



## **DECISION OF THE GOVERNING BOARD OF THE ECSEL JOINT UNDERTAKING**

### **Adopting the ECSEL Work Plan for the year 2014**

THE GOVERNING BOARD OF THE ECSEL JOINT UNDERTAKING,

Having regard to Council Regulation (EU) No 561/2014 of 6 May 2014 establishing the ECSEL Joint Undertaking<sup>1</sup>,

Having regard to the Statutes of the Joint Undertaking as annexed to Council Regulation (EC) No 561/2014, and in particular Articles 1(e), 7§3 (k) and 21(2),

Whereas:

- 1) The Executive Director shall submit to the Governing Board for adoption a draft annual or multiannual work plan which shall include the research and innovation activities plan, the administrative activities and the corresponding expenditure estimates,
- 2) The work plan shall be adopted by the end of the year prior to its implementation,
- 3) The Governing Board shall adopt the work plan;

HAS ADOPTED THIS DECISION:

#### *Article 1*

The work plan for the year 2014, as annexed to this decision, is hereby adopted. It shall be published on the website of the ECSEL Joint Undertaking.

#### *Article 2*

This Decision shall enter into force on the date of its adoption.

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<sup>1</sup> OJ L 169/152 of 7.06.2014

Done at Brussels, on 3 July 2014,

For the Governing Board

*(signed)*

Heinrich Daembkes  
Chairperson of the Governing Board

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Topics and the categories of action are described in the ECSEL Multi-Annual Strategic Plan (MASP), document ECSEL-GB-2014.06. Proposers must refer to this document before submitting any proposals.

The calls 2014 do not address the “Excellence and competence centres” and the “Innovation support actions”.

The “Research and development projects”, “Demonstrators, innovation pilot projects and zones of full-scale testing” and “Pilot lines and test beds” will be implemented by two types of actions:

- ECSEL Research and Innovation Actions (ECSEL-RIA)
- ECSEL Innovation Actions (ECSEL-IA)

These types of actions differ by the technology readiness level they focus on and therefore by the reimbursement rates.

ECSEL JU will accept proposals containing cost items contributing towards the milestones and deliverables of the Action that are independently funded by other European sources.

## CALL ECSEL-2014-1 RESEARCH AND INNOVATION ACTIONS

### Scope and objectives

The call will be open for the following topics:

Chapter	Sub Chapter	Open/Closed
<b>Key Applications</b>		
1 Smart mobility	11 Resource-efficient transport	<b>Open</b>
	12 Less congestion, more safety	<b>Open</b>
	13 Next generation vehicles	<b>Open</b>
2 Smart society	21 Securing critical community assets	<b>Open</b>
	22 Trusted components and systems	<b>Open</b>
	23 Next generation digital lifestyle	<b>Open</b>
3 Smart energy	31 Sustainable energy generation and conversion	<b>Open</b>
	32 Reducing energy consumption	<b>Open</b>
	33 Efficient community energy management	<b>Open</b>
4 Smart health	41 Home care and well-being	<b>Open</b>
	42 Hospital and heuristic care	<b>Open</b>
	43 Food processing and safety	<b>Open</b>
5 Smart Production	51 Sustainable and integrated manufacturing	<b>Open</b>
	52 Semiconductor manufacturing	<b>Open</b>
<b>Essential technologies</b>		
1 Process technologies	11 More Moore	<b>Open</b>
	12 More than Moore	<b>Open</b>
2 Design technologies	21 Yield, Robustness and Reliability	<b>Open</b>
	22 Managing complexity and diversity, including safety and security	<b>Open</b>
	23 Model-based engineering and virtual engineering	<b>Open</b>
3 Cyber-physical systems	31 Architectures	<b>Open</b>
	32 Autonomy and cooperation	<b>Open</b>
	33 Platforms - computing architecture and energy management	<b>Open</b>
4 Smart systems integration	41 Building blocks, controls and interfaces of smart systems	<b>Open</b>
	42 Integration methods enabling smart functionality, automation and reliable operation in harsh and complex environments	<b>Open</b>
	43 Interfaces for the safe, secure and efficient transfer of data and energy	<b>Open</b>

Note that National priorities may be applicable to specific topics (refer to Annex G). Objectives of each topic can be found in the MASP.

## Specific Conditions

### Mode

1 phase (no project outline phase)

### Publication date

9 July 2014

### Opening

10 July 2014

### Deadline

at 17:00:00 Brussels time on 17 September 2014

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

*Description:* Action primarily consisting of activities aiming to establish new knowledge and/or to explore the feasibility of a new or improved technology, product, process, service or solution. For this purpose they may include basic and applied research, technology development and integration, testing and validation on a small-scale prototype in a laboratory or simulated environment.

The activities have their main thrust in the TRL2-5

### Admissibility and Eligibility conditions:

#### Admissibility conditions

Refer to Annex B

#### Eligibility conditions

All proposals must conform to the conditions set out in the Regulation 1290/2013, in the following Rules for Participation.

A proposal will only be considered eligible if:

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

Type of action	Eligibility conditions
<b>ECSEL Research &amp; Innovation Action</b>	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.

Specific rules apply for each ECSEL Participating State (refer to Annex G).

## Evaluation criteria, scoring and threshold

### Evaluation procedure

The document ECSEL-PAB-2014.02 (Annex H) contains the details of the evaluation and selection process.

### Evaluation criteria

Type of action	Excellence	Impact	Quality and efficiency of the implementation
	The following aspects will be taken into account, to the extent that the proposed work corresponds to the topic description in the work plan.	The extent to which the outputs of the project should contribute at the European and/or International level to:	The following aspects will be taken into account:
ECSEL Research and Innovation Action	<ol style="list-style-type: none"> <li>1. Clarity and pertinence of the objectives;</li> <li>2. Credibility of the proposed approach.</li> <li>3. Soundness of the concept, including trans-disciplinary considerations, where relevant;</li> <li>4. Extent that proposed work is ambitious, has innovation potential, and is beyond the state of the art (e.g. ground-breaking objectives, novel concepts and approaches)</li> </ol>	<ol style="list-style-type: none"> <li>1. The expected impacts are listed in the MASP for each relevant topic under the title "Impact"</li> <li>2. Enhancing innovation capacity and integration of new knowledge;</li> <li>3. Strengthening Europe 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;</li> <li>4. Any other environmental and socially important impacts (not already covered above);</li> <li>5. Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project, and to manage research data where relevant.</li> </ol>	<ol style="list-style-type: none"> <li>1. Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources;</li> <li>2. Complementarity of the participants within the consortium (when relevant);</li> <li>3. Appropriateness of the management structures and procedures, including risk and innovation management.</li> </ol>

### Scoring

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



### **Interpretation of the score**

- 0** — The **proposal fails to address the criterion** or cannot be assessed due to missing or incomplete information.
- 1** — **Poor.** The criterion is inadequately addressed, or there are serious inherent weaknesses.
- 2** — **Fair.** The proposal broadly addresses the criterion, but there are significant weaknesses.
- 3** — **Good.** The proposal addresses the criterion well, but a number of shortcomings are present.
- 4** — **Very Good.** The proposal addresses the criterion very well, but a small number of shortcomings are present.
- 5** — **Excellent.** The proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

### **Capacity Criteria**

- a) *Financial capacity:* In line with the Financial Regulation and the Rules for Participation. At the proposal stage, coordinators will be invited to complete a self-assessment using an on-line tool.
- b) *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**

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 lists 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:

- 1) Proposals that address topics not otherwise covered by more highly-ranked proposals will be considered to have the highest priority.
- 2) These proposals will themselves be prioritised according to the scores they have been awarded for the criterion excellence. When these scores are equal, priority will be based on scores for the criterion impact. In the case of Innovation actions this prioritisation will be done first on the basis of the score for impact, and then on that for excellence.
- 3) 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, 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 3 months from the date of informing applicants

### **Consortium agreement**

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

### Reimbursement rate for establishing the EU contribution

Funding percentages are to be calculated on the eligible costs according to H2020.

Type of partner	EU Contribution as % of the Eligible Cost according to H2020 (*)
Industry	50%
SME	50%
University/Other	50%

(\*) partners may ask for a lower rate

### Reimbursement rates for establishing national contributions

Please refer to Annex G

### Financial support to third parties

Not applicable for this call

### Estimated expenditures

EU Estimated expenditure: 40 M€ (1)

ECSEL Participating State	Estimated expenditure (M€)	ECSEL Participating State	Estimated expenditure (M€)
Austria	6.0 (2) (7)	Latvia	0.35 (2)
Belgium-Flanders region	14.0 (2)	Lithuania	To be announced
Belgium-Brussels region	0.5 (2)	Luxembourg	To be announced
Bulgaria	2.5 (2)	Malta	To be announced
Czech republic	2.5 (2)	Netherlands	12.5
Denmark	1.3 (2)	Norway	2.5 (2)
Estonia	0.0	Poland	1.5 (2)
Finland	5.0 (2)(4)	Portugal	1.5 (2)
France	To be announced	Romania	0.46 (2)
Germany	35.0 (2) (6)	Slovak republic	0.8 (2)
Greece	1.5 (2)(9)	Slovenia	To be announced
Hungary	1.0 (2)	Spain	6.0 (2) (3)
Ireland	2.0 (2)	Sweden	5.5 (2) (8)
Israel	3.0 (2)	Turkey	To be announced
Italy	4.0 (2)(5)	United Kingdom	3.6 (2)

(1) Pending the financing decision to be adopted by the European Commission

(2) Total budget to be distributed over all the ECSEL Calls of the year 2014.

(3) Pending the relevant National Ministerial authorization, subject to final approval by the Financial Authorities.

(4) Universities/RTO's 3M€ grants and SME/Industry 2M€ grants and 5 M€ loans.

(5) Also 8M€ in loans available

(6) The pre-commitment is divided as follows: BMBF electronics and smart systems RIA 12 M€ + IA 6 M€ (funding left over from RIA is available for IA), BMBF software-intensive cyber-physical systems RIA + IA 6 M€, indicative budget for Saxony RIA + IA 11 M€ (for participants from Saxony only).

(7) Subject to the final approval by the National Financial Authorities

(8) Maximum 1.7M€ for RIA

(9) Budget comes from ESI funds (Structural funds)

The budgetary figures given are indicative. The Total public funds awarded by the ECSEL Joint Undertaking to projects arising from this call, following the evaluation and selection of proposals, may differ from the total budget of the call.

**CALL ECSEL-2014-2 INNOVATION ACTIONS:****Scope and objectives**

The call will be open for the following topics:

<b>Chapter</b>	<b>Sub Chapter</b>	<b>Open/Closed</b>
<b>Key Applications</b>		
1 Smart mobility	11 Resource-efficient transport	<b>Open</b>
	12 Less congestion, more safety	<b>Open</b>
	13 Next generation vehicles	<b>Open</b>
2 Smart society	21 Securing critical community assets	<b>Open</b>
	22 Trusted components and systems	<b>Open</b>
	23 Next generation digital lifestyle	<b>Open</b>
3 Smart energy	31 Sustainable energy generation and conversion	<b>Open</b>
	32 Reducing energy consumption	<b>Open</b>
	33 Efficient community energy management	<b>Open</b>
4 Smart health	41 Home care and well-being	<b>Open</b>
	42 Hospital and heuristic care	<b>Open</b>
	43 Food processing and safety	<b>Open</b>
5 Smart production	51 Sustainable and integrated manufacturing	<b>Open</b>
	52 Semiconductor manufacturing	<b>Open</b>
<b>Essential technologies</b>		
1 Process technologies	11 More Moore	<b>Open</b>
	12 More than Moore	<b>Open</b>
2 Design technologies	21 Yield, Robustness and Reliability	<b>Open</b>
	22 Managing complexity and diversity, including safety and security	<b>Open</b>
	23 Model-based engineering and virtual engineering	<b>Open</b>
3 Cyber-physical systems	31 Architectures	<b>Open</b>
	32 Autonomy and cooperation	<b>Open</b>
	33 Platforms - computing architecture and energy management	<b>Open</b>
4 Smart systems integration	41 Building blocks, controls and interfaces of smart systems	<b>Open</b>
	42 Integration methods enabling smart functionality, automation and reliable operation in harsh and complex environments	<b>Open</b>
	43 Interfaces for the safe, secure and efficient transfer of data and energy	<b>Open</b>

Note that National priorities may be applicable to specific topics (refer to Annex G). Objectives of each topic can be found in the MASP.

