DECISION OF THE GOVERNING BOARD OF THE ECSEL JOINT UNDERTAKING

Adopting the ECSEL Work Plan for the year 2015

THE GOVERNING BOARD OF THE ECSEL JOINT UNDERTAKING,

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

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

WHEREAS:

1) The Executive Director shall submit to the Governing Board for adoption a draft annual or multiannual work plan which shall include the research and innovation activities plan, the administrative activities and the corresponding expenditure estimates,

2) The work plan shall be adopted by the end of the year prior to its implementation,

3) The Governing Board shall adopt the work plan;

HAS ADOPTED THIS DECISION:

Article 1

The work plan for the year 2015, as annexed to this decision, is hereby adopted. It shall be published on the website of the ECSEL Joint Undertaking and on the H2020 single portal for participants.

[1] OJ L 169/152 of 7.06.2014

Article 2

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

Done at Brussels, on

For the Governing Board

Heinrich Daembkes
Chairperson of the Governing Board

History of changes

Version	Date	Change
(V20150423)	23/Apr/2015	▪ Correction in German funding rules
(V20150421)	21/Apr/2015	▪ Minor editorial corrections to the Italian specific eligibility rules have been implemented.
(V20150416)	16/Apr/2015	▪ Portuguese commitment to the ECSEL 2015 call will be of 1.500.000€ with no separation between RIA and IA. Total budget of each RTO involved in a proposal cannot exceed 300.000€. There is no budget limitation to large companies or SMEs, but applicants may be asked to present proof of financial capacity to support their participation in the project. The Work Plan is updated with the Portuguese commitment and the eligibility criteria. ▪ Danish commitment to the ECSEL 2015 call will be of 10.000.000DKK with no separation between RIA and IA.

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H. DECISION OF THE PUBLIC AUTHORITIES BOARD OF THE ECSEL JOINT UNDERTAKING ON THE EVALUATION AND SELECTION PROCEDURES RELATED TO CALLS FOR PROPOSALS 88

Topics and the categories of action are described in the ECSEL Multi-Annual Strategic Plan (MASP), document ECSEL-GB-2014.22. Applicants must refer to this document before submitting any proposals.

The calls 2015 do not address the “Excellence and competence centers” and the “Innovation support actions”.

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

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

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

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

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

CALL ECSEL-2015-1 RESEARCH AND INNOVATION ACTIONS

Scope and objectives

The call will be open for the following topics:

Chapter	Sub Chapter / Topic	Open/Closed
Key Applications		
6.1 Smart mobility	1.5.1 ECS for resource efficient vehicles	open
	1.5.2 ECS for highly automated and autonomous transport	open
	1.5.3 ECS for integrated and multimodal mobility networks	open
6.2 Smart society	2.3.1 Security enabling components and systems	open
	2.3.2 Smart and Connected Things (including Internet of Things)	open
	2.3.3 European assets protection	open
6.3 Smart energy	3.2.1 Sustainable energy generation and conversion	open
	3.2.2 Reducing energy consumption	open
	3.2.3 Efficient community energy management	open
6.5 Smart health	4.5.1 Home Care and Well-being	open
	4.5.2 Hospital and Heuristic Care	open
	4.5.3 Food Processing and Quality	open
6.5 Smart Production	5.1.5-1 Instant access to a Virtual dynamic factory.	open
	5.1.5-2 Increased Information transparency between field devices and ERP.	open
	5.1.5-3 Real-time sensing & networking in challenging Environments.	open
	5.1.5-4 Process Industry as an agile part of the Energy system.	open
	5.1.5-5 Management of critical Knowledge to support maintenance decision making.	open
	5.1.5-6 Automation service and function development process.	open
	5.1.5-7 Open simulator platform.	open
	5.1.5-8 Automation system for distributed manufacturing.	open
	5.1.5-9 Balancing of system security and production flexibility.	open
	5.2 Semiconductor manufacturing	open
Essential technologies		
7.1 Process technologies	1.5.1 More Moore	open
	1.5.2 More than Moore	open
	1.5.3 System in Package	open
7.2 Design technologies	2.5.1 Technologies for Model-Based and Virtual Engineering	open
	2.5.2 Managing complexity, safety and security	open

	2.5.3 Managing diversity	open
	2.5.4 Increasing yield, robustness and reliability, and generate system openness	open
7.3 Cyber-physical systems	3.5.1 Architectures principles and models for safe and secure CPS	open
	3.5.2 Autonomous, adaptive and cooperative CPS	open
	3.5.3 Computing Platforms	open
7.4 Smart systems integration	4.5.1 Building blocks, controls and interfaces of smart systems	open
	4.5.2 Integration methods enabling smart functionality, automation and reliable operation in harsh and complex environments	open
	4.5.3 Interfaces for the safe, secure and efficient transfer of data and energy	open

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

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

Specific Conditions

Mode

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

Publication date

17 March 2015

Deadline PO phase

at 17:00:00 Brussels time on 12 May 2015

Deadline FPP phase

at 17:00:00 Brussels time on 8 September 2015

Type of action: ECSEL Research and innovation action

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

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

A RIA proposal is characterised by:

- Execution by an industrial consortium that may consist of universities, institutes, SMEs and large companies;

- Developing innovative technologies and/or using them in innovative ways;
- Targeting demonstration of the innovative approach in a relevant product, service or capability, clearly addressing the applications relevant for societal challenges in relation with the ECSEL Strategic Thrusts as outlined in the ECSEL MASP;
- Demonstrating value and potential in a realistic lab environment reproducing the targeted application;
- Having a deployment plan showing the valorisation for the ECSEL ecosystem and the contribution to the ECSEL goals and objectives.

In order to maximize effective implementation of the ECSEL top-level objectives, the list of RIA proposals to be retained for public funding shall constitute a balanced portfolio of projects developing innovative technologies (as defined in the MASP in the essential technology section) and applying them in different domains as defined in the MASP (as defined in the application trust section). The domains represent the demand side of technologies, and the development of new technologies represents the supply side of technologies. The technologies in the MASP include semiconductor processing, equipment and materials; design technology; cyber-physical systems; and system integration.

Admissibility and Eligibility conditions:

Admissibility conditions

Refer to Annex B

Eligibility conditions

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

A proposal will only be considered eligible if:

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

Type of action	**Conditions for participation & eligibility for funding**
ECSEL Research & Innovation Action	At least three legal entities. Each of the three shall be established in a different Member State or associated country. All three legal entities shall be independent of each other.[2]

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

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

Evaluation criteria, scoring and threshold

Evaluation procedure

The document ECSEL-PAB-2015.08 (Annex H) contains the details of the evaluation and selection process.

Award criteria

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

1. **Excellence**: The following aspects will be taken into account, to the extent that the proposed work corresponds to the relevant work plan topic description in the ECSEL MASP:
   a. Clarity and pertinence of the objectives and the expected results of the proposed work;
   b. Credibility of the proposed approach;
   c. Soundness of the concept, including trans-disciplinary considerations, where relevant;
   d. Extent that the proposed work is ambitious, has clear innovation potential, and is beyond the state of the art.

2. **Impact**: The extent to which the outputs of the project should contribute at the European and/or International level to:
   a. The expected impacts listed in the ECSEL MASP for the relevant topic;
   b. The creation and exploitation of market potential and the gain of a competitive technology advantage;
   c. Enhancing innovation capacity and integration of new knowledge;
   d. Strengthening Europe and the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets; and, where relevant, by delivering such innovations to the markets or introducing new technologies into the industry;
   e. Any other environmental and socially important impacts (not already covered above);
   f. The exploitation and dissemination of project results (including management of IPR), the communication of the project, and the management of research data where relevant; the development of standards, where appropriate.

3. **Quality and efficiency of the implementation:** The following aspects will be taken into account:
   a. Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks, resources and budget;
   b. Competence and complementarity of the participants within the consortium (when relevant);
   c. Adequate participation of universities, institutes, SMEs and large companies;
   d. Appropriateness of the management structures and procedures, including risk and innovation management.

Scoring

A. PO Phase

In the PO Phase the third criterion is not evaluated. The scores will be given using half marks.

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

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	1	3
Total	0-15		10

Selection criteria

Only in the FPP Phase

1. *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.

2. *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

A. PO Phase

No priority order is required at this stage

B. 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, gender balance. These factors will be documented in the report of the Panel.

Indicative timetable for evaluation and grant agreement

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

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

Type of beneficiary	EU Contribution as % of the Eligible Cost according to H2020 (*)
Industry (For profit non SME)	25%
SME	30%
University/Other	40%

(*) beneficiaries may ask for a lower contribution

Reimbursement rates for establishing national contributions

Please refer to Annex G

Financial support to third parties

Not applicable for this call

Estimated expenditures

EU Estimated expenditure: 33 M€ in 2015 and 17 M€ in 2016 [3] (1)
ECSEL Participating states, total estimated expenditure: 50 M€

[3] *The EU contribution is based on the budget foreseen for JTIs in the general Union budget. The total EU contribution for CALL ECSEL-2015-1 RIA and CALL ECSEL-2015-2 IA is 145 M€, of which 95 M€ represents revenues from the 2015 general Union budget and 55 M€ represents estimated revenues from 2016 estimated general Union budget. The amount of 50 M€ deriving from the 2016 estimated general Union budget is subject to its adoption by the budgetary authority and may be updated accordingly*

ECSEL Participating State	Estimated expenditure (M€)	ECSEL Participating State	Estimated expenditure (M€)
Austria	10.0 (2)	Netherlands	10
Belgium-Flanders	12.0 (2)(3)	Norway	2.5(2)
Belgium-Brussels	1.0 (2)	Poland	1.5 (2)
Bulgaria	0.5 (2)	Portugal	1.5 (2)
Czech Republic	2.5 (2)	Romania	
Denmark	1.3 (2) (6)	Slovak republic	0.8 (2)
Finland	4.0	Spain	10.0 (2) (3)
France		Sweden	5.5 (2)
Germany	20 (4)	United Kingdom	1.25 (2)
Greece			
Hungary	1.0 (2)(3)		
Ireland	8.0 (2)		
Israel	5 (2) (3)		
Italy	2.5 (3) (5)		
Latvia	0.42 (3)		

(1) Pending the corresponding financing decision to be adopted by the European Commission in 2015 and 2016.
(2) Total budget to be distributed over all the ECSEL Calls of the year 2015.
(3) Pending approval
(4) The pre-commitment is divided as follows: BMBF electronics and smart systems RIA 15 mio€ + IA 9 mio€ (funding left over from RIA can be made available for IA), BMBF software-intensive cyber-physical systems RIA + IA 4 mio€, Saxony RIA 3 mio€ + IA 9 mio€ (for participants from Saxony only
(5) The entire budget is reserved only for the call ECSEL-2015-1 Research and Innovation Actions. Italy intends to commit, in addition to the announced grant amount, 5 million as loan. In case part of the budget allocated to Call 2015-1 call cannot be used for this call it can be transferred to the ECSEL 2015-2 call.
(6) The amount is 10mio DKK

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

CALL ECSEL-2015-2 INNOVATION ACTIONS:

Scope and objectives

The call will be open for the following topics:

