possible at that stage.

The PO phase though has lower thresholds and does not rank the proposals (for full descriptions please refer to the Work Plan 2017).

Also the PO phase does not require the proposal to be complete, in fact only some of the information is requested in Part B in this phase:

- 1. Excellence**
 - 1.1 Objectives**
 - 1.2 Relation to the work plan**
 - 1.3 Concept and approach**
 - 1.4 Ambition**
- 2. Impact**
 - 2.1 Expected impacts**
- 3. Implementation**
 - 3.1 Work plan - Work packages, deliverables and milestones
only a brief presentation of the overall structure of the work plan (including the main tasks per partner)**
 - 3.3 Consortium as a whole**
- 6. Publishable Summary**

As one of the objectives of the PO phase is to inform the Funding Authorities of Participating States, the information for each partner in Part A should be as complete and correct as possible (especially regarding the total costs per partner). This is a deviation from what is usually asked under H2020 where only partial information is requested.

HOWEVER, this information can be modified prior to the FPP submission. In other words: changes in partners, change of coordinator, new partners, changes in budgets, etc. are all possible. Of course, the more precise the information provided to the Participating States is, the more precise the feedback will be.

More details on the PO phase will be provided in subsequent chapters. Unless otherwise specified, the rest of this document applies to both, the PO phase and the FPP phase.

An ECSEL JU proposal consists of three parts at PO phase and three or four parts at FPP phase:

- Part A for the administrative information similar to H2020 (both PO and FPP)
- Part B for the technical description similar to H2020 (both PO and FPP)
- Part C for country specific information unique to ECSEL JU (both PO and FPP)
- ECSEL Lighthouse Initiative - Expression of Interest (Eoi) unique to ECSEL JU (only FPP)

PART A

Part A of the proposal contains the administrative information about the proposal and the participants. Necessary information includes a brief description of the work, contact details and characteristics of the participants, and requested budget by cost categories detailed in separate tables according to the H2020 rules, respectively to the national rules.

Annex I provides a model of an ECSEL JU proposal Part A with indications on how to fill it in the participant portal. The model provided is for information only and cannot be used for proposal submission - part A must be filled directly/electronically in the participant portal (there is no option to upload a prefilled form!) – use the green button “edit forms” as seen in the screen shot below. The general information about the proposal and participants is the same as for H2020 and several fields are already prefilled with data available in the system (e.g. name and address of the participants that have a PIC). The data filled in is not automatically saved. In order to save it the “Save and Close” interactive button must be used. For convenience there is one such button on each page – pressing it would save all the data introduced in the Form A not just the data on the respective page. A participant can be added at any moment by using the “«Step 4 –Parties” as seen in the screen shot below. In the ECSEL Calls, participants can be added at both stages, at PO phase and at FPP phase.

Once a new partner is added, its own data (name, address, field in the budget tables) is displayed automatically by the system. A partner can only be added using a 9-digit Participant Identification Code (PIC), therefore, it is very important for each beneficiary to make sure they have a valid PIC.

Submission of Proposals - Windows Internet Explorer
 https://ec.europa.eu/research/participants/submission/eforms/secure/editform?draftid=SEP-210189080&ticket=ST-12842487-0u6Lv3NX8PfrRW03j7zVR9QZnQ4MAjuyA8oSL0HL08zaMO6q3LQM7k23me554bYAiY4IUcv39jgrGmUPd0

WARNING: This proposal contains changes that have not yet been submitted...

Administrative Forms
 Edit will open the forms in Adobe Reader. ?
 edit forms view history print preview

Part B and Annexes
 In this section you may upload the technical annex of the proposal (in PDF format only) and any other requested attachments. ?
 download templates

Part B
 Part C (BE-IWT)
 Part C (BE-BXL)
 Part C (FR)
 Part C (IE)
 Part C (IT)
 Part C (LV)
 Part C (NL)
 Part C (PL)
 Part C (SE)
 Part C

<< Step 4 - Parties validate submit

The coordinator is advised to use the “validation” function of Form A, built in the system, to check and fix potential errors before submitting the proposal. As in the case of the “Save” button, there is one “Validate Form” button on each page, but it will validate the entire form A and not just the data on the page displayed.

This administrative part of the proposal consists of following sections:

Title page

1 - General information

2 - Administrative data of participating organizations

These chapters are the same as for the H2020 forms.

3 - Budget for the proposal

In section 3 of Part A, the budget required to execute the proposal must be shown in two tables to be filled in by the project coordinator.

- The “JU Grant” table shall include the budget, established by applying without exception the H2020 cost eligibility rules
- The “National Grant” table shall include the budget established according to national rules for cost eligibility; each partner shall use the rules applicable in the country in which it is officially established as a legal entity

Please, note that although a proposal refers to the same action (project), the budgets in the two tables, “JU Grant” and “National Grant”, can be significantly different, because of the differences in cost eligibility under H2020 and under national rules.

Examples:

- Certain costs may be eligible under one set of rules, but ineligible under the other one
- Calculations for a given cost item may use different methodologies.

The “JU Grant” table

Rules to calculate the budget to be taken into account for establishing the JU Grant can be found in the Annotated Model Grant Agreement (AMGA). The articles in the AMGA referring to cost eligibility apply in full to the ECSEL JU. The important articles in this context are:

- Article 5, in particular paragraph 3. Cost forms and the table on p19 of the AMGA
- Article 6, essential, because it defines in detail the cost eligibility
- The Option F (Column G) for specific categories of cost does not apply to ECSEL JU.