## **Specific Conditions**

### **Mode**

1 phase (no project outline phase)

### **Publication date**

9 July 2014

### **Opening**

10 July 2014

### **Deadline**

at 17:00:00 Brussels time on 17 September 2014

### **Type of action: ECSEL Innovation Action**

*Description:* Action primarily consisting of activities directly aiming at producing plans and arrangements or designs for new, altered or improved products, processes or services. For this purpose they may include prototyping, testing, demonstrating, piloting, large-scale product validation and market replication.

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 near to 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<sup>4</sup> 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 main thrust in the TRL4-8

## Admissibility and Eligibility conditions:

### Admissibility conditions

Refer to Annex B

### Eligibility conditions

All proposals must conform to the conditions set out in the Rules for Participation.

A proposal will only be considered eligible if:

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

Type of action	Eligibility conditions
<b>ECSEL Innovation Action</b>	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.

Specific rules apply for each ECSEL Participating State (refer to Annex G).

## Evaluation criteria, scoring and threshold

### Evaluation procedure

The document ECSEL-PAB-2014.02 (Annex H) contains further elements on the evaluation and selection of processes.

### Evaluation criteria

Type of action	Excellence	Impact	Quality and efficiency of the implementation
	The following aspects will be taken into account, to the extent that the proposed work corresponds to the topic description in the work plan.	The extent to which the outputs of the project should contribute at the European and/or International level to:	The following aspects will be taken into account:
ECSEL Innovation Action	<ol style="list-style-type: none"> <li>1. Clarity and pertinence of the objectives;</li> <li>2. Credibility of the proposed approach.</li> <li>3. Soundness of the concept, including trans-disciplinary considerations, where relevant;</li> <li>4. Extent that proposed work is ambitious, has innovation potential, and is beyond the state of the art (e.g. ground-breaking objectives, novel</li> </ol>	<ol style="list-style-type: none"> <li>1. The expected impacts are listed in the MASP for each relevant topic under the title "Impact"</li> <li>2. Enhancing innovation capacity and integration of new knowledge;</li> <li>3. Strengthening Europe and the competitiveness and growth of companies by developing innovations meeting the needs of European and global</li> </ol>	<ol style="list-style-type: none"> <li>1. Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources;</li> <li>2. Complementarity of the participants within the consortium (when relevant);</li> <li>3. Appropriateness of the management structures and</li> </ol>

	concepts and approaches)	markets; and, where relevant, by delivering such innovations to the markets; 4. Any other environmental and socially important impacts (not already covered above); 5. Effectiveness of the proposed measures to exploit and disseminate the project results (including management of IPR), to communicate the project, and to manage research data where relevant.	procedures, including risk and innovation management.
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### **Scoring**

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

(\*) threshold applies to the unweighted score

(\*\*) the weight is only used to establish the ranking of the proposals

### **Interpretation of the score**

- 0 — The **proposal fails to address the criterion** or cannot be assessed due to missing or incomplete information.  
1 — **Poor**. The criterion is inadequately addressed, or there are serious inherent weaknesses.  
2 — **Fair**. The proposal broadly addresses the criterion, but there are significant weaknesses.  
3 — **Good**. The proposal addresses the criterion well, but a number of shortcomings are present.  
4 — **Very Good**. The proposal addresses the criterion very well, but a small number of shortcomings are present.  
5 — **Excellent**. The proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

### **Capacity Criteria**

- a) *Financial capacity*: In line with the Financial Regulation and the Rules for Participation. At the proposal stage, coordinators will be invited to complete a self-assessment using an on-line tool.  
b) *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**

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:

- 1) Proposals that address topics not otherwise covered by more highly-ranked proposals will be considered to have the highest priority.
- 2) These proposals will themselves be prioritised according to the scores they have been awarded for the criterion excellence. When these scores are equal, priority will be based on scores for the criterion impact. In the case of Innovation actions, and the SME instrument (phases 1 and 2), this prioritisation will be done first on the basis of the score for impact, and then on that for excellence.
- 3) 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, gender balance. These factors will be documented in the report of the Panel.

### Indicative timetable for evaluation and grant agreement

Information on the outcome of the evaluation	Indicative date for the signing of grant agreements
Maximum 5 months from the final date for submission	Maximum 3 months from the date of informing applicants

### Consortium agreement

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

### Reimbursement rate for establishing the EU contribution

Funding percentages are to be calculated on the eligible costs according to H2020.

Type of partner	EU Contribution as % of the Eligible Cost according to H2020 (*)
Industry	25%
SME	35%
University/Other	50%

(\*) partners may ask for a lower rate

### Reimbursement rates for establishing national contributions

Please refer to Annex G

### Financial support to third parties

Not applicable for this call



## Estimated expenditures

EU Estimated expenditure (1): 95 M€

ECSEL Participating State	Estimated expenditure (M€)	ECSEL Participating State	Estimated expenditure (M€)
Austria	6.0 (2) (7)	Latvia	0.35 (2)
Belgium-Flanders region	14.0 (2)	Lithuania	To be announced
Belgium-Brussels region	0.5 (2)	Luxembourg	To be announced
Bulgaria	2.5 (2)	Malta	To be announced
Czech republic	2.5 (2)	Netherlands	12.5
Denmark	1.3 (2)	Norway	2.5 (2)
Estonia	0.0	Poland	1.5 (2)
Finland	5.0 (2)(4)	Portugal	1.5 (2)
France	To be announced	Romania	0.46 (2)
Germany	35.0 (2) (6)	Slovak republic	0.8 (2)
Greece	1.5 (2)(9)	Slovenia	To be announced
Hungary	1.0 (2)	Spain	6.0 (2) (3)
Ireland	2.0 (2)	Sweden	5.5 (2) (8)
Israel	3.0 (2)	Turkey	To be announced
Italy	4.0 (2)(5)	United Kingdom	3.6 (2)

(1) Pending the financing decision to be adopted by the European Commission

(2) Total budget to be distributed over all the ECSEL Calls of the year 2014..

(3) Pending the relevant National Ministerial authorization, subject to final approval by the Financial Authorities.

(4) Universities/RTO's 3M€ grants and SME/Industry 2M€ grants and 5 M€ loans.

(5) Also 8M€ in loans available

(6) The pre-commitment is divided as follows: BMBF electronics and smart systems RIA 12 M€ + IA 6 M€ (funding left over from RIA is available for IA), BMBF software-intensive cyber-physical systems RIA + IA 6 M€, indicative budget for Saxony RIA + IA 11 M€ (for participants from Saxony only).

(7) Subject to the final approval by the National Financial Authorities

(8) Maximum 1.7M€ for RIA

(9) Budget comes from ESI funds (Structural funds)

The budgetary figures given are indicative. The Total public funds awarded by the ECSEL Joint Undertaking to projects arising from this call, following the evaluation and selection of proposals, may differ from the total budget of the call.

## ANNEXES

### **A. LIST OF COUNTRIES, AND APPLICABLE RULES FOR FUNDING**

Legal entities established in the following countries and territories will be eligible to receive funding through ECSEL JU:

- The Member States of the European Union, including their overseas departments;
- The Overseas Countries and Territories (OCT) linked to the Member States<sup>2</sup>:
  - Anguilla, Aruba, Bonaire, British Virgin Islands, Cayman Islands, Curaçao, Falkland Islands, French Polynesia, Greenland, Montserrat, New Caledonia, Pitcairn Islands, Saba, Saint Barthélemy, Saint Helena, Saint Pierre and Miquelon, Sint Eustatius, Sint Maarten, Turks and Caicos Islands, Wallis and Futuna..

The Countries Associated to Horizon 2020<sup>3</sup> at the date of the publication of the work plan. All countries associated to the Seventh Framework Programme<sup>4</sup> will in principle be associated to Horizon 2020 by the time the first grant agreements under Horizon 2020 are signed. This is, however, subject to the satisfactory conclusion of the respective procedures adopting the association agreements for each of the countries concerned. Please check the funding guide<sup>5</sup> for up-to-date information on the current position for Associated countries.

- The following countries, except where this is explicitly excluded in the call text

Afghanistan, Albania, Algeria, American Samoa, Angola, Argentina, Armenia, Azerbaijan, Bangladesh, Belarus, Belize, Benin, Bhutan, Bolivia, Bosnia and Herzegovina, Botswana, Burkina Faso, Burundi, Cambodia, Cameroon, Cape Verde, Central African Republic, Chad, Chile, Colombia, Comoros, Congo (Democratic Republic), Congo (Republic), Costa Rica, Côte d'Ivoire, Cuba, Djibouti, Dominica, Dominican Republic, Ecuador, Egypt, El Salvador, Eritrea, Ethiopia, Fiji, Gabon, Gambia, Georgia, Ghana, Grenada, Guatemala, Guinea, Guinea-Buissau, Guyana, Haiti, Honduras, Indonesia, Iran, Iraq, Jamaica, Jordan, Kazakhstan, Kenya, Kiribati, Korea (Democratic Republic), Kosovo\*, Kyrgyz Republic, Lao, Lebanon, Lesotho, Liberia, Libya, former Yugoslav Republic of Macedonia, Madagascar, Malawi, Malaysia, Maldives, Mali, Marshall Islands, Mauritania, Mauritius, Micronesia, Moldova, Mongolia, Montenegro, 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, Serbia, 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, Tunisia, Turkey, Turkmenistan, Tuvalu, Uganda, Ukraine, Uzbekistan, Vanuatu, Uruguay, Venezuela, Vietnam, , Yemen, Zambia, Zimbabwe.

(\* 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).

<sup>2</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>3</sup> Signed an agreement with the Union as identified in Article 7 of the Horizon 2020 Regulation.

<sup>4</sup> Albania, Bosnia and Herzegovina, Faroe Islands, former Yugoslav Republic of Macedonia, Iceland, Israel, Liechtenstein, Moldova, Montenegro, Norway, Serbia, Switzerland and Turkey.

<sup>5</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)

International European interest organisations<sup>6</sup> will also be eligible to receive funding from ECSEL JU.

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

In addition, legal entities established in countries not listed above and international organisations 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.

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<sup>6</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.

## **B. STANDARD ADMISSIBILITY CONDITIONS FOR GRANT PROPOSALS, AND RELATED REQUIREMENTS**

**a.** To be considered admissible, a proposal must be:

- 1) Submitted in the electronic submission system before the deadline given in the call conditions;
- 2) Readable, accessible and printable. The proposals must be in English.

**b.** Incomplete proposals may be considered inadmissible. This includes the requested administrative data, the proposal description, and any supporting documents specified in the call. The following supporting documents will be required to determine the operational capacity, unless otherwise specified:

- 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)

**c.** Proposals shall 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.

**d.** Page limits will apply to proposals. The limits will be clearly set out in the electronic submission system. If a submitted proposal exceeds the limits, the applicant will receive an automatic warning, and will be advised to re-submit a version that conforms. After the relevant call deadline, excess pages in any over-long proposals will be automatically overprinted with a "watermark". Expert evaluators will be instructed to disregard these excess pages.

### **C. TECHNOLOGY READINESS LEVELS (TRL)**

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

- TRL 1 - basic principles observed
- TRL 2 - technology concept formulated
- TRL 3 - experimental proof of concept
- TRL 4 - technology validated in lab
- TRL 5 - technology validated in relevant environment (industrially relevant environment in the case of key enabling technologies)
- TRL 6 - technology demonstrated in relevant environment (industrially relevant environment in the case of key enabling technologies)
- TRL 7 - system prototype demonstration in operational environment
- TRL 8 - system complete and qualified
- TRL 9 - actual system proven in operational environment (competitive manufacturing in the case of key enabling technologies; or in space)

## **D. CLASSIFIED INFORMATION**

In the case of actions involving security-related activities special provisions for classified information (as defined in Commission Decision 2001/844/EC, ECSC, Euratom) 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 ('Foreground') 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/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.

Topics in the work programme that are most likely to lead to classified projects include the following reference:

"Projects addressing this topic may involve the use of classified background information (EU or national) or the production of security sensitive foreground information. As such, certain project deliverables may require security classification. The final decision on the classification of projects is subject to the security evaluation."

This applies primarily to the Secure Societies challenge, 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.

## **E. FINANCIAL SUPPORT TO THIRD PARTIES**

Where this possibility is indicated under the relevant topic, proposals which foresee a financial support to third parties<sup>7</sup>, shall clearly detail the objectives and the results to be obtained and include at least the following elements:

- 1) a closed list of the different types of activities that qualify for financial support,
- 2) the persons or categories of persons which may receive financial support,
- 3) the criteria for awarding financial support
- 4) the criteria for calculating the exact amount of the financial support,
- 5) 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)

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

In such case proposals shall clearly detail at least the following elements:

- 1) the conditions for participation;
- 2) the award criteria;
- 3) the amount of the prize;
- 4) the payment arrangements.

