

ECSEL JOINT UNDERTAKING



WORK PLAN 2018

V20180905

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

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

| Decision/Date | Version | Change | Pages |
|----------------------------------|---|--|---|
| GB 2017.96 4.12.2017 | Initial Work plan V1 | | |
| GB 2018.100 15.02.2018 | GB Amendment 1 V2 | Updates financial commitments Update national eligibility criteria | |
| ED 2018.184 22.02.2018 | Amendment through ED decision V3 | Update financial commitments table (ES commitment, increased IT commitment) Update from IT, UK, DE | p.26 pp. 76, 86, 123 |
| ED 2018.189 26.03.2018 | Amendment through ED decision V4 | Update national eligibility criteria and/or commitment from FR, DE, IL, LT, ES Introduction of Switzerland as a new ECSEL Participating State Call 2018-3, CSA Industry 4.E and Call 2018-4, CSA MOBILITY.E (timing of publication of the calls) Update commitment table | pp. 73, 77, 85, 94, 110 pp.25 & 122 pp.47-49 p. 26 |
| ED 2018.199 24.04.2018 | Amendment through ED decision V5 | Update the national eligibility criteria for Italy (documents to be submitted to MIUR by the same deadline as the Full Project Proposal (FPP) phase of the ECSEL call instead Project Outline (PO) Phase) Update the financial commitment of Austria and national eligibility criteria/conditions Correction clerical error – budget | pp. 89 & 91 pp 26-27 & 59 p 50 |
| GB-2018.108 07.06.2018 | GB Amendment 2 V6 | Update the page limits for the Part B of the proposals for the stage 2 (FPP) of RIA and IA Calls | pp 34 and 42 |
| ED 2018.223 05.09.2018 | Amendment through ED decision V7 | Update the financial commitment of France and the Netherlands | pp 26 and 27 |

Contents

| | |
|--|----|
| | 1 |
| 1. INTRODUCTION | 5 |
| 2. MULTI-ANNUAL PROGRAMMING | 6 |
| A. Multi-annual objectives..... | 6 |
| B. Multi-annual programme..... | 7 |
| C. Work plan..... | 7 |
| D. Human and financial resource outlook | 7 |
| 3. ANNUAL WORK PLAN 2018 | 8 |
| A. Executive Summary | 8 |
| B. Operations | 10 |
| 4. Call management rules..... | 11 |
| 5. Support to Operations | 11 |
| A. Communication and events | 11 |
| B. Procurement and contracts | 17 |
| C. IT and logistics | 18 |
| D. JU Executive Team – HR matters | 18 |
| E. Administrative Budget and Finance | 18 |
| F. Data protection and conflicts of interest | 18 |
| 6. Governance | 19 |
| 7. Internal Control framework | 20 |
| A. Financial procedures | 20 |
| B. Ex-ante and ex-post controls | 20 |
| C. Audits | 20 |
| 8. ANNEXES..... | 22 |
| Annex 1: General Annexes for the ECSEL Calls 2018-1 to 2018-4..... | 22 |
| Annex 2: ENTRUSTING FOR THE CALLS 2018..... | 25 |
| Annex 3: National Budgets for the Calls 2018-1, 2018-2, 2018-3, 2018-4 and for the EU estimated expenditure for the Calls 2018-1, 2018-2, 2018-3, 2018-4 and for the Operational tenders | 26 |
| Annex 4: Key Performance Indicators..... | 29 |
| Annex 5: Call 2018-1, IA specific details..... | 31 |
| Annex 6: Call 2018-2, RIA | 38 |
| Annex 7: Call 2018-3, CSA Industry 4.E support action..... | 47 |
| Annex 8: Call 2018-4, CSA MOBILITY.E support action | 49 |

| | |
|---|-----|
| ANNEX 9: Public Procurements/Studies | 53 |
| Annex 10 : Lighthouse Initiative | 54 |
| 9. COUNTRY SPECIFIC ELIGIBILITY RULES | 57 |
| Austria..... | 58 |
| Belgium..... | 61 |
| Bulgaria..... | 66 |
| Czech Republic | 67 |
| Denmark..... | 70 |
| Finland | 71 |
| France..... | 73 |
| Germany..... | 77 |
| Hungary | 80 |
| Ireland | 83 |
| Israel..... | 85 |
| Italy | 87 |
| Latvia | 94 |
| Malta | 97 |
| Netherlands | 98 |
| Norway..... | 101 |
| Poland | 103 |
| Portugal..... | 105 |
| Romania | 106 |
| Slovak Republic | 108 |
| Spain | 110 |
| Sweden..... | 119 |
| Switzerland | 121 |
| Turkey..... | 124 |
| United Kingdom..... | 126 |

1. INTRODUCTION

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

- COUNCIL REGULATION (EU) No 561/2014 of 6 May 2014 establishing the ECSEL Joint Undertaking (in the following, the ECSEL Regulation)
- REGULATION (EU, EURATOM) No 966/2012 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002, *Article 128*
- REGULATION (EU) No 1290/2013 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" and repealing Regulation (EC) No 1906/2006 *Article 2*
- Commission Delegated Regulation (EU) No 110/2014 of 30 September 2013 on the model financial regulation for public-private partnership bodies referred to in Article 209 of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council *Article 31*
- Financial rules of the Joint Undertaking, Decision ECSEL GB 2016.67.
- The ECSEL Multiannual Strategic Plan (MASP) 2018, Decision ECSEL GB 2017.94.
- The Multiannual Strategic Research and Innovation Agenda (MASRIA) 2018 issued by the Private Members Board
- The Research and Innovation Annual Plan (RIAP) 2018 issued by the Private Members Board.

The “Electronics Components and Systems for European Leadership” Joint Undertaking (ECSEL JU) has the mission to contribute towards keeping Europe at the forefront of the technology development addressing capabilities of essential systemic and strategic importance for each citizen, company and nation in the contemporary world and even more in the future world. The information and communication technology and its applications run on this fabric: no industrial product or system is conceivable today without extensive usage of electronic components and systems (ECS), and the trend will become stronger in the future.

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

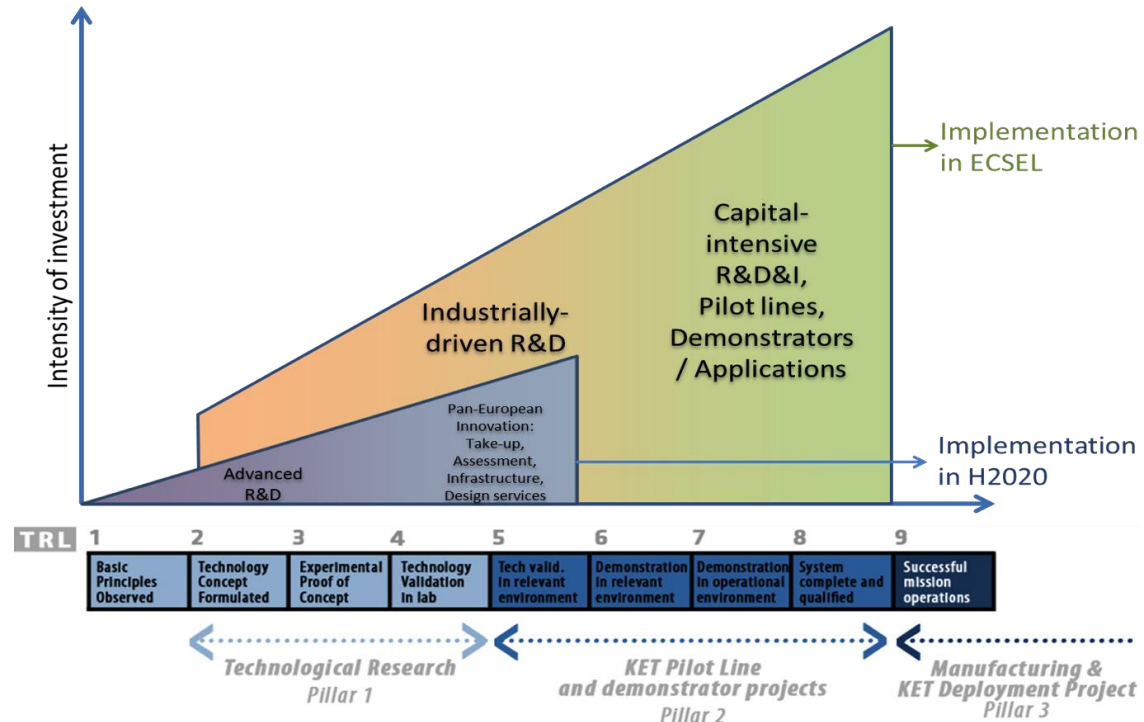
- The Public Authorities Board (PAB) shall approve the launch of calls for proposals, in accordance with the work plan,
- The Executive Director shall manage the calls for proposals as provided for in the work plan,
- The Executive Director shall describe in the annual activity report the progress made by the ECSEL Joint Undertaking in relation to the annual work plan for that year.

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

2. MULTI-ANNUAL PROGRAMMING

A. Multi-annual objectives

The Commission proposal for a European strategy in electronic components and systems has been laid out in 2013¹



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

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

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

¹ COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS. A EUROPEAN STRATEGY FOR MICRO- AND NANOELECTRONIC COMPONENTS AND SYSTEMS, Brussels, 23.5.2013, COM(2013) 298

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

B. Multi-annual programme

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

The Private Members Board (PMB) submitted their draft MASRIA to the Executive Director on 10.11.2017. The Multi-Annual Strategic Plan 2018 (MASP 2018) has been adopted by the Governing Board (decision ECSEL GB 2017.94). The present Work Plan 2018 is based on this document. A Research and Innovation Action Plan (RIAP) was then submitted by the PMB regarding the topics selection for 2018.

The MASP includes five key application areas: Transport and mobility, Health and Well being, Energy, Digital Industry, Digital life and five essential capabilities: Systems and Components; Architecture, Design and Integration; Connectivity and Interoperability; Safety, Security and Reliability; Computing and Storage; Electronics Components & Systems Process Technology, Equipment, Materials and Manufacturing. The MASRIA provides detailed descriptions of the objectives, activities and roadmaps.

The MASP 2018 provides the generic frame for the content of the Calls. The actions to be performed in 2018 have been selected by the Executive Director considering the RIAP as provided by the Private Members. The details are presented in Chapter 3 of this document.

C. Work plan

The Work Plan is the implementation plan for the MASP (Art. 1 of Statutes of the ECSEL JU in Annex 1 of the Council regulation) and should contain the research and innovation activities plan, the administrative activities and the corresponding expenditure estimates (Art. 21 of Statutes of the ECSEL JU in Annex 1 of Council regulation). It should cover among others: the scope of the calls for proposals and the rules for participation and dissemination to the actions funded by ECSEL JU (Art. 17 of the Council Regulation), the reimbursement rates (Art. 18 of Statutes of the ECSEL JU in Annex 1 of the Council regulation), the financial commitment by each public authority reserved for each call (Art. 18 of Statutes of the ECSEL JU in Annex 1 of the Council regulation).

D. Human and financial resource outlook

The ECSEL establishment plan for 2018 and 2019 is available in the Budget 2018: decision ECSEL GB 2017.95.

3. ANNUAL WORK PLAN 2018

A. Executive Summary

The Annual work plan 2018 foresees the following activities:

Operations:

- In 2018, ECSEL will launch **Calls for proposals**:
 - ECSEL Call 2018-1 for Innovation Actions (IA),
 - ECSEL Call 2018-2 for Research and Innovation Actions (RIA).
 - ECSEL Call 2018-3 for CSA to support the Industry4.E lighthouse initiative.
 - ECSEL Call 2018-4 for CSA to support the Mobility.E lighthouse initiative.
- In 2018, ECSEL will launch **two studies** through Public Procurement.
- The **estimated EU expenditure for these calls and procurements is 174,93 M€**. This budget is to be supported from the 2018 and 2019 budgets. The EU contribution is based on the budget foreseen for JTIs in the general Union budget. The amount deriving from the 2019 estimated general Union budget is subject to its adoption by the budgetary authority and may be updated accordingly.
- Annex 3 summarizes both the national budgets and the estimated EU expenditure per action.
- Other activities include:
 - the Grant Agreement signature cycle with the start of the projects selected for Call 2017,
 - the monitoring of the ECSEL projects selected in the calls 2014, 2015 and 2016 and the management of the legacy projects launched under ENIAC and ARTEMIS.
 - various supporting activities to communication, administration, finance.

Communication:

Noting that the work of the Communications Working Group set up by the Governing Board is still ongoing, the communications activities of ECSEL JU in 2018 will continue in essentially the same modes as in 2017, with the following key features:

1. Events.

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

2. Dissemination Support

- a. Provide support to the ECSEL projects in their dissemination activities (project posters and flyers, events, publications).
- b. Specific support to ECSEL JU supported technologies events or clustered/combined projects events in the form of networking opportunities/dinners or lunches or specific ECSEL JU pitches, awards or prizes in order to improve and accelerate the synergies amongst them.
- c. Implement Coordinators' Info day.

3. Public Communications

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

Administration and Finance:

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

The budget includes the description of human and financial resources deployed by the ECSEL JU for the implementation of its programmes and plans in 2018 as well as estimates for 2019. The budget execution is a key performance indicator assuring the progress towards the ECSEL JU objectives.

Budget commitments which form the basis for the new legal obligations of the ECSEL JU will continue increasing in 2018:

- 187,200,000.00 € in 2018: +4 % compared to 2017
- 193,200,000.00 € in 2019: + 3 % compared to 2018

Budget payments which are dedicated for the main part to payments of participants in the selected running projects and for the minor part to the running costs (including the payments of experts involved in the reviews and evaluations) will continue to increase in 2018 and 2019, with respect of the follow up of certificates received from the Participating States for the legacy, and in accordance with the rules under H 2020 for the new programme.

- 275,500,000.00 € in 2018: - 4 % year to year
- 205,200,000.00 € in 2019: -25 % year to year

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

- with regard to **commitments**: 2.7 % in 2018, 2.7 % in 2019

-with regard to payments: 1.9 % in 2018, 2.5 % in 2019

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

B. Operations

1. Actions: launch and selection

The EU contribution is based on the budget foreseen for JTIs in the general Union budget. The total EU contribution for the 2018 ECSEL calls is **174,93 M€**. This budget is to be supported from the 2018 and 2019 budgets. The EU contribution is based on the budget foreseen for JTIs in the general Union budget. The amount deriving from the 2019 estimated general Union budget is subject to its adoption by the budgetary authority and may be updated accordingly.

In 2018 ECSEL will launch four calls and two major studies through public procurement. All details on the actions can be found in the annexes.

The programme is in line with the LEIT: Aiming at new and breakthrough technologies that will contribute to boosting competitiveness, creating jobs and supporting growth.

The first two calls aim at the reinforcement of the industrial competitiveness, by supporting the growth of existing partnerships and/or fostering new partnerships on technologies that already are at a higher TRL level. RIA and IA essentially differ by the Technology Readiness Level (TRL) they focus on and therefore by the reimbursement rates. Projects selected should demonstrate high impact, European wide collaboration between industry with a mixed participation of large enterprises, SMEs and academia. Expected outputs are pilot lines, large scale demonstrators, open platforms, innovative product developments.

The RIA call will contain a special topic supporting the uptake of disruptive technologies by European industry promoting a European wide reflection on those technologies, promoting new partnerships, future product and system developments. Only one project will be selected. Expected outputs are roadmaps, feasibility studies, first demonstrators, business plans.

Both RIA and IA calls will be executed in parallel and have two phases: a Project Outline (PO) phase and a Full Project Proposal (FPP) phase. The launch of the calls is foreseen for February 2018, the PO phase will close in April 2018 and the deadline for the FPP phase is in September 2018.

Selection and award criteria are provided in the Annexes, in particular per call the eligibility criteria, evaluation criteria, weightings, thresholds and EU reimbursement rates. The first two calls envisage implementation of lighthouse initiatives. Motivation, objectives and expected results for the lighthouse initiatives are given in annex.

The third and fourth calls will provide support to the lighthouse initiatives Industry4.E and Mobility.E. The lighthouse initiatives promote the partnerships and the tools developed in ECSEL and other programmes across the whole value chain from components and systems to end users and their products. Advice for the precise objectives for both calls will be elaborated by the respective LIASEs. It is the purpose of the ECSEL office to have those CSAs up and running by September 2018.

Both CSA calls will be in one phase. Selection and award criteria are provided in the annexes, in particular the eligibility criteria, evaluation criteria, weightings, thresholds and EU reimbursement rates.

In 2018, the ECSEL JU will carry out a number of activities via public procurement. The procurement activities are covering subjects of a strategic nature for the ECSEL JU, supporting more specifically the ECS manufacturing capability in Europe versus the rest of the world and its supporting mechanisms and the ECS technology impact on societal and economic parameters over time. A subjects for the two tenders are:

- Benchmarking of public financial support mechanisms and organisation to R&I activities in the ECS sector in other parts of the world : US, China, Korea, Taiwan, Japan, ...
- ECS technology impact study on societal challenges, creating economic growth and employment related to and derived from the 3 programmes (ENIAC, ARTEMIS, ECSEL)

2. Managing the projects/Dissemination and information on projects

This covers the activities related to the project management: grant agreement signature, amendments, cost eligibility recognition and payments, checks, reporting, monitoring and audits, Information sessions, management of the EPS information exchange.

a. Monitoring of the legacy projects (ARTEMIS and ENIAC)

For the monitoring of the legacy projects from ARTEMIS and ENIAC, 6 final reviews are planned, that will require 12 expert appointments. Dissemination activities will be supported via the appropriate channels enabled by the Associations.

b. Reporting and monitoring of the ECSEL projects

For the monitoring of the ECSEL projects selected in previous calls, 39 reviews are planned, that will require 78 expert appointments. Project dissemination will be encouraged and facilitated, through direct help to projects in developing attractive project documentation (posters, project descriptions...) and active support at appropriate community and JU events.