The “JU Grant” table is show in the following:

Participant	Country	(A) Direct personnel costs/€	(B) Other direct costs/€	(C) Direct costs of subcontracting /€	(D) Direct costs of Providing Financial support to third parties/€	(E) Costs of in-kind Contributions not used on the beneficiary's premises/€	(F) Indirect Costs/€ (=0.25(A+B-E))	(G) Special unit costs covering direct & indirect costs	(H) Total estimated eligible costs/€ (=A+B+C+D+F+G)	(I) Reimbursement rate	(J) Max. grant / € (=H*I)	(K) Requested grant / €
A		0	0	0	0	0	0	0	0		0	0
Total		0	0	0	0	0	0	0	0		0	0

- Column A, B, C are for the direct costs of relevance to ECSEL JU projects
- Column F is for the indirect costs and is automatically calculated according to H2020 rules.
- Column D is not applicable
- Column E is applicable under the conditions established in the AMGA (see Art 11 and Art 12)
- Column G is not applicable (Option F)
- Column H is automatically generated.
- Column I is fixed and allows for a selection of rates depending on the action as described in the Work Plan 2017
- Column J is calculated based on H and I and automatically filled in
- Column K is to be filled in by the participant. The requested amount can be smaller or equal to the amount in J, never larger

The “National Grant” table

The following distinction between partners must be made when calculating the national funding contribution:

- *Partners from a participating state that entrust to the ECSEL JU the payment of the national contribution*

The participating states that entrust can be found in Annex 5 of the ECSEL Work Plan (WP2017). Partners from those states introduce in the National Grant table the same amounts of eligible costs as in the JU Grant table. The funding percentages for the national contribution are the same as for ECSEL JU.

- *Partners from a non-participating state*

Partners from a non-participating state should not introduce costs in the national budget table.

- *Partners with ESI Funding*

Refer to a later chapter in this document concerning this topic.

- *Partners from a participating state that does not entrust to the ECSEL JU the payment of the national contribution*

The participating states that do not entrust can be found in Annex 5 of the WP2017. Rules to calculate this budget can be found in Annex 6 of the WP2017 that contains the eligibility and funding rules per participating state. Some national authorities require extra information in Part C or request that you submit a national application separately (see the next chapter). Therefore, it is important that each partner checks out what is applicable to his/her organization.

The National Grant table is shown below:

Participant	Country	(L) Direct personnel costs/€	(M) Other direct costs/€	(N) Direct costs of subcontracting /€	(O) Indirect Costs/€	(P) Total estimated eligible costs/€ (=L+M+N+O)	(R) Reimbursement rate	(S) Max. grant / € (=R*P)	(T) Requested grant / €
A		0	0	0	0	0	%	0	0
Total		0	0	0	0	0	-	0	0

- Column L is the personnel cost according to national rules
- Column M contains all the other national recognized eligible costs except for personnel and subcontracting,
- Column N contains the subcontracting as per national rules
- Column O are the indirect costs as per national rules
- Column P is automatically generated.
- Column R is the reimbursement rate as per national rules and is to be filled in if applicable

- Column S is automatically calculated based on R and P
- Column T is to be filled in by each participant and the next paragraph details its calculation

In order to fill in column T, one should consider the instructions given by the national authorities in Annex 6 of WP2017.

Three specific cases are detailed below:

– ***Case 1: National funding independent of the EU grants***

In this case, the national funding percentage (column R) is applied to the national eligible cost (column P) to calculate the maximum grant (column S). The requested grant (column T) can be equal or (if foreseen by national rules) lower than the maximum grant.

– ***Case 2: National funding based on a maximum funding minus the EU contribution***

In this case, the national funding % (column R) is applied to the national eligible cost (column P) to calculate the maximum grant (column S). To calculate the requested grant (column T), one must subtract the requested EU contribution (column K), which was calculated in the H2020 budget table, from the maximum grant (column S).

– ***Case 3: National funding matches the EU Contribution up to a capping***

In this case, column R will be left empty (by default it is set to zero). The requested grant (column T) must be either equal to or lower than the JU amount, requested in column K and it cannot exceed the capping.

Some participating states have adopted the same cost eligibility rules as H2020. In such a case, the costs from the JU Grant table should be reproduced in the National Grant table. The information in column E should be added to the other direct cost in column M. The funding percentage is the national funding percentage as defined in WP2017.

4 - Ethics issues table

This chapter uses without changes the H2020 forms. If your proposal raises one of the issues listed in the ethics issue checklist, you must complete the ethics self-assessment in Part B of your proposal (section 5).

http://ec.europa.eu/research/participants/portal/doc/call/h2020/h2020-msca-itn-2015/1620147-h2020 - guidance ethics self assess_en.pdf

5 - ECSEL specific questions

The consortium shall provide additional information in Section 5 “Call specific questions”.

- Under 5.1, the consortium shall tick one or more boxes to indicate in which of the three areas defined under Article 2.2 of the “Council Regulation (EU) No 561/2014 establishing the ECSEL Joint Undertaking” will the proposal foster new developments:

- *design technologies, process and integration, equipment, materials and manufacturing for micro- and nanoelectronics while targeting miniaturisation, diversification and differentiation, heterogeneous integration;*
 - *processes, methods, tools and platforms, reference designs and architectures, for software and/or control-intensive embedded/cyber-physical systems, addressing seamless connectivity and interoperability, functional safety, high availability, and security for professional and consumer type applications, and connected services; and*
 - *multi-disciplinary approaches for smart systems, supported by developments in holistic design and advanced manufacturing to realise self-reliant and adaptable smart systems having sophisticated interfaces and offering complex functionalities based on, for example, the seamless integration of sensing, actuating, processing, energy provision and networking*
- Under 5.2, the consortium shall tick one of the two boxes to indicate agreement or disagreement with granting access to Part A of the proposal to the ECSEL Private Members (AENEAS, ARTEMIS-IA and EPoSS).

The boxes ticked in Section 5 are used for administrative purposes only, they have no influence whatsoever upon the subsequent process of evaluation and selection of the proposals.

PART B

The use of the appropriate template is mandatory both in PO and in FPP phase. Not using it will result in non-eligibility of the proposal.

Part B of the proposal must follow the structure defined in a "template" that can be downloaded in PDF format from the ECSEL website at www.ecsel.eu or in *Word format* from the H2020 Submission and Evaluation of Proposals (SEP) tool – see the screen shot below. In order to get the template from SEP, the coordinator must first create a draft proposal, which will give him/her access to the system.