Further boundary conditions regarding the above listed elements or other elements may be laid down in the relevant call allowing a financial support to third parties.

The grant beneficiary must ensure that recipients of the financial support allow the Commission, the European Anti-fraud Office 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.

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<sup>7</sup> Article 137 of the Financial Regulation

**F. ENTRUSTING**

The two modes are:

- A. ECSEL Participating States entrusting the implementation of their national contribution to ECSEL JU (Article 17.1 of the Statutes of Council Regulation 561/2014)
- 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)

<b>ECSEL Participating States</b>	<b>Delegation Mode</b>	<b>ECSEL Participating States</b>	<b>Delegation Mode</b>
Austria	B	Latvia	B
Belgium-Flanders region	B	Lithuania	
Belgium-Brussels region	B	Luxembourg	
Bulgaria	A	Malta	
Czech republic	B	Netherlands	B
Denmark	B	Norway	B
Estonia		Poland	B
Finland	B	Portugal	B
France	B	Romania	B
Germany	B	Slovak republic	B
Greece	B	Slovenia	
Hungary	B	Spain	B
Ireland	B	Sweden	B
Israel	B	Turkey	
Italy	B	United Kingdom	B



## **G. COUNTRY SPECIFIC ELIGIBILITY RULES**

The conditions and rules expressed in the next participating state sections apply only to the participants of that 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>

PLEASE NOTE THAT THE CONTENT OF THIS DOCUMENT IS SUBJECT TO VERIFICATION OF CONFORMANCE TO NATIONAL FUNDING REGULATION

THE FULL VERSION OF THIS DOCUMENT CAN BE FOUND AT: [www.ffg.at/ecsel](http://www.ffg.at/ecsel)

**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

- enterprises (also sole proprietor)
- research organisations (universities, universities of applied sciences “Fachhochschulen”, non-university research institutions *and other scientifically oriented organisations*)
- associations

Entities that are part of the Austrian federal administration are excluded from funding.

Details can be obtained from the “Leitfaden für Kooperative F&E Projekte” Version 1.6, section 1.4.1 from the FFG at [http://www.ffg.at/sites/default/files/dok/il\\_kooperativefueprojekte\\_v16.pdf](http://www.ffg.at/sites/default/files/dok/il_kooperativefueprojekte_v16.pdf)

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

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

**3) Consortium configuration**

The combined share of costs at Austrian research organisations as indicated in the Form C cannot exceed 40 % of the total costs<sup>8</sup> of all Austrian partners within each project.

**4) Other conditions**

The center of gravity of Austrian partners project participation has to be in TRL 7 or below and within the type of action that the overall project addresses (RIA/IA). TRL 8 and above (notably market replication) can not be funded.

Please note the eligibility conditions in the ECSEL Work Plan for 2014! Particularly: A proposal will only be considered eligible if it complies with the eligibility conditions set out depending on the type of action.

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

The national rules on eligible costs for Austrian participants are available from the “Kostenleitfaden zur Behandlung der Projektkosten in Förderungsansuchen und Berichten für geförderte Vorhaben mit EU-Kofinanzierung“ Version 1.4 from the FFG at

[http://www.ffg.at/sites/default/files/downloads/page/kostenleitfaden\\_eu\\_kof\\_v1\\_4.pdf](http://www.ffg.at/sites/default/files/downloads/page/kostenleitfaden_eu_kof_v1_4.pdf) and from the

<sup>8</sup> Calculated on the basis of national rules on eligible costs

“Leitfaden für Kooperative F&E Projekte” Version 1.6, section 1.7 from the FFG at [http://www.ffg.at/sites/default/files/dok/il\\_kooperativfueprojekte\\_v16.pdf](http://www.ffg.at/sites/default/files/dok/il_kooperativfueprojekte_v16.pdf).

## 2) Funding rates

Type of Organisation Type of activity	Percentage of the national subsidy to the beneficiaries <sup>9</sup>			
	Large Enterprises, Groups and Associations of Enterprises	Medium Enterprises <sup>10</sup>	Small Enterprises <sup>10</sup>	Public Research Institutes and Universities
Industrial/Applied Research projects	up to 60 % minus EU contribution €	up to 70 % minus EU contribution €	up to 80 % minus EU contribution €	up to 80 % minus EU contribution €
Experimental development projects	up to 40 % minus EU contribution €	up to 50 % minus EU contribution €	up to 60 % minus EU contribution €	up to 75 % minus EU contribution €

- The eligibility of costs is in accordance with the national rules on eligible costs [http://www.ffg.at/sites/default/files/downloads/page/kostenleitfaden\\_eu\\_kof\\_v1\\_4.pdf](http://www.ffg.at/sites/default/files/downloads/page/kostenleitfaden_eu_kof_v1_4.pdf)
- “EU contribution €” corresponds to the EU funding as indicated in the decision of the Public Authorities Board ECSEL approving the selection of project proposals
- Industrial/Applied research projects correspond to Research and Innovation Action in the ECSEL Workplan for the year 2014
- Experimental development projects correspond to Innovation Action in the ECSEL Workplan for the year 2014
- Public Research Institutes and Universities correspond to research organizations: universities, universities of applied sciences (Fachhochschulen), non-university research institutions and other scientifically oriented organizations (e.g. associations with an appropriate purpose) are considered to be research organisations.

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

Additionally required within the submission deadline:

- Registration at the eCall system of the FFG at <https://ecall.ffg.at>  
Please consult the tutorial at <https://ecall.ffg.at/Cockpit/Help.aspx>
- Upload of a complete Form C in the FFG eCall (costs indicated in the ECSEL proposal and in Form C may differ only according to different cost rules)
- For companies: upload of the balance sheets of the last two years in the FFG eCall
- Large enterprises which participate in the consortium and apply for funding are required to provide separate evidence of the incentive effect of the funding for the company. They are required to complete the relevant FFG form and upload it in the FFG eCall
- If there is no information on a business available in the commercial register based Austrian Business Compass (“Firmen- Compass”, e.g. for associations, start-ups, sole traders, companies from outside Austria), a declaration of SME Status must be uploaded in the FFG eCall. In the draft provided by the FFG – the applicant (as far as possible) has to come up with a categorization of the last three years according to the SME10 definition

<sup>9</sup> national funding = national eligible costs \* xy % - EU contribution in €

<sup>10</sup> With regard to the size of companies, the current definitions of SMEs given in the EU competition law are applicable. (Definition of small and medium-sized enterprises and of independent businesses in accordance with recommendation 2003/361/EC of the Commission dated 6 May 2003, (ABl. L 124 of 20.5.2003, pp. 36-41) [http://ec.europa.eu/enterprise/policies/sme/files/sme\\_definition/sme\\_user\\_guide\\_de.pdf](http://ec.europa.eu/enterprise/policies/sme/files/sme_definition/sme_user_guide_de.pdf)

**HINWEIS:**

**Die Österreichische Forschungsförderungsgesellschaft weist darauf hin, dass die Rechtsgrundlagen für die gegenständliche Ausschreibung bis 31.12.2014 befristet sind. Die beihilfenrechtlichen Regelungen (z.B. Unionsrahmen und Allgemeine Gruppenfreistellungsverordnung) werden derzeit von der Europäischen Kommission überarbeitet. Daher werden für Förderungsverträge ab dem 1.1.2015 geänderte europarechtliche und nationale Rechtsgrundlagen gelten.**

## **Belgium**

### **1.1.1. National contact person for ECSEL JU programme**

Country	Name	First name	Tel	E-mail
BELGIUM				
Flanders	DEPREZ	Francis	+32 (0) 2 432 4301	fd@iwt.be
	MICHIELS	Isabel	+32 (0) 2 432 4299	imi@iwt.be
Brussels-Capital Region	REUMAUX	Mathilde	+32 (0) 2 600 5031	mreumaux@innoviris.irisnet.be

Funding authority websites: Flanders: [www.iwt.be](http://www.iwt.be)  
 Brussels: [www.innoviris.be](http://www.innoviris.be)

### **1.1.2. 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 definition provided for by the General Block exemption Regulation for State Aid) 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 needs to be stand-alone in Flanders.

*For Brussels:*

Research Organisations 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\\_valorisation\\_sept2010.pdf](http://www.iwt.be/sites/default/files/subsidies/documenten/O&O_toelichtingsdoc_valorisation_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.

### 1.1.3. 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/oen-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 may be applied.

##### *For Brussels*

The Brussels-Capital Region will follow the ECSEL JU rules for the implementation of its contributions and therefore will 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 ECSEL JU for the European contributions in accordance with the Horizon 2020 Rules for Participation.

#### 2) Funding rates

##### *For Flanders*

Type of Organisation 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 (2) (3)
Industrial/Applied Research projects	60% - EU Contribution	70% - EU Contribution	80% - EU Contribution	70% - EU Contribution
Experimental development projects	35% - EU Contribution	45% - EU Contribution	55% - EU Contribution	70% - EU Contribution

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

##### 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/oen-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 for the year (national and international) to an industrial participants exceeds IWT applicable ruling.

*For Brussels:*

Type of Organisation 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% - EU Contribution	75% - EU Contribution	80% - EU Contribution	100% - EU Contribution
Experimental development projects	40% - EU Contribution	50% - EU Contribution	60% - EU Contribution	100% - EU Contribution

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

**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.

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

*For Flanders:*

Additional information is mandatory, 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).



## **Czech republic**

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

Country	Name	First name	Tel	E-mail
Czech Republic	Levak	Lukas	+420 234 811 511	<a href="mailto:lukas.levak@msmt.cz">lukas.levak@msmt.cz</a>

Principal legal regulations and documents on research, development and innovation in the Czech Republic are available on the websites of:

Research, Development and Innovation Council – <http://www.vyzkum.cz/>

Ministry of Education, Youth and Sports – <http://www.msmt.cz/>

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

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

Research organisations – public universities, public research institutes and other entities that can be qualified as research organisations according to the Community Framework for State Aid for Research, Development and Innovation and 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 (Act on the Support of Research, Experimental Development and Innovation).

Enterprises – enterprises registered in the business register of the Czech Republic and performing research, development or innovation in the Czech Republic.

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

Public funding of research, development and innovation 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 (Act on the Support of Research, Experimental Development and Innovation).

It is obligatory that an applicant meets the conditions set by the § 18 of 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 (Act on the Support of Research, Experimental Development and Innovation).

#### ***3) Consortium configuration***

The Czech part of a consortium must be configured from at least one enterprise registered in the business register of the Czech Republic and performing research, development or innovation in the Czech Republic and at least one research organisation from the Czech Republic (public university, public research institute or other entity as defined in the clause 1 – Type or nature of participants).

#### ***4) Other conditions***

None.

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

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

Eligible costs are those 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**

*(Including the contribution of the Czech Republic being the ECSEL JU Member State and the contribution of the EU)*

Reimbursement rates	Large enterprises	Small and medium sized enterprises	Non-profit legal entities (research organisations)
RDI projects (TRL 2 – 4)	70 %	70 %	100 %
Pilot lines (TRL 5 – 8)	50 %	70 %	100 %

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

None.

## **Denmark**

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

Country	Name	First name	Tel	E-mail
Denmark	Vittrup	Jens Peter	+45 6190 5023	Jens.peter.vittrup@innofond.dk

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)

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

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

- Companies (SME's as well as large enterprises)
- Universities, university hospitals and research institutions etc.
- Approved Technological Service institutes (GTS-institutes)

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

- Danish partners must be established in Denmark and perform R&D&I activities in Denmark. General eligibility criteria and conditions for receiving project funding from InnovationsFonden will apply (i.a. the recipient must be a registered legal entity, have credible capacity to execute their part of the project in Denmark, demonstrate financial viability, and provide transparency as to funding requested or received from other sources).
- Participating companies must have a clear financial record and has the financial capability to cover their own expenses during the project. The financial capability will be evaluated by InnovationsFonden based on the latest approved annual financial report or similar documents. The financial reports must be uploaded with the application form.
- 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 branch or subsidiary registered as a company in Denmark and with sufficient business and research and innovation activities in Denmark to undertake its task in the project in a qualified manner.

#### ***3) Consortium configuration***

The industrial relevance of the participating university, higher education institution or research institute, including approved technological service institutes (GTS-institutes) must be justified by declaration made by the knowledge institution. A template for the declaration will be provided by InnovationFonden after the application.