Chapter	Sub Chapter / Topic	Open/Closed
Key Applications		
6.1 Smart mobility	1.5.1 ECS for resource efficient vehicles	Open
	1.5.2 ECS for highly automated and autonomous transport	Open
	1.5.3 ECS for integrated and multimodal mobility networks	Open
6.2 Smart society	2.3.1 security enabling components and systems	Open
	2.3.2 Smart and Connected Things (including Internet of Things)	Open
	2.3.3 European assets protection	Open
6.3 Smart energy	3.2.1 Sustainable energy generation and conversion	Open
	3.2.2 Reducing energy consumption	Open
	3.2.3 Efficient community energy management	Open
6.5 Smart health	4.5.1 Home Care and Well-being	Open
	4.5.2 Hospital and Heuristic Care	Open
	4.5.3 Food Processing and Quality	Open
6.5 Smart Production	5.1.5-10 Instant access to a Virtual dynamic factory.	Open
	5.1.5-11 Increased Information transparency between field devices and ERP.	Open
	5.1.5-12 Real-time sensing & networking in challenging Environments.	Open
	5.1.5-13 Process Industry as an agile part of the Energy system.	Open
	5.1.5-14 Management of critical Knowledge to support maintenance decision making.	Open
	5.1.5-15 Automation service and function development process.	Open
	5.1.5-16 Open simulator platform.	Open
	5.1.5-17 Automation system for distributed manufacturing.	Open
	5.1.5-18 Balancing of system security and production flexibility.	Open
	5.2 Semiconductor manufacturing	Open
Essential technologies		
7.1 Process technologies	1.5.1 More Moore	Open
	1.5.2 More than Moore	Open
	1.5.3 System in Package	Open
7.2 Design technologies	2.5.1 Technologies for Model-Based and Virtual Engineering	Open
	2.5.2 Managing complexity, safety and security	Open

	2.5.3 Managing diversity	Open
	2.5.4 Increasing yield, robustness and reliability, and generate system openness	Open
7.3 Cyber-physical systems	3.5.1 Architectures principles and models for safe and secure CPS	Open
	3.5.2 Autonomous, adaptive and cooperative CPS	Open
	3.5.3 Computing Platforms	Open
7.4 Smart systems integration	4.5.1 Building blocks, controls and interfaces of smart systems	Open
	4.5.2 Integration methods enabling smart functionality, automation and reliable operation in harsh and complex environments	Open
	4.5.3 Interfaces for the safe, secure and efficient transfer of data and energy	Open

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

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

Specific Conditions

Mode

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

Publication date

17 March 2015

Deadline PO phase

at 17:00:00 Brussels time on 12 May 2015

Deadline FPP phase

at 17:00:00 Brussels time on 8 September 2015

Type of action: ECSEL Innovation Action

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

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

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

or demonstrator.

A 'market replication' aims to support the first application/deployment in the market of an innovation that has already been demonstrated but not yet applied/deployed in the market due to market failures/barriers to uptake. 'Market replication' does not cover multiple applications in the market of an innovation 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 is characterized by:

- Execution by an industrial consortium including universities, institutes, SMEs and large companies;
- Using innovative technology;
- Developing and demonstrating innovative solutions in relation with the ECSEL Strategic Thrusts as outlined in the ECSEL MASP;
- Establishment of a new and realistic innovation environment connected with an industrial environment, such as
    - a pilot line facility capable of manufacturing
    - a zone of full-scale testing;
    - a development of new processes or tools and their introduction in several domains;
    - the development of frameworks or platforms together with the usage of these frameworks or platforms in innovative products
- Having a deployment plan leading to economic value creation in Europe.

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

Admissibility and Eligibility conditions:

Admissibility conditions

Refer to Annex B

Eligibility conditions

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

A proposal will only be considered eligible if:

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

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

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

Evaluation criteria, scoring and threshold

Evaluation procedure

The document ECSEL-PAB-2015.08 (Annex H) 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:
   a. Clarity and pertinence of the objectives and the expected results of the proposed work;
   b. Credibility of the proposed approach;
   c. Soundness of the concept, including trans-disciplinary considerations, where relevant;
   d. Extent that the proposed work is ambitious, has clear innovation potential, and is beyond the state of the art.

2. **Impact**: The extent to which the outputs of the project should contribute at the European and/or International level to:
   a. The expected impacts listed in the ECSEL MASP for the relevant topic;
   b. The creation and exploitation of market potential and the gain of a competitive technology advantage;
   c. Creating economic value in Europe, including industrial end-user leverage;
   d. Enhancing innovation capacity and integration of new knowledge;
   e. Strengthening Europe and the competitiveness and growth of companies by developing innovations meeting the needs of European and global markets; and by delivering such innovations to the markets or introducing new processes/tools to the European industry;
   f. Any other environmental and socially important impacts (not already covered above);
   g. The communication and dissemination of project results, including management of IPR.
   h. Contribution to standards, where appropriate.

[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*

3. **Quality and efficiency of the implementation:** The following aspects will be taken into account:
   a. Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks, resources and budget;
   b. Significant coverage of the value chain, including industrial end-users, and/or different industry domain where relevant;
   c. Competence and complementarity of the participants within the consortium (when relevant);
   d. Adequate participation of universities, institutes, SMEs and large companies;
   e. Appropriateness of the management structures and procedures, including risk and innovation management.

Scoring

A. PO Phase

In the PO Phase the third criterion is not evaluated. The scores will be given using - half marks.

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

B. FPP Phase

The scores will be given with a resolution of one decimal.

Only proposals which successfully passed the PO phase are eligible to the FPP phase.

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

(*) threshold applies to unweighted score

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

Selection criteria

Only in FPP Phase

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

2. *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

A. PO Phase
No priority order is required at this stage

B. 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. In the case of Innovation actions this prioritisation will be done first on the basis of the score for impact, and then on that for excellence.
- 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, gender balance. These factors will be documented in the report of the Panel.

Indicative timetable for evaluation and grant agreement

Information on the outcome of the evaluation	**Indicative date for the signing of grant agreements**
Maximum 5 months from the final date for submission	Maximum 8 months from the final date for submission

Consortium agreement

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

Reimbursement rate for establishing the EU contribution

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

Type of beneficiary	EU Contribution as % of the Eligible Cost according to H2020 (*)
Industry	15%
SME	25%
University/Other	40%

(*) beneficiary may ask for a lower contribution

Reimbursement rates for establishing national contributions

Please refer to Annex G

Financial support to third parties

Not applicable for this call

Estimated expenditures

EU Estimated expenditure: 62 M€ in 2015 and 33 M€ in 2016 [5] (1)
ECSEL Participating states, total estimated expenditure: 95 M€ (1)

ECSEL Participating State	Estimated expenditure (M€)	ECSEL Participating State	Estimated expenditure (M€)
Austria	10.0 (2)	Netherlands	10.0
Belgium-Flanders	12.0 (2)(3)	Norway	2.5(2)
Belgium-Brussels	1.0 (2)	Poland	1.5 (2)
Bulgaria	0.5 (2)	Portugal	1.5 (2)
Czech Republic	2.5 (2)	Romania	
Denmark	1.3 (2)(6)	Slovak republic	0.8 (2)
Finland	1.0	Spain	10.0 (2)(3)
France		Sweden	5.5 (2)
Germany	20 (4)	United Kingdom	1.25 (2)
Greece			
Hungary	1.0 (2)(3)		
Ireland	8.0 (2)		
Israel	5 (2) (3)		
Italy	0.0 (5)		
Latvia	0.0		

[5] *The EU contribution is based on the budget foreseen for JTIs in the general Union budget. The total EU contribution for CALL ECSEL-2015-1 RIA and CALL ECSEL-2015-2 IA is 145 M€, of which 95 M€ represents revenues from the 2015 general Union budget and 55 M€ represents estimated revenues from 2016 estimated general Union budget. The amount of 50 M€ deriving from the 2016 estimated general Union budget is subject to its adoption by the budgetary authority and may be updated accordingly*

(1) Pending the corresponding financing decision to be adopted by the European Commission in 2015 and 2016
(2) Total budget to be distributed over all the ECSEL Calls of the year 2015.
(3) Under condition of approval by NFA
(4) The pre-commitment is divided as follows: BMBF electronics and smart systems RIA 15 mio€ + IA 9 mio€ (funding left over from RIA can be made available for IA), BMBF software-intensive cyber-physical systems RIA + IA 4 mio€, Saxony RIA 3 mio€ + IA 9 mio€ (for participants from Saxony only
(5) Italian participants willing to participate to the call ECSEL-2015-2 Innovation Actions are required to self-fund their participation or to find other sources of funding.
In case part of the budget allocated to ECSEL-2015-1 call cannot be used for this call, it can be transferred to the ECSEL-2015-2 call.
(6) The amount is 10mio DKK

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

ANNEXES

A. LIST OF COUNTRIES, AND APPLICABLE RULES FOR FUNDING

Legal entities established in the following countries and territories will be eligible to receive funding through Horizon 2020 including ECSEL JU:

− The Member States of the European Union, including their overseas departments;

− The Overseas Countries and Territories (OCT) linked to the Member States[6]:

o Anguilla, Aruba, Bermuda, Bonaire, British Virgin Islands, Cayman Islands, Curaçao, Falkland Islands, French Polynesia, Greenland, Montserrat, New Caledonia, Pitcairn Islands, Saba, Saint Barthélémy, Saint Helena, Saint Pierre and Miquelon, Sint Eustatius, Sint Maarten, Turks and Caicos Islands, Wallis and Futuna..

− The Countries Associated to Horizon 2020[7].

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

Afghanistan, Albania, Algeria, American Samoa, Angola, Argentina, Armenia, Azerbaijan, Bangladesh, Belarus, Belize, Benin, Bhutan, Bolivia, Bosnia and Herzegovina, Botswana, Burkina Faso, Burundi, Cambodia, Cameroon, Cape Verde, Central African Republic, Chad, Chile, Colombia, Comoros, Congo (Democratic People's Republic), Congo (Republic), Costa Rica, Côte d'Ivoire, Cuba, Djibouti, Dominica, Dominican Republic, Ecuador, Egypt, El Salvador, Eritrea, Ethiopia, Fiji, Gabon, Gambia, Georgia, Ghana, Grenada, Guatemala, Guinea, Guinea-Bissau, Guyana, Haiti, Honduras, Indonesia, Iran, Iraq, Jamaica, Jordan, Kazakhstan, Kenya, Kiribati, Korea (Democratic Republic), Kosovo*, Kyrgyz Republic, Lao, Lebanon, Lesotho, Liberia, Libya, former Yugoslav Republic of Macedonia, Madagascar, Malawi, Malaysia, Maldives, Mali, Marshall Islands, Mauritania, Mauritius, Micronesia, Moldova, Mongolia, Montenegro, Morocco, Mozambique, Myanmar, Namibia, Nepal, Nicaragua, Niger, Nigeria, Pakistan, Palau, Palestine, Panama, Papua New Guinea, Paraguay, Peru, Philippines, Rwanda, Samoa, Sao Tome and Principe, Senegal, Serbia, Seychelles, Sierra Leone, Solomon Islands, Somalia, South Africa, South Sudan, Sri Lanka, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Sudan, Suriname, Swaziland, Syrian Arab Republic, Tajikistan, Tanzania, Thailand, Timor-Leste, Togo, Tonga, Tunisia, Turkey, Turkmenistan, Tuvalu, Uganda, Ukraine, Uzbekistan, Vanuatu, Uruguay, Venezuela, Vietnam, , Yemen, Zambia, Zimbabwe.
(* This designation is without prejudice to positions on status and is in line with UNSCR 1244/99 and the ICJ Opinion on the Kosovo declaration of independence).

International European interest organisations[8] will also be eligible to receive funding from ECSEL JU.

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

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

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

[7] Legal entities from Associated Countries can participate under the same conditions as legal entities from the Member States. Countries can only associate to Horizon 2020 by conclusion of a specific international agreement, which needs to be negotiated with each country that wishes to associate to Horizon 2020. Refer to : http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/3cpart/h2020-hi-list-ac_en.pdf

[8] These are international organisations, the majority of whose members are Member States or associated countries, and whose principal objective is to promote scientific and technological cooperation in Europe.

will be eligible for funding:

- When funding for such participants is provided for under a bilateral scientific and technological agreement or any other arrangement between the Union and an international organisation or a third country:
- When the ECSEL JU deems participation of the entity essential for carrying out the action funded through Horizon 2020.