3. Other activities

- Support to the lighthouse initiatives: the LIASE of the lighthouse activities can ask for support by the ECSEL Office.
- Running the programme: portfolio analysis, KPI tracking, audit support, etc.
- Information sessions: coordinator info sessions on cost recognitions, information session towards PAB regarding JU payments, information session for new coordinators, etc.

4. Call management rules

The Calls are managed according to the PAB Decision ECSEL PAB 2018.31.

Part L of the General Annexes to the Horizon 2020 Work Programme 2018 – 2020 shall apply *mutatis mutandis* for the actions covered by this Work Plan. Any specificity for ECSEL JU is highlighted in annex 1.

Topics are described in the MASP 2018 (ECSEL GB 2017.94).

Applicants may submit proposals referring to cost items contributing towards the milestones and deliverables of an action that are independently funded by other European sources such as EFSI, ESIF, EIB, Eureka programme, etc. Rules are described in the Guide for Applicants.

5. Support to Operations

A. Communication and events

The following summarises the key elements of the Communications Strategy for the ECSEL JU, and gives an indicative guide to the allocation of resources. The Working Group (WG) for Communications of the Governing Board has already indicated that Internal Communications are

to be regarded as part of the general management of the Office, though recognises the essential need for communication on operational issues with the participants (mostly, coordinators).

The concrete external communication objectives are to:

1. **Increase the public and political awareness** of Electronic Components and Systems (ECS) technologies and their applications in order to achieve wide support of European society;
2. **Facilitate access to support mechanisms at European, national and regional level** which are complementary to those offered by the ECSEL JU, including new and additional financial resources;
3. **Expand the outreach of the ECSEL JU** to new public and private audiences and potential partners with the objective of building bridges to other JU's, PPP's, EUREKA clusters and programmes;
4. Attract **appropriate and dedicated political support** in order to maintain an adequate and effective European regulatory framework for ECS technologies;
5. Ensure that the **communication policies of all ECSEL JU members are aligned** wherever possible;
6. Channel the information from the operational group in charge of the projects about the **programme successes** (which is mandatory);
7. Establish a **calendar of actions/events** in alignment with the member organisations.

These objectives can be addressed by delivering easy-to-understand technical information about:

- ECS,
- ECSEL JU (including the rationale about the tripartite model),
- the projects and their added value induced by the public funding as well as their impact on competitiveness, growth and quality of daily life.

The following tables describe the potential audiences for external communication activities, the associated topics of interest and suggested media for communication.

| | <i>Potential audiences</i> | <i>Possible communication topics</i> | <i>Possible communication media</i> |
|---|---|--|--|
| A. Peer groups and ECSEL (potential) stakeholders | <ul style="list-style-type: none"> - Active and potential participants in ECSEL projects and initiatives; - Industrial associations, European Commission and ECSEL Participating States; - Organisations with a specific interest in the activities and results of the ECSEL programme - RD&I actors not (yet) participating in JU activities, specifically SMEs - Other funding instruments or organisations (e.g. EUREKA, other JUs, H2020 including PPPs, etc.) - National/regional ECSEL mirror organisations (e.g. ECSEL Austria, etc.). | <ul style="list-style-type: none"> - Themes to be addressed in future calls; - Brokerage opportunities for active and potential project participants; - How to create or engage in a project consortium; dos and don'ts when drafting an ECSEL proposal; - Creating support for ECSEL at relevant levels through dedicated events e.g. on "Lighthouse initiative(s)" etc.; - Publication of results; - Alignment of messages and coordinated actions between ECSEL public and private stakeholders in order to underline the ECSEL profile and strengthen important communication moments. Examples: joint press releases on call launches and funding decisions or sharing messages at national events. | <ul style="list-style-type: none"> - Website; - Publications; - Workshops, seminars, forum sessions, brokerage events; - Events at national level; - Press releases; - Public appearances of ECSEL stakeholders. |

| | <i>Potential audiences</i> | <i>Possible communication topics</i> | <i>Possible communication media</i> |
|---|--|--|--|
| B. Decision makers relevant to ECSEL on European, national and regional level | <ul style="list-style-type: none"> - European Parliament and national Parliaments; - Policy makers and dedicated bodies (European, national and regional); - Sister JUs and other programmes focused on application areas covered by ECSEL; - Civil society organisations. | <ul style="list-style-type: none"> - Demonstration of results of projects and, in particular, the societal relevance of the “communication toolbox” items, in terms of new solutions to problems or economic benefits etc.; The justification of the public funding of the project should be specifically highlighted; - Underlining the unique tripartite nature of the ECSEL concept and the (pan-European) synergies it creates on various policy fields; - The combination of European and national priorities and interests and ECSEL’s capability to mobilise and combine substantial European, national and regional funds; - Interaction with relevant organisations on societal issues and possible technology solutions e.g. in the areas of health, automotive, energy, IoT, environment etc.; - Opportunities for cooperation and for joint initiatives. - (...) | <ul style="list-style-type: none"> - Website; - Factsheets, Position documents; - Active dissemination of project results by the consortium partners; - Participation of ECSEL stakeholders at relevant events organised by user communities, public authorities or civil society organisations; - (...) - |

| | <i>Potential audiences</i> | <i>Possible communication topics</i> | <i>Possible communication media</i> |
|--|--|--|--|
| C. Interested public and specific audiences not related to ECSEL | <ul style="list-style-type: none"> - Interested public; - Dedicated groups: students; technology adopters; special interest groups, NGO's; | <ul style="list-style-type: none"> - Key application areas: mobility, society, energy, health, security and the solutions that ECSEL-generated technology can offer; - (...) | <ul style="list-style-type: none"> - Website; - Daily newspapers; technical Press, "Brussels-EC-press"; - Television, notably programmes that address science and technology for a broader audience; - Social media; - Dedicated information packages e.g. for schools. |

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

In 2018 the following activities are proposed:

ECSEL JU Events 2018:

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

1. A specific ECSEL JU Call Forum Event, estimated timing: March 2018, content: information day about participation in the ECSEL Calls for 2018 and all related application aspects. This may be coupled with a special information session for coordinators of running ECSEL JU projects (see “Coordinators’ Day” below) and/or a consortium-building activity organised by the ECSEL-JU Member Associations.
2. ECSEL JU Symposium, estimated timing: June. This the main annual ECSEL JU event, embracing all ECSEL communities and the full ECS value chain, including an project exhibition (ECSEL projects, with remaining ARTEMIS, ENIAC projects), estimated audience: up to 300 people and targeting regional, national and European policy makers, close cooperation with the ECSEL JU members and around 2 main activities:
 - **Opinion-building and foresight symposium** with ECS policy-makers’ and industry/RTO representatives towards road-mapping.
 - **Presentation and exhibition of projects**, including guided tours for policymakers and press, panel discussions around specific technical themes.

Consistent with the feedback from the previous Symposium, and fitting for the charter of ECSEL-JU, the event may make use of on-line interactive media during the event (e.g. “Keybate”, “Slido”, ... supporting Voting, Panel / Presenter questions, Messaging, ...).

3. ECSEL JU Stakeholders’ Forum. This event may be organised by ECSEL JU on behalf of the Private Members Board (PMB), on their request. Note that it has become common practice for the Associations (in their role as PMB) to organise a specific event that incorporates this function.

B. ECSEL JU events on specific topics

1. ECSEL JU Programme Dissemination Support events. As the ECSEL JU clearly has an obligation to facilitate the dissemination of the programme results (and by analogy the projects it funds) and has also called into life the Lighthouse Initiatives which further support this strategy, support and facilitation of appropriate dissemination activities, such as workshops, seminars, or similar events, is to be foreseen. To that end, ECSEL JU will offer, as a service with specified budget, the (co-)organisation of such events: the budget will foresee contributing to one event per programme topic or LI per year.
2. Coordinator’s Day. This is to provide updates, training and general information of specific use to project coordinators.
3. SME Engagement Event (in collaboration with National / Regional authorities and/or local ECSEL mirror-organisations such as ECSEL-AT, ECSEL-DE...).
4. PAB / NFA events to clarify administrative arrangements through tutorials, workshops, etc... for NFA administrations.

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

1. Breakfast Sessions with MEPs / Cabinets of important Working Groups.
2. Presence and active participation in working-group meetings of the various committees: (non-exhaustive) EESC, Round Tables of EC Commissioners, political working-groups, EC Agencies Forum, ...
3. Participation in exhibition / promotion events at the relevant EU institutions (for example in conjunction with other JUs sharing common interest). In 2018 on an ad-hoc basis, structurally organised in 2019.

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

1. Support, through Service Level Agreements and/or “Sponsoring”, of events organised by Members Industrial Associations.
2. Support by direct participation in relevant events organised by the European Commission.

3. Support by direct participation to events set up by National and/or Regional authorities to promote ECSEL participation in their area. (ECSEL-JU may pro-actively request such meetings ad-hoc, with specific National/Regional or other relevant authorities).

PUBLICATIONS

Flyers/Brochures:

ECSEL JU will publish informative brochures / flyers on relevant topics for general promotion of the programme. Specific instruments of this type that are relevant for participants in the programme will be developed. These instruments shall be foreseen for primarily digital distribution, but shall also be printable as needed. Other promotional materials (“Merchandising”) will be prepared, as supporting tools for the Events.

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

In 2017, a follow-on activity to the impact study of 2016 was executed, on the existing programme so far and incorporating methodologies for most effective communications of the project’s successes to the relevant decision-makers. This will provide the ECSEL JU with a useful tool for promotion of its activities, and effort to implement the recommendations of this plan will be carried through into 2018 and beyond to assure full visibility of the impact of the programme’s results.

Website and Social Media:

ECSEL JU has fully reworked its public website. The new design reflects the subject matter and goals of the ECSEL JU programme, with attractive features that facilitate information dissemination and facilities for integrating Social Media exposure. ECSEL JU will maintain and expand the web-site and the use of the Twitter account and LinkedIn page.

Press releases

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

- ECSEL JU Call 2018 launch.
- Event relevant for the constituents and JU Members.
- Key events relevant for the Institutions.
- Outcome of the ECSEL JU Calls 2018 (funding decisions).

Service-Level Agreements (SLAs)

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

B. Procurement and contracts

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

C. IT and logistics

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

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

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

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

D. JU Executive Team – HR matters

The number of staff employed by the ECSEL JU in 2018 will be in total of 30 statutory staff.

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

Details on the staff establishment plan can be found in ECSEL budget 2018 (decision ECSEL GB 2017.95).

E. Administrative Budget and Finance

The overall budget of the ECSEL JU will increase in 2018, and a new increase is foreseen in 2019. This increase is to be seen as the immediate consequence of the success of the programme in the first calls launched in 2014, 2015, 2016 and 2017 by the ECSEL JU.

In terms of commitment appropriations, the budget increase is of + 4 % in 2018 and + 3% in 2019. With regard to the payment appropriations, the decrease is of -4 % in 2018 and -25 % for year 2019. The important increase of payment appropriations in 2017 is in fact the direct consequence of the combination of 2 different factors:

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

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

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

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

F. Data protection and conflicts of interest

- **Data protection**

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

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

In May 2018, a new Regulation will replace Regulation 45/2001 to implement the General Data Protection Regulation adopted in 2016 (Regulation 2016/679). ECSEL JU will start early 2018 to implement the new Regulation and make the necessary adaptations.

- **Conflicts of interest**

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

6. Governance

Governance of the Joint Undertaking includes the following bodies:

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

7. Internal Control framework

A. Financial procedures

1. Legacy projects (ARTEMIS and ENIAC)

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

2. ECSEL projects

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

B. Ex-ante and ex-post controls

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

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

1. Legacy projects (ARTEMIS and ENIAC)

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

2. ECSEL projects

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

C. Audits

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

C1 Internal audits are operated by the internal auditor of the JU (the competent service of the Commission) and by the staff member appointed by the Governing Board for performing the internal audit capability, in accordance with the provisions of Chapter 5 of the Financial rules of the ECSEL JU.²

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

² Decision ECSEL GB 2016.67

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

1. Legacy projects (ARTEMIS and ENIAC)

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

2. ECSEL projects

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

8. ANNEXES

Annex 1: General Annexes for the ECSEL Calls 2018-1 to 2018-4

The general annexes for H2020 apply, with some exceptions detailed below. The general annexes can be found under:

http://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2018-2020/annexes/h2020-wp1820-annex-ga_en.pdf

The following elements are specific for the ECSEL Calls 2018-1 to 2018-4.

- Regarding Annex “B. Standard admissibility conditions for grant proposals, and related requirements”, the page limits as mentioned under the different call descriptions in the WorkPlan 2018 are applicable as well as in the Guide for Applicants regarding the format.
- Regarding Annex “D. Types of action specific provisions and funding rates”, the call specific annexes contain the provisions and funding rates applicable to the ECSEL calls.
- Regarding Annex “G. Technology readiness levels”, the table below emphasizes the differences between the different levels as well as the difference between hardware and software related actions.
- Regarding Annex “K Actions involving financial support for third parties”, financial support to third parties is limited to grants (not prizes).

| TRL | Definition | Hardware description | Software description | Exit criteria |
|-----|---|--|---|---|
| 1 | Basic principles observed and reported. | Scientific knowledge generated underpinning hardware technology concepts/applications. | Scientific knowledge generated underpinning basic properties of software architecture and mathematical formulation. | Peer reviewed publication of research underlying the proposed concept/application. |
| 2 | Technology concept and/or application formulated. | Invention begins, practical application is identified but is speculative, no experimental proof or detailed analysis is available to support the conjecture. | Practical application is identified but is speculative, no experimental proof or detailed analysis is available to support the conjecture. Basic properties of algorithms, representations and concepts defined. Basic principles coded. Experiments performed with synthetic data. | Documented description of the application/concept that addresses feasibility and benefit. |
| 3 | Analytical and experimental critical function and/or characteristic proof of concept. | Analytical studies place the technology in an appropriate context and laboratory demonstrations, modelling and simulation validate analytical prediction. | Development of limited functionality to validate critical properties and predictions using non-integrated software components., modelling and simulation | Documented analytical/experimental results validating predictions of key parameters. |
| 4 | Technology validation in laboratory environment. | A low fidelity system/component breadboard is built and operated to demonstrate basic functionality and | Key, functionally critical, software components are integrated, and functionally validated, to establish interoperability | Documented test performance demonstrating agreement with analytical |

| | | | | |
|---|--|---|--|---|
| | | critical test environments, and associated performance predictions are defined relative to the final operating environment. | and begin architecture development. Relevant Environments defined and performance in this environment predicted. | predictions. Documented definition of relevant environment. |
| 5 | Technology validated in relevant environment. (industrially relevant environment in the case of key enabling technologies) | A medium fidelity system is built and operated to demonstrate overall performance in a simulated operational environment with realistic support elements that demonstrates overall performance in critical areas. Performance predictions are made for subsequent development phases. | End-to-end software elements implemented and interfaced with existing systems/simulations conforming to target environment. End-to-end software system, tested in relevant environment, meeting predicted performance. Operational environment performance predicted. Prototype implementations developed. | Documented test performance demonstrating agreement with analytical predictions. Documented definition of scaling requirements. |
| 6 | Technology demonstrated in relevant environment (industrially relevant environment in the case of key enabling technologies) | A high fidelity system/component prototype that adequately addresses all critical scaling issues is built and operated in a relevant environment to demonstrate operations under critical environmental conditions. | Prototype implementations of the software demonstrated on full-scale realistic problems. Partially integrate with existing hardware/software systems. Limited documentation available. Engineering feasibility fully demonstrated. | Documented test performance demonstrating agreement with analytical predictions. |
| 7 | System prototype demonstration in an operational environment. | A high fidelity engineering unit that adequately addresses all critical scaling issues is built and operated in a relevant environment to demonstrate performance in the actual operational environment and platform. | Prototype software exists having all key functionality available for demonstration and test. Well integrated with operational hardware/software systems demonstrating operational feasibility. Most software bugs removed. Limited documentation available. | Documented test performance demonstrating agreement with analytical predictions. |
| 8 | Actual system completed and qualified through test and demonstration. | The final product in its final configuration is successfully demonstrated through test and analysis for its intended operational environment and platform | All software has been thoroughly debugged and fully integrated with all operational hardware and software systems. All user documentation, training documentation, and maintenance documentation completed. All functionality successfully demonstrated in simulated operational scenarios. Verification | Documented test performance verifying analytical predictions. |

| | | | | |
|--|--|--|---------------------------------|--|
| | | | and Validation (V&V) completed. | |
|--|--|--|---------------------------------|--|

- Regarding Annex “*H. Evaluation rules*”, the call specific annexes contain the rules applicable to the ECSEL call evaluations. The “DECISION OF THE PUBLIC AUTHORITIES BOARD OF THE ECSEL JOINT UNDERTAKING ON THE EVALUATION AND SELECTION PROCEDURES RELATED TO CALLS FOR PROPOSALS” (ECSEL PAB 2018.31), including the rules on conflicts of interest is of application. This document is available on ECSEL JU website at: <https://www.ecsel.eu/documents>
- Regarding Annex “*I. Budget flexibility*” this does not apply to ECSEL JU. The budget is the responsibility of the ECSEL Governing Board.