[For the 2015 call: At least one Danish enterprise must be involved as a partner in the project, and a significant share of the Danish involvement in the project must be from industrial partners(s).]

#### ***4) Other conditions***

- The project should have sufficient positive impact on the Danish economy, society and/or scientific community.

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

- For companies: upload an approved annual financial report for the last two years

### ***6) Rejection conditions***

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

- It is not credible that the Danish partner/partners can finance their share in the project
- It is not credible that the project can be completed within 3 years.
- There is insufficient trust that the Danish partners have the necessary capacities to fulfil the project as submitted.
- The project has insufficient positive effect on Danish economy or society.

## **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 subsidy percentages are indicated in the Guide for Applicants and can be estimated in the “Indicative funding for Danish ECSEL participants” template available on [www.innofonden.dk](http://www.innofonden.dk)

In case another Danish administrative body has already granted a subsidy for the eligible costs of the Danish part of an ECSEL project or part of the project, the contribution will be granted so that the total amount of subsidy will not exceed the above mentioned percentage.

Per individual Danish partner the subsidy percentages will be applied according to the activities (industrial research and innovation, industrial innovation etc.). The project eligible costs per partner will be defined and the corresponding percentages will be applied.

InnovationsFonden will issue a funding contract to each of the Danish partners in the ECSEL project.

The maximum funding from InnovationsFonden to all Danish partners in one ECSEL project is a total of 500.000 €. If the project budget (InnovationsFonden + EU) exceeds this level InnovationsFondens funding rates will be reduced accordingly.

An EXCEL sheet for estimating the budget is provided on InnovationsFondens homepage for ECESL. The EXCEL sheet is tool box kid to help constructing a budget including various funding and overhead rates for universities, research institutes and industries. It is not a legal document to be included in the application.

## 2) InnovationsFondens Funding rates

		<b>SME*</b>	<b>Large enterprises*</b>	<b>Universities**</b>	<b>Public research institutions**</b>	<b>Approved Technological Service Institutes (GTS)*</b>
<b>Research and Innovation</b>		10% + EU funding	10% + EU funding	50% + EU funding	50% + EU funding	50% + EU funding
<b>Innovation</b>	25% + EU funding	35% + EU funding	50% + EU funding	25% + EU funding	25% + EU funding	

Note: The maximum funding rates for actual costs (InnovationsFonden and EU's) excl. approved overhead rates cannot exceed the following levels: 60% to SME's and large enterprises, 100% to universities, 75% to research institutes and approved technological service institutes (GTS-institutes).

\* InnovationsFondens funding rates to SME's and large enterprises are based on a flat rate of 600 DKK incl. overhead.

\*\* InnovationsFondens funding rates to universities and public research institutes are based on actual cost + an overhead of 44 pct. to universities and 20 pct. to public research institutes.

\*\*\* InnovationsFondens funding rates to Approved Technological Service Institutes (GTS-institutes) are based on actual costs + an institute specific factor rate which only apply to salary. InnovationsFonden does not apply this factor rate to types of costs.

The total Danish budget for the 17. September 2014 call is 10 mio. DKK (app. 1,3 mio. €). The maximum funding from InnovationsFondens to all Danish partners in one ECSEL project is 0,5 mio.€. EU's funding may exceed this level.

**Estonia**

No funding

## **Finland**

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

Country	Name	First name	Tel	E-mail
Finland	Markus	Kari	+358 50 5577 864	kari.markus@tekes.fi

**Finland's national public funding authority for ECSEL is Tekes, Finnish Funding Agency for Technology and 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) 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) rules.

#### ***4) Other conditions***

- The project should have sufficient positive impact on the Finnish economy or society.

## Eligibility of the costs and funding

### 1) Eligibility of costs

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

### 2) Funding rates

Type of activity	Large Enterprises	Small and Medium Enterprises	Public Research Institutes and Universities
Research and Innovation action	10 % grant	65 % grant - EU Contribution	70 % grant - EU Contribution
Innovation Action	15 % grant or maximum 50 % loan	65 % grant - EU Contribution or maximum 50 % loan	70 % grant - EU Contribution

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

Finnish national funding in Innovation Actions (IA) projects will be mainly loans.

### 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	Della Valle	Florent	01 79 84 34 55	Florent.della-valle@finances.gouv.fr

Website reference.

<http://www.dgcis.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 2014 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 2014 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 the enterprises 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**

**Innovation projects (TRL 5 to 8) must have received previously a pre-label from the “Direction Générale de la Compétitivité, de l’Industrie et des Services”, in strategic R&D programs, such as the program “Nano2017”.**

**Les projets d’innovation (TRL 5 à 8) doivent avoir au préalable été pré-labelisés par la Direction Générale de la Compétitivité, de l’Industrie et des Services, au titre de programmes de R&D stratégique, tels que le programme « Nano2017 ».**

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.

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

Type of partner	Research and Innovation Action (TRL 2 à 5)	Innovation Action (TRL 5 à 8)
Industry	5%	15%
SME	5%	15%
RTO	15%	15%
Univ, non profit	50%	50%

### 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 DGCIS 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 person for ECSEL JU programme**

Country	Name	First name	Tel	E-mail
Germany	Weber	Michael	+49 30 670 55 750	<a href="mailto:Michael.Weber@dlr.de">Michael.Weber@dlr.de</a>
Germany	Schröder	Sabine	+49 30 670 55 772	<a href="mailto:Sabine.Schroeder@dlr.de">Sabine.Schroeder@dlr.de</a>
Germany	Rittner	Johannes	+49 30 310078 230	<a href="mailto:Johannes.Rittner@vdivde-it.de">Johannes.Rittner@vdivde-it.de</a>

- German ECSEL website: [www.ecsel-ju.de](http://www.ecsel-ju.de)
- Förderprogramm IKT 2020 des BMBF [www.bmbf.de/pub/ikt2020.pdf](http://www.bmbf.de/pub/ikt2020.pdf) (English version: [www.bmbf.de/pub/ict\\_2020.pdf](http://www.bmbf.de/pub/ict_2020.pdf) )
- Hightech-Strategie 2020 für Deutschland [www.bmbf.de/pub/hts\\_2020.pdf](http://www.bmbf.de/pub/hts_2020.pdf)
- Basic principles of R&D-funding by BMBF are described in „Staatliche Beihilfe SA.34309 (2012/N) – Deutschland (Änderung der bestehenden Beihilferegelung „IKT 2020“)“: [http://ec.europa.eu/competition/state\\_aid/cases/243536/243536\\_1365850\\_82\\_1.pdf](http://ec.europa.eu/competition/state_aid/cases/243536/243536_1365850_82_1.pdf)

### **Legal requirements 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 2014 is nationally eligible for funding by the BMBF

- if the contribution of the national partners focuses on research in electronics and smart systems; Regional German Funding Authorities (Länder) might allocate funding for regional partners; topics might become eligible in agreement with the Regional Funding Authority.

**Or**

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

The following topics of the Work Plan 2014 are not eligible for BMBF funding:

- Home Entertainment and Gaming

We point out that in the field of software-intensive cyber-physical systems the key application “Smart production” (MASP 2014, Part A.5) and the technology field “Cyber-physical systems” (MASP 2014, Part B.3) are a priority for national funding.

#### **Note:**

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

Funding for R&D on electronics including smart systems and for R&D on embedded systems

software is financed from two different national budgets. Funding of a project is subject to the availability of financial resources from the appropriate corresponding budget that the project belongs to.

- It is requisite that the R&D&I projects contribute significantly to the “High-Tech Strategy for Germany” and the BMBF research programme “ICT 2020”.
- The work planned by the partners must neither have already benefited from public funding nor be redundant with similar projects already funded.
- R&D&I projects shall relate to societal 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 the technology transfer from the pre-competitive area into the practical application. Projects should illustrate the added value of R&D&I results on the basis of an appropriated application, e.g. a demonstrator.
- Funding will be allocated to R&D&I projects which promise lasting benefit for Germany and Europe in terms of safeguarding and creating employment, maintaining competitiveness and increasing added value.
- The overall effort of a project with participants from Germany shall be at least 100 person years with a German participation of at least 10%.
- Each German partner shall contribute an effort of at least 6 person months to any individual technical work package in which this partner is involved.
- A legally binding national grant application must be submitted and received by the German authority not later than one week after the deadline for submission of the Full Project Proposal.

### **3) Consortium configuration**

- As ECSEL is an industry-driven programme each consortium has to reflect an appropriate balance between industrial companies, RTOs and academia: Effort relation (in person months) between companies and research institutions from Germany of a 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 goes to SMEs.

### **4) Other conditions**

Projects of pure basic research are excluded from ECSEL 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.

## **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).

### **2) Funding rates**

- The national funding aims at mirroring the funding which a project actually receives by the Joint Undertaking in absolute amounts (EUR) per participant (matching up to 1:1).
- The total public funding (EU+BMBF+any other public funding) in absolute amounts (EUR) will not exceed the upper limits given by the state aid rules valid for national funding. As funding and funding rates will be determined also taking into account national funding politics and budgetary considerations the national funding might be below the targeted 1:1 ratio.

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

- Applicants from Germany are strongly recommended to use the electronic application system "easy-Online" for formal national applications: <https://foerderportal.bund.de/easyonline/>
- Guidelines, information for applicants and the auxiliary terms and conditions for the award of grants are available at <https://foerderportal.bund.de>
- Financial BMBF support can be awarded in the form of grants to participants through project funding as non-repayable subsidies.
- 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).
- 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.
- 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 of the Länder may apply.
- Additional funding from the Free State of Saxony for participants from Saxony may become available. In this case participants from Saxony will be awarded grant agreements from BMBF and/or the Free State of Saxony.

## **Greece**

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

Country	Name	First name	Tel	E-mail
Greece	Koutrokoi	Maria	+30 210 74 58 094	<a href="mailto:mkoutr@gsrt.gr">mkoutr@gsrt.gr</a>

<http://www.gsrt.gr>

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

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

All legal entities (public and private sector)

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

2.1. Eligible enterprises are those having been operating for, at least, two (2) economic years and have published, at least, two (2) balance-sheets. For the “Spin-off” Enterprises eligible are considered those having been operating for, at least, (1) economic year and have published one balance-sheet.

2.2 For private Companies and SMEs the **Public contribution** may cover maximum **up to** 50%, of the total budget of the specific partner in a project. Their own contribution covers at least 50% of the total budget of the specific project.

2.3. For the Public Research Institutes and Universities, the **Public contribution** covers maximum **up to** 100,00 %.

2.4. The National contribution per Greek legal entity, (Public or Private), cannot exceed 40% of the total national contribution to the specific call. In case a Greek eligible entity participates in more than one successful/funded projects in the frame of the same call and the total of its requested budget exceeds the 40% of the National contribution to the JU, the GSRT will examine the possibility of reducing the requested total amount taking into account the total available national contribution and the number of the Greek beneficiaries in the successful proposals.

2.5 The National contribution for all Greek legal entities located in: **a/** the Region of Attica (Source of funding: Operational Programme of Attica) and **b/** the Region of South Aegean cannot exceed 24% of the total available national contribution, for the specific Call of Proposals 2014 of ECSEL JU.

2.6. Subcontracting funding cannot exceed 25% of the budget for the specific part of the project undertaken by the Greek project partner. Concerning the quotas of direct subcontracting and in order to ensure competition, the rules applied to all other European projects are also applied in this case.

2.7. Activities already financed by other public funds will not be financed by the Joint Undertaking ECSEL. A formal declaration is demanded from the applicants/participants, stating that they have not received nor will they receive any kind of additional Public funding/funds for the same purpose.

2.8. The Greek applicants are obliged to inform the General Secretariat for Research and



Technology- GSRT/Ministry of Education (address: 14-18 Mesogeion Avenue, 115 10 Athens – GR) on their participation in proposals under the specific 1st Call of Proposals of ENIAC JU. They are obliged to submit a document with the title of the project, the summary, the partners and the total requested budget for the project and the part budget dedicated to the Greek partner. The Greek applicants are obliged to submit this document to the GSRT within three days following the closure date of the 1st Call of ECSEL JU.