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

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

1) Submitted in the electronic submission system before the deadline given in the call conditions;

2) Readable, accessible and printable..

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

- A curriculum vitae or description of the profile of the persons who will be primarily responsible for carrying out the proposed research and/or innovation activities;
- A list of up to five relevant publications, and/or products, services (including widely- used datasets or software), or other achievements relevant to the call content;
- A list of up to five relevant previous projects or activities, connected to the subject of this proposal;
- A description of any significant infrastructure and/or any major items of technical equipment, relevant to the proposed work;
- A description of any third parties that are not represented as project partners, but who will nonetheless be contributing towards the work (e.g. providing facilities, computing resources)

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

C. TECHNOLOGY READINESS LEVELS (TRL)

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

TRL	Definition	Hardware description	Software description	Exit criteria
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, modeling 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/experi-mental 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 critical test environments, and associated performance predictions are defined relative to the final operating environment.	Key, functionally critical, software components are integrated, and functionally validated, to establish interoperability and begin architecture development. Relevant Environments defined and performance in this environment predicted.	Documented test performance demonstrating agreement with analytical predictions. Documented definition of relevant environment.

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,	Documented test performance verifying analytical predictions.

			and maintenance documentation completed. All functionality successfully demonstrated in simulated operational scenarios. Verification and Validation (V&V) completed.	
9	Actual system proven in operational environment (competitive manufacturing in the case of key enabling technologies)	The final product is successfully operated in the target environment and/or application.	All software has been thoroughly debugged and fully integrated with all operational hardware/software systems. All documentation has been completed. Sustaining software engineering support is in place. System has been successfully operated in the operational environment.	Documented mission operational results.

D. CLASSIFIED INFORMATION

Proposals should not contain any classified information (please see section III.6 Security scrutiny of the PAB Decision on the evaluation and selection annexed to this Work plan).

In the case of actions involving security-related activities special provisions for classified information (as defined in Commission Decision 2001/844/EC, ECSC, Euratom) the grant agreement may lay down specific provisions.

Proposals above threshold involving sensitive or classified information will be flagged to the members of the Secure Societies Programme Committee configuration and dealt with according to its Rules for Procedure.
If the results of an action need to be classified or classified inputs ('background') are required, applicants may be required to provide evidence of the adequate clearance of all relevant facilities and/or clarifications such as e.g. access to classified information or export or transfer control with the national authorities of their Member States/Associated Countries prior to submitting the proposal, and/or a draft security classification guide, indicating the expected levels of classification.

E. FINANCIAL SUPPORT TO THIRD PARTIES

Where this possibility is indicated under the relevant topic, proposals which foresee a financial support to third parties[9], shall clearly detail the objectives and the results to be obtained and include at least the following elements:

1) a closed list of the different types of activities that qualify for financial support,
2) the persons or categories of persons which may receive financial support,
3) the criteria for awarding financial support
4) the criteria for calculating the exact amount of the financial support,
5) the maximum amount to be granted to each third party (may not exceed EUR 60 000 for each third party unless it is necessary to achieve the objectives of the action)

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

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

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

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

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

[9] Article 137 of the Financial Regulation

F. ENTRUSTING FOR THE CALLS 2015

The two modes 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	Netherlands	17.2
Belgium-Flanders	17.2	Norway	17.2
Belgium-Brussels	17.2	Poland	17.1 a)
Bulgaria	17.1 a)	Portugal	17.1 a)
Czech Republic	17.2	Romania	
Denmark		Slovak republic	17.2
Finland	17.2	Spain	17.2
France	17.2	Sweden	17.2
Germany	17.2	United Kingdom	17.2
Greece			
Hungary	17.2		
Ireland	17.2		
Israel	17.2		
Italy	17.2		
Latvia	17.2		

G. COUNTRY SPECIFIC ELIGIBILITY RULES

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

Austria

National contact person for ECSEL JU programme

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

National Funding Agency for Austria: FFG
The full version of the national eligibility criteria can be found at: www.ffg.at/ecsel

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants

The following legal entities are eligible for funding:

Legal bodies, private companies and sole traders are eligible to receive funding provided they are not part of the Austrian federal administration.
Details can be obtained from the "Leitfaden für Kooperative F&E Projekte" Version 1.6, section 1.4.1 from the FFG at http://www.ffg.at/sites/default/files/dok/il_kooperativefueprojekte_v16.pdf.

2) Legal, administrative and financial conditions

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

Austrian Partners have to register at the eCall system of the FFG at https://ecall.ffg.at/ and upload a Part C.

Companies have to upload the balance sheets of the last two years in the FFG eCall.

If there is no information on a business available in the commercial register based Austrian Business Compass ("Firmen- Compass", e.g. for associations, start-ups, sole traders, companies from outside Austria), a declaration of SME Status must be uploaded in the FFG eCall.

3) Consortium configuration

The combined share of Austrian research institution(s) in project costs as indicated in the Part C cannot exceed 40 % of all Austrian partners within each project.

4) Other conditions

To be eligible for funding, contributions of Austrian partners have to address one of the following chapters/topics as listed in the ECSEL Work Plan for 2015 (call 2015-1 and call 2015-2):

- Smart Mobility
- Smart Energy
- Smart Production. Being a national priority for national funding this key application will receive a minimum funding of 4 Mio. €.
- All essential technologies are open for funding

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

The center of gravity of Austrian partner's project participation has to be within TRL 2 to TRL 7 and within the type of action that the overall project addresses (RIA/IA). TRL 8 and above (notably market replication) can not be funded.

Eligibility of the costs and funding

1) Eligibility of costs

The eligibility of costs is in accordance with the national rules on eligible costs https://www.ffg.at/recht-finanzen/kostenleitfaden/version-2 (Kostenleitfaden V2.0) and the "Leitfaden für Kooperative F&E Projekte" (Version 1.6, section 1.7) from the FFG http://www.ffg.at/sites/default/files/dok/il_kooperativefueprojekte_v16.pdf.

2) Funding rates

	Percentage of the national subsidy to the beneficiaries[10]			
	Large Enterprises, Groups and Associations of Enterprises	**Medium Enterprises[11]**	**Small Enterprises[11]**	**Public Research Institutes and Universities**
Industrial/applied research projects (call 2015-1)	up to 25 %	up to 35 %	up to 40 %	up to 40 %
Experimental development projects (call 2015-2)	up to 15 %	up to 25 %	up to 35 %	up to 35 %

- Industrial/Applied research projects correspond to the category "Research and Innovation Action" in the ECSEL Workplan for the year 2015
- Experimental development projects correspond to the category "Innovation Action" in the ECSEL Workplan for the year 2015
- Public Research Institutes and Universities correspond to research organizations: universities, universities of applied sciences (Fachhochschulen), non-university research institutions and other scientifically oriented organizations (e.g. associations with an appropriate purpose) are considered to be research organisations.
- Public organisations (Gemeinden, usw.) are considered as large companies.

Additional Information to be provided at submission and other conditions

Additionally required within the submission deadline:

- Registration at the eCall system of the FFG at https://ecall.ffg.at
- Upload of a complete Part C in the FFG eCall. Part C defines details on each partner's budget according to the national rules for cost eligibility. Templates for the "cost plan details by partner" V 2.0 are available at https://www.ffg.at/Kostenplan-Foerderung.
- Companies have to upload the balance sheets of the last two years in the FFG eCall.

[10] calculated on national eligible costs

[11] 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	fd@iwt.be
	MICHIELS	Isabel	+32 (0) 2 432 4299	imi@iwt.be
Brussels-Capital Region	REUMAUX	Mathilde	+32 (0) 2 600 5031	mreumaux@innoviris.irisnet.be

Funding authority websites: Flanders: www.iwt.be
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 activity in this region, based upon a sound business model.
Flemish Strategic Research Centres (SOC) can be legitimate participants.
Research centres and universities can be legitimate participants in projects compliant to the Flemish O&O-subsidy conditions

For Brussels:
Participants in ECSEL projects wishing to receive a funding from Innoviris must be a company or a research organisation (in accordance with the definitions provided for by the General Block exemption Regulation for State Aid and the Brussels legislation regulating the action of Innoviris) established on the territory of the Brussels-Capital Region and performing RDI activities within the project.
Research organisations will only be awarded with a regional financial support if within the project they collaborate with a Brussels-based enterprise.

2) Legal, administrative and financial conditions

For Flanders:
The participant can have no other public funding for the same activities.
In case of a multinational company, the application needs to be done by the local branch or subsidiary.
Research centres and universities may participate in accordance to the Flemish O&O-subsidy conditions.
For a project application by a research centre or university, the legitimate status of Strategic Research Centre (SOC) is mandatory. A specific agreement with IWT is compulsory. Flemish governmental funding outside IWT applies.

For Brussels:
The beneficiaries must:
- demonstrate a sustainable RDI activity in the Brussels-Capital Region and carry out, partly or totally, the activities planed in the project within this territory.

- proove a sound financial situation and their financial capability to cover the share of their expenses which will not be covered by public funding
- have fulfilled their obligations in the framework of past financial support they would have received from the region.

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

3) Consortium configuration

For Flanders:
Project application is done by either a company with a branch in Flanders or a legitimate Strategic Research Centre.
Projects need to be primarily executed to the benefit of these entities.
Applications by a Strategic Research Centre need to be stand-alone in Flanders.

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

4) Other conditions

For Flanders:
Participants need to prove adequate (financial) means to execute the project and a potential to use the results.
The project should yield socio-economic effects which can be quantified by activities or investments by the Flemish participants after the completion of the project, in accordance with the ruling detailed in the document (except for project applications by Strategic Research Centres):
http://www.iwt.be/sites/default/files/subsidies/documenten/O&O_toelichtingsdoc_valorisatie_sept2010.pdf
In case of potential military applications (including dual use), funding can be restricted.

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

Eligibility of the costs and funding

1) Eligibility of costs

For Flanders

Eligibility of costs is in accordance with the ruling of the O&O bedrijfssteun of Flanders, detailed in the documents related to http://www.iwt.be/subsidies/oeno-bedrijfsproject.
Eligible cost calculation will be done on the costs formulated in the ECSEL application.
In case of stand-alone Strategic Research Centre projects, ECSEL eligible cost system is applicable for both ECSEL and national funding

For Brussels

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

2) Funding rates

For Flanders

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

Notes:

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

(2) The funding of stand-alone Strategic Research Centre contributions is determined by specific project related agreement with IWT. These projects have no specific funding limit. The eligible costs for these projects may be set equal to the ECSEL eligible costs.

(3) The funding of public research institutes and universities in projects initiated by industrial participants in Flanders, is determined by the general principles of O&O-bedrijfsprojecten as published on the website (http://www.iwt.be/subsidies/oeno-bedrijfsproject). The funding level of the participating (initiating) industrial partner applies.

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

industrial participants exceeds IWT applicable ruling.

For Brussels:

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

Notes:

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

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

Additional Information to be provided at submission and other conditions

For Flanders:
Additional information is mandatory in the PO-phase, as in the Part C form detailed in the document
http://www.iwt.be/sites/default/files/subsidies/documenten/ARTEMIS_ENIAC_templ_PartC_may2013.doc

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 Komatichev	+359(02)9407255	e.komatichev@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 person for ECSEL JU programme

Country	Name and surname	Telephone	E-mail
Czech Republic	Mr. Lukáš Levák	+420 234 811 511	lukas.levak@msmt.cz
	Ms. Vladimíra Coufalová	+420 234 811 504	vladimira.coufalova@msmt.cz

The National Funding Authority (NFA) of the Czech Republic for the ECSEL JU program is the **Ministry of Education, Youth and Sports** (hereinafter referred to as the "MEYS"). Principal legal regulations and documents on public funding of research, development and innovation in the Czech Republic are available on the websites http://www.msmt.cz/vyzkum-a-vyvoj and http://www.vyzkum.cz/.