The screenshot shows a web browser window titled "Submission of Proposals - Windows Internet Explorer". The address bar shows a URL from the ECSEL portal. The main content area is titled "Administrative Forms" and includes a warning: "WARNING: This proposal contains changes that have not yet been submitted...". Below this, there are buttons for "edit forms", "view history", and "print preview". The section "Part B and Annexes" contains instructions on uploading technical annexes and a "download templates" button. A list of countries for Part C is shown, including Part B, Part C (BE-IWT), Part C (BE-BXL), Part C (FR), Part C (IE), Part C (IT), Part C (LV), Part C (NL), Part C (PL), Part C (SE), and Part C. At the bottom, there are navigation buttons: "<< Step 4 - Parties", "validate", and "submit".

The template is the same for both calls: H2020-ECSEL-2017-1-IA-two-stage and H2020-ECSEL-2017-2-RIA-two-stage. The template clearly describes the sections that are mandatory to be filled in for the PO phase. For the FPP phase, all sections of the template need to be filled in.

The template is provided as a word document to make editing easier, but the submission system (SEP) accepts '.pdf' files only. Therefore, Part B MUST to be converted into '.pdf' before submission. Attention has to be paid that features are not lost/distorted during the conversion (tables, figures, pictures, etc.) Part B is mandatory – therefore, if not properly uploaded in the system, the proposal submission may be blocked!

Mandatory page limits apply for both 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.

The above page limits apply both for the PO and the FPP phases of the proposal submission.

Expert evaluators will be instructed to disregard the excess pages.

The page limits and sections subject to limits are clearly shown in the proposal template in the Participant Portal electronic submission system.

Consortia should aim at a right balance between general and detail. A too short description of some elements will leave many open questions while a too detailed description will be difficult to evaluate in the time imparted.

The template is designed to highlight the aspects that will be assessed against the evaluation criteria mentioned in WP2017. It covers, among other things, the nature of the work, its anticipated impact, the participants and their roles in the proposed project. The description of the expected entry for each criterion is given in the template. Due to its importance, we provide in the next section more explanations on what is expected.

Description of the partners

Be aware that the description of the partners is not directly part of the evaluation (no scoring on the partners) BUT it is essential in the operational capacity check and in the admissibility check. This is explained in WP2017 and in the “Guide on submission and evaluation” document.

Publishable Summary:

A **publishable summary is requested**, this is unique to ECSEL JU.

Not providing this summary will result in non-eligibility of the proposal at both phases!

EXPLANATION ON THE EVALUATION CRITERIA

1. Excellence (applicable for PO and FPP)

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 MASP²:

- 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 that the proposed work is ambitious, has clear innovation potential, and is beyond the state of the art.

The proposal should (as described in the template for the proposal):

- Indicate the work programme topic to which the proposal relates, and explain how the proposal addresses the specific challenge and scope of that topic, as set out in the MASP
- Describe the specific objectives for the project, which should be clear, measurable, realistic and achievable within the duration of the project. Objectives should be consistent with the expected exploitation and impact of the project (see criterion Impact).

² The ECSEL MASP is a Governing Board decision reference: ECSEL GB 2017.78. You can find the Work Plan on the ECSEL Call page (<http://ecsel.eu/web/calls/Calls2017.php>)

- Describe and explain the overall concept underpinning the project. Describe the main ideas, models or assumptions involved. Identify any trans-disciplinary considerations;
- Describe the positioning of the project e.g. where it is situated in the spectrum from 'idea to application', or from 'lab to market'. Refer to Technology Readiness Levels where relevant. (See Annex 4.C of Work Plan 2017);
- Describe any national or international research and innovation activities which will be linked with the project, especially where the outputs from these will feed into the project; describe for those activities how they complement (not overlap) with the present proposal;
- Describe and explain the overall approach and methodology, distinguishing, as appropriate, activities indicated in the relevant section of the work programme, e.g. for research, demonstration, piloting, first market replication, etc;
- Where relevant, describe how sex and/or gender analysis is taken into account in the project's content.
- Describe the advance your proposal would provide beyond the state-of-the-art, and the extent the proposed work is ambitious. Your answer could refer to the ground-breaking nature of the objectives, concepts involved, issues and problems to be addressed, and approaches and methods to be used.
- Describe the innovation potential which the proposal represents. Where relevant, refer to products and services already available on the market. Please refer to the results of any patent search carried out.
- Describe the "baseline" of the project, i.e. where the project starts and the "baseline data" against which the project will measure its progress. Here, the State of the Art refers to that which is currently seen in an 'industrial' context, i.e. existing, commercially viable solutions, technologies or applications. ECSEL views the novel application or integration of existing technologies, alongside new technologies, in new domains or for improving efficiency in existing domains as valid advances on the State of the Art under this interpretation.

2. Impact (Applicable for FPP; for PO, only section 2.1 of the Part B template is applicable)

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. (IA only) Creating economic value in Europe (by future employment and

industrial investment), including industrial end-user leverage (*Impact from EU perspective*);

- d. IA Only: Strengthening Europe and the competitiveness and growth of companies by developing innovations meeting 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*);
RIA Only: 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*);
- 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.

The proposal should (as described in the template for the proposal):

- Describe how the project will contribute to:
 - strengthen the industrial competitiveness, grow and sustainability (environmental, energy, use of raw materials, etc.) of companies;
 - improve innovation capacity and the integration of new knowledge (strengthening 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;
- Describe any barriers/obstacles, and any framework conditions (such as regulation and standards), that may determine whether and to what extent the expected impacts will be achieved. (This should not include any risk factors concerning implementation, as covered in the Implementation criterion)
- Provide a draft 'plan for the dissemination and exploitation of the project's results'. For innovation actions describe a credible path to deliver the innovations to the market. The plan, which should be proportionate to the scale of the project, should contain measures to be implemented both during and after the project.
 - ⚠ *Dissemination and exploitation measures should address the full range of potential users and uses including research, commercial, investment, social, environmental, policy making, setting standards, skills and educational training.*
 - ⚠ *The approach to innovation should be as comprehensive as possible, and must be tailored to the specific technical, market and organisational issues to be addressed.*

- Explain how the proposed measures will help to achieve the expected impact of the project. Include a business plan where relevant.
- Describe any framework conditions, such as regulation and standards, applicable to the project.
- Describe as well any contribution to standards which may arise from the project and explain their importance.
- Outline the strategy for knowledge management and protection. Include measures to provide open access (free on-line access, such as the 'green' or 'gold' model) to peer-reviewed scientific publications which might result from the project³.
- Describe the proposed communication measures for promoting the project and its findings during the period of the grant. Measures should be proportionate to the scale of the project, with clear objectives. They should be tailored to the needs of various audiences, including groups beyond the project's own community. Where relevant, include measures for public/societal engagement on issues related to the project.