### 3) Consortium configuration

### 4) Other conditions

#### Eligibility of the costs and funding

##### 1) Eligibility of costs

##### 2) Funding rates

Type of Activity  Type of Organisation	Percentage of maximum costs (up to) covered by national funding			
	Large Enterprises, Groups and Associations of Enterprises	Medium Enterprises	Small Enterprises	Public Research Institutes and Universities
<b>Fundamental /Basic Research</b>	50%	50%	50%	100%
<b>(Ind. /Applied Research)</b>	50%	50%	50%	100%
<b>(Experimental Development)</b>	25%	35%	35%	100%
Experimental Development, if covered one of the following conditions: 1.The project involves effective collaboration between at least two mutually independent Enterprises and where the following conditions: a) no single undertaking bears more than 70% of the eligible costs of the collaboration project, and b) the project involves collaboration with at least one SME. 2.The project involves effective collaboration between an undertaking and a research organization and the following conditions: a) the research organization bears at least 10% of eligible expenditure (the total budget), and b) the research organization has the right to publish the results of the research projects in so far as they stem from research conducted itself. <b>Notice/Caution:</b> Note that the conditions 1 and 2, subcontracting is not considered effective collaboration	35%	45%	45%	100%



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

For Additional Information *please contact:*

- Ms. Maria Koutrokoi

International S&T Cooperation Directorate, European Union Division

General Secretariat of Research and Technology,

Ministry of Education and Religious Affairs

14-18 Messogeion Avenue, 115 10 Athens – Greece

Tel: +30 210 74 58 094, e-mail: [mkoutr@gsrt.gr](mailto:mkoutr@gsrt.gr)

<http://www.gsrt.gr>

## **Hungary**

This version is a draft.

### **National contact person**

Country	Name	First name	Telephone	E-mail
Hungary	Divinyi	Agnes	+36 1 484 2889	agnes.divinyi@nih.gov.hu

National Funding Authority: National Innovation Office (1061 Budapest, Andrássy út 12.)  
website: [www.nih.gov.hu](http://www.nih.gov.hu)

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

#### ***Type and nature of participants***

The following types of organisations are eligible for funding:

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

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

Any applicant who:

1. is subject to bankruptcy or liquidation proceedings, or dissolution procedure;
2. has been found guilty of making false declarations during earlier calls under the Research and Technology Innovation Fund or under the targeted allocations provided by paragraph (2) of section 16. of Act XC. of 2003 on the Research and Technology Innovation Fund, or has breached its obligations arising from an earlier funding contract;
3. has expired public dues for more than 60 days;
4. has expired liabilities to the Fund or to the targeted allocations provided by paragraph (2) of section 16. of Act XC. of 2003 on the Research and Technology Innovation Fund more than 60 days;

shall be ineligible, shall be excluded from the evaluation and shall not receive financial contribution.

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***

There is no special requirement.

#### ***Other conditions***

none

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

#### ***Eligibility of 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), travel costs and related subsistence allowances, subcontracting, cost of other goods and services (e.g. consumables and supplies), equipment costs (depreciation) and immaterial expenses (depreciation), indirect costs (flat rate of 25% 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, penalties and fines, debt

and debt service charges, interest owed, excessive or reckless expenditure, costs incurred during suspension of the implementation of the action etc.

### **Funding rates**

#### **National funding rates:**

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

The aid intensity in the case of industrial research is 50% and in case of 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 the project is implemented through effective collaboration and involves at least one SME or is carried out in at least two Member States and no single undertaking bears more than 70% of the eligible costs.

### **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.

## **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 Organisation  Type of activity	Percentage of the national subsidy to the beneficiaries <sup>11</sup>			
	Large Enterprises, Groups and Associations of Enterprises	Medium Enterprises	Small Enterprises	Public Research Institutes and Universities
	Up to %	Up to %	Up to %	Up to %

<sup>11</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)

## **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.

**Israel<sup>12</sup>****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/CmsTamat/Rsrc/madaan2014/index.html>

**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.

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

The national rules on eligible costs for Israeli participants are available from the Moital website at

<http://www.moital.gov.il/NR/exeres/C4A8C9EC-7BDF-431D-AEC5-5CBB57D839FC.htm>

***3) Consortium configuration***

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

***4) Other conditions***

- timely submission as specified in the relevant call for proposals
- submission of a complete proposal
- 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 25,000 NIS per month)
- Costs of durable equipment (depreciation of 3 years)
- Consumables and supplies
- Subcontracting
- Other costs:

*Events- Ineligible*

<sup>12</sup> Israel intends to be a member of the ECSEL JU – the information in this section is preliminary pending Israel's formal membership notification

*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 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:

[http://www.iserd.org.il/Uploads/dbsAttachedFiles/Application\\_procedure\\_OCS.pdf](http://www.iserd.org.il/Uploads/dbsAttachedFiles/Application_procedure_OCS.pdf)

## **Italy**

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

Country	Name	First name	Tel	E-mail
Italy	Covello	Aldo	+39 069772 6465 +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>

The criteria and provisions provided herewith are intended only for informative purpose. The complete list of criteria and provisions legally valid, which must be respected by all the Italian participants, is included in the notices published on MIUR website and in the applicable Italian laws published on the Italian Official Journal.

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

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

Are eligible for funding all legal entities listed in art. 60 of the Decree-Law n. 83/2012 as detailed in the notices issued to implement each call.

According to art. 60 of the Decree-Law n. 83/2012 and art. 4 of its implementing Ministerial decree 115/2013, are eligible: enterprises, universities, research institutions, research organizations or any other legal entity which owns the requirements required by the notices issued to implement each call, 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.

### Eligibility of the costs and funding

#### 1) Eligibility of costs

Only Industrial research and Experimental development activities are eligible for funding. Furthermore, within each project, Industrial research activities must be predominant with respect to Experimental development activities

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. Italian participants must therefore use the same cost calculation methodology used by ECSEL JU)

#### 2) Funding rates

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

Type of partner	Industrial research		Experimental development	
	Grant	Loan	Grant	Loan
Large enterprise	20%	30%	10%	30%
SME	30%	20%	15%	25%
Universities, research centers and research organizations	30%	0%	15%	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 defined in the notices issued to implement each call. These documents must be sent to MIUR by the same deadline 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	Bundule	Maija	+371 67227790	maija.bundule@lza.lv

Website reference:

[http://www.lza.lv/index.php?option=com\\_content&task=blogcategory&id=134&Itemid=227](http://www.lza.lv/index.php?option=com_content&task=blogcategory&id=134&Itemid=227)

**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 Commissions Regulation (EC) No 800/2008 of 6 August 2008 declaring certain categories of aid compatible with the common market in application of Articles 87 and 88 of the Treaty (General block exemption Regulation), the Law on Research Activity (adopted on 14 April 2005 with amendments) and Regulation of the Council of Ministers of the Republic of Latvia No 414 on the procedure for providing support for participation in international cooperation programs for research and technology (adopted on 19 June 2012).

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.

***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) which are included as a part C of the project proposal.

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

1. Direct costs:
  - 1.1. Personnel costs,
  - 1.2. Other direct costs such as consumables, equipment (only depreciation costs), materials and etc.,
  - 1.3. Subcontracts (up to 10% of total direct costs),

- 1.4. Travels costs,
- 1.5. Project management costs,
- 2. Indirect costs (can reach a maximum of 20% of the total direct costs).

Costs for implementation of tasks defined in WP “Dissemination” can reach a maximum of 7% of the total direct costs.

R&D related costs should reach 75% from the total project costs.

## 2) Funding rates

Type of activity	Large Enterprises	Small and Medium Enterprises	Public Research Institutes and Universities
Research and Innovation action	50 % - EU Contribution	65 % - EU Contribution	100 % - EU Contribution
Innovation Action	25 %- EU Contribution	35 % - EU Contribution	50% - EU Contribution

EU Contribution is the amount of the contribution of the ECSEL Joint Undertaking to the project  
National funding for Latvian partners is limited to 175,000.00 EUR per project

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

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.

R&D institutions must specify national industrial impact of the project in terms of exploitation opportunities for Latvian economy by declaration of relevant industrial association which is included as a part C of the project proposal.

**Malta**

To be announced

## **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>
	de Wit	Walter	+31 88 602 5079	<a href="mailto:walter.dewit@rvo.nl">walter.dewit@rvo.nl</a>

Background documents and other information can be downloaded from the website of Netherlands Enterprise Agency: <http://www.rvo.nl/programmas-regelingen/jti-ecsel>. The Dutch text on this website 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 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;
- the project complies with the “Algemene wet bestuursrecht” and the “Kaderwet EZ-subsidies”;

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
- 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 NL Agency:

<http://www.rvo.nl/programmas-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

## 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 subsidy percentages are indicated in the Guide for Applicants.

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 will be granted so that the total amount of subsidy will not exceed the above-mentioned 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 subsidy will be granted 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 budget for the ECSEL Call 2014 of € 25 million will be initially split as follows: € 12.5 million for ECSEL research and innovation actions and € 12.5 million for ECSEL innovation actions. 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	15%	25%	25%	30%
Experimental development activities	5%	15%	15%	5%

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***

Enterprises (companies)

Universities and & Higher Education Institutions

Public research institutes

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

Enterprises must be established in Norway and perform RTD activities in Norway.

General eligibility criteria and conditions for receiving project funding from the Research Council of Norway will apply (i.a. the recipient must be a registered legal entity, have credible capacity to execute the project, demonstrate financial viability, and provide transparency as to funding requested or received from other sources)

#### ***3) Consortium configuration***

At least one Norwegian enterprise must be involved as a partner in the project, and a significant share of the Norwegian involvement in the project must be from industrial partner(s).

The industrial relevance of the participation of a university, higher education institution or research institute must be justified by declarations from some eligible (according to criteria 2 above)

Norwegian enterprise(s).

#### ***4) Other conditions***

Enterprises (companies) must provide specific information on the possible industrial and commercial impact and justify that they have the necessary means to exploit the project results.

Universities and other 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 funding rates for the national funding will be as listed in the table below. If other public funding has been granted for the project, this will be deducted from the national funding provided according to the listed funding rates.

	Industry (Large enterprises)	SMEs	Public Research Institutes and Universities
ECSEL 2014-1 RIA	35 %	50 %	50 %
ECSEL 2014-2 IA	35 %	35 %	35 % – 50 % *

\* Funding rate may be increased from 35% to maximum 50% based on specific considerations.

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

Information providing the justifications required according to items 3) and 4) above has to be provided as specific attachments at submission.

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

Country	Name	First name	Tel	E-mail
Poland	Bojanowska-Sot	Maria	+48 515 061 549 +48 22 39 07 158	maria.bojanowska@ncbr.gov.pl

National Centre for Research and Development (Narodowe Centrum Badań i Rozwoju)  
Section for 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 No. 96 item 615, 2010;
- The Act of 30 April 2010 on the National Centre for Research and Development, published in Journal of Laws No. 96 item 616, 2010;
- The Regulation of the Minister of Science and Higher Education on criteria and rules on granting state aid and “de minimis” aid by the National Centre for Research and Development,

***3) Consortium configuration***

None

***4) Other conditions***

None

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

The eligible costs shall be the following:

1. personnel costs (researchers, technicians and other supporting staff to the extent employed on the research project);
2. costs of research equipment and other equipment used for research purposes (purchase, depreciation or paid use) and cost of technical knowledge and patents bought or licensed obtained from third parties under market conditions,,
3. costs for buildings and land, to the extent and for the duration used for the research project; with regard to buildings, only the depreciation costs corresponding to the life of the research project, as calculated on the basis of good accounting practice shall be considered eligible; for land, costs of commercial transfer or actually incurred capital costs shall be eligible;
4. the subcontracting can be obtained from consortium partner only in justified case, this need will be verified by a national experts panel; this cost type cannot account for more than 70% of all eligible costs of a project;
5. other operating costs including costs of materials, supplies and similar products incurred directly as a result of the research activity;



6. additional overheads incurred indirectly as a result of the research project; that costs cannot account for more than 25% of eligible project costs excluding subcontracting (4); That costs (6) are counted as a multiplication by percentage given above (called x%) and the rest of direct costs, excluding subcontracting (4); It means  $6=(1+2+3+5)*x\%$ .

## 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** or send directly to the NCBR by the same deadline of the ECSEL call (one file for each Polish participant).

The template and the instructions 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

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

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

The following institutions are eligible in ECSEL JU proposals: Higher Education Institutions, their institutes and R&D centres; Associate Laboratories; State Laboratories; Private non-profit institutions whose main objective is to carry out S&T activities; Companies, large or SME; Other public and private non-profit institutions which carry out or participate in scientific research activities.