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants

Research organisations – Public university, public research institute or other entity classified as a "research and knowledge-dissemination organisation" (hereinafter referred to as the "research organisation") in accordance with the General Block Exemption Regulation (GBER) – 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" (hereinafter referred to as the "General Block Exemption Regulation – GBER"), (Chapter I, Article 2, Paragraph 83).

Enterprises – Small, medium or large-sized enterprises as defined by the General Block Exemption Regulation (GBER) (Chapter I, Article 2, Paragraphs 2 and 24), listed in the 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** registered in the Business Register of the Czech Republic and performing research, development or innovation in the Czech Republic and **at least one research organization**, both the entities fulfilling the requirements stipulated in the clause 1 – "Type or nature of participants".

4) Other conditions

It is obligatory that a Czech participant involved in an ECSEL project proves the compliance with the eligibility criteria (statutes of research organisation / enterprise) and fulfilment of the conditions set 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 respective Statutory Declaration form is available on the websites: http://www.msmt.cz/vyzkum-a-vyvoj/ecsel.

Eligibility of the costs and funding

1) Eligibility of costs

Eligible costs for a Czech 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 MEYS consider the Research and Innovation Actions (RIA) being industrial research projects and the Innovation Actions (IA) being experimental development projects. Given the circumstances, the maximum intensity of the MEYS´s aid will be derived from the General Block Exemption Regulation (GBER) (Chapter III, Section 4, Article 25, Paragraph 5).

The aid intensity for industrial research and experimental development will not be increased by the MEYS even though the Czech participants in ECSEL projects meet the conditions set by the General Block Exemption Regulation (GBER) (Chapter III, Section 4, Article 25, Paragraph 6). The aid intensities set in the table below are definitive.

Funding rates	**Large enterprises**	**Small and medium sized enterprises**	**Research organizations***
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**	25 % + 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 a research organisation might be at the level of 100 %** (EU and the Czech national contribution included) only if the research organization entirely complies with the requirements set by the Article 2.1.1 "Public funding of non-economic activities" of the 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 the websites http://www.msmt.cz/vyzkum-a-vyvoj/ecsel.

If a legal entity does not comply with all the requirements connected with the research organisation statutes, it will be considered as an enterprise (small / medium / large) and the aid intensity will be adjusted appropriately.

Additional Information to be provided at submission and other conditions

All the necessary information concerning the additional requirements set by the MEYS for the ECSEL JU program are available on the websites http://www.msmt.cz/vyzkum-a-vyvoj/ecsel.

Denmark

National contact person for ECSEL JU programme

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

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

www.innofonden.dk

Legal requirements for the eligibility of a partner or a project

1. *Type and nature of participants*

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

2. *Legal, administrative and financial conditions*

- Danish partners must be established in Denmark and perform R&D&I activities in Denmark. General eligibility criteria and conditions for receiving project funding from Innovation Fund Denmark will apply (i.a. the recipient must be a registered legal entity, have credible capacity to execute their part of the project in Denmark, demonstrate financial viability, and provide transparence as to funding requested or received from other sources).
- Participating companies must have a clear financial record and has the financial capability to cover their own expenses during the project. The financial capability will be evaluated by Innovation Fund Denmark based on the latest approved annual financial report or similar documents. The financial reports must be uploaded with the application form.
- The participant can have no other public funding for the same activities.
- In case of a multinational company, the application needs to be done by the branch or subsidiary registered as a company in Denmark and with sufficient business and research and innovation activities in Denmark to undertake its task in the project in a qualified manner.

3. *Consortium configuration*

The industrial relevance of the participating university, higher education institution or research institute, including approved technological service institutes (GTS-institutes) must be justified by declaration made by the knowledge institution. A template for the declaration will be provided by Innovation Fund Denmark after the application.
At least one Danish enterprise must be involved as a partner in the project, and a significant share of the Danish involvement in the project must be from industrial partners(s).

4. Other conditions

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

5. Additional Information to be provided at submission and other conditions

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

6. Rejection conditions

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

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

Eligibility of the cost and funding

1. Eligibility of costs

The eligible costs for subsidy are in compliance with the RTD State Aid Rules.

The subsidy percentages are indicated in the Guide for Applicants and can be estimated in the "Indicative funding for Danish ECSEL participants" template available on www.innofonden.dk

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

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

Innovation Fund Denmark will issue a funding contract to each of the Danish partners in the ECSEL project.

The maximum funding from Innovation Fund Denmark of all Danish partners in one ECSEL project is a total of 500.000 €. EU's co-funding is not included in this maximum funding level per project.

The maximum funding rate follows the general funding rules of Innovation Fund Denmark including that the maximum funding intensity for all Danish partners in one project cannot exceed 75% of their total costs.

Depending on the EU co-funding Innovation Fund Denmark may adjust its co-funding such that the total funding from Innovation Fund Denmark and EU does not exceed Innovation Fund Denmark's maximum funding rates.

The total Danish budget for the 2015 call is 10 mio. DKK (app. 1,3 mio. €). The maximum funding from Innovation Fund Denmark to all Danish partners in one ECSEL project is 0,5 mio.€. Including the EU's co-funding this level may be exceeded.

2. General maximum funding rates for Innovation Fund Denmark

	SME*	Large enterprises*	Universities and University colleges	Public research institutions and hospitals	Approved Technological Service Institutes (GTS)**
Research and Innovation	60%	50%	90%	90%	60%
Innovation (Demonstration)	35%	25%	90%	90%	60%
Overhead rates	0	0	44%	3,2	Institute specific

* The hourly funding for Innovation Fund Denmark's funding to SME's and large enterprises are based on a flat rate incl. overhead of 750 DKK (app. 100€ per hour).

** Innovation Fund Denmark funding rates to Approved Technological Service Institutes (GTS-institutes) are based on actual costs plus an institute specific factor rate, which only apply to salary. All other funding is based on actual funding without overhead.

Finland

National contact person for ECSEL JU programme

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

Finland's national public funding authority for ECSEL is Tekes, Finnish Funding Agency for Technology and Innovation. Tekes funding principles can be found at:
www.tekes.fi/en (English)
www.tekes.fi (Finnish)

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants

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

2) Legal, administrative and financial conditions

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

3) Consortium configuration

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

4) Other conditions

- The project should have sufficient positive impact on the Finnish economy or society.
- Priority is given to the topics that are not covered by the ECSEL Call 2014 funded projects.

Eligibility of the costs and funding for ECSEL Call 2015

1) Eligibility of costs

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

2) National public funding

Type of activity	Large Enterprises	Small and Medium Enterprises	Public Research Institutes and Universities
Research and Innovation action	20 % grant	35 % grant	35 % grant
Innovation Action	25 % grant or Max. 35 % loan	35 % grant or Max. 50 % loan	35 % grant

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

Additional Information to be provided at submission and other conditions

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

France

National contact person for ECSEL JU programme

Country	Name	First name	Tel	E-mail
France	Mottin	Eric	01 79 84 33 35	eric.mottin@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 2015 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 2015 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 règlementaires en vigueur concernant l'attribution de subventions par l'État français.

1) Type or nature of participants

- Private and public companies of all sizes
- Universities
- Research Institutes

- Entreprises privées ou publiques de toute taille
- Universités
- Instituts de recherche

2) Legal, administrative and financial conditions

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

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

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

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

3) Consortium configuration

The ratio of the enterprises in the total eligible costs of the French participants must represent at

least two thirds of this total amount.
La part des entreprises dans l'assiette totale admissible au financement des autorités françaises doit représenter au moins les deux tiers de cette assiette.

4) Other conditions

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

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

The partners must contribute to achieve one or several significant technological breakthroughs with the objective of designing or improving products, services or processes, and must set-up a capability to make these products or processes. These must have a sufficient potential impact on their activity in the European Union and in particular in France, in terms of employment, competitiveness, value creation and growth at short or medium-term.
Les partenaires doivent contribuer à lever un ou plusieurs verrous technologiques significatifs en vue de concevoir ou d'améliorer des produits, services ou procédés, ainsi que mettre en place les moyens de réalisation de ces produits et procédés. Ceux-ci doivent présenter pour eux des perspectives suffisantes de retombées sur le territoire de l'Union européenne, et notamment en France, en termes d'emplois, de compétitivité, de création de valeur et d'activité économique à court ou moyen terme.
The tasks assigned to partners must be well specified and should consist in « experimental development » or « industrial research » as defined in the R&D&I framework. « Fundamental research » will not be considered as eligible. In accordance with the R&D&I framework, the aid to each company must have an incentive effect on its R&D&I activities.
Les travaux réalisés par les partenaires doivent être bien spécifiés et pouvoir être considérés comme « développement expérimental » ou « recherche industrielle » au sens de l'encadrement des aides à la RDI. Les travaux de « recherche fondamentale » ne sont pas admissibles. Conformément à l'encadrement des aides à la RDI, l'aide à chaque entreprise doit avoir un effet d'incitation sur ses activités de RDI.

Eligibility of the costs and funding

1) Eligibility of costs

The French eligible costs will be based on the amount obtained using the financial data sheets available on the aforementioned web site, which will have to be filled by each French partner.
Les coûts éligibles français seront basés sur le montant obtenu en remplissant les annexes financières des autorités françaises, disponibles sur le site web précédemment mentionné.

2) Funding rates

The following funding rates will be applied by French public authorities.
Les taux d'aide suivants seront appliqués par l'Etat français.

Type of partner	**Research and Innovation Action (TRL 2 à 5)**	**Innovation Action (TRL 5 à 8)**
Industry	**5%**	**15%**
SME	**5%**	**15%**
RTO	**15%**	**15%**
Univ, non profit	**60%**	**60%**

Additional Information to be provided at submission and other conditions

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

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

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

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

Germany

National contact people for the ECSEL JU programme

Country	Name	First name	Tel	E-mail
Germany	Rittner	Johannes	+49 30 310078 230	Johannes.Rittner@vdivde-it.de
Germany	Schröder	Sabine	+49 30 670 55 772	Sabine.Schroeder@dlr.de
Germany	Weber	Michael	+49 30 670 55 750	Michael.Weber@dlr.de

- German ECSEL website: www.ecsel-ju.de
- Förderprogramm IKT 2020 des BMBF: www.bmbf.de/pub/ikt2020.pdf (English version: www.bmbf.de/pub/ict_2020.pdf)
- Die neue Hightech-Strategie – Innovationen für Deutschland: http://www.bmbf.de/pub_hts/HTS_Broschure_Web.pdf (overview in English: http://www.hightech-strategie.de/de/The-new-High-Tech-Strategy-390.php)
- Basic principles of R&D-funding by the BMBF are described in „Staatliche Beihilfe SA.34309 (2012/N) – Deutschland (Änderung der bestehenden Beihilferegelung ‚IKT 2020')": http://ec.europa.eu/competition/state_aid/cases/243536/243536_1365850_82_1.pdf
- For additional funding for partners from Saxony (see below): Sächsische ECSEL-Förderrichtlinie http://www.revosax.sachsen.de/Details.do?sid=3291430653213

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 2015 is nationally eligible for funding by the BMBF

- if the contribution of the national partners focuses on research in electronics and smart systems (for details and further information please contact Mr Johannes Rittner);

Or

- if the contribution of the national partners focuses on research in software-intensive cyber-physical systems and the innovation is clearly in software (for details and further information please contact Mr Michael Weber).

In projects that predominantly focus on electronics and smart systems, partners from Saxony will typically receive combined funding from the BMBF and Saxony based on a memorandum of understanding between these two parties (http://www.bmbf.de/pubRD/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/Details.do?sid=1729330653035&jlink=xanl&jabs=9.