Annex 2: ENTRUSTING FOR THE CALLS 2018

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

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

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

Annex 3: National Budgets for the Calls 2018-1, 2018-2, 2018-3, 2018-4 and for the EU estimated expenditure for the Calls 2018-1, 2018-2, 2018-3, 2018-4 and for the Operational tenders

The following table summarizes the the national budgets for the calls 2018.

| EPS | National budget for calls 2018 (M€) | | | | | |
|--------------|-------------------------------------|------------|---------------------------|-----------|------------|-------------------|
| | 2018-1 IA | 2018-2 RIA | 2018-2 RIA: Special topic | ESIF | All Calls | Total |
| AT | | | | | 10,000,000 | 10,000,000 |
| BE FL | | | | | 12,000,000 | 12,000,000 |
| BE BXL | | | | | 1,500,000 | 1,500,000 |
| BG | | | | | | - |
| CZ | 1,500,000 | 1,000,000 | 500,000 | | | 3,000,000 |
| DK | | | | | | - |
| FI | 2,000,000 | 2,000,000 | 1,000,000 | | | 5,000,000 |
| FR (1) | 43,000,000 | 4,500,000 | | | | 47,500,000 |
| DE | | | | | 30,000,000 | 30,000,000 |
| DE Saxony | 9,000,000 | 4,000,000 | | | | 13,000,000 |
| DE Thuringia | 700,000 | 300,000 | | | | 1,000,000 |
| EL | | | | | | - |
| HU | | | | | 1,000,000 | 1,000,000 |
| IE | | | | | 2,000,000 | 2,000,000 |
| IL | | | | | 6,000,000 | 6,000,000 |
| IT (2) | 15,000,000 | 2,000,000 | | 5,000,000 | | 22,000,000 |
| LV | | | | | 420,000 | 420,000 |
| NL (3) | 11,400,000 | 11,400,000 | | | | 22,800,000 |
| NO | | | | | 2,200,000 | 2,200,000 |
| PL | | | | | 1,500,000 | 1,500,000 |
| PT | | | | | | - |

| | | | | | | |
|--------------|------------|------------|-----------|-----------|------------|--------------------|
| RO (4) | | | | 2,600,000 | | 2,600,000 |
| SK | | | | | 800,000 | 800,000 |
| ES MINECO | | | | | 1,000,000 | 1,000,000 |
| ES MINETAD | | | | | 5,000,000 | 5,000,000 |
| SE | | | | | 5,500,000 | 5,500,000 |
| CH (5) | | | | | 1,700,000 | 1,700,000 |
| UK | | | | | | - |
| TR | | | | | 3,000,000 | 3,000,000 |
| Total | 82,600,000 | 25,200,000 | 1,500,000 | 7,600,000 | 83,620,000 | 200,520,000 |

(1) Subjected to formal approval, budget availability and project eligibility.

(2) 15 M€ from MISE, 2M€ from MIUR, 5 M€ ESIF for RIA only

(3) From the 22.8M€ total budget 4,0M€ are exclusively reserved for Dutch RTOs - this budget is managed by Stichting TKI HTSM. The remaining 18.8M€ are available for all Dutch participants (eligible companies and RTOs) – this budget is managed by RVO (Netherlands Enterprise Agency). The budget is subjected to final approval by the Dutch Parliament.

(4) For all calls.

(5) For all calls. Commitment is 2.000.000 CHF

| Action | Estimated EU Expenditure³ (M€) |
|--|--|
| Call 2018-1 IA | 110.00 |
| Call 2018-2 RIA All topics except special topic | 53.33 |
| Call 2018-2 RIA Special topic. | 10.00 |
| Call 2018-3 CSA for LI Industry4.E | 0.50 |
| Call 2018-4 CSA for LI Mobility.E | 0.50 |
| Public Procurement | 0.60 |
| Total | 174.93 |

³ Pending the corresponding financing decisions to be adopted by the European Commission for 2018 and 2019.

Annex 4: Key Performance Indicators

The intervention logic, definition, measurement and evaluation of baseline are discussed in the KPI-guidelines (under preparation).

Operational performance

| KPI | Definition | Baseline | Objective for year 2018 |
|-------|--|----------|-------------------------|
| OP-1 | % New participants compared to previous years | | |
| OP-2 | Success rate % | | |
| OP-3 | Budget % of selected projects along value chain | | |
| OP-4 | Time to grant % below maximum time | | |
| OP-5 | Time to payments % Late | | |
| OP-6 | % Projects achieving insufficiently (Monitoring) | | |
| OP-7 | Lighthouse activity (measure?) | | |
| OP-8 | Ethics | | |
| OP-9 | Redress | | |
| OP-10 | Gender | | |
| OP-11 | Third country | | |
| OP-12 | Error rate | | |
| OP-13 | Events/Communication | | |

Programme performance KPI

| KPI | Definition | Baseline | Objective for year 2018 |
|-------|--|----------|-------------------------|
| PP-1 | Number of projects | | |
| PP-2 | National Funding / EU Funding | | |
| PP-3 | Private partners / Public partners | | |
| PP-4 | Average Size of project | | |
| PP-5 | Average Size of project | | |
| PP-6 | Number of countries with lower funding or zero funding | | |
| PP-7 | Oversubscription | | |
| PP-8 | Number of patents per 10MEuro of EU funding | | |
| PP-9 | Participation of SME to the programme | | |
| PP-10 | Publications | | |

Impact KPI

| KPI | Definition | Baseline | Objective for year 2019 |
|------|--|----------|-------------------------|
| IP-1 | Start ups | | |
| IP-2 | New products | | |
| IP-3 | Increase in revenues as result of the participation of programme | | |
| IP-4 | Number of standards | | |

Annex 5: Call 2018-1, IA specific details**Scope and objectives**

The call will be open to the following topics:

| Topics and Major Challenges (the numbering corresponds to MASP 2018) | Open/Closed |
|---|-------------|
| 6) Transport & Smart Mobility | |
| 6.3.2. Major Challenge 1 Developing clean, affordable and sustainable propulsion | Open |
| 6.3.3. Major Challenge 2 Ensuring secure connected, cooperative and automated mobility and transportation | Open |
| 6.3.4. Major Challenge 3 Managing interaction between humans and vehicle | Open |
| 6.3.5. Major Challenge 4 Implementing infrastructure and services for smart personal mobility and logistics | Open |
| 7) Health and Well-Being | |
| 7.3.2. Moving healthcare from hospitals into our homes and daily life enabling preventive and patient centric care | Open |
| 7.3.3. Restructuring healthcare delivery systems, from supply-driven to patient-oriented | Open |
| 7.3.4. Engaging individuals more actively in their own health and well-being | Open |
| 7.3.5. Ensuring affordable healthcare for the growing amount of chronic, lifestyle related diseases and an ageing population | Open |
| 7.3.6. Developing platforms for wearables/implants, data analytics, artificial intelligence for precision medicine and personalized healthcare and well-being | Open |
| 8) Energy | |
| 8.3.2. Major Challenge 1 Ensuring sustainable power generation and energy conversion | Open |
| 8.3.3. Major Challenge 2 Achieving efficient community energy management | Open |
| 8.3.4. Major Challenge 3 Reducing energy consumption | Open |
| 9) Digital Industry | |
| 9.3.1. Major challenge 1 Developing Digital twins, simulation models for the evaluation of industrial assets at all factory levels and over system or product life-cycles | Open |
| 9.3.2. Major challenge 2 Implementing AI and machine learning, to detect anomalies or similarities and to optimize parameters | Closed |
| 9.3.3. Major challenge 3 Generalizing conditions monitoring, to pre-warn before damages and to help on-line decision-making | Open |
| 9.3.4. Major challenge 4 Developing digital platforms, application development frameworks that integrate sensors and systems | Open |
| 10) Digital Life | |
| 10.3. 1. Major Challenge 1 Ensuring safe and secure spaces | Open |
| 10.3. 2. Major Challenge 2 Ensuring healthy and comfortable spaces | Open |
| 10.3. 3. Major Challenge 3 Ensuring anticipating spaces | Open |
| 10.3. 4. Major Challenge 4 Ensuring sustainable spaces | Open |
| 11) Systems and Components: Architecture, Design and Integration | |
| 11.3. 1. Major Challenge 1 Managing critical, autonomous, cooperating, evolvable systems | Open |
| 11.3. 2. Major Challenge 2 Managing Complexity | Open |
| 11.3. 3. Major Challenge 3 Managing Diversity | Open |
| 11.3. 4. Major Challenge 4 Managing Multiple Constraints | Open |
| 11.3. 5. Major Challenge 5 Integrating miniaturized features of various technologies and materials into smart components | Open |

| | |
|--|------|
| 11.3. 6. Major Challenge 6 Providing effective module integration for highly demanding environments | Open |
| 11.3. 7. Major Challenge 7 Increasing compactness and capabilities by functional and physical systems integration | Open |
| 12) Connectivity and Interoperability | |
| 12.2.1. Major Challenge 1 Meeting future connectivity requirements leveraging heterogeneous technologies | Open |
| 12.2.2. Major Challenge 2 Enabling nearly lossless interoperability across protocols, encodings and semantics | Open |
| 12.2.3. Major Challenge 3 Ensuring Secure Connectivity and Interoperability | Open |
| 13) Safety, Security and Reliability | |
| 13.3.1. Major Challenge 1 Ensuring safety, security and privacy by design | Open |
| 13.3.2. Major Challenge 2 Ensuring Reliability and Functional Safety | Open |
| 13.3.3. Major Challenge 3 Ensuring secure, safe and trustable connectivity and infrastructure | Open |
| 13.3.4. Major Challenge 4 Managing privacy, data protection and human interaction | Open |
| 14) Computing and Storage | |
| 14.3.1. Major Challenge 1 Increasing performance at acceptable costs | Open |
| 14.3.2. Major Challenge 2 Making computing systems more integrated with the real world | Open |
| 14.3.3. Major Challenge 3 Making "intelligent" machines | Open |
| 14.3.4. Major Challenge 4 Developing new disruptive technologies | Open |
| 15) Electronics Components & Systems Process Technology, Equipment, Materials and Manufacturing | |
| 15.3.1. Major Challenge 1 Developing advanced logic and memory technology for nanoscale integration and application-driven performance | Open |
| 15.3.2. Major Challenge 2 More than Moore and Heterogeneous System-on-Chip (SoC) Integration | Open |
| 15.3.3. Major Challenge 3 Heterogeneous System-in-Package (SiP) integration | Open |
| 15.3.4. Major Challenge 4 Maintaining world leadership in Semiconductor Equipment, Materials and Manufacturing solutions | Open |

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

Note that National priorities may be applicable to specific topics (refer to Chapter “COUNTRY SPECIFIC ELIGIBILITY RULES”).

Objectives of each topic can be found in the MASP 2018 (decision ECSEL GB 2017-94).

Specific Conditions

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

Publication date: 21 February 2018

Deadline PO phase: at 17:00:00 Brussels time on 26 April 2018

Deadline FPP phase: at 17:00:00 Brussels time on 20 September 2018

Type of action: ECSEL Innovation Action

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

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

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

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

The activities have their centre of gravity at the TRL 5-8. An IA proposal in ECSEL JU is characterized by:

- **Execution by an industrial consortium that may consist of large and SM enterprises but also including universities, institutes, public organizations;**
 - Using innovative technology;
 - Developing and demonstrating innovative solutions in relation with the ECSEL Strategic Thrusts as outlined in the ECSEL MASP;
- **Establishment of a new and realistic innovation environment connected with an industrial environment, such as:**
 - a pilot line facility capable of manufacturing
 - a zone of full-scale testing;
 - a development of new processes or tools and their introduction in several domains;
 - the development of frameworks or platforms together with the usage of these frameworks or platforms in innovative products.
- **Having a deployment plan leading to short to mid term economic value creation in Europe.**
 - In order to maximize effective implementation of the ECSEL top-level objectives, the list of IA proposals to be retained for public funding should constitute a balanced portfolio of projects applying innovative technologies (as defined in the MASP in the essential technology section) and applying them in different domains as defined in the MASP. The domains represent the demand side of technologies, and the development of new technologies represents the supply side of technologies.

Admissibility and Eligibility conditions:

Admissibility conditions: Refer to Annex 1

Eligibility conditions

All proposals must comply with the conditions set out in the **Rules for Participation contained in Regulation (EU) No 1290/2013 of 11 December 2013**. A proposal will only be considered eligible if:

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

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

Specific rules apply for eligibility for funding by ECSEL Participating State (refer to Chapter 9).

Page Limits at the PO phase for RIA and IA ECSEL actions

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

Page Limits at the FPP phase for RIA and IA ECSEL actions

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

The application of those page limits (font size etc) is further described in the Guide for Applicants. The selected proposals maybe required to submit further information regarding the IMPLEMENTATION after selection.

Evaluation criteria, scoring and thresholdEvaluation procedure

The decision ECSEL PAB 2018.31 contains further elements on the evaluation and selection of processes.

Award criteria

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

1. **Excellence:** The following aspects will be taken into account, to the extent that the proposed work corresponds to the relevant work plan topic description in the ECSEL MASP:

⁴ Please see also the REGULATION (EU) No 1290/2013 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" and repealing Regulation (EC) No 1906/2006, OJ L 347/81, 20.12.2013.; particularly Articles 9 and 10 stipulating detailed conditions for participation and eligibility for funding.

- a. Clear reference to the topics and main challenges to which this proposal contributes;
 - b. Clarity and pertinence of the objectives and the expected results of the proposed work; with quantified objectives and results and reference baseline.
 - c. Credibility (soundness) of the concept (*what*), including inter-disciplinary considerations, where relevant, and where relevant use of stakeholders knowledge and gender dimension in research and innovation content (if the proposal addresses the gender dimension);
 - d. Credibility (soundness) of the proposed methodology (*how*);
 - e. Extent to which the proposed work is ambitious, , is beyond the state of the art and demonstrates innovation potential (e.g. ground-breaking objectives, novel concepts and approaches, new products, services or business and organisational models).
2. **Impact:** The extent to which the outputs of the project should contribute at the European and/or International level to:
- a. The creation and exploitation of market potential and the gain of a competitive technology advantage (*Impact from participant perspective*);
 - b. Enhancing innovation capacity and integration of new knowledge (*Impact from participant perspective*);
 - c. Creating economic value in Europe (by future employment and industrial investment), including industrial end-user leverage (*Impact from EU perspective*);
 - d. Strengthening Europe and the competitiveness and growth of companies by developing innovations that meet the needs of European and global markets; and by delivering such innovations to the markets or introducing new technologies/processes/tools to the European industry (*Impact from EU perspective*);
 - e. The exploitation of project results per participant and where relevant at project level; management of IPR and where relevant management of the research data (for proposals that do not opt out of the pilot on open research data)
 - f. The dissemination of project results, the communication of the project; the contribution of standards, where appropriate.
3. **Quality and efficiency of the implementation:** The following aspects will be taken into account:
- a. Quality and effectiveness of the work plan, including extent to which the resources assigned to work packages are in line with their objectives and deliverables
 - b. Significant coverage of the value chain, including industrial end-users, and/or different industry domain where relevant;
 - c. Complementarity of the participants and the extent to which the consortium as a whole brings together the necessary expertise
 - d. Adequate participation of large enterprises, SMEs, universities and research institutes. Appropriateness of the allocation of tasks ensuring that all participants have a valid role and adequate resources in the project to fulfil that role
 - e. Appropriateness of the management structures and procedures, including risk and innovation management.

Scoring

A. PO Phase

The scores will be given using - half marks.

| Criteria | Range | Weight (**) | Threshold (*) |
|--|-------|-------------|---------------|
| Excellence | 0-5 | 1 | 2.5 |
| Impact | 0-5 | 1.5 | 2.5 |
| Quality and efficiency of the implementation | 0-5 | 0.7 | 2.5 |
| Total | 0-15 | | 10 |

(*) threshold applies to unweighted score

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

B. FPP Phase

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

| Criteria | Range | Weight (**) | Threshold (*) |
|--|-------|-------------|---------------|
| Excellence | 0-5 | 1 | 3 |
| Impact | 0-5 | 1.5 | 3 |
| Quality and efficiency of the implementation | 0-5 | 0.7 | 3 |
| Total | 0-15 | | 10 (*) |

(*) threshold applies to unweighted score

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

Selection criteria

Only in the FPP Phase

- *Financial capacity*: In line with the Financial Regulation and the Rules for Participation. At the full project proposal stage, coordinators will be invited to complete a self-assessment using an on-line tool.
- *Financial capacity*: Participants declared by their national authority in crisis according to the State-Aid rules as defined by EU regulation 651/2014 will not be eligible for EU funding
- *Operational capacity*: As a distinct operation, carried out during the evaluation of the award criterion 'Quality and efficiency of the implementation', experts will indicate whether the participants meet the selection criterion related to operational capacity, to carry out the proposed work, based on the competence and experience of the individual participant(s).

Priority order for proposals with the same score

PO Phase

No priority order is required at this stage

FPP Phase

Unless the call conditions indicate otherwise, the following method will be applied. As part of the evaluation by independent experts, a panel review will recommend a ranked list for the proposals under evaluation, following the scoring systems indicated above. A ranked list will be drawn up for every indicative budget shown in the call conditions. If necessary, the panel will determine a priority order for proposals which have been awarded the same score within a ranked list. The following approach will be applied successively for every group of *ex-aequo* proposals requiring prioritisation, starting with the highest scored group, and continuing in descending order:

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

- In the case of two projects with the similar score the PAB can decide to rank the project with the highest ratio: national funding to EU funding; before the other.

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 8 months from the final date for submission |

Consortium agreement

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

Reimbursement rate for establishing the EU contribution

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

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

(*) beneficiaries may ask for a lower contribution

Capping

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

Reimbursement rates for establishing national contributions

Please refer to Chapter “COUNTRY SPECIFIC ELIGIBILITY RULES”

Contribution to the Council Regulation (Article 4.1)

The consortia proposing projects will strive for a ratio of the total national funding to the EU funding larger than 1.20.

Financial support to third parties

Applicable for this call.

Financial support to third parties is capped (limited to) 3% of the EU funding requested by the proposal.