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

All Portuguese institutions involved in ECSEL JU projects will be framed by the “Regulations governing access to funding for scientific research and technological development projects — 2010 (with 2011 changes)”, available at <http://www.fct.pt/apoios/projectos/regulamento.phtml.en>. Each institution with an approved proposal will have an individual, legally binding contract with FCT, independently from the other partners involved in the same proposal. Each institution will be subject to full certification of costs, meaning it will have to present legal proofs of every cost incurred within the project, to be refunded, in accordance with the national funding rates, of those that are considered eligible, up to the maximum amount approved for the project.

#### ***3) Consortium configuration***

No specific criteria.

#### ***4) Other conditions***

No specific conditions.

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

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

The following costs are eligible for Portuguese applicants to ECSEL: Human resources dedicated to SR&TD activities, including costs of grant recipients and fixed-term contracts; Missions in Portugal and abroad directly related to the project; Scientific consultants; Acquisition of goods and services and other current expenses directly related to the execution of the project, and the intervention of licensed auditors or accountants; Registration in Portugal and abroad of patents, copyrights, utility models and designs, national models or brands associated with other forms of intellectual property, namely fees, prior-art searches and consultants’ fees; Adaptation of buildings and facilities when essential to carrying out the project, in particular for environmental and safety questions, provided that these costs do not exceed 10% of the total eligible cost of the project; Acquisition of scientific and technical instruments essential to the project and which shall remain attached to the project during the period of its execution; Overheads, up to a limit of 20% of the eligible direct costs.

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

Higher Education Institutions, their institutes and R&D centres: 100% - EU Contribution;  
Associate Laboratories: 100% - EU Contribution;  
State Laboratories: 100% - EU Contribution;  
Private non-profit institutions: 100% - EU Contribution;  
Companies, large or SME: 50% - EU Contribution;  
Other public and private non-profit institutions: 100% - EU Contribution;

Portuguese commitment to the ECSEL 2014 call will be of 1,5 M€ (with no separation between RIA and IA), and with a limit of 300.000€ per Portuguese participant.

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

After the submission of the proposal Portuguese applicants will be asked to send a detailed budget to FCT, in a specific form, to allow for a thorough eligibility check

After the approval of the proposal Portuguese applicants will be asked to submit the proposal in FCT's electronic proposal submission platform. This is an administrative procedure, and does not constitute a second evaluation stage.

## **Romania**

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

Name	First name	Tel	E-mail
DINU	Elena	+40.21 318.30.50	elena.dinu@ancs.ro
VULTURESCU	Viorel	+40.21 212.77.91	viorel.vulturescu@ancs.ro
PADUROIU	Beatrice	+40.21 212.77.91	beatrice.paduroiu@ancs.ro
ENACHE	Virginia	+32 2 505 3003	virginia.enache@rosteu.net virginia.enache@ancs.ro

Ministry of National Education

Website reference: [www.research.ro](http://www.research.ro)

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

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

All Romanian entities which are legally set and which meet eligibility requirements may participate in calls for proposals.

Organizations eligible for funding are: public and private accredited universities, national R&D institutes, other research organisations, SMEs, large industrial enterprises.

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

The topics of the project proposals with Romanian partners fall within the priority domains promoted by the National RDI Strategy 2014-2020 and, respectively, the National Plan of Research, Development and Innovation 2014-2020.

The applicants to the program must meet the general eligibility criteria of potential contractors respectively:

- The coordinator of Romanian team must hold a PhD degree. This condition does not apply if the Romanian host institution is an enterprise according with the specific European and national laws. A person cannot submit more than one project proposal in the same call as coordinator of the Romanian team;
- The coordinator of Romanian team is full time employed within the host institution, with permanent position, or with fixed term contract covering at least the duration of the project or has an agreement with the host institution for his / her employment at least for the duration of the contract;
- It is forbidden to submit a proposal which seeks to fund activities which are already funded by other public sources;
- The host institution does not have a seizure on its accounts; it has not been declared bankrupt or wound up; it has not made false declarations concerning its economic and legal statute; it has not broken other contract previously signed with a public contracting authority;
- The host institution agrees to ensure the necessary administrative support, to provide access to all necessary resources / infrastructures, to support the project implementation in good conditions and to employ the members of the Romanian team, in respect of all legal provisions in force, if the project is selected for funding;

- The host institution agrees to comply with the terms and conditions to submit the required documents to the national funding agency and to comply with the law of the state aid scheme for R&D activities.

### **3) Consortium configuration**

In the case that several Romanian organisations participate in a project, only one national funding contract will be concluded. It will then be up to the consortium of Romanian project partners to decide how the funding is allocated among them, within the mentioned limits for the individual organisations, in full compliance with the obligations assumed in the international project, informing the national funding agency.

### **4) Other conditions**

It is not the case

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

The following activities are eligible for funding:

- research and development activities ( e.g. technical and industrial research; experimental development; fundamental research)
- technical feasibility studies
- activities for obtaining and protecting intellectual property rights for SMEs

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

The following categories of expenses are eligible:

- A. *Staff costs* (Personnel costs -researchers, technicians and support staff, including all corresponding state and social contributions; these contributions are subject to national regulations in force);
- B. *Consumables* (materials, supplies or similar);
- C. *Equipments* (in full compliance with state aid regulations);
- D. *Subcontracting* (max. 25% of the total funding from the public budget);
- E. *Travel expenses* (in Romania or abroad, only for project teams members);
- D. *Overheads* (calculated as a percentage of direct costs: staff costs, logistics costs (excluding capital costs and travel expenses).

Indirect costs will not exceed 20% of direct costs, excluding subcontracting.

Expenses are eligible if incurred after signature of the contract.

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

- Total financial contribution to Romanian partners participating to ECSEL calls is maximum 150.000 euro per project and maximum 460.000 euro per year;
- Funding is granted in compliance with the EU State Aid Rules / framework (excluding amounts provided by JU).

## **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) % of the national eligible cost
Large industry	60% for * RIA 40% for *IA
SME	70% for * RIA 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****National contact persons for ECSEL JU programme**

Country	Name	First name	Tel	E-mail
<b>Spain</b>	Abati	Joaquin	+34 913 462 511	<a href="mailto:jabati@minetur.es">jabati@minetur.es</a>
	Alonso	Jose Angel	+34 913 462 297	<a href="mailto:jaalonso@minetur.es">jaalonso@minetur.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 Centres, 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.

***2) Participation.***

- The Ministry of Industry, Energy and Tourism (MINETUR) is the national authority which funds Spanish enterprises (SME, LE, GE) and Technology Centres (CT, RD 2093/2008 29<sup>th</sup>. December) in ECSEL calls. According to the Spanish Regulation, enterprises and CT (RD 2093/2008 29<sup>th</sup>. December) should follow the MINETUR rules and procedures for loans and grants.
- The Ministry of Economy and Competitiveness (MINECO) is the national authority which funds non-profit R&D organizations such as research organizations, universities, technology centres (not funded by MINETUR), 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).

NFA MINETUR (Enterprises + TC)	NFA MINECO (NPO)
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NFA MINETUR (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>Payment of the national contribution will be done in accordance with national rules.</li> <li>Each participant will send the form of its own part and must comply with the conditions of beneficiary</li> <li>Consortium agreement in Spanish and signed by all Spanish participants.</li> </ol>	<p>Non-profit organizations (NPO) could take part of the national sub-consortium formed within the MINETUR rules.</p> <p>Non-profit organizations should apply to the national call of the State Program for Research Aimed to the Challenges of the Society.</p> <p>An investigator can be the PI in only one project funded on each call</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.

MINETUR	MINECO
<p>All Spanish enterprises must be included in the Registry for R&amp;D entities of the Spanish MINETUR. Ministerial Order ITC/570/2006. The registration number must be included in the proposal.</p> <p>Budget of the Spanish part minimum <b>100.000 €</b>, in terms of eligible costs.</p>	<p>All non-profit organizations must be included in the Unified Register of Applicants of MINECO.</p>

#### 3.2) Legal requirements

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

- Articles 29 and 31 of the Spanish General Law of Grants (LGS) establish several requirements related to subcontracting :
  - When the amount of the contract exceeds 50.000 € in the case of civil works, or 18.000 € for equipment supplies and services, the beneficiary must obtain a minimum of three bids. Contracts have to be awarded to the bid offering best value



- for money, under conditions of transparency and equal treatment. This must be proved at the national justification stage.
- b. The cost of subcontracting must not exceed 50% of the total cost for the Spanish participants.
  - c. A written contract must be signed when the subcontracting exceeds 20% of the grant and the total amount of the contract is higher than 60.000 €. The contract will be provided at the national justification phase.

It will be mandatory as well to fulfil other applicable legal requirements ruled in the following legal texts:

- B. Community Framework for State Aid for Research and Development and Innovation (2006/C 323/01).
- C. Ley 38/2003, de 17 de noviembre, General de Subvenciones.
- D. 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.
- E. Leyes anuales de Presupuestos Generales del Estado.
- F. Ley 47/2003, de 26 de noviembre, General Presupuestaria.
- G. Ley 30/1992, de 26 de noviembre, de Régimen Jurídico de las Administraciones Públicas y del Procedimiento Administrativo Común.
- H. Ley 30/2007, de 30 de octubre, de Contratos del Sector Público.
- I. Other financial and legal requirements in force at the moment of the adoption of a particular administrative decision of the ECSEL JU.

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

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

Partners must demonstrate that are eligible.

Each Spanish participant has to demonstrate clearly in the proposal its solvency and financial capacity to carry out the project and the Spanish Public Authorities has to assess it positively. Every participant will provide the Spanish Public Authorities with the amount of its current debt and equity.

The ratios “Debt/Equity” and participant’s “Budget /Equity” have to be equal or **lower than 4** for any participant to be assessed eligible.

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

MINETUR	MINECO
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MINETUR	MINECO
<p>The documentation has to include, for each participant, a breakdown and a schedule of the activities to be carried out.</p> <p><input type="checkbox"/> A short résumé of all key researchers CV must be included.</p> <p><input type="checkbox"/> 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.</p> <ul style="list-style-type: none"> <li>• <i>Increase in project size:</i> 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>• <i>Increase in scope:</i> 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>• <i>Increase in speed:</i> shorter time before completion of the project as compared to the same project being carried out without aid;</li> <li>• <i>Increase in total amount spent on R&amp;D&amp;I:</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><input type="checkbox"/> To be eligible, a project must account for some kind of Spanish leadership. The fulfilment of one of the following criteria at the PO and FPP stage may be used to demonstrate it:</p> <ul style="list-style-type: none"> <li>○ Leadership of the whole project.</li> <li>○ Leadership of two work-packages.</li> <li>○ Leadership of one work-package and two tasks.</li> <li>○ Leadership of four tasks.</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  <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 06/11/2013  <a href="http://www.boe.es/diario_boe/txt.php?id=BOE-A-2013-11617">http://www.boe.es/diario_boe/txt.php?id=BOE-A-2013-11617</a></p>

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

- To be eligible, 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:

MINETUR	MINECO
<p><b>-Eligible costs as per H2020</b></p> <p>-BU breakdown per year/per eligible concept, in three annuities.</p> <p>-Earliest starting date for charging costs: will be defined on the call.</p>	<p>Additional conditions are described in the calls of MINECO. MINECO could limit indirect costs in its call. For more information, please consult:</p> <p>Basis of call: BOE 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> <p>Call: BOE 06/11/2013  <a href="http://www.boe.es/diario_boe/txt.php?id=BOE-A-2013-11617">http://www.boe.es/diario_boe/txt.php?id=BOE-A-2013-11617</a></p>

### 2) Funding rates:

**Maximum percentage of costs covered by ECSEL grants  
As a percentage of the eligible costs  
FOR THE CALL ECSEL 2014**

<div style="text-align: center;"> <div>Type of Organisation</div> <div>Type of activity</div> </div>	Maximum percentage of costs covered by ECSEL grants			
	Industry, LE, Large private RTO MINETUR	SME Private RTO MINETUR	Universities* MINECO	Public RTO Non Profit Institutions* MINECO
RIA (EPS) Research and Innovation Action	25%	35%	*	*
RIA (JU) Research and Innovation Action	50%	50%	50%	50%
<b>MAX.TOTAL GRANT</b>	<b>75%</b>	<b>85%</b>	<b>50 + *</b>	<b>50 + *</b>
IA (EPS) Innovation Action	25%	35%	*	*
IA (JU) Innovation Action	25%	35%	50%	50%
<b>MAX.TOTAL GRANT</b>	<b>50%</b>	<b>70%</b>	<b>50 + *</b>	<b>50 + *</b>

- 1) Technology Centres as per Spanish RD 2093/2008 will be considered as enterprises
- 2) Classification of RIA or IA Actions defined by ECSEL JU and the respective NFA.