3. Implementation (Applicable for FPP; for PO only the sections 3.1 (partially) and 3.3 are applicable - as indicated in the Part B template)

The following aspects will be taken into account:

- a. for PO only: Coherence and effectiveness of the work plan;
for FPP: Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks, resources and budget;
- b. IA only: Significant coverage of the value chain, including industrial end-users, and/or different industry domain where relevant; (PO and FPP)
- c. Competence and complementarity of the participants within the consortium (when relevant); (PO and FPP)
- d. Adequate participation of large companies, SMEs, universities, and research institutes; (PO and FPP)
- e. Appropriateness of the management structures and procedures, including risk and innovation management. (only FPP)

The proposal should provide:

- for PO: only a brief presentation of the overall structure of the work plan and partially fill in the Table 3.1a as indicated in the Part B Template: description of the WP

³ Open access must be granted to all scientific publications resulting from Horizon 2020 actions. Further guidance on open access is available in the H2020 Online Manual on the Participant Portal.

objectives and the main tasks per partner (no deliverables, no milestones and risk no assessment needed for PO);

- for FPP a clear description of the work plan with the timing of the different work packages and their components including well defined milestones , well described deliverables and if possible provide for demonstrators that validate the objectives of the project ;
- a description of the consortium. How will it match the project’s objectives? How do the members complement one another (and cover the value chain, where appropriate)? In what way does each of them contribute to the project? How will they be able to work effectively together? (high level PO phase and in detail FPP phase);
- a description of the industrial/commercial involvement in the project to ensure exploitation of the results and explain why this is consistent with and will help to achieve the specific measures which are proposed for exploitation of the results of the project (high level PO phase and in detail FPP phase);
- justification for the level and allocation of the resources to be committed (budget, staff, equipment) demonstrating their appropriateness (only FPP).

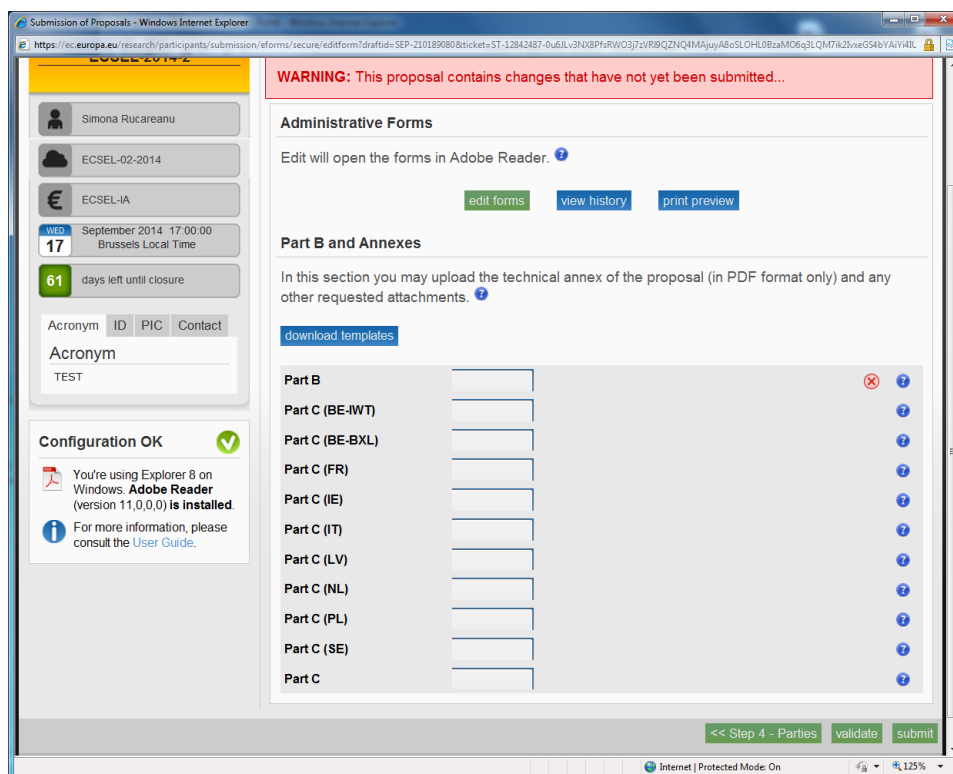
PART C

This section is applicable both for PO and for FPP.

Part C of the proposal is specific to ECSEL JU calls and contains confidential information about participants to allow further verification of national eligibility criteria for the allocation of the national funding.

Participants from some countries indicated in the “Eligibility Criteria” section of WP2017 must provide additional information according to the guidelines published in WP2017. These files, if requested, can be included in Part C of the FPP, unless the guidelines in the “Eligibility Criteria” section instruct otherwise (e.g., uploading directly to a website of the national funding authority or submitting them through a dedicated IT system).

All Part C files of the participants from the same country must be grouped together in a specific folder identified by the country name; the folder contents shall be compressed in a single password protected zip file, before uploading it through the correspondent country specific place holder, provided by SEP for this purpose – see the screenshot below. There is also an additional place holder, not attributed to a specific country, in case it may be needed.



The ECSEL JU will provide a password for each specific country folder to the project coordinator upon request sent to the ECSEL functional e-mail:

calls@ecsel.europa.eu

The request must contain the Call Identifier (H2020-ECSEL-2017-1-IA-two-stage or H2020-ECSEL-2017-2-RIA-two-stage) and the project acronym.