Estimated expenditures

See Annex 3

Annex 6: Call 2018-2, RIA

Topic: All except “Implementing AI and machine learning, to detect anomalies or similarities and to optimize parameters”

Scope and objectives

The call will be open to the following topics:

Topics and Major Challenges the numbering corresponds to MASP 2018)

Open/Closed

| | |
|---|--------|
| 6) Transport & Smart Mobility | |
| 6.3.2. Major Challenge 1 Developing clean, affordable and sustainable propulsion | Open |
| 6.3.3. Major Challenge 2 Ensuring secure connected, cooperative and automated mobility and transportation | Open |
| 6.3.4. Major Challenge 3 Managing interaction between humans and vehicle | Open |
| 6.3.5. Major Challenge 4 Implementing infrastructure and services for smart personal mobility and logistics | Open |
| 7) Health and Well-Being | |
| 7.3.2. Moving healthcare from hospitals into our homes and daily life enabling preventive and patient centric care | Open |
| 7.3.3. Restructuring healthcare delivery systems, from supply-driven to patient-oriented | Open |
| 7.3.4. Engaging individuals more actively in their own health and well-being | Open |
| 7.3.5. Ensuring affordable healthcare for the growing amount of chronic, lifestyle related diseases and an ageing population | Open |
| 7.3.6. Developing platforms for wearables/implants, data analytics, artificial intelligence for precision medicine and personalized healthcare and well-being | Open |
| 8) Energy | |
| 8.3.2. Major Challenge 1 Ensuring sustainable power generation and energy conversion | Open |
| 8.3.3. Major Challenge 2 Achieving efficient community energy management | Open |
| 8.3.4. Major Challenge 3 Reducing energy consumption | Open |
| 9) Digital Industry | |
| 9.3.1. Major challenge 1 Developing Digital twins, simulation models for the evaluation of industrial assets at all factory levels and over system or product life-cycles | Open |
| 9.3.2. Major challenge 2 Implementing AI and machine learning, to detect anomalies or similarities and to optimize parameters | Closed |
| 9.3.3. Major challenge 3 Generalizing conditions monitoring, to pre-warn before damages and to help on-line decision-making | Open |
| 9.3.4. Major challenge 4 Developing digital platforms, application development frameworks that integrate sensors and systems | Open |
| 10) Digital Life | |
| 10.3. 1. Major Challenge 1 Ensuring safe and secure spaces | Open |
| 10.3. 2. Major Challenge 2 Ensuring healthy and comfortable spaces | Open |
| 10.3. 3. Major Challenge 3 Ensuring anticipating spaces | Open |
| 10.3. 4. Major Challenge 4 Ensuring sustainable spaces | Open |
| 11) Systems and Components: Architecture, Design and Integration | |
| 11.3. 1. Major Challenge 1 Managing critical, autonomous, cooperating, evolvable systems | Open |
| 11.3. 2. Major Challenge 2 Managing Complexity | Open |

| | |
|--|------|
| 11.3. 3. Major Challenge 3 Managing Diversity | Open |
| 11.3. 4. Major Challenge 4 Managing Multiple Constraints | Open |
| 11.3. 5. Major Challenge 5 Integrating miniaturized features of various technologies and materials into smart components | Open |
| 11.3. 6. Major Challenge 6 Providing effective module integration for highly demanding environments | Open |
| 11.3. 7. Major Challenge 7 Increasing compactness and capabilities by functional and physical systems integration | Open |
| 12) Connectivity and Interoperability | |
| 12.2.1. Major Challenge 1 Meeting future connectivity requirements leveraging heterogeneous technologies | Open |
| 12.2.2. Major Challenge 2 Enabling nearly lossless interoperability across protocols, encodings and semantics | Open |
| 12.2.3. Major Challenge 3 Ensuring Secure Connectivity and Interoperability | Open |
| 13) Safety, Security and Reliability | |
| 13.3.1. Major Challenge 1 Ensuring safety, security and privacy by design | Open |
| 13.3.2. Major Challenge 2 Ensuring Reliability and Functional Safety | Open |
| 13.3.3. Major Challenge 3 Ensuring secure, safe and trustable connectivity and infrastructure | Open |
| 13.3.4. Major Challenge 4 Managing privacy, data protection and human interaction | Open |
| 14) Computing and Storage | |
| 14.3.1. Major Challenge 1 Increasing performance at acceptable costs | Open |
| 14.3.2. Major Challenge 2 Making computing systems more integrated with the real world | Open |
| 14.3.3. Major Challenge 3 Making "intelligent" machines | Open |
| 14.3.4. Major Challenge 4 Developing new disruptive technologies | Open |
| 15) Electronics Components & Systems Process Technology, Equipment, Materials and Manufacturing | |
| 15.3.1. Major Challenge 1 Developing advanced logic and memory technology for nanoscale integration and application-driven performance | Open |
| 15.3.2. Major Challenge 2 More than Moore and Heterogeneous System-on-Chip (SoC) Integration | Open |
| 15.3.3. Major Challenge 3 Heterogeneous System-in-Package (SiP) integration | Open |
| 15.3.4. Major Challenge 4 Maintaining world leadership in Semiconductor Equipment, Materials and Manufacturing solutions | Open |

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

Note that National priorities may be applicable to specific topics (refer to Chapter “COUNTRY SPECIFIC ELIGIBILITY RULES”).

Objectives of each topic can be found in the MASP 2018 (decision ECSEL GB 2017.94).

Specific Conditions

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

Publication date: 21 February 2018

Deadline PO phase: at 17:00:00 Brussels time on 26 April 2018

Deadline FPP phase: at 17:00:00 Brussels time on 20 September 2018

Type of action: ECSEL Research and innovation action

An ECSEL Research and Innovation Action (RIA) primarily consists of activities aiming to establish new knowledge and/or to explore the feasibility of a new or improved technology, product, process, service, method, tool or solution. For this purpose they may include applied research, technology development and/or method/tool and integration, testing and validation on a small-scale prototype in a laboratory or simulated environment. The activities have their centre of gravity at TRL 3-4. A RIA proposal is characterised by:

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

Admissibility and Eligibility conditions:

Admissibility conditions: Refer to Annex 1

Eligibility conditions

All proposals must comply with the conditions set out in the **Rules for Participation contained in Regulation (EU) No 1290/2013 of 11 December 2013**. A proposal will only be considered eligible if:

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

| Type of action | Conditions for participation & eligibility for funding |
|-------------------------|--|
| ECSEL Innovation Action | At least three legal entities. Each of the three must be established in a different Member State or associated country. All three legal entities must be independent of each other. ⁵ |

⁵ Please see also the REGULATION (EU) No 1290/2013 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" and repealing Regulation (EC) No 1906/2006, OJ L 347/81, 20.12.2013.; particularly Articles 9 and 10 stipulating detailed conditions for participation and eligibility for funding.

Specific rules apply for eligibility for funding by ECSEL Participating State (refer to Chapter “COUNTRY SPECIFIC ELIGIBILITY RULES”).

Page Limits at the PO phase for RIA and IA ECSEL actions

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

Page Limits at the FPP phase for RIA and IA ECSEL actions

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

The application of those page limits (font size etc) is further described in the Guide for Applicants. The selected proposals may be required to submit further information regarding the IMPLEMENTATION after submission.

Evaluation criteria, scoring and threshold

Evaluation procedure

The document ECSEL PAB 2018.31 contains the details of the evaluation and selection process.

Award criteria

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

1. **Excellence:** The following aspects will be taken into account, to the extent that the proposed work corresponds to the relevant work plan topic description in the ECSEL MASP:
 - a. Clear reference to the topics and main challenges to which this proposal contributes;
 - b. Clarity and pertinence of the objectives and the expected results of the proposed work; with quantified objectives and results and reference baseline.
 - c. Credibility (soundness) of the concept (*what*), including inter-disciplinary considerations, where relevant; and where relevant use of stakeholder knowledge and gender dimension in research and innovation content (if the proposal addresses the gender dimension)
 - d. Credibility (soundness) of the proposed methodology (*how*);
 - e. Extent to which the proposed work is ambitious, is beyond the state of the art, and demonstrates innovation potential (e.g. ground-breaking objectives, novel concepts and approaches, new products, services or business and organisation models).
2. **Impact:** The extent to which the outputs of the project should contribute at the European and/or International level to:
 - a. The creation and exploitation of market potential and the gain of a competitive technology advantage (*Impact from participant perspective*);
 - b. Enhancing innovation capacity and integration of new knowledge (*Impact from participant perspective*);
 - c. Strengthening Europe (by future employment and industrial investment) and the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets; and, where relevant, by delivering such innovations to the markets or introducing new technologies into the industry

(Impact from EU perspective);

- d. The exploitation of project results per participant and, where relevant, at project level; management of IPR and where relevant management of the research data (for proposals that do not opt out of the pilot on open research data).
 - e. The dissemination of project results, the communication of the project; the development of standards, where appropriate.
3. **Quality and efficiency of the implementation:** The following aspects will be taken into account:
- a. Quality and effectiveness of the work plan, including extent to which the resources assigned to work packages are in line with their objectives and deliverables;
 - b. Complementarity of the participants and extent to which the consortium as a whole brings together the necessary expertise
 - c. Adequate participation of large companies, SMEs, universities and research institutes. Appropriateness of the allocation of the tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfil that role.
 - d. Appropriateness of the management structures and procedures, including risk and innovation management.

Scoring

A. PO Phase

The scores will be given using - half marks.

| Criteria | Range | Weight (**) | Threshold (*) |
|--|-------|-------------|---------------|
| Excellence | 0-5 | 1 | 2.5 |
| Impact | 0-5 | 1 | 2.5 |
| Quality and efficiency of the implementation | 0-5 | 0.7 | 2.5 |
| Total | 0-15 | | 10 |

(*) threshold applies to unweighted score

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

B. FPP Phase

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

| Criteria | Range | Weight (**) | Threshold (*) |
|--|-------|-------------|---------------|
| Excellence | 0-5 | 1 | 3 |
| Impact | 0-5 | 1 | 3 |
| Quality and efficiency of the implementation | 0-5 | 0.7 | 3 |
| Total | 0-15 | | 10 |

(*) threshold applies to unweighted score

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

Selection criteria

Only in the FPP Phase

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

- *Financial capacity*: Participants declared by their national authority in crisis according to the State-Aid rules as defined by EU regulation 651/2014 will not be eligible for EU funding
- *Operational capacity*: As a distinct operation, carried out during the evaluation of the award criterion 'Quality and efficiency of the implementation', experts will indicate whether the participants meet the selection criterion related to operational capacity, to carry out the proposed work, based on the competence and experience of the individual participant(s).

Priority order for proposals with the same score

PO Phase

No priority order is required at this stage

FPP Phase

Unless the call conditions indicate otherwise, the following method will be applied. As part of the evaluation by independent experts, a panel review will recommend a ranked list for the proposals under evaluation, following the scoring systems indicated above. A ranked list will be drawn up for every indicative budget shown in the call conditions. If necessary, the panel will determine a priority order for proposals which have been awarded the same score within a ranked list. The following approach will be applied successively for every group of *ex-aequo* proposals requiring prioritisation, starting with the highest scored group, and continuing in descending order:

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

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 8 months from the final date for submission |

Consortium agreement

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

Reimbursement rate for establishing the EU contribution

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

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

(*) beneficiaries may ask for a lower contribution

Capping

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

Reimbursement rates for establishing national contributions

Please refer to Chapter “COUNTRY SPECIFIC ELIGIBILITY RULES”).

Contribution to the Council Regulation (Article 4.1)

The consortia proposing projects will strive for a ratio of the total national funding to the EU funding larger than 1.20.

Financial support to third parties

Applicable for this call.

Financial support to third parties is capped (limited to) 3% of the EU funding requested by the proposal.

Estimated expenditures

See Annex 3

SPECIAL TOPIC “IMPLEMENTING AI AND MACHINE LEARNING, TO DETECT ANOMALIES OR SIMILARITIES AND TO OPTIMIZE PARAMETERS” SPECIFIC DETAILS

For this part of Call 2018-2-RIA, all rules explicitated above apply except:

Specific scope and objectives

The call will be open to only one Main Challenge (numbering is as per MASP):

9 Digital Industry, 9.3.2. Major Challenge 2 Implementing AI and machine learning, to detect anomalies or similarities and to optimize parameters

Type of action: ECSEL Research and innovation action

The RIA proposals for this special topic are characterised by:

- The proposals should focus on applications that use the relevant technologies developed by the partners and the applications should be demonstrated under conditions as close as possible to real-life.
- Execution by a consortium consisting of leading European enterprises and research organizations in the field of the topic complemented with end-users.
- The objectives next to the developed applications is to establish roadmaps, exploitation studies, business cases for those technologies;
- A deployment plan showing how to develop and valorise the technology in a European context by European participants.

Evaluation criteria, scoring and threshold

The same rules applies as described for the other topics of RIA Call

ONLY ONE PROPOSAL WILL BE SELECTED.

Scoring

A. PO Phase

The scores will be given using - half marks.

| Criteria | Range | Weight (**) | Threshold (*) |
|--|-------|-------------|---------------|
| Excellence | 0-5 | 1.3 | 2.5 |
| Impact | 0-5 | 1 | 2.5 |
| Quality and efficiency of the implementation | 0-5 | 0.7 | 2.5 |
| Total | 0-15 | | 10 |

(*) threshold applies to unweighted score

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

More weight goes to the innovative/disruptive character of the technology.

B. FPP Phase

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

| Criteria | Range | Weight (**) | Threshold (*) |
|----------|-------|-------------|---------------|
|----------|-------|-------------|---------------|

| | | | |
|--|------|-----|----|
| Excellence | 0-5 | 1.3 | 3 |
| Impact | 0-5 | 1 | 3 |
| Quality and efficiency of the implementation | 0-5 | 0.7 | 3 |
| Total | 0-15 | | 10 |

(*) threshold applies to unweighted score

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

More weight goes to the innovative/disruptive character of the technology.

Reimbursement rate for establishing the EU contribution

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

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

(*) beneficiaries may ask for a lower contribution

Capping

The maximum EU contribution per partner in a project is limited to 10% of the total EU funding for the project.

Financial support to third parties not applicable to this special topic.

Estimated expenditures

See Annex 3

Annex 7: Call 2018-3, CSA Industry 4.E support action

Scope and objectives

This Coordination and Support action will support the Lighthouse Initiative Industry4.E

Specific Challenge:

In December 2016, the ECSEL JU Governing Board adopted, with the Lighthouse Initiative Industry4.E, an important effort in the field of the Digitalisation of the European Industry. It was accompanied by a first project Produktiv4.0 and by the setting up of a LIASE (Lighthouse initiative Advisory Service). The present call is for a Coordination and Support Action to support the Lighthouse Initiative in establishing the Lighthouse and its coordination with amongst other national activities in the field.

Scope:

Proposals should aim at coordinating the relevant stakeholders, project consortia, as well as policy makers, in full collaboration with the LIASE, addressing all of the following:

- Establish a communication platform for all stakeholders;
- Promote the objectives of the Lighthouse Initiative;
- Facilitate connections between the stakeholders;
- Help shaping the Lighthouse Initiative during and beyond H2020;
- Organize outreach events;
- Facilitate dialogue between all stakeholders;
- Help the networking of respective national and international activities in the field.

It is expected that such an activity is driven by a consortium led by organisations that are active in the field and have experience in coordination and support activities in the context of ECS.

The ECSEL JU considers that proposals requesting a contribution from the EU of up to EUR 0.5 million would allow this specific challenge to be addressed appropriately. Nonetheless, this does not preclude submission and selection of proposals requesting other amounts. The indicative duration of the Coordination and Support Action is 24-30 months.

Expected Impact:

The following impacts are expected to be addressed:

- A goal-driven, federated effort towards a challenging industrial vision to generate European industrial leadership in Industry digitalisation, and a strong potential for longer term technological innovation and economic exploitation.
- Involvement and commitment from key stakeholders.
- Increased transnational collaboration between the relevant European initiatives in the field.
- Spreading of excellence on digitalisation of industry across Europe.
- **Increased awareness of European activities** in this field.

Specific Conditions

Mode: 1 phase: Full Project Proposal (FPP)

Publication date: 5th April 2018

Deadline FPP phase: 24th May 2018

Admissibility and Eligibility conditions:

Admissibility conditions: Refer to Annex 1

Eligibility conditions

All proposals must comply with the conditions set out in the **Rules for Participation contained in Regulation (EU) No 1290/2013 of 11 December 2013**. A proposal will only be considered eligible if:

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

| | |
|----------------|--|
| Type of action | – Coordination and Support Action |
| ECSEL CSA | At least one legal entity established in an EU Member State or Horizon 2020 associated country |

Page Limits for CSA ECSEL actions

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

The application of those page limits (font size etc) is further described in the Guide for Applicants. The selected proposals maybe required to submit further information regarding the IMPLEMENTATION after submission.

Evaluation criteria, scoring and thresholdEvaluation procedure

The H2020 rules will be followed, refer to Annex 1 1.

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 | 3 |
| Total | 0-15 | | 10 |

(*) threshold applies to unweighted score

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

Selection criteria

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

participant(s).

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 8 months from the final date for submission |

Consortium agreement

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

Reimbursement rate for establishing the EU contribution

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

| Type of beneficiary | EU Contribution as % of the Eligible Cost according to H2020 (*) |
|---------------------------------------|--|
| Large Enterprise (for profit non SME) | 100 % |
| SME (for profit SME) | 100 % |
| University/Other (not for profit) | 100 % |

(*) beneficiaries may ask for a lower contribution

Capping

No capping

Financial support to third parties

NOT applicable for this call.

Estimated expenditures

See Annex 3

Annex 8: Call 2018-4, CSA MOBILITY.E support action

Scope and objectives

This Coordination and Support action will support the Lighthouse Initiative MOBILITY.E

Specific Challenge:

In December 2016, the ECSEL JU Governing Board adopted, with the Lighthouse Initiative MOBILITY.E, an important effort in the field of Autonomous driving. It was accompanied by a first project Autodrive and by the set up of a LIASE (Lighthouse initiative Advisory Service). The present call is for a Coordination and Support Action to support the Lighthouse Initiative in establishing the Lighthouse and its coordination with amongst other national activities in the field.

Scope:

Proposals should aim at coordinating the relevant stakeholders, project consortia, as well as policy makers, in full collaboration with the LIASE, addressing all of the following:

- Establish a communication platform for all stakeholders;
- Promote the objectives of the Lighthouse Initiative;
- Facilitate connections between the stakeholders;
- Help shaping the Lighthouse Initiative during and beyond H2020;
- Organise outreach events;
- Facilitate dialogue between all stakeholders;
- Help the networking of respective national and international activities in the field.