Note:
Funding for R&D&I projects on electronics including smart systems and for R&D&I projects on software-intensive cyber-physical systems is financed from two different national budgets. Funding of a project is subject to the availability of financial resources from the appropriate corresponding budget that the project belongs to.
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 projects is subject to the availability of financial resources from the EKF.

- It is required that project proposals contribute significantly to "The new High-Tech Strategy – Innovations for Germany" and the BMBF research programme "ICT 2020".
- The work planned by the partners must neither have already benefited from public funding nor be redundant with similar projects 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.
- Reimbursement rates requested in national grant applications should correspond to the TRL of the planned work and the type of applicant. Each national grant application will be assessed individually to determine the maximum total reimbursement rate as well as the nationally eligible costs/expenditures.
- To be eligible for national funding the overall effort of any project in the field of software-intensive cyber-physical systems with participants from Germany shall be at least 100 person years. Additionally, German participation in this project shall be at least 10% of the overall effort. Moreover, each German partner shall contribute substantially to the effort of the German consortium.
- The deadline and the requirements for the submission of national grant applications are the same as for the full project proposal (FPP). National grant applications which are not submitted in time may not be considered for funding.

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 go to SMEs.

4) Other conditions

In the field of software-intensive cyber-physical systems the key application "Smart production" (MASP 2015, Part 6.5.1) and the technology field "Cyber-physical systems" (MASP 2015, Part 7.3) are a priority for national 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

TRL 2 – 4: application oriented projects

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

TRL 5 – 8: production-related projects

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

Eligibility of the costs and funding

1) Eligibility of costs

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

2) Funding and funding rates

- Financial BMBF support can be awarded in the form of grants to participants through project funding as non-repayable subsidies.
- Project grants will be awarded in accordance with the BMBF's standard terms and conditions for grants on expenditure or cost basis and the administrative regulations under sections 23 and 44 of the Federal Budget Code (BHO).
- The „General Conditions for the Allocation of Benefits to Commercial Companies on a Costs Basis" (NKBF 98) and the „General and Specific Conditions for the Allocation of Benefits on an Expenditure Basis" (ANBest-P or ANBest-GK and BNBest-BMBF 98) respectively form part of any notification of the award of grants.
- For project grants from Regional German Funding Authorities (Länder) specific rules and conditions may apply.
- Universities may ask for 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 project actually receives by the

Joint Undertaking in absolute amounts (EUR) per participant (matching up to 1:1).

- The total public funding (EU+BMBF+any other public funding) in absolute amounts (EUR) will not exceed the upper limits given by the state aid rules valid for national funding. As funding and funding rates will be determined also taking into account national funding policies and budgetary considerations the national funding might be below the targeted 1:1 ratio.

Additional Information to be provided at submission and other conditions

- Applicants from Germany need to use the electronic application system "easy-Online" for formal national applications: https://foerderportal.bund.de/easyonline/; in addition, they must submit every grant applications by mail including a binding legal signature and a short description and exploitation plan of the planned project in German language.
- Partners applying for funding from Saxony need to fill in the appropriate form published at www.ecsel-ju.de.
- Applicants should take care to ensure a consistent representation of the project costs in the national and the European grant application, taking into account the respective criteria for the eligibility of costs.
- Guidelines, information for applicants and the auxiliary terms and conditions for the award of grants are available at https://foerderportal.bund.de.
- 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.

Greece

National contact person for ECSEL JU programme

Country	Name	First name	Tel	E-mail
Greece	Koutrokoi	Maria	+30 210 74 58 094	mkoutr@gsrt.gr

http://www.gsrt.gr

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants

All legal entities (public and private sector)

2) Legal, administrative and financial conditions

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

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

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

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

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

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

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

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

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

3) Consortium configuration

4) Other conditions

Eligibility of the costs and funding

1) Eligibility of costs

2) Funding rates

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

Additional Information to be provided at submission and other conditions

For Additional Information *please contact:*

- Ms. Maria Koutrokoi
International S&T Cooperation Directorate, European Union Division
General Secretariat of Research and Technology,
Ministry of Education and Religious Affairs
14-18 Messogeion Avenue, 115 10 Athens – Greece
Tel: +30 210 74 58 094, e-mail: mkoutr@gsrt.gr
http://www.gsrt.gr

Hungary

National contact person

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

National Funding Authority: National Research, Development and Innovation Office (1061 Budapest, Andrássy út 12.)
website: www.nkfih.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 and cooperatives registered in Hungary;
- Foreign-registered enterprises with branch office in Hungary;
- Non-profit organisations with legal entity;
- Public bodies or their institutes with legal entity

Legal, administrative and financial conditions

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

There is no special national requirement.

Eligibility of costs and funding

Eligibility of costs

Personnel costs (salaries, social security charges and other costs included in the usual remuneration of personnel assigned to the action based on the number of annual productive hours), travel costs and related subsistence allowances, subcontracting, cost of other goods and services (e.g. consumables and supplies), equipment costs (depreciation) and immaterial expenses (depreciation), indirect costs (flat rate of 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, penalties and fines, debt and debt service charges, interest owed, excessive or reckless expenditure, costs incurred during suspension of the implementation of the action etc.

Funding rates

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

The aid intensity in the case of industrial research is 50% and in case of experimental development is 25%, however these rates may be increased by 20 percentage points for small enterprises and by 10 percentage points for medium-sized enterprises.
Funding intensity per member may be increased by a further 15 percentage points up to a maximum of 80% (this means the whole public funding, i.e. Hungarian national funding + EC funding) if the project is implemented through effective collaboration 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 or the results of the project are widely disseminated through conferences, publication, open access repositories, or free or open source software.

Additional Information to be provided at submission and other conditions

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

Ireland

National contact person for ECSEL JU programme

Country	Name	First name	Tel	E-mail
Ireland	O'Reilly	Stephen	+353 21 4800217	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 Organisation / Type of activity	Percentage of the national subsidy to the beneficiaries [12]			
	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%	Up to 50%

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.

[12] 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	Zeevi Balasiano	Aviv	+972 (0)35118-121	aviv@iserd.org.il
Israel	Daar	Hadas	+972 (0)35118-123	hadas@iserd.org.il

http://www.economy.gov.il/CmsTamat/Rsrc/madaan2014/index.html

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants

The following legal entities are eligible for funding:
Industrial enterprises registered in Israel.

2) Legal, administrative and financial conditions

The national rules on eligible costs for Israeli participants are available from the Moital website at http://www.moital.gov.il/NR/exeres/C4A8C9EC-7BDF-431D-AEC5-5CBB57D839FC.htm

3) Consortium configuration

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

4) Other conditions

- timely submission as specified in the relevant call for proposals
- submission of a complete proposal
- financial viability and business soundness is verified by means of an internal check - companies that are in danger of insolvency cannot be funded

Eligibility of the costs and funding

1) Eligibility of costs

I. Eligible costs as direct costs

a. Costs of personnel (up to 25,000 NIS per month)

b. Costs of durable equipment (depreciation of 3 years)

c. Consumables and supplies

d. Subcontracting

e. 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

Please check the document:

http://www.iserd.org.il/_Uploads/dbsAttachedFiles/Application_procedure_OCS.pdf

Italy

National contact person for ECSEL JU programme

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

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

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

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants

Are eligible for funding all legal entities listed in art. 60 of the Decree-Law n. 83/2012 as detailed in the notices issued to implement each call.
According to art. 60 of the Decree-Law n. 83/2012 and art. 4 of its implementing Ministerial decree 115/2013, are eligible: enterprises, universities, research institutions, research organizations or any other legal entity which owns the requirements required by the notices issued to implement each call, providing that they have stable organization in Italy.

2) Legal, administrative and financial conditions

The participant must not be defaulting with regard to other funding received by the Ministry.
The participant must not have requested/got any other funding for the same project.
The participant must respect the Italian law against "mafia".
For any private entity, the following financial criteria, calculated using the data reported in the last approved balance sheet, must be fulfilled

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

Where:
CN = net assets (Capitale netto)
CP = sum of the costs of all the projects for which public funding has been requested by the participant during the year
I = sum of the contributions received, approved or requested for the same projects

b) $OF/F < 8\%$

Where:
OF = financial charges (Oneri finanziari)
F = turnover (Fatturato)

3) Consortium configuration

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

4) Other conditions

Companies must have the financial means to execute the project and a potential to use the results.
The participant should foresee, after the end of the project, the exploitation of the results of the project so to guarantee the return of the investment.

Budget available and calls supported

MIUR committed a budget of 2,5 million euro as grant and 5 million euro as loans.
The entire budget is reserved only for the call ECSEL-2015-1 Research and Innovation Actions.
Italian participants willing to participate to the call ECSEL-2015-2 Innovation Actions are required to self-fund their participation or to find other sources of funding.
In case part of the budget allocated to ECSEL-2015-1 call cannot be used for this call, it can be transferred to the ECSEL-2015-2 call

Eligibility of the costs and funding

1) Eligibility of costs

In order to avoid double accounting and reporting to the Italian participants, in derogation to the national rules, are eligible for funding all cost typologies which are considered eligible by ECSEL JU. Italian participants must therefore use the same cost calculation metodology used by ECSEL JU

2) Funding rates

MIUR will fund the Italian participants to RIA projects using the following funding rates:

Type of partner	Grant	Loan
Large enterprise	5 %	65 %
Medium Enterprise	10 %	55 %
Small Enterprise	20 %	45 %
Universities, research centers and research organizations	25 %	0 %

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

Additional Information to be provided at submission and other conditions

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

Latvia

National contact person for ECSEL JU program

Country	Name	First name	Tel	E-mail
LV	Bundule	Maija	+371 67785423; +371 26514481	maija.bundule@viaa.gov.lv

Website reference:
http://www.viaa.gov.lv/lat/starpvalstu_sadarbiiba/es_progr_petnieciba/progr_petnieciba_apraksts/

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants

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

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

2) Legal, administrative and financial conditions

The funding of RTD activities is provided pursuant in accordance with the Commission Regulation (EU) No 651/2014 of 17 June 2014 declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty, the Law on Research Activity (adopted on 14 April 2005 with amendments) and Regulation of the Council of Ministers of the Republic of Latvia on the procedure for providing support for participation in international cooperation programs for research and technology (Regulation under development; Blueprint No VSS-121 announced at State Secretaries meeting on 05.02.2015).

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.

3) Consortium configuration

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

If there is no Latvian enterprise or industry association involved as a partner in the project, the industrial relevance of the involvement of a R&D institution must be justified by declaration from the Latvian Information and Communications Technology Association (LIKTA) or from the Latvian Electrical Engineering and Electronics Industry Association (LEtERA) confirming the relevance of the project outcomes to the national economy, which are included as a part C of the full project proposal.

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

Eligibility of the costs and funding

1) Eligibility of costs

1. Direct costs:
   1.1. Personnel costs – R&D related personnel costs should 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 direct costs),
   1.4. Travels costs (up to € 18,000 per participant per project),
   1.5. Project management costs,
2. Indirect costs (can reach a maximum of 25% of the total direct costs).

1) Funding rates

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

EU Contribution is the amount of the contribution of the ECSEL Joint Undertaking to the project. 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 2015 is EUR 420 000 exclusively to the **Call ECSEL-2015-1** (Research and Innovation Actions).