It is extremely important that the prospective project coordinators request the password well in advance with respect to the submission deadline in order to avoid any unforeseen problem occurring in the last moment, which may prevent the timely submission before the deadline.

In case of unexpected uploading problem, the participants shall contact immediately their National Contact Point (contact details are reported in the “Eligibility Criteria” in Annex 6 of WP2017 to find a viable alternative to submit part C outside SEP. SEP will technically consider the proposal submission completed even if Part C has been partially loaded, or the uploading has been unsuccessful.

ECSEL LIGHTHOUSE INITIATIVE – HOW TO PARTICIPATE

1. What is a Lighthouse Initiative?

More detailed description of the ECSEL Lighthouse Initiative can be found in Annex 1 of the ECSEL JU Work Plan for 2017 at <http://ecsel.eu/web/documents/GB-Decisions.php> or at the ECSEL Calls 2017 page: <http://ecsel.eu/web/calls/Calls2017.php> .

2. How will the Lighthouse Initiatives be adopted?

Details on the adoption of the ECSEL Lighthouse Initiatives can be found in ECSEL Governing Board Decision [ECSEL GB 2017.79](#) , published at:

[http://ecsel.eu/web/downloads/Documents_GB/ecsel_gb_2017_79 - lighthouse initiatives.pdf](http://ecsel.eu/web/downloads/Documents_GB/ecsel_gb_2017_79_-_lighthouse_initiatives.pdf)

3. How Can One Participate to Lighthouse Initiatives?

- a) If you want to introduce a new Lighthouse Initiative, please, use the template for the Expression of Interest (Eoi) to create a new Lighthouse Initiative on the ECSEL Calls 2017 web page (<http://ecsel.eu/web/calls/Calls2017.php>) or from the Participant Portal.
- b) If you want to participate in an existing Lighthouse Initiative, please, fill in the template for the Expression of Interest (Eoi) to participate to an existing Lighthouse Initiative on the ECSEL Calls 2017 web page(<http://ecsel.eu/web/calls/Calls2017.php>) or from the Participant Portal.

All the information pertaining to the Lighthouse Initiative must be submitted **exclusively** via the Eoi, no information is allowed in Part A and/or Part B of the proposal. It must be submitted at the FPP phase (the same deadline as FPP!) via the Participant Portal: upload directly in the system using the specific place holder provided for this purpose (the process is similar to Part C submission). Submission of the Eoi is optional, therefore, not uploading an Eoi in the system will not block the submission of the FPP.

The Lighthouse Initiative Eoi will be treated as confidential – they will be collected by the ECSEL JU office and transmitted to the PAB and the Governing Board (GB members – including the Private Members: AENEAS, ARTEMIS-IA, EPoS). They will be neither made available to the experts that evaluate the proposals, nor to the public.

SELECTION AND EVALUATION OF THE PROPOSALS

The “Guide on submission and evaluation” available at http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/pse/h2020-guide-pse_en.pdf describes the H2020 procedures for selection and evaluation.

This document specifies in Chapter “IV.1.5. Outcome of the evaluation: Commission/Agency ranked list — Operational capacity check” the standard procedure applied within H2020. The proposers are advised that the ECSEL JU follows here specific rules resulting from its structure and governance, that are documented in the document “ECSEL-PAB-2016 23 DECISION OF THE PUBLIC AUTHORITIES BOARD OF THE ECSEL JOINT UNDERTAKING ON THE EVALUATION AND SELECTION PROCEDURES RELATED TO CALLS FOR PROPOSALS” included in Annex 7 of WP2017. It describes the ECSEL procedures for evaluation in particular the specific differences with regard to the generic H2020 procedure, including the role of the ECSEL Public Authorities Board (PAB) in the process.

Please note that H2020 does not foresee negotiations. Under ECSEL JU there will be a request-for-change procedure to align the proposals with the PAB decisions.

ESI FUNDS

The Europe 2020 strategy towards smart, sustainable and inclusive growth will make significant progress by building upon the synergy between the cohesion policies and the excellence objectives of Horizon 2020. Combining funding from different European sources is now an accepted implementation tool. To this effect, ECSEL WP2017 includes the following provision: *“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.”*

In an ECSEL project, ESI Funds can be used to support:

- One or more participants
- One or more cost items

Including participants supported by ESIF in the ECSEL project proposal form

Any participant supported with ESI Funds (“ESIF participant”) will become legally a part of a project consortium by signing an accession form to the JUGA. It is therefore necessary that the JUGA include provisions justifying the accession, both in terms of the contributions to the project administrations, as per Part A of the proposal, and in terms of the scientific and technical contributions as per JUGA Annex 1 integrating the Part B of the proposal. The chapters of the proposal template that must identify the “ESIF participant” and its contributions are identified in detail below.

- Part A
 - o There will be an entry for each “ESIF participant” under *2. Administrative data of participating organizations*
 - o For each “ESIF participant”, there will be a line under *3. Budget for the proposal* introducing zero euro costs and requesting zero euro JU grants (column K of the JU Grant table) and zero euro national grants (column T of the National Grant table).
- Part B
 - o There will be an entry for each “ESIF participant” under *Cover page*, in the table *List of participants*
 - o Under *3. Implementation*:
 - There is no specific need to individually identify the “ESIF participant” involvement under *3.1 Work plan – Work packages*, deliverables and milestones, but the corresponding tables must – or some of them may – have specific entries. Tables under 3.1:
 - the resources allocated (in person/months) and the description of work including the role of the “ESIF participant(s)” are included for each relevant segment of *Table 3.1a: Work Package Description*
 - Should any “ESIF participant” assume leadership for a work package, it will be mentioned in *Table 3.1b: List of work packages*
 - Should any “ESIF participant” assume leadership for a deliverable, it will be mentioned in *Table 3.1c: List of Deliverables*
 - The interactions of the consortium with the “ESIF participant(s)” shall be explained under *3.2 Management structure and procedures*. The chapter will describe the risk that the ESI Funds will not be allocated as planned by the