It is expected that such an activity is driven by a consortium led by organisations that are active in the field and have experience in coordination and support activities in the context of ECS.

The ECSEL JU considers that proposals requesting a contribution from the EU of up to EUR 0.5 million would allow this specific challenge to be addressed appropriately. Nonetheless, this does not preclude submission and selection of proposals requesting other amounts. The indicative duration of the Coordination and Support Action is 24-30 months.

Expected Impact:

The following impacts are expected to be addressed:

- A goal-driven, federated effort towards a challenging industrial vision to generate European industrial leadership in Industry digitalisation, and a strong potential for longer term technological innovation and economic exploitation.
- Involvement and commitment from key stakeholders.
- Increased transnational collaboration between the relevant European initiatives in the field.
- Spreading of excellence on on Electric, Connected and Automated driving in Europe.
- Increased awareness of European activities in this field.

Specific Conditions

Mode: 1 phase: Full Project Proposal (FPP)

Publication date: 5th April 2018

Deadline FPP phase: 24th May 2018

Admissibility and Eligibility conditions:

Admissibility conditions: Refer to Annex 1

Eligibility conditions

All proposals must comply with the conditions set out in the **Rules for Participation contained in Regulation (EU) No 1290/2013 of 11 December 2013**. A proposal will only be considered eligible if:

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

| | |
|----------------|--|
| Type of action | Coordination and Support Action |
| ECSEL CSA | At least one legal entity established in an EU Member State or Horizon 2020 associated country |

Page Limits for CSA ECSEL actions

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

The application of those page limits (font size etc) is further described in the Guide for Applicants. The selected proposals maybe required to submit further information regarding the IMPLEMENTATION after submission.

Evaluation criteria, scoring and threshold

Evaluation procedure

The H2020 rules will be followed. Refer to Annex 1

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 | 3 |
| Total | 0-15 | | 10 |

(*) threshold applies to unweighted score

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

Selection criteria

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

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 8 months from the final date for submission |

Consortium agreement

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

Reimbursement rate for establishing the EU contribution

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

| Type of beneficiary | EU Contribution as % of the Eligible Cost according to H2020 (*) |
|---------------------------------------|--|
| Large Enterprise (for profit non SME) | 100 % |
| SME (for profit SME) | 100 % |
| University/Other (not for profit) | 100 % |

(*) beneficiaries may ask for a lower contribution

Capping

No capping

Financial support to third parties

NOT applicable for this call.

Estimated expenditures

See Annex 3

ANNEX 9: Public Procurements/Studies

In 2018, the ECSEL JU will carry out a number of activities via calls for tenders (i.e. public procurement) for a total indicative amount of 0.60 M€. Recourse to existing Framework Contracts will be envisaged where possible. The procurement activities are covering subjects of a strategic nature for the ECSEL JU, supporting more specifically the ECS manufacturing capability in Europe versus the rest of the world and its supporting mechanisms and the ECS technology impact on societal and economic parameters over time.

For each of the procurements, detailed Terms of Reference will be drafted. The following indicative list of procurements is currently foreseen:

| Subject (Indicative Title) | Indicative Budget (€) | Expected type of procedure | Schedule Indicative |
|---|----------------------------------|---------------------------------------|--------------------------------|
| Benchmarking of public financial support mechanisms and organisation to R&I activities in the ECS sector in other parts of the world : US, China, Korea, Taiwan, Japan, ... | 200 000 € | Open procedure | Q1 |
| ECS technology impact study on societal challenges, creating economic growth and employment related to and derived from the 3 programmes (ENIAC, ARTEMIS, ECSEL) | 400 000 € | Open procedure | Q2 |

The final budgets awarded to actions implemented through procurement procedures may vary by up to 20% of the total value of the indicative budget.

Annex 10 : Lighthouse Initiative

Motivation

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

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

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

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

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

On this basis, it has been proposed to launch lighthouse initiatives.

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

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

They should enable closer cooperation between Europe's key actors, including technology providers, system integrators, application providers, users' industries and end users in a meaningful

and substantial way, in innovation and regulation contributing to the overall goal of the ECSEL JU. Most importantly they should strengthen Europe's position in key parts of future digital value chains and notably digital platforms.

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

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

Lighthouse Initiatives

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

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

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

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

- The ECSEL JU supports, as of 2018, the Lighthouse Initiative “Health.E”, towards the next generation of smart catheters and implants, from ECSEL Call 2017

The “**Health.E**” Lighthouse Initiative will investigate, demonstrate and promote the concept of open technology platforms for health care products, which at the moment largely rely on proprietary technologies. These proprietary technologies are very diverse, and their relative small volume and fragmentation hampers innovation. Consequently, the innovation in medical systems does not fully benefit from new developments in research, while it additionally has difficulties in effectively exploiting the developments in mainstream electronics such as e.g. extensive digitization.

Participating to a Lighthouse initiative by submitting a proposal or submitting a proposal for a new Lighthouse initiative

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

Selection of Lighthouse Initiatives from Call 2018

Lighthouses Initiatives from Call 2018 will be selected following the procedure described in decision GB 2017.79 on “ECSEL Lighthouse Initiatives”.

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

9. COUNTRY SPECIFIC ELIGIBILITY RULES

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

Austria

National contact person for ECSEL JU programme

| Country | Name | First name | Tel | E-mail |
|---------|-----------|------------|--------------------|--|
| AUSTRIA | Vierbauch | Doris | +43 (0)5 7755-5024 | doris.vierbauch@ffg.at |

National Funding Agency for Austria: [FFG](http://www.ffg.at)

The full version of the national eligibility criteria can be found at: www.ffg.at/ecsel

1) Type or nature of participants

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

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

2) Legal, administrative and financial conditions

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

FFG experts will check the financial viability (credit rating and liquidity) of the participating enterprises. It is not possible to provide funding to undertakings in difficulty⁶. Austrian enterprises have to provide the following documents:

- Annual statement of accounts (balance sheet, profit and loss account) from the past 2 financial years
- [Declaration of SME Status](#) for associations and sole traders
- The company size is to be determined according to the SME definition as specified by EU competition law: information on SME definition.

⁶ Undertakings in difficulty as defined in the General block exemption Regulation (EU) N°651/2014 of 17 June 2014

3) Consortium configuration

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

4) Other conditions

All Topics and Major Challenges of the MASP and Annual Work Plan 2018 are eligible for national funding in Call 2018-1 and Call 2018-2. A certain amount of the available national budget is earmarked for the funding of national priorities:

- Being a national priority for national funding the key application “Transport & Smart Mobility” should receive a minimum funding of 3 Mio. €. Projects shall relate to the “Austrian Research, Development & Innovation Roadmap for Automated Vehicles – in particular chapter 4”⁷.
- Being a national priority for national funding the key application “Digital Industry” should receive a minimum funding of 3 Mio. €.
- Projects addressing the national priorities “Digital Industry” and “Transport & Smart Mobility” should take into account the ECSEL lighthouse initiatives Mobility.E and Industry4.E
- Priority is also given to projects addressing multi physical modelling and simulation for heterogeneous integration

The participation (total requested national budget) of each single Austrian institution has to be balanced in relation to the total national commitment. Project participations of Austrian partners are eligible for national funding only if they comprise mainly R&D activities.

Eligibility of the costs and funding

1) Eligibility of costs

The eligibility of costs is in accordance with the national rules on eligible costs. For details on the eligibility of costs see the Cost Guidelines Version 2.1: <https://www.ffg.at/recht-finanzen/kostenleitfaden/version-21>

⁷ Details can be obtained from the ECSEL website at FFG.

Funding rates

| | Percentage of the national subsidy to the beneficiaries ⁸ | | | |
|---|--|---------------------------------|--------------------------------|---|
| | Large Enterprises, Groups and Associations of Enterprises | Medium Enterprises ⁹ | Small Enterprises ⁹ | Public Research Institutes and Universities |
| Experimental development (call 2018-1, IA) | up to 20 % | up to 25 % | up to 35 % | up to 30 % |
| Industrial Research (call 2018-2, RIA) | up to 25 % | up to 30 % | up to 40 % | up to 35 % |

Additional Information to be provided at submission and other conditions

- **Registration at the eCall System of the FFG** at <https://ecall.ffg.at/> for **Project Outline stage AND Full Project Proposal stage** – completion of all relevant forms.
- Upload of relevant documents in the eCall: “ECSEL 2018 work package description for Austrian partners” for FPP, balance sheets, ...

⁸ calculated on national eligible costs

⁹ 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

Belgium

National contact person for ECSEL JU programme

| Country | Name | First name | Tel | E-mail |
|-------------------------|----------|------------|--------------------|--|
| BELGIUM | | | | |
| Flanders | DEPREZ | Francis | +32 (0) 2 432 4301 | francis.deprez@vlaio.be |
| | SILEGHEM | Maarten | +32 (0) 2 432 4202 | maarten.sileghem@vlaio.be |
| Brussels-Capital Region | Da Silva | Marianne | +32 (0) 2 600 5020 | mdasilva@innoviris.brussels |

Funding authority websites: Flanders: www.vlaio.be

Additional for ECSEL:

www.vlaio.be/nl/subsidies-financiering/oo-bedrijfsprojecten/wat/subsidies-voor-onderzoek-ontwikkeling-en-7

Brussels: www.innoviris.be

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants

For Flanders:

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

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

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

For Brussels:

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

However, universities and research organisations are only eligible if, as part of the project, they are collaborating with a Brussels-based company.

Please note that no individual partner alone is allowed to support more than 70% of the project's cost.

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 Flemish legal entity or subsidiary.

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

For the independent project participation of a research centre or university, the legitimate status of Strategic Research Centre (SOC) is mandatory. A specific agreement with VLAIO is compulsory. Flemish governmental funding outside HERMES fund applies.

For industrial participants “State Aid for Rescuing and Restructuring Firms in Difficulty” is applicable.

For Brussels:

For Brussels enterprises wishing to benefit from Innoviris funding, the financing conditions are as follows.

- develop all or some of its R&D activities within the territory covered by the Brussels-Capital Region
- present an innovative RDI project likely to have a favourable impact on employment and/or sustainable development of the Brussels-Capital Region
- show one's ability to finance one's share in the project
- have fulfilled its obligations in the context of previous support initiatives allocated by 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 to Innoviris.

3) Consortium configuration

For Flanders:

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

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

Applications compliant to the status of Strategic Research Centre need to be independent in Flanders.

For Brussels:

Participants in ECSEL projects wishing to receive funding from Innoviris must be a company or a research organisation

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

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). Conditions are compliant to the impact conditions of O&O, detailed on:

www.vlaio.be/nl/subsidies-financiering/ontwikkelingsproject/wie-komt-aanmerking-en-onder-welke-voorwaarden

www.vlaio.be/nl/subsidies-financiering/onderzoeksproject/voorwaarden

Project qualification can be either ‘research’ or ‘development’ independent on the ECSEL call (IA, RIA of additional calls).

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

For Brussels:

Exploitation and valorisation conditions:

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

Eligibility of the costs and funding

1) Eligibility of costs

For Flanders

Eligibility of costs is in accordance with the ruling of the O&O bedrijfssteun of Flanders, detailed in the documents available on:

www.vlaio.be/nl/subsidies-financiering/ontwikkelingsproject/financiele-steun-voor-een-ontwikkelingsproject

www.vlaio.be/nl/subsidies-financiering/onderzoeksproject/steunbedrag

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 (H2020) is applicable for both ECSEL and national funding

For Brussels

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

2) Funding rates

For Flanders

| <div> <div>Type of Organisation</div> <div>Type of activity</div> </div> | 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%-JU | 60%-JU | 60%-JU | = JU (1:1 ratio) |
| Experimental development projects | 35%-JU | 45%-JU | 55%-JU | = JU (1:1 ratio) |

Notes:

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

www.vlaio.be/nl/subsidies-financiering/ontwikkelingsproject/wat-is-een-ontwikkelingsproject & www.vlaio.be/nl/subsidies-financiering/onderzoeksproject/wat.

The funding level of the participating (initiating) industrial partner applies.

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

For Brussels:

| <div> <div>Type of Organisation</div> <div>Type of activity</div> </div> | 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) |

| | Large Enterprises, Groups and Associations of Enterprises | Medium Enterprises | Small Enterprises | Public Research Institutes and Universities |
|--------------------------------------|---|--------------------|-------------------|---|
| Industrial/Applied Research projects | 65%-JU% | 75%-JU% | 80%-JU% | 100%-JU% |
| Experimental development projects | 40%-JU% | 50%-JU% | 60%-JU% | 100%-JU% |

Notes:

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

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

Additional Information to be provided at submission and other conditions

For Flanders:

Additional information is mandatory as of the PO-phase. Application according the O&O-application:

www.vlaio.be/nl/subsidies-financiering/ontwikkelingsproject/aanvraag-en-evaluatieprocedure

www.vlaio.be/nl/subsidies-financiering/onderzoeksproject/aanvraagprocedure

is mandatory (endoring the application compulsory by ECSEL FPP closing date). European application format is requested. Strating the application procedure (without endorsement) is recommended as of the ECSEL PO phase.

For Brussels

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

Bulgaria

National contact person for ECSEL JU programme

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

Legal requirements for the eligibility of a partner or a project

The legal requirements for the eligibility are the defined by:

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

Eligibility of the costs and funding

1) Eligibility of costs

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

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

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

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

2) Funding rates

The funding rates are the same as the EU rates.

Additional Information to be provided at submission and other conditions

Czech Republic

National contact persons for the ECSEL programme

| Country | Name and surname | National funding authority | E-mail address |
|----------------|---------------------|---|--|
| Czech Republic | Mr. Lukáš Levák | Ministry of Education, Youth and Sports | lukas.levak@msmt.cz |
| | Mrs. Jarmila Horská | | jarmila.horska@msmt.cz |

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

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants

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

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

2) Legal, administrative and financial conditions

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

3) Consortium configuration

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

4) Other conditions

It is obligatory that a Czech participant involved in an ECSEL project consortium proves its compliance with the eligibility criteria and fulfilment of the conditions stipulated by § 18 of the Act on the Support of Research, Experimental Development and Innovation by the means of a **Statutory Declaration**. The required procedures are described and the Statutory Declaration template is available on the websites <http://www.msmt.cz/vyzkum-a-vyvoj-2/vyzva-k-predkladani-navrhu-projektu-ecsel-v-roce-2018>

Eligibility of the costs and funding

1) Eligibility of costs

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

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

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

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

2) Funding rates

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

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

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

* **The aid intensity for research and development activities carried out by the research organisation might be at the level of 100 %** (EU and the Czech national contribution included) only if the research organisation entirely complies with the requirements stipulated by the Article 2.1.1 “Public funding of non-economic activities” of [Framework for State Aid for Research and Development and Innovation \(2014/C 198/03\)](#) and proves it by the means of a **Statutory Declaration** submitted to the MEYS using the form available on websites <http://www.msmt.cz/vyzkum-a-vyvoj-2/vyzva-k-predkladani-navrh-u-projektu-ecsel-v-roce-2018>.

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

Additional Information to be provided at submission and other conditions

All the information concerning additional requirements stipulated by the MEYS for the ECSEL program are available on websites <http://www.msmt.cz/vyzkum-a-vyvoj-2/vyzva-k-predkladani-navrhu-projektu-ecsel-v-roce-2018>.

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 |

Finland

National contact person for ECSEL JU programme

| Country | Name | First name | Tel | E-mail |
|---------|--------|------------|------------------|--|
| Finland | Markus | Kari | +358 50 5577 864 | kari.markus@businessfinland.fi |
| | Ahola | Kimmo | +358 50 5577 756 | kimmo.ahola@businessfinland.fi |
| | Leino | Kari | +358 50 5577 698 | kari.leino@businessfinland.fi |

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

www.businessfinland.fi/en (English)

www.businessfinland.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 (Business Finland) funding rules
- Innovation Action (IA) projects: The project volume (costs) of public research institutes, universities and polytechnics from Finland combined shall not exceed 30 % of the total volume (costs) of Finnish participants based on national (Business Finland) funding rules

4) Other conditions

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

Eligibility of the costs and funding for ECSEL Call 2018**1) Eligibility of costs**

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

2) National public funding

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

Additional Information to be provided at submission and other conditions

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

France

National contact person for ECSEL JU programme

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

Website reference:

www.entreprises.gouv.fr/secteurs-professionnels/initiatives-technologiques-conjointes-jti

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 2018 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 2018 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) Other conditions

Research and Innovation projects (TRL 3 to 5) and Innovation projects (TRL 5 to 8) must have received a prior label from the « Direction Générale des Entreprises » (DGE) specific to strategic R&D programs, such as the IPCEI program, the PIA program or the ANR program.

Partners need to contact the national correspondent before or right after the « Project Outline » submission to apply for the required label.

Les projets de recherche et d'innovation (TRL 3 à 5) et d'innovation (TRL 5 à 8) doivent, au préalable, avoir été labellisés par la Direction Générale des Entreprises (DGE) au titre de programmes de R&D stratégiques, tels que le programme IPCEI, le PIA ou l'ANR.

Les partenaires doivent contacter le correspondant national avant ou juste après le dépôt de la « Project Outline », pour pouvoir prétendre à l'indispensable labélisation de leurs projets.