Netherlands

National contact person for ECSEL JU programme

Country	Name	First name	Tel	E-mail
Netherlands	van der Bijl	Bob	+31 88 602 5965	robert-jaap.vanderbijl@rvo.nl

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

Legal requirements for the eligibility of a partner or a project

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

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

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

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

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

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

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

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

2) Rejection conditions
An application for support of the share of Dutch participants of a project is rejected when:

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

Eligibility of the costs and funding

1) Eligibility of costs

- The **eligible costs for subsidy** are in compliance with the RTD State Aid Rules, the "Algemene wet bestuursrecht" and the "Kaderwet EZ-subsidies".
- The Dutch subsidy percentages are indicated below in the section Funding Rates.
- In case another Dutch administrative body has already granted a subsidy for the eligible costs of the Dutch part of an ECSEL project or part of such project, the contribution by the Ministry of Economic Affairs will be granted so that the total amount of subsidy will not exceed the before-mentioned Dutch subsidy percentages.
- In case that a contribution has been already granted for the eligible costs for subsidy to the Dutch part of an ECSEL project or part of it on the basis of a subsidy scheme of the Ministry of Economic Affairs, no additional subsidy will be granted by the Ministry of Economic Affairs for the already subsidized part.
- Per individual Dutch partner the subsidy percentages will be applied according to the activities (industrial research, experimental development). The project eligible costs per partner will be defined and the corresponding percentages will be applied. The Dutch consortium is responsible for the distribution of the subsidy amongst the Dutch partners.
- The available Dutch initial budget for the ECSEL Call 2015 of € 20 million will be initially split as follows: € 10 million for ECSEL-2015-1 research and innovation actions (RIA) and € 10 million for ECSEL-2015-2 innovation actions (IA).
- Per ECSEL project in which a Dutch consortium takes part a total national maximum of € 5 million funding for the Dutch consortium will be initially applied.

2) Funding rates

	Large Enterprises, Groups and Associations of Enterprises	Medium Enterprises	Small Enterprises	Public Research Institutes and Universities

Fundamental/Basic Research activities	0%	0%	0%	0%
Industrial/Applied Research activities	15%	17%	17%	24%
Experimental development activities	5%	7%	7%	5%

Rates apply to both the RIA and IA call

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

Additional Information to be provided at submission and other conditions

Norway

National contact person for ECSEL JU programme

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

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants

- Companies: Commercial enterprises registered in Norway (The Register of Business Enterprises)
- 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 recipient 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 and perform RTD activities in Norway.

3) Consortium configuration

- At least one Norwegian company must be involved as a partner in the project, and a significant share (minimum 40%) of the Norwegian efforts in the project must be from business partners.
- The industrial relevance of the participation of a research organisation (i.e. University, Higher education institution or Public research institute) must be justified by declarations from some eligible (according to the criteria above) Norwegian enterprise(s).

4) Other conditions

- Companies must provide specific information on the possible industrial and commercial impact and justify that they have the necessary means to exploit the project results.
- Universities, HEIs and research institutes must specify national industrial impact in terms of exploitation opportunities for Norwegian companies.

Eligibility of the costs and funding

1) Eligibility of costs

Horizon 2020 rules and guidelines on eligible costs will apply.

2) Funding rates

The maximum funding rates for the national funding will be as listed in the table below. If other public funding besides the EU funding will be granted for the project, this will be deducted from the national funding provided according to the listed funding rates.

	Large enterprises	SMEs	Research organisations
ECSEL 2015-1 RIA	35 %	40 %	50 %
ECSEL 2015-2 IA	25 %	35 %	40 %

Additional Information to be provided at submission and other conditions

- There is no pre-allocation of the Norwegian funding budget between the two Calls, nor to

specific topics of any of the two Calls.

- National funding will be subject to conditions in current state aid rules (Commission Regulation (EU) No 651/2014).
- Norwegian applicants should consider 1 mill. € as a maximum amount of national funding for one single project, and that multiple Norwegian partners should be included to reach this level of funding.
- Information providing the justifications required according to items 3) and 4) in the above eligibility criteria has to be provided as a separate attachment (Part C) at submission, both at the PO and the FPP submission stage.
- Information necessary to confirm whether eligibility criteria according to item 2) above are fulfilled shall be submitted to the Research Council of Norway (ECSEL contact person) on request.

Poland

National contact person for ECSEL JU programme

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

National Centre for Research and Development (Narodowe Centrum Badań i Rozwoju)
Section of Management of Applied Research Programmes INFOTECH.

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants

Following entities are eligible to apply:

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

Organization must be registered in Poland.

2) Legal, administrative and financial conditions

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

- The Act of 30 April 2010 on the Principles of Financing Science, published in Journal of Laws No. 96 item 615, 2010;
- The Act of 30 April 2010 on the National Centre for Research and Development, published in Journal of Laws No. 96 item 616, 2010;
- The Regulation of the Minister of Science and Higher Education on criteria and rules on granting state aid and "de minimis" aid by the National Centre for Research and Development,

3) Consortium configuration

None

4) Other conditions

None

Eligibility of the costs and funding

1) Eligibility of costs

The rules for the eligibility of the costs follow the H2020 rules.

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..
The Part C can be found at:
http://www.ncbir.pl/programy-miedzynarodowe/jtiju/ecsel-ju/konkurs-2014/art,2874,wspolne-przedsiewziecie-ecsel-otwarcie-naboru-wnioskow-w-i-konkursie-.html

Further information and 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

Type or nature of participants

The following institutions are eligible to receive national funding in the ECSEL Calls 2015:

- Higher Education Institutions, their institutes and R&D centres;
- Associate Laboratories and State Laboratories;
- Private non-profit institutions whose main objective is to carry out S&T activities;
- Companies, large or SME;
- Public and private non-profit institutions which carry out or participate in scientific research activities.

Legal, administrative and financial conditions

National applicants will be funded according to H2020 rules. Technical and financial reports sent to the ECSEL JU will be used to support national payments. Yet, national applicants still have to submit proof of regular situation regarding Social Security and tax duties.

Consortium configuration

Every proposal with national applicants must include at least one PT company, large or SME. Consortiums that only have national RTOs will not be considered eligible.

Eligibility of costs

All costs eligible according to H2020 funding regulations will be eligible to receive national funding.

Available funding

Portuguese commitment to the ECSEL 2014 call will be of 1.500.000€ with no separation between RIA and IA.

Total budget of each RTO involved in a proposal cannot exceed 300.000€. There is no budget limitation to large companies or SMEs, but applicants may be asked to present proof of financial capacity to support their participation in the project.

Funding rates

Funding rates for national applicants are described in the following table:

	RTO (1)	**SME**	**Large companies**
Call 2015-1 (RIA)	100%-EU contribution	50%-EU contribution	50%-EU contribution
Call 2015-2 (IA)	100%-EU contribution	50%-EU contribution	50%-EU contribution
Maximum total budget (2)	300.000€	No limit	No limit

(1) RTO includes Higher Education Institutions, their institutes and R&D centres; Associate Laboratories; State Laboratories; Public and Private non-profit institutions

(2) Maximum total budget per applicant, per proposal

Romania

National contact person for ECSEL JU programme

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

Ministry of National Education
Website reference: www.research.ro

Legal requirements for eligibility of a partner or a project

1) Type or nature of participants
All Romanian entities which are legally set and which meet eligibility requirements may participate in calls for proposals.
Organizations eligible for funding are: public and private accredited universities, national R&D institutes, other research organisations, SMEs, large industrial enterprises.

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

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

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

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

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

4) Other conditions
It is not the case

Eligibility of the costs and funding

The following activities are eligible for funding:

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

1) Eligibility of costs

The following categories of expenses are eligible:

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

Indirect costs will not exceed 20% of direct costs, excluding subcontracting.
Expenses are eligible if incurred after signature of the contract.

2) Funding rates

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

Slovak republic

National contact person for ECSEL JU programme

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

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants

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

2) Legal, administrative and financial conditions

The national co-funding of ECSEL JU projects is provided according to:
the Act No 172/2005 Coll. on the Organization of State Research and Development Support and Supplementation of Certain Acts
Community Framework for State Aid for Research and Development and Innovation (2006/C 323/01)
Eligible to ask for national co-funding is an R&D organization from every sector according to §7 of Act No 172/2005 Coll. and legal entity according to §2 art. 2 of the Slovak Code of Commerce.

3) Consortium configuration

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

4) Other conditions

-

Eligibility of the costs and funding

1) Eligibility of costs

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

2) Funding rates

Type of partner	Max. Total funding (EU Contribution+ National) % of the national eligible cost
Large industry	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 2015 ECSEL JU programme

Country	Name	First name	Tel	E-mail
Spain	Lucena	Rafael	+34 913 462 236	RLucena@minetur.es
	Alonso	Jose Angel	+34 913 462 297	jaalonso@minetur.es
	Falcón	Severino	+34 914 959 554	severino.falcon@mineco.es
	Dorado	Paloma	+34 91 581 55 66	paloma.dorado@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 Centres, Health Institutions and other non-profit R&D organizations in which R&D activities will be implicitly defined as the main objective).
-Universities (UNI) public and private.

2) Participation.

- The Ministry of Industry, Energy and Tourism (MINETUR) is the national authority which funds Spanish enterprises (SME, LE, GE) and Technology Centres (CT, RD 2093/2008 29th. December) in ECSEL calls. According to the Spanish Regulation, enterprises and CT (RD 2093/2008 29th. December) should follow the MINETUR rules and procedures for loans and grants.
- The Ministry of Economy and Competitiveness (MINECO) is the national authority which funds non-profit R&D organizations such as research organizations, universities, technology centres (not funded by MINETUR), health institutions and other non-profit R&D organizations in which R&D activities will be implicitly defined as the main objective. MINECO will grant these institution according to the mechanisms of the National Plan for Scientific and Technical Research and Innovation (2013- 2016).
- To be eligible, a project must account for some kind of Spanish leadership: Minimum share of the Spanish consortium 5% in global budget terms.

NFA MINETUR (Enterprises + TC)	NFA MINECO (NPO)
Enterprises should set up a national sub-consortium with the following rules: **a.** All members must show knowledge and expertise in their relative project matters. **b.** At least Fifty (50) % of the Spanish participation (Budget) must be enterprise. **c.** The participating entities must be legally established before 31/12/2013. **d.** At least one SME in the Spanish consortium. **e.** Each participant will send the form of its own part and must comply with the conditions of beneficiary **f.** Consortium agreement signed by all Spanish participants.	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 MINETUR NPO's could take part of the national sub-consortium formed within the MINETUR rules, Non-profit organizations should apply to the national call of the State Program for Research Aimed to the Challenges of the Society. Call 2015 "Retos, Acciones de Programación Conjunta Internacional" - Principal Investigators of Spanish teams must be eligible according to the call "Acciones de Programación Conjunta Internacional 2015" (APCIN 2015). Please see "Acciones de Programación Conjunta Internacional 2014" (APCIN 2014) («BOE» núm. 192, de 8 de agosto de 2014, pages 63854 to 63899) or the latest corresponding national call as a tentative reference for the eligibility of the Principal Investigator and the research teams - Researchers are not allowed to apply for funding in more than one proposal of this call as principal investigators. Incompatibility: Principal investigators who have been granted through calls APCIN 2014 won't be eligible to request funding in APCIN 2015. - 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.

3) Other conditions:

3.1) Administrative requirements.

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

MINETUR	MINECO
All Spanish enterprises must be included in the Registry of applicants of the Spanish MINETUR (RESA). Ministerial Order ITC/570/2006. The registration number must be included in the proposal. Budget of the Spanish part minimum **200.000 €,** in terms of eligible costs. Payment of the national contribution will be done in accordance with SETSI-MINETUR national rules in force.	All non-profit organizations must be included in the Unified Register of Applicants of MINECO (RUS).

3.2) Legal requirements

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

A. Articles 29 and 31 of the Spanish General Law of Grants (LGS) establish several requirements related to subcontracting :
   a. When the amount of the contract exceeds 50.000 € in the case of civil works, or 18.000 € for equipment supplies and services, the beneficiary must obtain a minimum of three bids. Contracts have to be awarded to the bid offering best value for money, under conditions of transparency and equal treatment. This must be proved at the national justification stage.
   b. The cost of subcontracting must not exceed 50% of the total cost for the Spanish participants.
   c. A written contract must be signed when the subcontracting exceeds 20% of the grant and the total amount of the contract is higher than 60.000 €. The contract will be provided at the national justification phase.