“ESIF participant” and will identify the mitigation measures. Tables under 3.2:

- *Table 3.2b: critical risks for implementation* will identify the possibility that ESI Funds will not be allocated as planned by the “ESIF participant”
- The “ESIF participant(s)” and their contributions shall be described in some detail in *3.3 Consortium as a whole*
- A specific entry is necessary under *3.4 Resources to be committed*. Table under 3.4:
 - The efforts of the “ESIF participant” will be included in *Table 3.4a: Summary of staff effort*
 - The total eligible costs and the requested funding of the “ESIF participant” shall be introduced in *Table 3.4c: Support through ESI Funds*
- Under *4. Members of the consortium*
 - Each “ESIF participant” will have an entry under *4.1 Participants (applicants)*

Including cost items supported by ESIF in the ECSEL project proposal forms

Since the combination of funding sources require at the same time strict avoidance of double funding and/or substitution of required national contributions by other European sources, it is important that the costs supported by ESI Funds are clearly identified and separated from the costs supported from other sources. To this effect, the participants are strongly advised to group all activities supported through ESI Funds in one distinct work package (or more distinct work packages, if absolutely necessary), that is exclusively supported by ESI Funds. In this context, we will discuss below the specific entries required for an “ESIF work package” in a proposal submitted in response to an ECSEL JU call.

– Part A

This part is not affected by the existence of an “ESIF work package”, except for the two Grant tables.

The partners assigning resources within the “ESIF work package” can also incur costs in other Work Packages that are eligible under H2020. Therefore, it is essential that they do NOT include the ESIF costs in the JU Grant table or in the National Grant table. In that table only the H2020 eligible cost are to be introduced as well as the requested grant amount.

– Part B

○ Under *3. Implementation*:

- There will be an entry for each “ESIF work package” in *3.1 Work plan – Work packages, deliverables and milestones*. Tables:
 - there will be a specific entry for each “ESIF work package” in *Table 3.1a: Work package description*
 - the “ESIF work package” will be consolidated with other work packages in *Table 3.1b: List of work packages*

- the deliverables resulting from this work package will be consolidated in *Table 3.1c: List of Deliverables*
 - The risk that the ESI Funds will not be allocated as planned will be addressed under *3.2 Management structure and procedures* together with the mitigation measures. Tables under 3.2:
 - the milestones related to the “ESIF work package” will be listed in *Table 3.2a: List of milestones*
 - *Table 3.2b: critical risks for implementation* will identify the possibility that ESI Funds will not be allocated as planned
 - A table with the participants involved in the “ESIF work package” showing the expenditures planned by each of them will be added under *3.4 Resources to be committed*. Table under 3.4:
 - The efforts related to the “ESIF work package” will be included as a specific column in *Table 3.4a: Summary of staff effort* (the efforts related to the other WPs covered by the JU Grant will be filled in in the columns dedicated to these WPs)
 - The total eligible costs and the requested funding of the “ESIF participant” shall be introduced in *Table 3.4c: Support through ESI Funds*
- Under *4. Members of the consortium*
- Each “ESIF participant” will have an entry under *4.1 Participants (applicants)*

PARTNERS FROM THIRD COUNTRIES NOT COVERED BY THE LIST IN ANNEX 4. A OF THE ECSEL JU WORK PLAN 2017

Partners from third countries not covered by the list in Annex 4. A of the ECSEL JU Work Plan 2017 are excluded from funding but not from participation to H2020 projects. Under special circumstance,s Union funding can be attributed to such a partner. The Work Plan foresees under “Annex 4. A. List of countries, and applicable rules for funding” that:

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 Union 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*⁴.

Any funding for such partners will be pending a PAB decision after the evaluation. The consortium shall describe in the chapter *Consortium as a whole* (as described below) why the participation of such partner is essential for carrying out the action and shall describe in the chapter *Risk assessment* (as described below) how the proposal will be affected if the funding decision is negative.

In the case that a consortium wants to include such a partner, then that partner must be included in:

- Part A
 - There will be an entry for such partner under 2. *Administrative data of participating organizations*
 - If such partner applies for European Union funding then there will be a line under 3. *Budget for the proposal* introducing the costs (in Euro) and the requested JU grants (column K of the JU Grant table). The national grants (column T of the National Grant table) must not be filled in.
- Part B
 - There will be an entry for such partner under *Cover page*, in the table *List of participants*
 - Under 3. *Implementation*:
 - There is no specific need to individually identify such partner involvement under 3.1 *Work plan – Work packages*, deliverables and milestones, but the corresponding tables must – or some of them may – have specific entries. Tables under 3.1:
 - the resources allocated (in person/months) and the description of work including the role of such partner are included for each relevant segment of *Table 3.1a: Work Package Description*
 - Should any such partner assume leadership for a work package, it will be mentioned in *Table 3.1b: List of work packages*
 - Should any such partner assume leadership for a deliverable, it will be mentioned in *Table 3.1c: List of Deliverables*
 - The interactions of the consortium with such partner shall be explained under 3.2 *Management structure and procedures*. The chapter will describe the risk that Union funding will not be allocated as planned to such partner and will identify the mitigation measures. Tables under 3.2:
 - *Table 3.2b: critical risks for implementation* will identify the possibility that Union funding will not be allocated as planned by such partner
 - Such partner and their contributions shall be described in some detail in 3.3 *Consortium as a whole*
 - Very important: In 3.3 *Consortium as a whole* the coordinator must explain why the participation of such partner is essential for carrying out the action.

⁴ Provided that natural or legal persons, groups or non-State entities are not covered by the Council sanctions in force.

- A specific entry is necessary under *3.4 Resources to be committed*. Table under 3.4:
 - The efforts of such partner will be included in the *Table 3.4a: Summary of staff effort*
- Under *4. Members of the consortium*
 - Such partner will have an entry under *4.1 Participants (applicants)*

During the evaluation, the experts will assess if the participation of the partner is essential to the project. It is the PAB who makes the final decision on the Union funding. ECSEL JU will then communicate the decision to the coordinator.