The partners must contribute to achieving 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. 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. 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 | Calls RIA (Research and Innovation Actions) & IA (Innovation Actions) |
|------------------|---|
| Industry | 15% |
| SME | 20% |
| RTO | 15% |
| Univ, non profit | 60% |

Additional Information to be provided at submission and other conditions

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

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

The application submitted must **contain all elements which will allow 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 on the reference website, **information specifying for each partner the potential economic impact in the European Union in terms of employment, competitiveness, value creation and economic activity, as well as the positioning of the partner on the targeted markets and the timeframe of this impact.**

Le dossier soumis doit **présenter les éléments permettant aux autorités françaises d'apprécier et de justifier l'admissibilité de l'aide demandée** par les partenaires. En

particulier, le dossier doit comprendre, outre les documents requis au titre de l'appel à projets de l'entreprise commune et les documents spécifiés sur le site internet de référence, **une fiche précisant, pour chaque partenaire, les perspectives de retombées économiques sur le territoire de l'union européenne, en termes d'emploi, de compétitivité, de création de valeur et d'activité économique, ainsi que le positionnement du partenaire sur les marchés visés et l'horizon temporel de ces retombées.**

Germany

National contact people for the ECSEL JU programme

| Country | Name | First name | Tel | E-mail |
|---------|----------|------------|-------------------|--|
| Germany | Rittner | Johannes | +49 30 310078 230 | Johannes.Rittner@vdivde-it.de |
| Germany | Schröder | Sabine | +49 30 670 55 772 | Sabine.Schroeder@dlr.de |

Additional contact points for *Länder* funding are given in the national ECSEL call (see below).

NOTE: A national call for proposals for German federal funding for ECSEL participants has been published on 6 March 2018 and is available via the URL given below; the information in this section had been adapted in anticipation of this new national call from the first date of publication of the Work Plan 2018.

Applicable documents

- The German Federal Government's Framework programme for Research and Innovation 2016-2020 „Mikroelektronik aus Deutschland – Innovationstreiber der Digitalisierung“: https://www.bmbf.de/pub/Rahmenprogramm_Mikroelektronik.pdf (English translation: “Microelectronics from Germany – Driver of innovation for the digital economy” <http://www.elektronikforschung.de/dateien/publikationen/research-programme-microelectronics-from-germany.pdf>).
- Strategic framework „Die neue Hightech-Strategie – Innovationen für Deutschland“: http://www.bmbf.de/pub_hts/HTS_Broschue_Web.pdf (English version at <http://www.hightech-strategie.de/de/The-new-High-Tech-Strategy-390.php>)
- Federal funding will be awarded by the Bundesministerium für Bildung und Forschung (BMBF) according to a national ECSEL call accessible via <https://www.elektronikforschung.de/foerderung/europaeische-foerderung/ecsel>
- Certain *Länder* provide regional co-funding for project work carried out there. This currently applies to:
 - Saxony (see https://www.bmbf.de/files/BMBF-Sachsen_Gemeinsame_Erklaerung_zur_Foerderung_in_ECSEL.pdf). The Saxon funding decision will be based on the criteria listed in the Annex of the *Sächsische ECSEL-Förderrichtlinie* <http://www.revosax.sachsen.de/vorschrift/14170>.
 - Thuringia

Up-to-date information on participating *Länder*, any applicable regional calls for funding, and specific application forms is provided via

<https://www.elektronikforschung.de/foerderung/europaeische-foerderung/ecsel>

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

1) Type or nature of participants

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

2) Legal, administrative and financial conditions

A contribution of German partners within the Work Plan 2018 is nationally eligible for funding by the BMBF if the contribution of the national partners focuses on research in electronics and smart systems, including hardware- and software-intensive cyber-physical systems. Details are specified in the national ECSEL call (see above).

Partners from certain *Länder* will typically receive combined funding from the BMBF and the respective *Land* based on administrative agreements between these two parties.

Note:

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

- It is required that project proposals contribute significantly to “The new High-Tech Strategy – Innovations for Germany”. They should address at least one of the strategic research focuses and/or application focal points given in the above-mentioned framework programme “Microelectronics from Germany – Driver of innovation for the digital economy”, sections 3.1 “Expanding technology expertise” and 3.3 “Tackling future tasks using microelectronics”.
- The work planned by the partners must neither have already benefited from public funding nor be redundant with similar projects that are already being funded or that are under consideration in another programme.
- R&D&I projects shall relate to societally relevant questions. An essential ambition of funding is to strengthen the position of project partners and companies located in Germany which aim to exploit research results in Germany and Europe, as well as to accelerate technology transfer from the pre-competitive area into practical applications. Projects should illustrate the added value of R&D&I results on the basis of an appropriate application, e.g. a demonstrator.
- Funding will be allocated to R&D&I projects which promise a lasting benefit for Germany and Europe in terms of safeguarding and creating employment, maintaining competitiveness and increasing added value. Projects with a greater national and European added value are a greater priority for funding.
- Reimbursement rates requested in national grant applications should correspond to the TRL of the planned work and the type of applicant. Each national grant application will be assessed individually to determine the maximum total reimbursement rate as well as the nationally eligible costs/expenditures.
- To be eligible for national funding, the overall effort of any project with participants from Germany should be at least 100 person years. Additionally, German participation in this project should be at least 10% of the overall effort. Moreover, each German partner should contribute substantially to the effort of the German consortium.
- The Project Outline (PO) and Full Project Proposal (FPP) submitted to the ECSEL JU shall include a fully completed “National Grant” table. The “National Grant” table shall include the budget (including national funding request) established according to the rules for cost eligibility and amounts applicable in Germany for purely national funding. Where a single legal entity (“organisation” in Part A of the ECSEL application form) requests funding for activities to be carried out at one or several organisational units (“departments”) that have a high degree of autonomy and/or are located in a different *Land* from the organisation, the budget for each such department shall be listed separately in the “National Grant” table. Please refer to <https://www.elektronikforschung.de/foerderung/europaeische-foerderung/ecsel> where a template for the “National Grant” table is available. **The eligibility of German project partners cannot**

be evaluated without the “National Grant” table.

- National grant applications shall not be handed in before they are requested by the national funding authority. In case the FPP is selected to be funded nationally, the national funding authority will contact each partner individually in order to request a national grant application (for details please see the national call that is available via <https://www.elektronikforschung.de/foerderung/europaeische-foerderung/ecsel>).

3) Consortium configuration

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

4) Other conditions

TRL 2 – 4: application-oriented projects

Funding may be awarded for high-risk pre-competitive industry-driven research and development projects of civil nature and civil use which focus on cross-border technologies in an application-oriented approach, meet a sufficiently high level of innovation and could not be accomplished without public funding.

TRL 5 – 8: production-related projects

Funding may be awarded for high-risk pre-competitive industry-driven research and development projects of civil nature and civil use related to production which focus on experimental development, meet a sufficiently high level of innovation and could not be accomplished without public funding.

The following projects are not eligible for BMBF funding:

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

Eligibility of the costs and funding

1) Eligibility of costs

- The eligibility of costs is regulated in the BMBF’s standard terms and conditions for grants on expenditure or cost basis and the administrative regulations under sections 23 and 44 of the Federal Budget Code (BHO). Identical rules will be applied in cases where applicants request funding from Saxony and Thuringia. Rules for any additional *Länder* that might provide funding in future are subject to negotiation between BMBF and the respective *Land*.

2) Funding and funding rates

- Financial BMBF support is awarded in the form of grants to participants through project funding as non-repayable grants.
- Project grants will be awarded in accordance with the BMBF’s standard terms and conditions for

grants on expenditure or cost basis and the administrative regulations under sections 23 and 44 of the Federal Budget Code (BHO).

- The BMBF's "General Conditions for the Allocation of Benefits for Research and Development Projects to Commercial Companies on a Costs Basis 2017" (NKBF 2017) and the „General Conditions for the Allocation of Benefits on an Expenditure Basis“ (NABF) respectively form part of any award of grants. Identical rules will be applied in cases where applicants request funding from Saxony and Thuringia. Rules for any additional *Länder* that might provide funding in future are subject to negotiation between BMBF and the respective *Land*.
- Universities and other higher education institutions may request a "Projektpauschale" which will be granted on the national funding part managed by the BMBF.
- The national funding aims at mirroring the funding which a participant actually receives from the Joint Undertaking in absolute amounts (EUR), matching up to 1:1. Furthermore, the total public funding (EU + BMBF + any other public funding) will not exceed the level that usually applies for purely national funding, in line with EU state aid rules, national funding policies, budgetary considerations, and the project structure. The national funding may therefore be below a 1:1 ratio per partner.

Additional Information to be provided at submission and other conditions

- Applicants from Germany need to use the electronic application system "easy-Online" for formal national applications upon request by the national funding authority. In addition, they must submit each grant application by mail including a legally binding signature and a short description for all cost positions as well as an exploitation plan of the planned project in German language.
- Guidelines, information for applicants and the terms and conditions for the award of grants are available at "Formularschrank BMBF":

https://foerderportal.bund.de/easy/easy_index.php?auswahl=easy_formulare&formularschrank=bmbf

Partners applying for funding from Saxony or Thuringia need to submit the appropriate form in parallel with the BMBF grant application (available via

<https://www.elektronikforschung.de/foerderung/europaeische-foerderung/ecsel>).

- Applicants shall take care to ensure a consistent presentation of the project costs in the national and the European grant application, taking into account the respective criteria for the eligibility of costs.
- If additional information is requested, it will be specified in the national funding authority's request to submit a formal application.
- There is no legal entitlement to the award of a grant. BMBF will take a decision after due assessment of the circumstances and within the framework of the budget funds available.

Hungary

National contact person

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

National Funding Authority: National Research, Development and Innovation Office (1077 Budapest, Kéthy Anna tér 1.)

website: www.nkfi.gov.hu

Legal requirements for the eligibility of a partner or a project

Type of participants

The following types of organisations are eligible for funding:

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

Legal, administrative and financial conditions

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

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

Consortium configuration

Hungarian consortium members shall be autonomous¹⁰ regarding their relation with each other in the consortium.

Eligibility of costs and funding

Eligible costs

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

Ineligible costs in particular: deductible VAT, currency exchange losses, bank costs, mortgage costs, guarantee costs, interest owed, penalties and fines, debt and debt service charges, membership fee, representation costs, public procurement costs, excessive or reckless expenditure, costs incurred during suspension of the implementation of the action etc.

Funding rates

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

| Type of Organisation | Percentage of maximum subsidy (EU contribution and national funding together) to the beneficiaries (calculated on the basis of the national eligible costs) | | | |
|----------------------|---|--------------------|-------------------|-----------------------------|
| | Large Enterprises | Medium enterprises | Small Enterprises | Public Research Institutes, |
| Type of activity | | | | |

¹⁰ autonomous: the enterprise is either completely independent or has one or more minority partnerships (each less than 25%) with other enterprises

| | | | | |
|-----------------------------|-----------|-----------|-----------|--|
| | | | | Universities, non-profit organisations |
| Fundamental/Basic research | 100% | 100% | 100% | 100% |
| Industrial/Applied Research | up to 65% | up to 75% | up to 80% | 100% |
| Experimental development | up to 40% | up to 50% | up to 60% | 100% |

The aid intensity of

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

however these rates may be increased

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

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

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

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

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

Additional Information to be provided at submission and other conditions

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

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

Ireland

National contact person for ECSEL JU programme

| Country | Name | First name | Tel | E-mail |
|---------|----------|------------|-----------------|--|
| Ireland | O'Reilly | Stephen | +353 21 4800217 | stephen.oreilly@enterprise-ireland.com |

www.enterprise-ireland.com/JTIs

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants

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

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

2) Legal, administrative and financial conditions

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

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

Higher Education Institutions will be eligible only if;

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

3) Consortium configuration

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

4) Other conditions

Example: eligibility conditions related to pilot lines

Eligibility of the costs and funding

1) Eligibility of costs

2) Funding rates

| Type of activity / Type of Organisation | Percentage of the national subsidy to the beneficiaries ¹¹ | | | |
|---|---|--------------------|-------------------|---|
| | Large Enterprises, Groups and Associations of Enterprises | Medium Enterprises | Small Enterprises | Public Research Institutes and Universities |
| | Up to 40% | Up to 50% | Up to 50% | 100% less EU contribution |

Additional Information to be provided at submission and other conditions

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

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

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

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

¹¹ 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

Israel

National contact person for ECSEL JU programme

| Country | Name | First name | Tel | E-mail |
|---------|-------|------------|-------------------|--|
| Israel | Seker | Danny | +972 (0)35118-121 | dan@iserd.org.il |

<http://www.iserd.org.il/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:

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

2) Legal, administrative and financial conditions

The ECSEL rules applies for the Israeli companies.

3) Consortium configuration

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

4) Other conditions

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

Eligibility of the costs and funding

1) Eligibility of costs

I. Eligible costs as direct costs

- Costs of personnel
- Costs of durable equipment (depreciation of 3 years)
- Consumables and supplies
- Subcontracting
- Other costs:

Events- Ineligible

Travel -up to 20,000 NIS per year

Subsistence allowance- Ineligible

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

2) Funding rates

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

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

| Type of Organisation 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

Italy

Italy is participating to the present calls with funds coming from the following funding organizations:

- 1) Ministry of Education, University and Research (MIUR) which is going to commit funds from two different sources:
 - a. National funds for an amount of 2 million euro as grants;
 - b. Structural funds for an amount of 5 million euro as grants;
- 2) Ministry for Economic Development (MISE) which is committing 15 million euro as grants

The specific eligibility criteria and funding rules for each funding organization are described the following paragraphs.

Ministry of Education, University and Research (MIUR)

National Funds (FIRST)

National contact person for ECSEL JU programme

| Country | Name | First name | Tel | E-mail |
|-----------------|----------|------------|------------------------------------|--|
| Italy (MIUR) | Covello | Aldo | +39 069772 6465 +39 338 9364371 | aldo.covello@miur.it |
| Italy (MIUR) | Di Marco | Vincenzo | +39 06 9772 7727 | vincenzo.dimarco@miur.it |

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

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants

According to art. 60 of the Decree-Law n. 83/2012 and art. 5 of its implementing Ministerial decree 593/2016, the following entities are eligible, providing that they have stable organization in Italy: enterprises, universities, research institutions, research organizations in accordance with EU Reg. n. 651/2014 of the European Commission - June 17, 2014.

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, apart from the ECSEL funding.

The participant must respect the Italian law "D.Lgs. n 159 del 6/09/2011 e successive modificazioni ed integrazioni".

The participant must not be subject to bankruptcy proceedings as of art. 5, comma 4, letter b) of DM 593/2016 or must not be a company in difficulty according to the definition under number 18) of article 2 "Definitions" of Regulation (EU) no. 651/2014.

The participant must be in compliance with the obligations laid down in the contributory and social security regulations (DURC).

The judicial and pending records of the legal representative of the participant are negative

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

The Italian consortium must include at least one Italian company, independently from the Ministry or Region which is funding it. 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. The project shall be executed primarily to the benefit of the company/es

4) Other conditions

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

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

Budget available and calls supported

MIUR committed a budget of 2 million euro as grant.

The entire budget is reserved only for the call ECSEL-2018-2 Research and Innovation Actions.

Italian participants willing to participate to the call ECSEL-2018-1 Innovation Actions are required to self-fund their participation or to find other sources of funding.

In case part of the budget allocated to ECSEL-2018-2-RIA call cannot be used for this call, it can be transferred to the ECSEL-2018-1-IA call

National funds are reserved only for those participants not eligible for the Structural funds, unless there are no more Structural funds available, in this case, national funds can be used also to fund participants eligible for Structural funds.

CostEligibility and funding rates

1) Eligibility of costs

All costs incurred during the lifetime of a project under the following categories are eligible: personnel, equipment, subcontracting, consumables, and overheads. Overheads are calculated as a fixed percentage of the personnel cost. They include also coordination dissemination and travel expenses and in no cases can be larger than 50% of the personnel costs.

2) Funding rates

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

| | ECSEL-2018-2-RIA | ECSEL-2018-1-IA |
|---|------------------|-----------------|
| Type of partner | Grant | Grant |
| Large enterprise | 10 % | 5% |
| Medium Enterprise | 15 % | 10% |
| Small Enterprise | 25 % | 20% |
| Universities, research centers and research organizations | 30 % | 20% |

On request of applicants a pre-payment may be done, equal to:

- 80% of the total contribution for public entities;
- 50% of the total contribution for private entities.

The remaining part of the contribute will be paid in instalments after each reporting period

Additional Information to be provided to MIUR and other conditions

All Italian participants must upload on a dedicated web platform a set of additional information and national documents as published on MIUR website. These documents must be submitted to MIUR by the same deadline of the Full Project Proposal (FPP) phase of the ECSEL call. Any participant who does not send its national documents by this deadline, will be considered ineligible.

Ministry of Education, University and Research (MIUR)

Structural Funds(Programma Operativo Nazionale (PON) Ricerca e Innovazione 2014 – 2020 – Azione II.3 cofinanziata dal FESR)

National contact person for ECSEL JU programme

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

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

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants

According to art. 60 of the Decree-Law n. 83/2012, art. 5 of its implementing Ministerial decree 593/2016 and the Regulation (UE) GBER n.651/2014, section 4 “Aid for research and development and

innovation”, the following entities are eligible: enterprises, universities, research institutions, research organizations in accordance with EU Reg. n. 651/2014 of the European Commission - June 17, 2014, providing that, according to art. 1 of the Regulation (UE) GBER n.651/2014 and art. 71 “Durability of operations” of the Regulation UE n. 1303/2013, they have stable organization in one of the 5 Italian less developed regions (Basilicata, Calabria, Campania, Puglia and Sicilia) or in one of the 3 Italian transition regions (Abruzzo, Molise and Sardegna).

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 "D.Lgs. n 159 del 6/09/2011 e successive modificazioni ed integrazioni".

The participant must not be subject to bankruptcy proceedings as of art. 5, comma 4, letter b) of DM 593/2016 or must not be a company in difficulty according to the definition under number 18) of article 2 "Definitions" of Regulation (EU) no. 651/2014.

The participant must be in compliance with the obligations laid down in the contributory and social security regulations (DURC).

The judicial and pending records of the legal representative of the participant are negative

The participants must respect the stability criteria as of the Regulation UE n. 1303/2013

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

The Italian consortium must include at least one Italian company, independently from the Ministry or Region which is funding it. 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. The project shall be executed primarily to the benefit of the company/es

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.