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

B. Community Framework for State Aid for Research and Development and Innovation (2006/C 323/01).
C. Ley 38/2003, de 17 de noviembre, General de Subvenciones.
D. Real Decreto 887/2006, de 21 de julio, por el que se aprueba el Reglamento de la Ley 38/2003, de 17 de noviembre, General de Subvenciones.
E. Leyes anuales de Presupuestos Generales del Estado.
F. Ley 47/2003, de 26 de noviembre, General Presupuestaria.
G. Ley 30/1992, de 26 de noviembre, de Régimen Jurídico de las Administraciones Públicas y del Procedimiento Administrativo Común.
H. Ley 30/2007, de 30 de octubre, de Contratos del Sector Público.
I. Other financial and legal requirements in force at the moment of the adoption of a particular administrative decision of the ECSEL JU.

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

3.3) Solvency and financial requirements

Partners must demonstrate that are eligible and show that they are not in crisis as defined by EU regulation 651/2014.

Each Spanish participant has to demonstrate clearly in the proposal its financial capacity to carry out the project and the Spanish Public Authorities has to assess it positively.

The Spanish Public Authorities will carry on a financial analysis and will define for each participant a solvency rating factor. Depending on that factor, the level of possible funding shall be established.

3.4) Conditions on the technical content/scope.

MINETUR	MINECO
The documentation has to include, 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.	The conditions will be described in the corresponding competitive national call of MINECO. For more information, go to: Basis of call: BOE 02/10/2013 http://boe.es/diario_boe/txt.php?id=BOE-A-2013-10259 Call: BOE 06/11/2014 http://www.idi.mineco.gob.es/portal/site/MICINN/menuitem.dbc68b34d11ccbd5d52ffeb801432ea0/?vgnextoid=17e1d1df1b8e7410VgnVCM1000001d04140aRCRD Call 2015 is pending

3.5) Conditions on budget distribution/exploitation/impact.

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

Eligibility of the costs and funding

1) Eligibility of costs:

MINETUR	MINECO
-Eligible costs as per H2020 -BU breakdown per year/per eligible concept, in three annuities. -Earliest starting date for charging costs: will be defined on the 2015 call.	Additional conditions are described in the calls of MINECO. MINECO grants non-profit organization following the rules of marginal costs. MINECO could limit indirect costs in its call. MINECO grant up to **175.000 euros** per participant. If the Spanish participant is the ECSEL project coordinator, the grant could be increased up to **100.000 euros**. For more information, please consult: Basis of call: BOE 02/10/2013 http://boe.es/diario_boe/txt.php?id=BOE-A-2013-10259

2) 2015 Funding rates:

Maximum percentage of costs covered by ECSEL grants
As a percentage of the eligible costs

FOR THE CALL ECSEL 2015

Type of Organisation / Type of activity	Maximum percentage of costs covered by ECSEL grants			
	Industry, LE, Large private RTO MINETUR	**SME Private RTO MINETUR**	**Universities* MINECO**	**Public RTO Non Profit Institutions* MINECO**
RIA (EPS)	**25%**	**30%**	40% *	40% *
RIA (JU)	25%	30%	40% *	40% *
MAX.TOTAL GRANT RIA	**50%**	**60%**	**80 ***	**80 ***
IA (EPS)	**15%**	**25%**	40%*	40%*
IA (JU)	15%	25%	40% *	40% *
MAX.TOTAL GRANT IA	**30%**	**50%**	**80 ***	**80 ***

1) Technology Centres as per Spanish RD 2093/2008 will be considered as enterprises
2) Eligibility of costs as defined in H2020
3) EPS grants will be paid by the funding agencies in the country (MINETUR/MINECO), JU grants will be paid by ECSEL.

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

Additional Information to be provided at submission and other conditions.

Specific requests for Spanish participants.

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

- 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.

Sweden

National contact person for ECSEL JU programme

Country	Name	First name	Tel	E-mail
Sweden	Litwin	Andrej	+46 8 473 30 45	andrej.litwin@vinnova.se

Swedish ECSEL participation information is available at: http://www.vinnova.se/sv/Var-verksamhet/Strategiskt-viktiga-kunskapsomraden/Tjanster-och-IKT/ECSEL/

Legal requirements for the eligibility of a partner or a project

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

1) Funding conditions

Only legal 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 recognisable record of R&D and industrial activities in Sweden**.**

2) Legal, administrative and financial conditions

Participating companies must have a stable financial status with fulfilled fiscal obligations and must be able to cover its own expenses for the duration of the project.
The total eligible costs of participating Swedish companies must amount to at least 50% of the aggregated eligible costs of all Swedish participants in the project consortium.

3) Consortium configuration

There are no additional requirements on the consortium configuration.

4) Other conditions

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

Horizon 2020 principles for eligible costs will be applied.

2) Funding rates

Sweden's national funding will match exactly the funding which project participants receive from the ECSEL Joint Undertaking in absolute amounts (EUR) (matching 1:1) within the limits given by State Aid Rules (please be aware that EU contribution doesn't count as state aid)

Additional Information to be provided at submission and other conditions

The total budget committed by VINNOVA for the two ECSEL calls of 2015 is a maximum of EUR 5 500 000 with the following limit:

A maximum of EUR 1 500 000 is available to finance ECSEL topics 7.1 and 7.2 based on the content of the tasks performed by the Swedish participants even if these tasks are embedded into other call topics.

United Kingdom

National contact people for ECSEL JU programme

Country	Type of Information	Name	First name	Tel	E-mail
UK	Project Eligibility	Mobbs	Graham	+44(0)7824 599585	Graham.mobbs@innovateuk.gov.uk
UK	Project Scope	Jones	Myrddin	+44 [0]7826861153	Myrddin.jones@innovateuk.gov.uk

Website - UK Funding Body – Innovate UK

https://interact.innovateuk.org for competition information

For general InnovateUK national eligibility conditions

https://interact.innovateuk.org/guidance-for-applicants

See below for UK Eligible Participants Rules

Legal requirements for the eligibility of a partner or a project

1) Type or nature of participants

The ECSEL 2015 call for proposals is open only to industry for InnovateUK funding, SME and Large Companies.

Research Organisations [definitions below] are not eligible to participate:

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

€1.25 million has been allocated by Innovate UK for the sole use of UK industrial applicants to the ECSEL 2015 call for proposals. This is the UK budget, which will be combined with the ECSEL grant budget (expected to be on a near 1:1 ratio) to support UK industry partners at the funding percentages below;

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

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

2) Legal, administrative and financial conditions

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

UK Eligible Participants Rules

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

- UK industry partners must have been trading for 12 months, registered at Companies House and VAT registered.
- Claims must be for project costs incurred in the UK, project management must be undertaken by the project participant and cannot be subcontracted.
- Any eligible labour costs are PAYE costs to the participating company,
- Overhead rate will all be checked, but there is a maximum cap of 100%.

Subcontracting of project work is permissible within the following limitations:

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

3) Consortium configuration

Single UK industry partners eligible for Innovate UK funding.

4) Other conditions

In the ECSEL 2015 calls for proposals, the UK will support Research and Innovation Actions (RIA) and Innovation Actions (IA) covering the full list of topics in both calls.

Eligibility of the costs and funding

1) Eligibility of costs

Eligible Costs for Industry Collaborators - The eligible cost for industrial partners in an ECSEL project can be found on the webpage page below. All successful applicants must complete an Innovate UK Eligible Claim Form, to ensure all costs are eligible.
Applicants can download an Eligible Claim Form from the website below to calculate their costs.

INNOVATE UK information for UK participants in the ECSEL 2015 Call for Proposals

Includes the eligible costs for UK industry partners

2) Funding rates

Applicant Business Size	**Industrial Research (Research and Innovation Actions (RIA))**	**Experimental Development (Innovation Actions (IA))**
Micro/Small	60%	35%
Medium	60%	35%
Large	50%	25%

INNOVATE UK follows the European Commission definition of an SME. Please see
http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/index_en.htm

Additional Information to be provided at submission and other conditions

It is strongly advised to contact the UK National Contact Point, prior to application to confirm eligibility to participate.

Graham Mobbs - European Operations Manager
Innovate UK
Mobile: +44 (0)7824 599585
Email - graham.mobbs@innovateuk.gov.uk

Successful UK participants will receive their grant from the UK funding body, Innovate UK, in £ sterling. The ECSEL grant will be paid separately in € Euros. The application form has to be completed in Euros [€] and the exchange rate used by the Innovate UK will be the one from the European Commission on the day the call for proposals closes.

H. DECISION OF THE PUBLIC AUTHORITIES BOARD OF THE ECSEL JOINT UNDERTAKING ON THE EVALUATION AND SELECTION PROCEDURES RELATED TO CALLS FOR PROPOSALS

Decision ECSEL-PAB-2015.08

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

This document[13] describes the steps that shall be followed by the ECSEL JU related to the Calls for proposals, the procedures for evaluation and selection of proposals, the allocation of public funding following such Calls and the subsequent establishment of grant agreements for projects[14].

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[13] It follows *mutatis mutandis* the Horizon 2020 Vademecum Section on proposal submission and evaluation, with adaptations to ECSEL JU specificities; it will be updated too, when and if necessary in case the Horizon 2020 rules for call management and proposal submission and evaluation are modified.

[14] "Project" is a research and/or innovation action or coordination and support actions selected by the ECSEL JU following competitive calls for proposals

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Appendix: Rules for conflict of interest

I Preliminary Steps

1. The Private Members Board shall submit to the Executive Director the draft research and innovation activities plan (RIAP) in due time, to be included in the draft work plan.

2. The public authorities (ECSEL Participating States and the European Commission) shall communicate the following information to the Executive Director in due time to be included in the draft work plan and taking into account the RIAP:

    a. The estimates of expenditure for the next year(s) covered by the work plan;
    b. The reimbursement rate of the eligible costs to be used to determine the financial contribution of the public authority (if relevant, by category of participant and/or by type of action);

    Only for ECSEL Participating States:

    c. When they differ from the conditions laid down in the Rules for Participation in Horizon 2020 (Regulation (EU) No 1290/2013), the specific criteria regarding the eligibility of individual applicants to receive funding from the ECSEL Participating State – such criteria should lend themselves to verification;
    d. When the ECSEL Participating State does not entrust the ECSEL JU with the implementation of its contribution to its participants, any specific rules regarding the eligibility of costs.

3. Upon the completion of procedure set in Article 14(1) and in accordance with the requirements set out in Article 31(4) of ECSEL JU Financial rules[15] the Executive Director shall prepare and submit for adoption to the Governing Board by the end of the year prior to its implementation the draft work plan including the scope of the calls for proposals needed to implement the research and innovation activities plan as proposed by the Private Members Board and the corresponding expenditure estimates as proposed by the public authorities.

4. The work plan shall also determine the number of calls for proposals to be launched by the ECSEL JU in the referenced year(s).

[15] ECSEL GB 2014.09

II Launching the Calls for proposals

1. The Public Authorities Board (PAB) shall approve the launch of calls for proposals, in accordance with the work plan.

2. Before publishing the calls for proposals, the Executive Director shall receive from each public authority the confirmation or an update of the estimated expenditure for the calls.