LINKED THIRD PARTIES

Linked third parties are not identified separately in part A of the proposal submission forms. The budget of the linked third party should be integrated in the budget of the beneficiary to whom it is linked in the corresponding cost categories.

In the technical annex of the proposal template (section 4.2), the linked third party, the link of the participant to the third party, and the description and justification for the tasks to be performed by the third party must be included. The verification and validation of status of the linked third party are carried out in the frame of the preparation of the Grant.

LEGAL STATUS OF YOUR ORGANIZATION

As already mentioned in section “Part A” of this document, participants can only be added to the proposal via a PIC number. With a PIC number, the legal data of an organisation is imported **read only** into Part A of the proposal. Therefore, it is very important that this legal data is correct and up-to-date for each of the participants in the **beneficiary register**. For more information regarding the beneficiary register, please read:

http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/lev/h2020-guide-lev_en.pdf

Participants are encouraged to check/update their legal data, in particular the “Research and Innovation legal statuses” as funding percentages depend on it. Please see for reference the screenshot example below.

LEGAL STATUS ENTERPRISE FP7 ICM PROGRAMME SUBMIT DONE

Research
Please answer the following questions about the legal status of your organisation. The information you provide here will determine the next questions.

A participant organisation can only be registered for the 7th Framework Programme if it is a 'Legal Entity' - any Natural Person, or any Legal Person created under the national law of its place of establishment or under Community or international law, which has a legal personality and which may, acting on its name, exercise rights and be subject to obligations.

For Horizon 2020 participation, an entity that does not have a legal personality under the applicable national law, will only be accepted as a legal entity on condition that its representatives have the capacity to undertake legal obligations on behalf of the entity and that they offer guarantees for the protection of the Union's financial interests equivalent to those offered by legal persons.

Enter the Research legal status of the organisation

Is it a Non-Profit Organisation? Yes No

Is it a Public Body? Yes No

Is it an International Organisation? Yes No

Is it an International Organisation of European Interest? Yes No

Is it a higher or secondary education establishment? Yes No

Is it a Research Organisation? Yes No

Is it a large infrastructure organisation? Yes No **i**

Is it a Small Medium Enterprise (SME)? Yes No **i**

Is it a Civil society organisation? Yes No **i**

Civil society organisation type Citizens' association pursuing a **v**

Close **< Back** **Save Draft** **Next >**

For profit organizations that are not SME and that are none of the other above mentioned types are considered to fall under the category Industry in the funding table of the Work Plan.

An organization that falls outside any of the above mentioned categories is considered to be Other in the funding table of the Work Plan.

SMEs

The European definition for an SME is used:

http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition/index_en.htm

In order to receive the funding percentage for SMEs, you need to be validated in the system as an SME with a validation date not older than 2 years.

If you are not yet validated as an SME in the system or the information is older than 2 years, you need to complete the SME self-assessment module in the beneficiary register. This holds for the FPP phase only.

For the PO phase, you may decide to complete the SME self-assessment module in the beneficiary register at that moment or to postpone this task for later during the FPP phase.

http://ec.europa.eu/research/participants/data/support/manual/urf_sme_wizard_guidance.pdf

PROJECT COORDINATORS – FINANCIAL VIABILITY CHECK

Beneficiaries that are coordinators of actions/proposals selected for funding and for which the requested EU-funding is $\geq 500,000.00$ € and do not fall under the “Public Body” or “International Organisation” category may undergo a financial viability check during the GAP (Grant Agreement Preparation) step. As this process can be quite tedious and time consuming and in order not to unnecessarily delay the process at this step when invited for the GAP phase these coordinators can already check their organisation's financial viability themselves using the financial self-check tool in the Participant Portal (see the link below). The tool uses the ratios described in the section of legal entity validation of the H2020 Grants Manual. While the results of this simulation provide only a non-binding indication it can however be very useful.

<http://ec.europa.eu/research/participants/portal/desktop/en/organisations/lfv.html>

EXTENDED OPEN RESEARCH DATA PILOT IN HORIZON 2020

If selected, applicants will by default participate in the Pilot on Open Research Data in Horizon 2020⁵, which aims to improve and maximise access to and re-use of research data generated by actions.

However, participation in the Pilot is flexible in the sense that it does not mean that all research data needs to be open. After the action has started, participants will formulate a Data Management Plan (DMP), which should address the relevant aspects of making data FAIR – findable, accessible, interoperable and re-usable, including what data the project will generate, whether and how it will be made accessible for verification and re-use, and how it will be curated and preserved. Through this DMP projects can define certain datasets to remain closed according to the principle "as open as possible, as closed as necessary". A Data Management Plan does not have to be submitted at the proposal stage.

Furthermore, applicants also have the possibility to opt out of this Pilot completely at any stage (before or after the grant signature). In this case, applicants must indicate a reason for this choice (see options in Annex 4.F of Work Plan 2017).

Please note that participation in this Pilot does not constitute part of the evaluation process. Proposals will not be penalised for opting out.

Further guidance on open access and research data management is available on the participant portal: http://ec.europa.eu/research/participants/docs/h2020-funding-guide/cross-cutting-issues/open-access-dissemination_en.htm.

⁵ According to article 43.2 of 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.

ECSEL JU GRANT AGREEMENT SPECIFICS

The ECSEL JU Grant Agreement (ECSEL JU GA) is not involved at the proposal submission stage. It provides important information as it is the legal act establishing the rights and obligations of the parties involved. It has only three important differences in comparison to the H2020 Model Grant Agreement.

1. The funding percentages for the EU contribution are different than under H2020. The applicable values for these Calls are given in WP2017.
2. For partners from entrusting states (see WP2017), the national contribution is added to the EU contribution; the sum of the two contributions represents the JU Grant.
3. Amendments are required when changing the budgets of the partners.

The ECSEL JU GA is also available on the participant portal.

The ECSEL JU GA is the same for all ECSEL JU projects regardless the call under which the project was awarded except for the funding rates (%), which are specific to the call as indicated above.