The participants shall demonstrate the sussistance of the incentivation effect as of art. 6 of GBER.

5) Budget available and calls supported

MIUR committed a budget of 5 million euro as grant. Out of this budget, a tentative amount equal to 0,6 million euro is reserved for applicants located in Italian transition regions (Abruzzo, Molise and Sardegna) and the remaining budget, amounting to 4,4 million euro, is reserved for applicants located in the less developed regions (Basilicata, Calabria, Campania, Puglia and Sicilia).

The entire budget is reserved only for the call ECSEL-2018-2 Research and Innovation Actions.

Italian participants willing to participate to the call ECSEL-2018-1 Innovation Actions are required to self-fund their participation or to find other sources of funding.

In case part of the budget allocated to ECSEL-2018-2-RIA call cannot be used for this call, it can be transferred to the ECSEL-2018-1-IA call

Any participant eligible for the Structural funds will be funded with these funds, unless there are no more Structural funds available, in this case, it can be funded with national funds.

Cost eligibility and funding rates

1) Eligibility of costs

Are considered eligible only the costs of Industrial research activities in accordance to the following Regulations:

- Regulation (UE) GBER n.651/2014 - section 4 “Aid for research and development and innovation” and art. 25 “Aid for research and development projects”
- Regulation (UE) n. 1303/2013
- Regulation (UE) n. 1301/2013

2) Funding rates

- In accordance to art. 2.1.1 of the Communication of the Europea Commission – State aid rules for research, development and innovation activities and art. 25 “Aid for research and development projects - section 4 “Aid for research and development and innovation” -of the Regulation (UE) GBER n.651/2014, MIUR will fund the Italian participants using the following funding rates:

| | ECSEL-2018-2-RIA | ECSEL-2018-1-IA |
|---|------------------|-----------------|
| Type of partner | Grant | Grant |
| Large enterprise | 35 % | 25 % |
| Medium Enterprise | 45 % | 35 % |
| Small Enterprise | 55 % | 45 % |
| Universities, research centers and research organizations | 65 % | 55 % |

On request of the applicants a pre-payment may be done, equal to:

- 80% of the total contribution for public entities;
- 50% of the total contribution for private entities.

The remaining part of the contribute will be paid in instalments after each reporting period

Additional Information to be provided to MIUR and other conditions

All Italian participants must upload on a dedicated web platform a set of additional information and national documents as published on MIUR website. These documents must be submitted to MIUR by the same deadline of the Full Project Proposal (FPP) phase of the ECSEL call. Any participant who does not send its national documents by this deadline, will be considered ineligible.

Ministry of Economic Development (MISE)

National contact person for ECSEL JU programme

| Country | Name | First name | Tel | E-mail |
|--------------|-------|------------|----------------|------------------------------|
| Italy (MISE) | Dessi | Alessandra | +39 0654927886 | alessandra.dessi@mise.gov.it |

Website reference: <http://www.mise.gov.it/index.php/it/incentivi/impresa/accordi-per-l-innovazione>

The partners of an ECSEL project proposal submitted for funding in the 2018 calls have to comply with all the criteria mentioned in the present document in order to be eligible for funding by the national authorities.

R&D Project Outlines (POs) must have received previously a pre-label from the Direzione generale degli incentivi alle imprese as a preparatory work for the conclusion of the “Programming Agreement” with the Italian Regions involved.

Legal requirements for the eligibility of a partner or a project

In order to receive national funding research and development eligible project costs, supported by Italian partners, must account for a minimum of 5 million euro.

In particular, projects financed by the Ministry of Economic Development (MISE) shall comply with the rules laid down by the Decree of Minister of Economic Development as May 24, 2017 and the following acts ruling the same matter, regarding “Programming Agreements” signed by the MISE, the Italian Regions and other public entities involved.

1) Type or nature of participants

The following entities are eligible: Enterprises and Research Organisations - only in collaboration with enterprises with which to set up a Consortium or a Network of Companies (“Rete di imprese”).

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 "D.Lgs. n 159 del 6/09/2011 e successive modificazioni ed integrazioni". For any private entity, the MISE, also through the Body managing the aid, will assess the financial and economic sustainability of the project, calculating some economic and financial indicators through the analysis of the data contained in the last two approved balance sheet.

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.

3) Other conditions

Projects must have received previously a pre-label from the “Direzione generale degli incentivi alle imprese”.

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 Italy, in terms of employment, competitiveness, value creation and growth at short or medium-term.

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

Budget available and calls supported

MISE committed a budget of 15 million euro.

The entire budget is reserved only for the call ECSEL-2018-1 IA.

Eligibility of the costs and funding

1) Eligibility of costs

The Italian eligible costs shall comply with the rules laid down by the Decree of Minister of Economic Development of May 24, 2017 and following acts ruling the same matter regarding “Programming Agreements” .

2) Funding rates

The following funding rates will be applied by Italian public authorities:

| Type of partner | % Grant min | | % Grant max* | |
|--|---------------------|--------------------------|---------------------|--------------------------|
| | Industrial research | Experimental development | Industrial research | Experimental development |
| Enterprises and research organisations | 47% | 22% | 50% | 25% |

* In case of regional cofinancing.

Additional Information to be provided to MISE and other conditions

Along with the documents sent to the ECSEL JU, the Italian leader and partners of each submitted project will have to send to the public authorities a file containing all the documents mentioned on the website

The additional documents must contain all the elements needed to the Italian authorities to assess and justify the eligibility of the aid asked by the partners. Further details are available on the website of the Body managing the aid <https://fondocrescitasostenibile.mcc.it/mise-fcs>.

Latvia

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.

National contact person for ECSEL JU program

| Country | Name | First name | Tel | E-mail |
|---------|--------|------------|---------------|--------------------------|
| LV | Pliksa | Ineta | +371 67785485 | Ineta.Pliksa@viaa.gov.lv |

Website reference:

http://viaa.gov.lv/lat/zinatnes_inovacijas_progr/ecsel

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

2) Legal, administrative and financial conditions

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

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

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

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

3) Consortium configuration

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

If there is no Latvian enterprise 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) confirming the relevance of the project outcomes to the national economy, which is included as a part C of the full project proposal.

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

Eligibility of the costs and funding

1) Eligibility of costs

1. Direct costs:
 - 1.1. Personnel costs – R&D related personnel costs should reach 80% of person/months,
 - 1.2. Other direct costs such as consumables, equipment (only depreciation costs), materials and etc.,
 - 1.3. Subcontracts (up to 25% of total participant's direct costs),
 - 1.4. Travels costs (up to € 18,000 per participant per project),
 - 1.5. Project management costs.
2. Indirect costs (can reach a maximum of 25% of the total direct costs excluding direct eligible costs for subcontracting).

2) Funding rates*

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

* total public funding including National and ECSEL Joint Undertaking;

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

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

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

Additional Information to be provided at submission and other conditions

The national funding committed for the ECSEL Call 2018 is EUR 420 000 primarily to the Research and Innovation Actions.

Financing from Structural funds

Latvia supports complementary funding up to € 80 000 from ESI Funds investment programme¹² per project to cover specific cost items contributing towards the milestones and deliverables of the Action including one or more of the following activities:

¹² According to ESI funds investment programs implementation rules:

- prototyping;
- testing;
- validation;
- demonstration in Latvia located facilities;
- piloting.

The use of ESI Funds funding must comply with the rules defined above in the subsection “Eligibility of costs”.

Latvian partner requesting funding from ESI Funds investment programme should follow the directions written in the Regulations of Cabinet of Ministers Nr. 315 from June 6, 2017 “Operational Program "Growth and Jobs" 1.1.1. the specific support objective "To increase the research and innovation capacity of Latvian scientific institutions and the ability to attract external financing by investing in human resources and infrastructure" 1.1.1.5. Implementing rules for the first, second and third stage of the project selection procedure for the measure "Support for international cooperation projects in research and innovation"” (<https://likumi.lv/ta/id/291823>) and corresponding call ECSEL-JU “Guide for applicants” document.

(1) funding sources are ERDF investments (up to 85%) and national co-financing (15%);
(2) for projects related to economic activity only ERDF funding is available (up to € 68 000).

Malta

National contact persons for ECSEL JU programme:

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

Netherlands

National contact person for ECSEL JU programme

| Country | Name | First name | Tel | E-mail |
|-------------|--------------|------------|-----------------|--|
| Netherlands | van der Bijl | Bob | +31 88 042 5965 | robert-jaap.vanderbijl@rvo.nl |

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

Legal requirements for the eligibility of a partner or a project

1) Admission conditions

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

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

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

- Explanation of the contribution to the objectives of the Innovation Contract High Tech Systems and Materials (HTSM) and its underlying Roadmaps (www.hollandhightech.nl/nationaal/innovatie/roadmaps);

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

- Authorisation form;
- Explanation of the contribution to the objectives of the Innovation Contract High Tech Systems and Materials (HTSM) and its underlying Roadmaps (www.hollandhightech.nl/nationaal/innovatie/roadmaps);
- Model overview of the costs.

Note that in case that there are several Dutch partners in the proposal, the Dutch partner coordinating them (the so-called "Dutch coordinator") will be in charge of submitting the above information on their

behalf. The information and forms will be submitted as Part C of the PO/FPP in a ZIP file through the ECSEL Proposal Submission system, as indicated in the Guide for Applicants in the section for The Netherlands. There will be only one ZIP file for all Dutch participants in a given proposal.

The required forms can be downloaded from the website of Netherlands Enterprise Agency: www.rvo.nl/subsidies-regelingen/jti-ecsel

2) Rejection conditions

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

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

Eligibility of the costs and funding

1) Eligibility of costs

- The **eligible costs for subsidy** are in compliance with the R&D&I State Aid Rules, the "Algemene wet bestuursrecht" and the "Kaderwet EZ-subsidies".
- The Dutch subsidy percentages are indicated below in the section Funding Rates.
- In case another Dutch administrative body has already granted a subsidy for the eligible costs of the Dutch part of an ECSEL project or part of such project, the contribution by the Ministry of Economic Affairs will be granted so that the total amount of subsidy will not exceed the before-mentioned Dutch subsidy percentages.
- In case that a contribution has been already granted for the eligible costs for subsidy to the Dutch part of an ECSEL project or part of it on the basis of a subsidy scheme of the Ministry of Economic Affairs, no additional subsidy will be granted by the Ministry of Economic Affairs for the already subsidized part.
- Per individual Dutch partner the subsidy percentages will be applied according to the activities (industrial research, experimental development). The project eligible costs per partner will be defined and the corresponding percentages will be applied.
- The available Dutch initial budget for the ECSEL Calls 2018 of € 20 million will be initially split as follows: € 10 million for ECSEL Call 2018-1 (IA) and € 10 million for ECSEL Call 2018-2 (RIA).
- Per ECSEL project in which a Dutch consortium takes part a total national maximum of € 5 million funding for the Dutch consortium will be initially applied.

2) Funding rates

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

Rates apply to the Calls 2018-1 and 2018-2.

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 (project partners)

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

2) Legal, administrative and financial conditions

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

3) Consortium configuration

- At least one Norwegian company must be involved as a partner in the project, and at least 50 % of the efforts (eligible costs) of Norwegian partners in the project must be from business partners.
- The industrial relevance of the participation of a Research organisation must be justified by declarations from Norwegian business partner(s) in the project or from some other enterprise(s) that would be eligible according to the criteria 1) and 2) above.

4) Other conditions

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

Eligibility of the costs and funding

1) Eligibility of costs

Horizon 2020 rules and guidelines on eligible costs will apply.

2) Funding rates

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

| | Large enterprises | SMEs | Research organisations |
|------------------|-------------------|------|------------------------|
| ECSEL 2018-1 IA | 25 % | 30 % | 65 % |
| ECSEL 2018-2 RIA | 25 % | 30 % | 65 % |

Additional Information to be provided at submission and other conditions

- The total Norwegian funding budget for the two above ECSEL Calls is 2,2 mill. €.
- There is no pre-allocated distribution of the Norwegian funding budget between the two Calls, nor to specific topics of any of the two Calls.
- Norwegian applicants should consider 0,9 mill. € as a maximum amount of national funding for one single project, and that more than one Norwegian partner should be involved to reach this level of national funding.
- National funding will be subject to conditions in current state aid rules (Commission Regulation (EU) No 651/2014). If other public funding, besides the EU funding, will be granted for the project, the listed maximum rates for national funding will be reduced if so required to ensure that aid intensity limits in the state aid rules are respected. Beneficiaries will have to submit declarations regarding company size and financial situation. See more details at: www.forskningsradet.no/no/Statsstotteregulverket/1254004171884
- Information providing the justifications required according to items 3) and 4) in the above eligibility criteria must be provided as a separate attachment (Part C) at submission, both at the PO and at the FPP submission stage.
- Information necessary to confirm whether eligibility criteria mentioned in item 2) above are fulfilled shall be submitted to the Research Council of Norway on request, before a National Grant Agreement can be established.

Poland

National contact person for ECSEL JU programme

| Country | Name | First name | Tel | E-mail |
|---------|----------|------------|------------------|-------------------------------|
| Poland | Maciejko | Krystyna | +48 22 39 07 489 | krystyna.maciejko@ncbr.gov.pl |

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

Unit for International Programmes

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 as amended;
- The Act of 30 April 2010 on the National Centre for Research and Development, published in Journal of Laws No. 96 item 616 as amended;
- The Regulation of the Minister of Science and Higher Education of 25 February 2015 on criteria and rules on granting state aid and “de minimis” aid by the National Centre for Research and Development, which is in line with the Commission Regulation (EU) No 651/2014 of 17 June 2014 declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty (General Block Exemption Regulation).

3) Consortium configuration

None

4) Other conditions

None

Eligibility of the costs and funding

1) Eligibility of costs

According to the rules for H2020

2) Funding rates

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

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

Additional Information to be provided at submission and other conditions

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

Instruction can be found at:

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

Portugal

National contact person for ECSEL JU programme

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

Romania

| Function | Name | First name | Tel | E-mail |
|---------------|------------|------------|---|--|
| Lead delegate | ANANIA | Cristina | + 40.21.303.21.28/2 + 32.2.303.30.03 | cristina.anania@research.gov.ro |
| Member | DINU | Elena | + 40.21.303.21.23/ 416 | elena.dinu@research.gov.ro |
| Member | HILGEN | Sanda | + 40.21.303.21.23/ 320 | sanda.hilgen@research.gov.ro |
| Member | GHEORGHIAN | Daniela | + 40.21 303.21.23/ 350 | daniela.gheorghian@research.gov.ro |

Ministry of Research and Innovation

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

Legal requirements for eligibility of a partner or a project

1. Type or nature of participants

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

2. Legal, administrative and financial conditions

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

At the national level, RO-ECESL projects are financed through the Competitiveness Operational Programme 2014-2020, Axis 1, Action: 1.1.3 Creating synergies with research, development and innovation actions within H2020 Framework Program of the European Union and other international programs of RDI.

The total budget allocated to RO-ECSEL projects for the open call is 12.000.000 Lei (2.6 mil. EUR) (the budget can be amended according to the projects submitted in MYSMIS platform dedicated to ERDF). It can be supplemented by reallocation from other types of projects if necessary.

The value of non-reimbursable financial assistance granted by Romania for an RO-ECSEL project shall not exceed 6.000.000 Lei (1.3 mil. EUR). The costs of the Romanian partners in the projects are eligible only after signing the contracts in Romania under the Competitiveness Operational Programme 2014-2020, Axis 1, Action: 1.1.3.

3. Funding rates

In the table below there is a synthesis of the maximum aid intensities, on categories of activities and beneficiaries, applicable to all eligible costs of the project from public funds:

| <i>Activity</i> | <i>Enterprise</i> | | |
|--|-------------------|---------------|--------------|
| | <i>Large</i> | <i>Medium</i> | <i>Small</i> |
| Fundamental research | 100% | 100% | 100% |
| Industrial research | 50% | 60% | 70% |
| Industrial research subject to effective collaboration or disseminating results | 65% | 75% | 80% |
| Experimental development | 25% | 35% | 45% |
| Experimental development subject to effective collaboration or disseminating results | 40% | 50% | 60% |
| Carrying out feasibility studies to prepare RD activities | 50% | 60% | 70% |
| Obtaining, validating and protecting industrial property rights | - | 50% | 50% |

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

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

4. Eligibility of Applicant / Partners - for undertakings

The eligibility conditions of the participants/partners must be in accordance with the Guidelines for Applicants (*Action: 1.1.3 Creating synergies with research, development and innovation actions within H2020 Framework Program of the European Union and other international programs of RDI*), it can be accessed at the following website: <http://www.poc.research.gov.ro/ro/articol/4150/actiunea-1-1-3-crearea-de-sinergii-cu-orient-2020>

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 | 50% 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

MINETAD Contact Point for doubts or other issues:

<http://www.minetad.gob.es/PortalAyudas/ecsel/Paginas/index.aspx>
id.tic@minetad.es

| Country | Name | Tel | E-mail |
|---------|-----------------|---------------|--|
| SPAIN | Rafael Lucena | +34 913462236 | rlucena@minetad.es |
| | Severino Falcón | +34 914959554 | severino.falcon@mineco.es |
| | Enrique Pelayo | +34 915815566 | enrique.pelayo@cdti.es |

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants

- Enterprises legally established in Spain (SME and LE).
- Groups and Associations of enterprises (GE).
- Research organizations (Public Research Organizations, Technology Centers, Health Institutions and other non-profit R&D organizations in which R&D activities will be implicitly defined as the main objective).
- Universities (UNI) public and private.

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

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

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

The Ministry of Economy Industry and Competitiveness (MINECO) is the national authority which funds non-profit R&D organizations such as research organizations, universities, technology centers (not funded by MINETAD), health institutions and other non-profit R&D organizations in which R&D activities will be implicitly defined as the main objective. MINECO, through the State Research Agency of Spain (AEI) will grant these institution according to the mechanisms of the National Plan for Scientific and Technical Research and Innovation (2013- 2016).