- 3) Eligibility of costs as defined in H2020
- 4) Subject to effective collaboration between undertakings (for large enterprises, cross border and at least one SME in the consortium)
- 5) EPS grants will be paid by the country, JU grants will be paid by ECSEL.

**\* Public universities and 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.*

MINETUR	MINECO
<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>Non-profit organizations should apply to the national call of the State Program for Research Aimed to the Challenges of the Society.</p> <p>Last call information could be found at:  <a href="http://www.idi.mineco.gob.es/portal/site/MICINN/menuitem.dbc68b34d11ccbd5d52ffeb801432ea0/?vgnextoid=bc294775e22ff310VgnVCM1000001d04140aRCRD">http://www.idi.mineco.gob.es/portal/site/MICINN/menuitem.dbc68b34d11ccbd5d52ffeb801432ea0/?vgnextoid=bc294775e22ff310VgnVCM1000001d04140aRCRD</a></p> <p>Forms and documents must be electronically submitted according to the general rules of calls and the “Ley 11/2007”.</p>

- The participation on this program means the acceptance and compliance with all the conditions stated on this document.

## **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**

*Calls are open for public and private companies of all sizes as well as for universities and research institutes in Sweden fulfilling the following conditions.*

#### **1) Funding conditions**

Only legal persons are eligible for funding. Natural persons will not be funded.

A participating company must be registered in Sweden as a limited company (*aktiebolag, AB*) and must have a considerable business along with a recognisable record of R&D and industrial activities in Sweden.

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

A participating company must have stable financial status with fulfilled fiscal obligations and must be able to cover its own expenses for the duration of the project.

The total eligible costs of the participating Swedish companies must amount to at least 50% of the aggregated eligible costs of all Swedish participants in the project consortium.

#### **3) Consortium configuration**

There are no additional requirements on the consortium configuration.

#### **4) Other conditions**

A participating company is required to provide a credible description of the project impact on the company's technological knowledge, economic growth and future assets in Sweden. **Error!**

**Hyperlink reference not valid.**

A participating university or research institute is required to provide a credible description of the project impact on the university's or research institute's scientific and technological knowledge and for Swedish society in general.

An impact description has to be submitted by each participant together with the application. A project impact interview with the key representatives of all Swedish participants in the project consortium will be performed by VINNOVA. Guidelines are available at:

<http://www.vinnova.se/sv/Var-verksamhet/Strategiskt-viktiga-kunskapsomraden/Tjanster-och-IKT/ECSEL/>

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

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

H2020 principles for costs will be applied.

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

The combined public funding (EU and Sweden ) is up to 100% of the total eligible costs of all Swedish participants in a project consortium.

The funding rates for the Swedish contribution are to be negotiated between the Swedish partners in accordance with state aid rules but the aggregated Swedish funding in a project should not exceed 50 % of the eligible costs of all Swedish participants in a project consortium and **be similar to the funding from ECSEL JU dependent on the type of action.**

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

The budget committed by VINNOVA for the ECSEL call 2014 is EUR 5 500 000 with following limits:

1. Maximum of EUR 1 700 000 to ECSEL-2014-1 RIA

## **United Kingdom**

### **National contact people for ECSEL JU programme**

Country	Type of Information	Name	First name	Tel	E-mail
UK	Eligibility	Mobbs	Graham	+44(0)7824 599585	<a href="mailto:Graham.mobbs@tsb.gov.uk">Graham.mobbs@tsb.gov.uk</a>
UK	Project Scope	Jones	Myrddin	+44 [0]7826861153	<a href="mailto:Myrddin.Jones@tsb.gov.uk">Myrddin.Jones@tsb.gov.uk</a>

### **Website - UK Funding Body – Technology Strategy Board**

[TSB information for UK participants in the ECSEL 2014 Call for Proposals](#)

[https://www.h2020uk.org/programmes/-/asset\\_publisher/PwsnyaszuEly/content/electronic-components-and-systems-for-european-leadership-ecsel-](https://www.h2020uk.org/programmes/-/asset_publisher/PwsnyaszuEly/content/electronic-components-and-systems-for-european-leadership-ecsel-)

Includes the eligible costs information for UK industry partners

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

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

The ECSEL 2014 call for proposals is open only to industry for TSB funding - SMEs and Large Companies. Research Organisations [definitions below] are not eligible for grant funding from the Technology Strategy Board, they are eligible to participate, but must self-fund or have funding in place at the time of application.

- Universities,
- Non profit distributing Research and Technology Organisations,
- Public Sector Research Establishments
- Research Council Institutes

**Up to €3.6 million** has been allocated by the Technology Strategy Board for the sole use of UK industrial applicants to the ECSEL 2014 call for proposals. The UK budget, which will be combined with the EU Contribution (expected to be on a near 1:1 ratio) to support UK industry partners at the grant rate percentages below are:

- Large companies: 50% of eligible costs for Industrial Research
- SMEs: 60% of eligible costs for Industrial Research
- Large Companies: 25% of eligible costs for Experimental Development
- SMEs: 35% of eligible costs for Experimental Development

The above categories, “Industrial Research” and “Experimental Development” broadly correspond to the ECSEL categories defined as “Research and Innovation Actions (RIA)” and “Innovation Actions (IA)” respectively.

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

Applications will be reviewed to identify if there are any obvious reasons for exclusion on the basis of national track record such as the participant having already received funding for the same or a

very similar activity.

## **UK Eligible Participants Rules**

The eligibility criteria must be met at the date of the closing of the call.

- UK industry partners must have been trading for 12 months, registered at Companies House and VAT registered.
- Claims must be for project costs incurred in the UK, project management must be undertaken by the project participant and cannot be subcontracted.
- Any eligible labour costs are PAYE costs to the participating company,

Subcontracting of project work is permissible within the following limitations:

- The total amount of subcontracting is up to 20% of a UK participant's budget.
- Subcontracting to participants in the project is not permitted
- Subcontracting to companies' foreign units must be for non-profit and audited
- Subcontracting to companies, with a declaration of interest in project work, must be for non-profit and audited
- Project management cannot be subcontracted,
- A participant, with public funding exceeding 60% of total costs [if SME] and 50% [if Large Company], is responsible for complying with the financial regulations of the European Commission

### **3) Consortium configuration**

Single UK industry partners eligible for Technology Strategy Board funding. It is not required to have multiple UK partners in a consortium.

### **4) Other conditions**

In the ECSEL 2014 calls for proposals, the UK will support Research and Innovation Actions (RIA) and Innovation Actions (IA) covering the full list of topics in both calls.

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

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

**Eligible Costs for Industry Collaborators** - The eligible cost for industrial partners in an ECSEL project can be found on the webpage below. All successful applicants must complete a Technology Strategy Board Eligible Claim Form, to ensure all costs are eligible.

Applicants can download an Eligible Claim Form from the website below to calculate their costs.

[TSB information for UK participants in the ECSEL 2014 Call for Proposals](https://www.h2020uk.org/programmes/-/asset_publisher/PwsnyaszuEly/content/electronic-components-and-systems-for-european-leadership-ecsel-)

[https://www.h2020uk.org/programmes/-/asset\\_publisher/PwsnyaszuEly/content/electronic-components-and-systems-for-european-leadership-ecsel-](https://www.h2020uk.org/programmes/-/asset_publisher/PwsnyaszuEly/content/electronic-components-and-systems-for-european-leadership-ecsel-)

Includes the eligible costs information for UK industry partners

### **2) Funding rates**

The UK budget, will be combined with the EU Contribution (expected to be on a near 1:1 ratio) to support UK industry partners at the grant rate percentages below are:

- Large companies: 50% of eligible costs for Industrial Research
- SMEs: 60% of eligible costs for Industrial Research
- Large Companies: 25% of eligible costs for Experimental Development



- SMEs: 35% of eligible costs for Experimental Development

The TSB follow the European Commission definition of an SME.

([http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/index\\_en.htm](http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/index_en.htm))

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

It is strongly advised to contact the UK National Contact Point, Graham M Mobbs, via email [[graham.mobbs@tsb.gov.uk](mailto:graham.mobbs@tsb.gov.uk)] prior to applicant to confirm eligibility to participate.

Successful UK participants will receive their grant from the UK funding body, the Technology Strategy Board, in £ sterling. The ECSEL grant will be paid separately in € Euros.

The application form has to be completed in Euros [€] and the exchange rate used by the Technology Strategy Board will be the exchange rate from the European Commission on the day the call for proposals closes.

### **Clarification on ECSEL Call 2014: Funding for UK academic partners**

The ECSEL Joint Undertaking Work Plan for 2014 states that funding of up to EUR 3.6 million has been allocated by the Technology Strategy Board for the sole use of UK industrial applicants to the ECSEL 2014 call for proposals.

While Research Organisations (including universities, non profit distributing research and technology organisations, public sector research establishments and research council institutes) are not eligible for grant funding from the Technology Strategy Board, the EPSRC ICT theme is prepared to consider co-funding UK academic partner contributions to ECSEL 2014 projects on a case-by-case basis where the research being carried out is within their remit. The total EPSRC budget allocated for this call is GBP 1 million.

This funding would be complementary to any funding made available through the ECSEL Joint Undertaking. Interested applicants from the academic sector are advised to contact the UK National Contact Point Graham Mobbs ([graham.mobbs@tsb.gov.uk](mailto:graham.mobbs@tsb.gov.uk)) and Vivienne Blackstone ([Vivienne.Blackstone@epsrc.ac.uk](mailto:Vivienne.Blackstone@epsrc.ac.uk)) for general queries relating to eligibility for funding from their respective organisations.”

## **H. 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-2014.02

### **ECSEL Joint Undertaking Evaluation and selection procedures related to Calls for proposals**

This document describes the steps that shall be followed by the ECSEL JU related to the Calls for proposals, the procedures for evaluation and selection of Proposals, the allocation of public funding following such Calls, and the subsequent establishment of grant agreements for Projects<sup>13</sup>.

#### **I Preliminary Steps**

1. The Private Members Board shall submit to the Executive Director the draft research and innovation activities plan (RIAP) within the deadlines set by the Governing Board.
2. The public authorities (ECSEL Participating States and the European Commission) shall communicate the following information to the Executive Director in due time to be included in the draft work plan and taking into account the RIAP:
  - a. The estimates of expenditure for the next year(s) covered by the work plan;
  - b. The reimbursement rate of the eligible costs to be used to determine the financial contribution of the public authority (if relevant, by category of participant and/or by type of action);Only for ECSEL Participating States:
  - c. When they differ from the conditions laid down in the Rules for Participation in Horizon 2020 (Regulation (EU) No 1290/2013), the specific criteria regarding the eligibility of individual applicants to receive funding from the ECSEL Participating State – such criteria should lend themselves to verification;
  - d. When the ECSEL Participating State does not entrust the ECSEL JU with the implementation of its contribution to its participants, any specific rules regarding the eligibility of costs.
2. The Executive Director shall prepare and submit for adoption to the Governing Board by the end of the year prior to its implementation 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.
3. The work plan shall also determine the number of calls for proposals to be launched by the ECSEL JU in the referenced year(s).

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<sup>13</sup> "Project" is a research and/or innovation action or coordination and support actions selected by the ECSEL JU following competitive calls for proposals

## **II Launching the Calls for Proposals**

3. The Public Authorities Board (PAB) shall approve the launch of calls for proposals, in accordance with the work plan.
4. Before publishing the calls for proposals, the Executive Director shall receive from each public authority the confirmation or an update of the estimated expenditure for the calls.
5. The PAB shall instruct the Executive Director to publish the call(s). Each call shall specify the following:
  - Scope and objective(s) as per the work plan;
  - Rules for participation, including any specific national criteria and/or rules as per the work plan;
  - Estimated expenditures from each public authority;
  - The reimbursement rates as per work plan;
  - The evaluation criteria, the score ranges, the corresponding thresholds and weights (only the criterion on Impact may have a higher weight than the other criteria), and any overall threshold that a proposal should reach in order to be retained;
  - The planned date by which all applicants shall be informed of the outcome of the evaluation of their application and the indicative date for the signature of grant agreements;
  - Any other conditions for the establishment of the grant agreements.
6. The calls for proposals shall be published on the website of the ECSEL JU as well as on the EU Participant Portal for Horizon 2020.
7. The ECSEL JU shall make use of the toolset made available by the European Commission to handle the submission, evaluation and grant management fully electronically with the participants.