Please find below some further explanation as to those differences.

Concerning amendments, the ECSEL JU grant agreement stipulates:

CHAPTER 2 ACTION

ARTICLE 4 — ESTIMATED BUDGET AND BUDGET TRANSFERS

4.2 Budget transfers

The estimated budget breakdown indicated in Annex 2 may be adjusted by transfers of amounts between budget categories. This does not require an amendment according to Article 55, if the action is implemented as described in Annex 1.

However, the beneficiaries may not add costs relating to subcontracts not provided for in Annex 1, unless such additional subcontracts are approved by an amendment or in accordance with Article 13.

[OPTION if lump sum foreseen in Article 5.2: Lump sums set out in Annex 2 can never be adjusted.]

In addition, the estimated budget breakdown indicated in Annex 2 may not be adjusted by transfers of amounts between beneficiaries. This requires in all cases an amendment according to Article 55.

The last paragraph of the article deviates from the General MGA as it stipulates that transfers of amounts between beneficiaries should always require an amendment.

In ECSEL actions beneficiaries usually conclude two grant agreements: the JU grant agreement and the national grant agreement.

The ECSEL Participating States may also decide to conclude an administrative agreement with the JU and entrust the JU with implementation and/or payment of its contribution to beneficiaries.

The description of an action of the JU and the national grant agreements is identical.

As a consequence, any transfer of budget between beneficiaries needs to be reflected in the national grant agreement as well.

This requirement is a practical necessity to keep the changes in the EU budgets of the beneficiaries synchronous with changes in the national budgets of the beneficiaries.

Concerning funding rates and entrusting states, the ECSEL JU grant agreement stipulates:

CHAPTER 3 GRANT

ARTICLE 5 — GRANT AMOUNT, FORM OF GRANT, REIMBURSEMENT RATES AND FORMS OF COST

5.2 Form of grant, reimbursement rates and forms of costs

The grant reimburses the action's eligible costs (see Article 6) ('reimbursement of eligible costs grant') according to the following reimbursement rates (see Annex 2):

- ***for beneficiaries established in [insert Participating country having entrusted the JU with the implementation and payment of its contributions]:***
[insert percentage⁶]% of the eligible costs of the beneficiaries [and linked third parties] that are SMEs or natural persons,
[insert percentage⁷]% of the eligible costs of the beneficiaries [and linked third parties] that are for-profit private entities other than SMEs,
[insert percentage⁸]% of the eligible costs of the other beneficiaries [and linked third parties],
- ***for beneficiaries established in [insert Participating country having entrusted the JU with the implementation and payment of its contributions]:***
[insert percentage⁹]% of the eligible costs of the beneficiaries [and linked third parties] that are SMEs or natural persons,
[insert percentage¹⁰]% of the eligible costs of the beneficiaries [and linked third parties] that are for-profit private entities other than SMEs,

6 The percentage shall correspond to the sum of the reimbursement rates applied by the JU under EU funding rules and under the national funding rules of the entrusting Participating State.

7 The percentage shall correspond to the sum of the reimbursement rates applied by the JU under EU funding rules and under the national funding rules of the entrusting Participating State.

8 The percentage shall correspond to the sum of the reimbursement rates applied by the JU under EU funding rules and under the national funding rules of the entrusting Participating State.

9 The percentage shall correspond to the sum of the reimbursement rates applied by the JU under EU funding rules and under the national funding rules of the entrusting Participating State.

[insert percentage¹¹]% of the eligible costs of the other beneficiaries [and linked third parties],

[same for each Participating country having entrusted the JU with the implementation and payment of its contributions]

- ***for beneficiaries established in other countries:
[insert percentage¹²]% of the eligible costs of the beneficiaries [and linked third parties] that are SMEs or natural persons,
[insert percentage¹³]% of the eligible costs of the beneficiaries [and linked third parties] that are for-profit private entities other than SMEs,
[insert percentage¹⁴]% of the eligible costs of the other beneficiaries [and linked third parties].***

According to Commission Delegated Regulation (EU) No 610/2014¹⁵ by way of derogation from Article 28(3) of Regulation (EU) No 1290/2013, the ECSEL Joint Undertaking may apply different reimbursement rates for the Union funding within an action dependent upon the type of the participant and the type of activity in actions where one or more Member States co-fund a participant or the action.

The Regulation (EU) No 561/2014¹⁶ prescribes that the ECSEL Participating States may decide if they will entrust the JU with the implementation and/or payment of their contributions (entrusting states), or if they will conclude national grant agreements with participants to indirect actions funded by ECSEL JU (non-entrusting states).

This Article deviates from General MGA in as far as the Article marks the differences between reimbursement rates for entrusting states versus for non-entrusting states).

For entrusting states the reimbursement rates are the sum of the national rates and the EU reimbursement rates as defined in the Work Plan.

For non-entrusting states the reimbursement rates are the EU reimbursement rates as defined in the Work Plan.

10 The percentage shall correspond to the sum of the reimbursement rates applied by the JU under EU funding rules and under the national funding rules of the entrusting Participating State.

11 The percentage shall correspond to the sum of the reimbursement rates applied by the JU under EU funding rules and under the national funding rules of the entrusting Participating State.

12 The percentage shall only correspond to the reimbursement rate applied by the JU under EU funding rules.

13 The percentage shall only correspond to the reimbursement rate applied by the JU under EU funding rules.

14 The percentage shall only correspond to the reimbursement rate applied by the JU under EU funding rules.

COMMISSION DELEGATED REGULATION (EU) No 610/2014 of 14 February 2014 on establishing a derogation from Regulation (EU) No 1290/2013 of the European Parliament and of the Council laying down the rules for participation and dissemination in 'Horizon 2020 — the Framework Programme for Research and Innovation (2014-2020)' with regard to the ECSEL Joint Undertaking, OJ L 168/53, 7.6.2014

¹⁶ COUNCIL REGULATION (EU) No 561/2014 of 6 May 2014 establishing the ECSEL Joint Undertaking, OJ L 169/152, 7.6.2014