2) Consortium configuration

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

| NFA MINETAD (Enterprises + Private TC) | NFA MINECO – AEI (NPO) |
|---|---|
| <p>Participants should set up a national sub- consortium with the following rules:</p> <ol style="list-style-type: none"> All members must show knowledge and expertise in their relative project matters. At least Fifty (50) % of the Spanish participation (Budget) must be enterprise. The participating entities must be legally established before 31/12/2016. At least one SME in the Spanish consortium. Each participant will send the form of its own part and must comply with the conditions of beneficiary. Budget of each Spanish participant: minimum 200.000 €, in terms of eligible costs. | <p>MINECO will finance Non-profit organizations (NPO) with the exception of mentioned Technology Centres (CT, RD 2093/2008 29th. December) that will be financed by MINETAD.</p> <p>NPOs could take part of the national sub-consortium formed within the MINETAD rules, NPOs should apply to the national call of the State Program for Research Aimed to the Challenges of the Society. Call 2018 “Retos, Acciones de Programación Conjunta Internacional” or equivalent.</p> <p>Principal Investigators of Spanish teams must be eligible according to the call "Acciones de Programación Conjunta Internacional 2018" (APCIN 2018) and must have experience as investigators in projects funded by previous Spanish R&D State / National Plans, ERC Grants, or European Framework Programmes.</p> <p>Please see "Acciones de Programación Conjunta Internacional 2016" (APCIN 2017) or the latest corresponding national call as a tentative reference for the eligibility of the Principal Investigator and the research teams</p> <p>- Researchers are not allowed to apply for funding in more than one proposal of this ECSEL call as principal investigators.</p> <p>Incompatibility: Principal investigators who have been granted through calls APCIN 2017 won't be eligible to request funding in APCIN 2018 or equivalent.</p> |

3) Other conditions:

3.1) Administrative requirements.

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

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

3.2) Legal requirements

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

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

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

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

- Ley 30/2007, de 30 de octubre, de Contratos del Sector Público.

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

3.3) Solvency and financial requirements

MINETAD:

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

3.4) Conditions on the technical content/scope.

| MINETAD | MINECO |
|---|---|
| <p>For the FPP phase, the following documentation has to be submitted:</p> <ul style="list-style-type: none"> - For each participant, a breakdown and a schedule of the activities to be carried out. - A short résumé of all key researchers CV must be included. - Large enterprises should describe the incentive effect of the aid on their R&D activities, according to the Community Framework for State Aid for Research and Development and Innovation. - Increase in project size: increase in the total project costs (without decreased spending by the aid beneficiary by comparison with a situation without aid); increase in the number of people assigned to R&D&I activities; - Increase in scope: increase in the number of the expected deliverables from the project; more ambitious project illustrated by a higher probability of a scientific or technological break-through or a higher risk of failure (notably linked to the higher risk involved in the research project, to the long-term nature of the project and uncertainty about its results); - Increase in speed: shorter time before completion of the project as compared to the same project being carried out without aid; - Increase in total amount spent on R&D&I: increase in total R&D&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&D&I spending by the aid beneficiary as a proportion of total turnover. | <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 http://boe.es/diario_boe/txt.php?id=BOE-A-2013-10259</p> <p>Call: BOE 06/11/2017 http://www.idi.mineco.gob.es/portal/site/MICINN/menuitem.dbc68b34d11ccbd5d52ffeb801432ea0/?vgnextoid=79f768ff6d0d510VgnVCM1000001d04140aRCRD&vgnnextchannel=fae4b9746e160210VgnVCM1000001034e20aRCRD Call 2018 is pending</p> |

3.5) Conditions on budget distribution/exploitation/impact.

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

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

| MINETAD | MINECO |
|---|---|
| <ul style="list-style-type: none"> - Eligible costs as per H2020. - Earliest starting date for charging costs: will be defined on the call. | <p>Eligible cost</p> <ul style="list-style-type: none"> - Personnel costs for temporary contracts (fellowships are not eligible). - Current costs, small scientific equipment, disposable materials, travelling expenses and other costs that can be justified as necessary to carry out the proposed activities. - Indirect costs (overheads) or clinical assays (proofs of concept, proofs of principle) are not eligible for funding in the APCIN call. These conditions could be updated in the next call. <p>Additional conditions are described in the calls of MINECO. MINECO grants non-profit organization following the rules of marginal costs.</p> <p>MINECO grant up to 175.000 euros per participant.</p> <p>If the Spanish participant is the ECSEL project coordinator, the grant could be increased up to 100.000 euros.</p> <p>Centres formed by different Spanish legal entities will be considered as a unique entity, and thus the maximum funding should not exceed the limits per proposal established above (for example mixed centres).</p> <p>The final decision will take into account the transnational evaluation of the cooperative project and the financial resources available. Only excellent projects where international collaboration is a clear added value will be funded. For more information, please consult:</p> <p>Basis of call: BOE 02/10/2013 http://boe.es/diario_boe/txt.php?id=BOE-A-2013-10259</p> |

2) Funding rates:

Maximum percentage of costs covered by ECSEL grants
As a percentage of the eligible costs
FOR THE CALL ECSEL 2018

| | Maximum percentage of costs covered by National Funding Authorities | | | |
|--|---|----------------|------------------------|----------------|
| | Industry, LE, MINETAD | SME MINETAD | Private RTO MINETAD | POs* MINECO |
| RIA (EPS) Research and Innovation Action | 25% | 30% | 35% | 40% |
| IA (EPS) Innovation Action | 20% | 25% | 35% | 40% |

1) MINETAD: Eligibility of costs as defined in H2020.

* Public universities and public RTO will be funded at according to MINECO national call.

Additional Information to be provided at submission and other conditions.

Specific requests for Spanish participants.

| MINETAD | MINECO |
|--|---|
| <p>Forms and documents requested by MINETAD for the PO Phase:</p> <p>Part C for PO To be eligible in the PO phase, the provided documentation has to include for each Spanish participant:</p> <ul style="list-style-type: none"> - RESA number - The Consortium configuration. <p>In this phase, MINETAD could give some information about the solvency of the entity. Further information instructions and Part C template can be found at: http://www.minetad.gob.es/PortalAyudas/ecsel/Paginas/contactos-dudas.aspx</p> <p>Part C for FPP To be eligible in the FPP phase, the provided documentation has to include for each Spanish participant:</p> <ul style="list-style-type: none"> - RESA number - Information about the Consortium configuration - Conditions on the technical content/scope (3.4). - Conditions on budget distribution/exploitation/impact (3.5). <p>In this phase, MINETAD could give some information about the solvency of the entity. Further information instructions and Part C template can be found at: http://www.minetad.gob.es/PortalAyudas/ecsel/Paginas/contactos-dudas.aspx</p> <p>After the evaluation and selection procedure of the ECSEL Joint Undertaking, the Spanish participant in the selected proposals must complete all the forms and documents requested by the Spanish Public Authorities, in order to conclude the national grant agreements.</p> <p>These forms and documents must be electronically submitted to the Spanish Public Authorities before a specific deadline set by the Spanish Public Authorities. The submission should be made using an electronic signature.</p> | <p>Forms and documents must be electronically submitted according to the general rules of calls and the “Ley 11/2007” and following the APCIN procedures.</p> <p>MINECO – AEI does not require Spanish non-profit research organizations to participate in cooperation with at least one profit organization. Nevertheless, this collaboration is welcomed and could be taken into account to prioritize MIENCO AEI grants.</p> <p>The final funding will take into account the transnational evaluation of the collaborative proposal, the scientific quality of the Spanish group, the added value of the international collaboration, the participation of the industrial sector, and the financial resources available.</p> |

Additional Information

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

Spanish proposals will be rejected when:

- It is not considered credible by the Spanish Public Authorities that partners can adequately fund their share in the project.
- It is not credible by the Spanish Public Authorities that the project can be completed on time.
- Spanish partners do not provide sufficient trust in their capacities from the technical or financial point of view, to fulfil the project as submitted.
- The effect or positive impact on the local economy is considered insufficient by the relevant authorities.

Any publication or dissemination activity resulting from the granted projects must acknowledge MINECO/MINETAD funding even after the end of the project: “Project (reference nº XX) funded by MINECO/MINETAD through APCIN XX/...”

- Amount of required collateral by MINETAD:

| Financial qualification | Collateral required |
|-------------------------|---------------------|
| AAA | 0 % |
| AA | |
| A | 10 % |
| BBB | 20 % |
| BB | 30 % |
| B | 50 % |
| CCC | 75 % |
| CC | 100 % |
| C | 100 % |
| D | No funding |

Sweden

National contact person for ECSEL JU programme

| Country | Name | First name | Tel | E-mail |
|---------|----------|------------|-----------------|--|
| Sweden | Allström | Andreas | +46 8 473 30 93 | andreas.allstrom@vinnova.se |

Swedish ECSEL participation information is available at: <https://www.vinnova.se/m/horizont-2020/partnerskapsprogram/ecsel/>

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants

Calls are open for public and private companies of all sizes as well as for universities and research institutes in Sweden.

2) Funding conditions

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

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

3) Legal, administrative and financial conditions

Participating companies must have a stable financial status with fulfilled fiscal obligations and must be able to cover their own expenses for the duration of the project.

- Participating company must have at least 500 000 SEK in annual revenue (net turn-over) according to the latest annual report.
- Participating company must have at least 3 employees.

4) Consortium configuration

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

5) Other conditions

Participating companies are required to provide a credible description of the project's impact on the company's technological knowledge, economic growth and future assets in Sweden. Participating universities or research institutes are required to provide a credible description of the project's impact on the university's or research institute's scientific and technological knowledge base and for the positive impact on Swedish society in general.

Accordingly, an [impact description](#) must be submitted by each participant together with the application. A project [impact interview](#) will be performed by Vinnova together with the key representatives of all Swedish participants in the project consortium.

Eligibility of the costs and funding

1) Eligibility of costs

[Vinnova's conditions](#) for eligible costs will be applied.

2) Funding rates

Sweden's national funding - within the limits given by [State Aid Rules](#) (please be aware that EU contribution doesn't count as state aid)

| Type of activity | Large Enterprises | Small and Medium Enterprises | Universities and Research Institutes |
|--------------------------------------|-------------------|------------------------------|--------------------------------------|
| RIA - Research and Innovation Action | 25 % | 30 % | 50 % |
| IA -Innovation Action | 20 % | 25 % | 50 % |

3) Additional funding

- Proposal preparation grant for technical coordinators of the whole proposal: up to 300 000 SEK (proposal has to be submitted at FPP stage). Only personal costs and, to a minor extent, subcontracting costs (maximum 10%) are eligible. The costs have to be traceable in the organization's economy system ([Vinnova conditions](#) apply). The maximum disposition time is between call opening date and the FPP phase deadline.
- Management grant for technical coordinators of the whole projects: up to 300 000 SEK/yr. Only personal costs are eligible.
- Travel grant to brokerage events

Additional Information to be provided at submission and other conditions

The total budget committed by Vinnova for the two ECSEL calls of 2018 is a maximum of EUR 5 500 000 with the following limit:

Maximum Vinnova contribution to one project is limited to EUR 2 500 000.

A total maximum of EUR 1 500 000 is available to finance ECSEL chapters 11 and 15, based on the content of the tasks performed by the Swedish participants even if these tasks are embedded into other call topics.

Vinnova uses the Riksbank's exchange rate for Euro on the date of ECSEL call FPP phase deadline.

Switzerland

National contact person for ECSEL JU programme

| Country | Name | First name | Tel | E-mail |
|-------------|---------|------------|------------------|--|
| Switzerland | BUEHLER | Roland | +41 58 464 71 41 | roland.buehler@sbfi.admin.ch |

Switzerland is committing to the ECSEL Calls 2018, CHF 2.000.000 as grants. There is no pre-allocated distribution of the Swiss funding budget between the two Calls, nor to specific topics of any of the two Calls.

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants (project partners)

- Swiss companies: Commercial enterprises registered in Switzerland,
- Swiss SME according to EU definition,
- Swiss non-commercial public academic research institutions, Universities, Universities of applied sciences, recognized institutes according to the Federal Act on the Promotion of Research and Innovation.

2) Legal, administrative and financial conditions

- General eligibility criteria and conditions for receiving project funding from Innosuisse will apply (i.a. the beneficiary must be a registered legal entity, have credible capacity to execute the project activities, demonstrate financial viability, and provide transparency as to funding requested or received from other sources).
- Companies must be established with a considerable business activity in Switzerland within the scope of the ECSEL project.
- All project partners must possess relevant R&D capabilities.

3) Consortium configuration

- At least one Swiss company must be involved as a partner in the project, and at least 50% of the efforts (eligible costs) of the Swiss partners in the project must be from business partners.
- Academic public research partners from Switzerland are eligible for funding if they participate together with a Swiss company as specified above.

4) Other conditions

The maximum national grant per project is smaller than CHF 1 Mio

Eligibility of the costs and funding

1) Eligibility of costs

The applicable CHF - Euro conversion rate for the cost calculation is the average rate published by the European Central Bank (www.ecb.europa.eu) for the month when the full project proposal is submitted.

Direct personnel costs

- Effective gross salary or effective gross hourly rate up to the following maxima:

| Function | Maximum effective gross hourly rate [CHF] | Maximum gross annual salary (CHF) |
|---------------------------------------|--|--|
| Project leader, experienced scientist | 119 | 220.500 |
| Scientific collaborator | 68 | 126.000 |
| Skilled worker | 61 | 113.400 |
| PhD and auxiliary | 45 | 85.100 |

- Employers contribution to social insurance
- Overhead costs: 15% of gross salary plus social insurance

Direct costs of subcontracting

Direct costs for subcontracting are limited to 20% of total eligible costs.

Other direct costs

- Material cost are chargeable if project-specific and non-standard consumables and in reasonable ratio to salary costs used exclusively for this project.
- Travel costs outside Switzerland.
- Utilisation of specific research infrastructure chargeable as utilisation rate calculating a linear depreciation over time.

Non eligible costs:

- Direct costs of financial support
- Costs for publications,
- Use of research infrastructure fully depreciated or fully financed by other sources
- Certification of products (CE labelling),
- Patent securing related work

2) Funding rates

| Type of activity/organisation | Large Enterprise | SME | University/Other (not for profit) |
|--------------------------------------|-------------------------|------------|--|
| ECSEL 2018-1 IA | 10% | 25% | 35% |
| ECSEL 2018-2 RIA | 10% | 30% | 35% |

Additional Information to be provided at submission and other conditions

- Information providing the justifications required according the above legal requirements for the eligibility must be provided as a separate attachment (Part C) at submission, both at the PO and at the FPP submission stage.
- Information necessary to confirm whether eligibility criteria mentioned in item 1) and 2) above are fulfilled, shall be submitted to the Swiss National Contact before a National Grant Agreement can be established.

Turkey

National contact person for ECSEL JU programme

| Country | Name | First name | Tel | E-mail |
|---------|--------|------------|------------------|--|
| Turkey | KARACA | Mete | 90 312 298 17 86 | ncpict@tubitak.gov.tr |
| Turkey | BENER | Ezgi | 90 312 298 17 85 | ncpict@tubitak.gov.tr |

The National Funding Authority (NFA) of the Turkey for the ECSEL JU program is the Scientific and Technological Research Council of Turkey (TUBITAK). Principal legal regulations and documents on the public funding of research, development and innovation in the Turkey are available on the TUBITAK websites.

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants

Calls are open for public and private companies of all sizes as well as for universities and research institutes in Turkey.

2) Funding conditions

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

3) Legal, administrative and financial conditions

Participants from Industry and SMEs can be funded via TUBITAK 1509 Programme. The national rules on eligible are available from TUBITAK website at:

<https://www.tubitak.gov.tr/tr/destekler/sanayi/uluslararasi-ortakli-destek-programlari/icerik-1509-tubitak-uluslararasi-sanayi-ar-ge-projeleri-destekleme-programi>

Participants from Universities and Research Organizations can be funded via TUBITAK 1001 Programme. The national rules on eligible are available from TUBITAK website at:

<https://www.tubitak.gov.tr/tr/destekler/akademik/ulusal-destek-programlari/icerik-1001-bilimsel-ve-teknolojik-arastirma-projelerini-destekleme-pr>

4) Consortium configuration

There is no limitation for the consortium configuration.

Eligibility of the costs and funding

1) Eligibility of costs

- Personnel cost
- Travel expenditures of personnel and consultants
- Expenditures for instruments, equipment, computer software that would be used for R&D purposes

- Direct expenditures for materials etc.
- Expenditures for consultancy services and other services need for R&D work

2) Funding rates

| Type of activity/organisation | Large Enterprises | Small and Medium Enterprises | Universities and Research Institutes |
|-------------------------------|----------------------|------------------------------|--------------------------------------|
| Call 2018-1 and 2018-2 | 60% -EU Contribution | 75% -EU Contribution | 100% -EU Contribution |

Additional Information to be provided at submission and other conditions

- The total Turkish funding budget for the two above ECSEL Calls is 3 million €.
- There is no pre-allocated distribution of the Turkish funding budget between the two Calls, nor to specific topics of any of the two Calls.
- Participants from Universities and Research Organizations are subject to [TUBITAK 1001](#) Programme rules.
- Participants from Industry and SMEs are subject to [TUBITAK 1509](#) Programme rules.

United Kingdom

National contact person for ECSEL JU programme

| Country | Type of Information | Name | First name | Tel | E-mail |
|---------|---------------------|-----------|------------|------------------|--|
| UK | General Information | Papadakis | Georgios | +44(0)7824626788 | georgios.papadakis@innovateuk.gov.uk |

Website - UK Funding Body – Innovate UK

For information about the latest Innovate UK competitions: <https://apply-for-innovation-funding.service.gov.uk/competition/search>

For general Innovate UK national eligibility conditions <https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants>

- No budget has been allocated by Innovate UK to the ECSEL 2018 call for proposals.
- UK organisations wishing to participate in ECSEL 2018 will have to self-fund.