## **III Evaluation and Selection process and allocation of public funding**

### **III.1 General rules**

8. The Governing Board may appoint independent experts (observers) to monitor the process of evaluation of proposals with full access to documents and evaluation experts. These observers shall report to the ECSEL JU Governing Board on any aspect of the evaluation as required, in particular on the respect of the evaluation rules and procedures.
9. The evaluation process carried out with the assistance of independent experts shall respect the principles of excellence, transparency, fairness & impartiality, efficiency & speed, ethics & security and confidentiality.
10. The work plan may provide that prior to submitting a Full Project Proposal (FPP), applicants shall submit a Project Outline (PO) to the ECSEL JU. The Call for proposals shall state the deadlines for the submission of POs and FPPs and provide templates for the PO and FPP. When a PO phase is foreseen, it shall be eliminatory, i.e. only applicants of successfully evaluated POs shall be invited to submit a FPP.

11. For each Call and before the deadline of submission of PO (if applicable) or FPP, the ECSEL JU shall establish a pool of experts who may participate in the evaluation of proposals. These experts must be registered in the lists of experts at the disposal of the ECSEL JU.
12. The ECSEL JU may call upon the advice of the Private Members Board and the PAB for the identification of independent experts.
13. All experts involved in the evaluation of POs or FPPs shall sign a declaration of confidentiality and absence of conflict of interest as defined by the ECSEL JU.
14. The evaluation of POs and FPPs shall require individual expert evaluation, consolidation of individual evaluator views, and a panel review. Any of these tasks can be done remotely. The following shall apply for the assignment of experts to a proposal at any stage:
  - Rules for conflict of interest (see Appendix),
  - A balance of profiles (private/public), expertise, gender and nationalities at proposal and panel level,
  - A regular renewal of experts,
  - The possibility for applicants to send with the FPP a list of companies or experts that should not be assigned to the evaluation of the proposal.
15. The ECSEL JU Executive Director shall implement the above rules as well as any other rule indicated in this document for the assignment of experts without however compromising on the quality of the evaluation. The Executive Director shall justify any exceptions to these rules to the Governing Board.
16. Public funding to participants shall comply with the applicable state aid rules.

### **III.2 Project Outline (PO) evaluation**

1. The ECSEL JU office shall receive the POs within a fixed deadline established in the Call text.
2. The Executive Director shall check the POs against the admissibility and eligibility criteria and decide on the exclusion of non-compliant POs. The Executive Director shall inform the applicants accordingly as part of step III.2.6 below.
3. Eligible POs shall be made available to the experts, to appointed observers, and to the public authorities potentially involved in the funding of the proposal.
4. The Executive Director shall organise the evaluation of the POs on the basis of criteria defined in the Call for proposals.
5. The Executive Director shall present to the PAB the results of the evaluation of the POs. The ECSEL Participating States may provide comments on the potential eligibility of their applicants against any predetermined national criteria as published with the call.
6. The Executive Director shall consolidate the feedback for each PO and communicate it to the applicants at the latest 6 weeks before the closure of the call for FPPs. The PO feedback shall not commit either the ECSEL JU or any of ECSEL Participating States towards the applicants.

### **III.3 Full Project Proposal (FPP) evaluation**

1. The ECSEL JU office shall receive the FPPs within a fixed deadline established in the Call text. In case of a preceding PO phase, only FPPs of successfully evaluated POs shall be admissible.
2. The Executive Director shall check the FPPs against the admissibility and eligibility criteria and decide on the exclusion of non-compliant FPPs. The Executive Director shall inform the applicants accordingly as part of step III.4.6 below.
3. Eligible FPPs shall be made available to the experts, to appointed observers, and to the public authorities potentially involved in the funding of the proposal. Public authorities shall also receive a summary of those FPPs with which they are not financially concerned.
4. FPPs shall be evaluated and scored on the 0-5 scale according to the following Horizon 2020 criteria: (1) Excellence, (2) Impact, (3) Quality and efficiency of the implementation.
5. The Executive Director shall assign at least 4 experts to each FPP.
6. The JU Office shall organise the evaluation in 3 steps:
  - a) individual evaluations,
  - b) consensus discussion, and
  - c) panel review.

a) Individual evaluations - The FPPs shall be made available to the experts in electronic form for remote evaluation. Each expert shall give scores and accompanying comments to the three evaluation criteria. Their individual evaluation reports shall be communicated to the ECSEL JU office within the defined timeframe.

b) Consensus discussion - The consensus discussions shall be moderated by the programme officers. In these discussions, the results of the PO evaluation shall be made available to the experts. The latter shall synthesise and consolidate the individual scores, remarks and recommendations for each proposal. These recommendations shall address, if appropriate, minor adjustments to the total costs and the technical content of the proposal, and assess the operational capacity of the key partners necessary for the success of the project if executed. If major concerns are expressed by the experts which would require substantial changes to the proposal, the proposal should be scored low in the relevant criterion/a on the value of the information provided in the proposal.

c) Panel review - The panel review shall be chaired by the Executive Director or by his/her appointed ECSEL JU staff member. In this session, the consensus reports shall be examined and compared, the consistency of the comments and the scores shall be checked and any cases where there are dissenting views shall be resolved and recorded in the consensus report. The panel session shall resolve eventual score ties according to predefined criteria. Where necessary, the panel shall propose a new set of scores or a revision of the comments.
7. The panel session shall result in two lists of proposals: "above threshold" and "below threshold". Proposals with a score below threshold in any criterion or in the total score shall be included in the "below threshold" list. The "above threshold" list is ordered according to the total score of the proposals.

8. The Executive Director shall submit to the PAB the "above threshold" list of proposals with the evaluation results.
9. The ECSEL Participating States shall verify the eligibility of their listed applicants against any predetermined national criteria for funding as published with the call. The Executive Director shall verify the eligibility of all the listed applicants for funding from the Union according to the ECSEL JU Financial Rules and the criteria published with the call. The results of those verifications by the national authorities and the Executive Director shall be available at least 20 days before the PAB meets to discuss the selection of proposals and the allocation of public funding. Applicants shall be informed on the results of those verifications as part of step III.4.6 below.
10. The public authorities shall be given the opportunity to express a score for each proposal above threshold with which they are financially concerned, to reflect the level of synergy of the proposed work with EU and national R&D&I policies. They may also abstain from scoring or declare themselves neutral. A neutral score supports the order of the "above threshold" list produced by the experts.  
The Executive Director shall consolidate the individual public authorities' scores per proposal based on a mechanism previously approved by the PAB and published with the call. The consolidation of the scores shall be based on the following principles, listed in order of importance:
  - a) The weight of the score of a public authority shall be determined in proportion to the estimated expenditure of that public authority for the call.
  - b) The score of an ECSEL Participating State shall impact more the projects demanding higher national contributions from that State.
  - c) The consolidated score of the public authorities may eventually move a proposal at most half way of the ranking established by the experts.
11. Based on the evaluation results and the scoring by the public authorities, the Executive Director shall elaborate a draft final ranking list and a draft allocation of public funding as well as any other observations and suggestions before the PAB proceeds with the selection decision.

#### **III.4 Selection decision and allocation of public funding**

1. On the basis of the draft final ranking list and the draft allocation of funding, the PAB shall decide on the final ranking of proposals.
2. Following this decision, the PAB shall decide on the selection of proposals to be retained for public funding, taking into account the budgets available and the verifications of the eligibility for funding of individual applicants made earlier. The PAB shall also decide which proposals are not viable in the light of the available public funding. The national expenditure estimated by an ECSEL Participating State for Calls shall normally be dedicated to cover a percentage of the eligible costs of the participants in Projects established in its territory. Nevertheless, an ECSEL Participating State may decide to fund organisations established in other EU Member States or Associated States of the Framework Programme. In this case, the "host" ECSEL Participating State shall bear the same rights, responsibilities and obligations with respect to this "foreign" participant as if such participant was based in the host ECSEL Participating State (as specified in the administrative arrangements concluded between the ECSEL JU and the host ECSEL Participating State e.g. in terms of

grant agreements, audits and cost claims). ECSEL Participating States may also allocate national funding beyond their estimated expenditure for the Call.

3. In case that the total funding allocated by an ECSEL Participating State is less than the expenditure estimated for the Call, that State may allocate the difference to applicants in proposals that would not be viable without further funding. Alternatively, the non-allocated amounts may remain unused by the ECSEL Participating State in the specific call.
4. In case the total EU funding allocated is less than the expenditure foreseen for the Call, the non-allocated amount may be de-committed and reused in up to the next 3 years.
5. The PAB may decide to create a reserve list of proposals in case funding would become available (e.g. following failure to conclude a grant agreement in a reasonable time after the PAB decision). Such a list shall be made of the proposals that are not viable for reasons of budget availability following the decisions above. It shall be ordered according to the final ranking as decided under step III.4.1 above).
6. The Executive Director shall communicate the results of the evaluation and selection to the applicants (scores, comments and, for selected proposals, minor recommendations for changes during grant preparation) within a maximum period of 5 months from the final date for submission of FPPs.
7. For each proposal retained for funding, the PAB shall give the Executive Director a mandate to prepare the JU grant agreement. To that end, the ECSEL JU office shall prepare, under the responsibility of the Executive Director, the 'Technical Annex'<sup>14</sup> within the limits of the PAB mandate<sup>15</sup> and taking into account any minor recommendations for changes resulting from the evaluation of the proposals.
  - a) In case that the grant preparation has been successfully completed within the mandate, the Executive Director shall transmit the results to the PAB and the corresponding national funding authorities of the participants in the projects together with all relevant documentation in order to proceed, where relevant, with the establishment of the national grant agreements.
  - b) In cases of substantial changes not foreseen by the PAB mandate (such as the unexpected withdrawal of a partner), the Executive Director shall transmit a Project change request to the PAB for approval. If the change request is approved, the decision of the PAB shall be transmitted by the Executive Director to the corresponding national funding authorities of the participants in the project together with all relevant documentation in order to proceed with the establishment of the national grant agreements, where appropriate.

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<sup>14</sup> The 'Technical Annex' is a technical document which presents, in as clear and concise a manner as possible, all activities, actions and tasks which the Project participants are committed to undertake in order to fulfil the scientific and research objectives stipulated in the grant agreements. It is based upon the description of scientific/technological objectives and work plan outlined in the Project proposal and possibly modified according to specific recommendations made by the experts during evaluation and as further discussed during grant preparation. In addition to its legal significance, the 'technical annex' is meant to serve as benchmark for the grant beneficiaries, the Joint Undertaking, the national funding authorities and possibly experts to effectively monitor and check the progress during the Project's lifetime.

<sup>15</sup> The mandate shall include if appropriate the results of verifications carried out by the public authorities (early warning, outstanding legal and/or financial obligations, etc.).

- c) In case of failure of the grant preparation, or in case of change requests refused by the PAB, the consortium shall be considered as unsuccessful. The ECSEL JU shall inform the unsuccessful consortia and the corresponding national funding authorities.

## IV Grant agreements

1. After a successful preparation, the ECSEL JU shall transmit to the coordinators of the selected consortia the Joint Undertaking's grant agreement and the accession forms for electronic signature, in the terms and conditions specified by this grant agreement. The grant agreements shall be signed within a maximum period of 3 months from the date of informing applicants they have been successful (step III.4.6 above).
2. The decision of the PAB on the allocation of public funding to Projects shall be binding for the ECSEL Participating States without any further local evaluation or selection processes. In particular:
  - The ECSEL JU shall conclude grant agreements with consortia of selected projects for the contribution of the EU and of the ECSEL Participating States having decided to entrust the ECSEL JU with the implementation of their contribution.
  - Where applicable, the funding bodies responsible for fulfilling the obligations of ECSEL Participating States shall establish grant agreements with partners in selected projects, according to the local financial and legal requirements.
  - The approved “technical annex” for each project as established by the ECSEL JU shall be used without change<sup>16</sup> for the JU Grant Agreement and, where applicable, for the grant agreements in ECSEL Participating States.
  - The administrative and financial conditions of the JU grant agreements shall be governed by the Rules for Participation in Horizon 2020, the ECSEL JU Financial Rules and the administrative arrangements between the ECSEL JU and the ECSEL Participating States, if appropriate.
3. Where relevant, the ECSEL Participating States shall make best efforts to synchronize and accelerate their procedures for concluding their own grant agreements.

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<sup>16</sup> Except for translations if necessary