3. The PAB shall instruct the Executive Director to publish the call(s). Each call shall specify the following:
   - Scope and objective(s) as per the work plan;
   - Rules for participation, including any specific national criteria and/or rules as per the work plan;
   - Estimated expenditures from each public authority;
   - The reimbursement rates as per work plan;
   - Whether one/two-stage submission schemes will apply as per work plan and deadlines for submission of proposals at each stage;
   - The eligibility, selection and evaluation (award) criteria, the score ranges (half marks or scores with a resolution of one decimal), the corresponding thresholds and weights (only the criterion on Impact may have a higher weight than the other criteria), and any overall threshold that a proposal should reach in order to be retained;
   - The planned date by which all applicants shall be informed of the outcome of the evaluation of their application and the indicative date for the signature of grant agreements;
   - Any other conditions for the establishment of the grant agreements.

4. The calls for proposals shall be published on the website of the ECSEL JU as well as on the EU Participant Portal for Horizon 2020.

5. The ECSEL JU shall make use of the toolset made available by the European Commission to handle the submission, evaluation and grant management fully electronically with the participants.

III Evaluation and Selection process and allocation of public funding

III.1 General rules

1. The Governing Board may appoint independent observer(s) to:
   a. observe the practical workings of the evaluation process with full access to documents,
   b. give independent advice on:
      i. the conduct and fairness of the evaluation, particularly whether the evaluation process is carried out with respecting the principles stated in III.1(3)
      ii. the application of the evaluation criteria
      iii. ways in which the procedures could be improved

   but not to express views on the proposals or the opinions of the experts'.
   The independent observer(s) shall report to the ECSEL JU Governing Board on any aspect of the evaluation as required, in particular on the respect of the evaluation rules and procedures.

2. The evaluation process carried out with the assistance of independent experts shall respect the principles of excellence, transparency, fairness & impartiality, efficiency & speed, ethics & security and confidentiality.

3. The work plan may provide that prior to submitting a Full Project Proposal (FPP), applicants shall submit a Project Outline (PO) to the ECSEL JU (two-stage submission scheme). In this case the Call for proposals shall state the deadlines for the submission of POs and FPPs and provide templates for the PO and FPP. When a PO phase is foreseen, it shall be eliminatory, i.e. only applicants of successfully evaluated POs shall be invited to submit a FPP.
4. If the two-stage evaluation process is provided for in the work plan, the following shall apply:
    a. At the PO stage of the evaluation process, a minimum of two experts will evaluate each proposal during individual evaluation. There will be no panel review,
    b. Applicants will be informed of the results of the PO stage of the evaluation process and if successful, invited to submit the FPP,
    c. ESR[16]'s (see section III.4.D(4)) shall not be sent before the completion of the FPP stage,
    d. The FPP must be consistent with the PO proposal and may not differ substantially.

5. For each Call and before the deadline of submission of PO (if applicable) or FPP, the ECSEL JU shall establish a pool of experts who may participate in the evaluation of proposals. These experts must be registered in the lists of experts at the disposal of the ECSEL JU.

6. The ECSEL JU may call upon the advice of the Private Members Board and the PAB for the identification of independent experts.

7. All experts involved in the evaluation of POs or FPPs shall sign a declaration of confidentiality and absence of conflict of interest as defined by the ECSEL JU. Experts that have a conflict of interests shall be excluded by the ECSEL JU from the concerned activity.

III.2. Evaluation process

1. The evaluation process shall be organised in three main phases:

    Phase 1 – Individual evaluation
    Phase 2 - Consensus group
    Phase 3 – Panel review

    Any of these phases can be done remotely. When a two-stage submission scheme is provided for in the work plan, the PO stage shall not include the panel review. The FPP stage shall include all three phases.

2. The following shall apply for the assignment of experts to a proposal at any stage:

    - Rules for conflict of interest (see Appendix),
    - A balance of profiles (private/public), expertise, gender and nationalities at proposal and panel level,
    - A regular renewal of experts,
    - The possibility for applicants to send with the FPP a list of companies or experts that should not be assigned to the evaluation of the proposal.

3. The ECSEL JU Executive Director shall implement the above rules as well as any other rule indicated in this document for the assignment of experts without compromising the quality

[16] Evaluation summary report.

of the evaluation. The Executive Director shall justify any exceptions to these rules to the Governing Board.

4. Public funding to participants shall comply with the applicable state aid rules.

III.3 Project Outline (PO) stage evaluation

A. Admissibility & Eligibility check

1. To be considered admissible, a proposal shall be:

   - submitted in the Electronic Submission System before the deadline given in the call,
   - be readable, accessible and printable,
   - be complete (containing all the requested administrative data, proposal description, etc. and any supporting document specified in the call).

   In case of an 'obvious clerical error' (e.g. omission to submit evidence or information on a non-substantial element of the proposal), the Executive Director may ask the applicant to provide the missing information or supporting documents. However, if the missing information or document would substantially change the proposal, it shall not be taken into account.

2. To be considered eligible, the proposal shall correspond to the standard and specific eligibility criteria and conditions as set in the work plan.

3. The Executive Director shall verify the POs against the admissibility and eligibility criteria and decide on the exclusion of non-compliant POs. The Executive Director shall inform the applicants accordingly as part of step III.3D.(2).

4. Eligible POs shall be made available to the experts, to appointed observers, and to the public authorities potentially involved in the funding of the proposal.

5. The Executive Director shall organise the evaluation of the POs on the basis of criteria defined in the work plan.

B. Individual evaluation

1. Upon admissibility and eligibility check, the POs shall be made available to the experts in electronic form for remote evaluation. Each expert shall give scores and accompanying comments to the evaluation criteria as set below.

2. The PO shall be evaluated according to one or more of the following Horizon 2020 criteria: (1) Excellence, (2) Impact, (3) Quality and efficiency of the implementation.

   For each criterion, proposals will be given scores of 0 to 5, as follows:

   0 — The project fails to address the criterion or cannot be assessed due to missing or incomplete information (unless the result of an 'obvious clerical error')

   1 — Poor: the criterion is inadequately addressed or there are serious inherent

weaknesses

2 — Fair: the project broadly addresses the criterion but there are significant weaknesses

3 — Good: the project addresses the criterion well but with a number of shortcomings

4 — Very good: the project addresses the criterion very well but with a small number of shortcomings

5 — Excellent: the project successfully addresses all relevant aspects of the criterion; any shortcomings are minor.

The maximum overall score is therefore fifteen (15). If the work plan provides for a weighting factor, this will be used to determine the final ranking.

C. Consensus group

1. Upon individual evaluation, the individual experts form a 'consensus group' to come to a common view and agree on comments and scores (in a 'consensus report'). If foreseen in the work plan, the consensus report may consist in a collation of the individual evaluation reports or extracts from them.

2. The consensus discussions shall be moderated by the ECSEL JU operational services managing the call. The experts shall synthesise and consolidate the individual scores, remarks and recommendations for each project outline.

3. These recommendations shall address, if appropriate, minor adjustments to the total costs and the technical content of the project outline and assess the operational capacity of applicants necessary for the success of the project if executed. If major concerns are expressed by the experts which would require substantial changes to the proposal, the project outline should be scored low in the relevant criterion/a.

D. Results of the PO stage

1. The Executive Director shall present to the PAB the results of the evaluation of the PO proposals. The ECSEL Participating States may provide comments on the potential eligibility of their applicants against any predetermined national criteria as published with the call.

2. The Executive Director shall inform the applicants in writing at the latest 6 weeks before the deadline for submitting FPPs of the decision on their application following the PO stage procedure. If the applicant is not successful, the reasons for the rejection of the application will be provided, with reference in particular to the selection and award criteria. This information shall not constitute a commitment for funding, neither for the ECSEL JU nor for any of ECSEL Participating States towards the applicant.

III.4. Full Project Proposal (FPP) stage evaluation[17]

A. Admissibility & Eligibility check

1. At this stage, the Executive Director shall check the admissibility and eligibility of a proposal as described in section III.3 A. to verify if the eligibility conditions are still complied with.

2. The Executive Director shall inform the applicants accordingly as part of step. III.9(8).

3. Eligible FPPs shall be made available to the experts, to appointed observers, and to the public authorities potentially involved in the funding of the proposal. Public authorities shall also receive a summary of those FPPs with which they are not financially concerned.

4. FPPs shall be evaluated and scored as described in section III.3.B(2).

B. Individual evaluation

1. The Executive Director shall assign at least 4 experts to evaluate each FPP.

2. The FPPs shall be made available to the experts in electronic form for remote evaluation. Each expert shall give scores and accompanying comments to the three evaluation criteria. Their individual evaluation reports shall be communicated to the ECSEL JU operational services managing the call within the defined timeframe.

C. Consensus group

1. Upon individual evaluation, the individual experts form a 'consensus group' to come to a common view and agree on comments and scores (in a 'consensus report'). If foreseen in the work plan, the consensus report may consist in a collation of the individual evaluation reports or extracts from them.

2. The consensus group shall be moderated by the ECSEL JU operational services managing the call. In these discussions, when a two-stage submission scheme is prescribed in the work plan, the results of the PO evaluation shall be made available to the experts. The experts shall synthesise and consolidate the individual scores, remarks and recommendations for each proposal.

3. These recommendations shall address, if appropriate, minor adjustments to the total costs and the technical content of the proposal, and assess the operational capacity of the applicants necessary for the success of the project if executed. Proposals shall be evaluated on their own merit and not their potential, should certain changes be made.

D. Panel review

1. The panel review shall be chaired by the Executive Director or by his/her appointed ECSEL JU staff member. In this session, the consensus reports shall be examined, the consistency of the comments and the scores shall be checked and any cases where there are dissenting views shall be resolved and recorded in the consensus report. The panel session shall resolve eventual score ties according to predefined criteria. Where necessary, the panel shall propose

[17] The procedure described for FPP applies *mutatis mutandis* if the work plan prescribes a one-step submission scheme, i.e. in case of no preceding PO phase.

a new set of scores or a revision of the comments.

2. The ‘panel report’ shall include the ‘(ESR)’ for each proposal (based on the consensus report, including comments and scores, and taking into account the panel’s deliberations and any new scores or comments considered necessary), with explanations and a list of proposals passing all thresholds, along with a final score, (‘panel ranked list’) and, where necessary, the panel’s recommendations for a priority order for proposals in the event of equal scores, using the procedure set out in the work plan.

3. The applicants shall receive a copy of their respective ESR when they are informed of the final outcome of their proposal following the PAB decision on allocation of funding in accordance with section III.9(8).

4. The panel session shall result in two lists of proposals: "above threshold" and "below threshold". Proposals with a score below threshold in any criterion or in the total score shall be included in the "below threshold" list. The "above threshold" list is ordered according to the total score of the proposals (following the procedure to resolve the score ties).

5. The Executive Director shall submit to the PAB the "above threshold" list of proposals with the evaluation results.

III.5. Ethics review (ethics screening and ethics assessment)

1. The ECSEL JU carries out the ethics pre-screening, the ethics screening and the ethics assessment of proposals. These procedures shall be equivalent to those of the Commission. The ECSEL JU will check, with the help of independent ethics experts, whether the proposal complies with ethical principles and relevant legislation.

   The ethics review begins in parallel with the evaluation or soon after.

2. All proposals retained for funding shall go through an ethics review process (made up of one or two consecutive steps, depending on whether or not ethics issues are confirmed, whether they are adequately addressed in view of their severity and complexity). The ethics review may lead to ‘ethics requirements’ to be incorporated in Annex 1 'Description of Action'[18] to the grant agreement. The grant agreement shall only be signed after the ethics screening/assessment has been carried out, and provided all conditions are met.

3. The ethics review is part of the Commission’s overall ‘Horizon 2020 ethics appraisal scheme’[19] which includes all of the following:

   − ethics self-assessment (by the applicants, in their proposal),

   − ethics review (by the ECSEL JU, during the selection procedure),

   − if necessary, ethics checks, reviews and audits (during the implementation of the action and up to two years afterwards).

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

[19] The global approach on ethics issues is developed under the responsibility of the Commission's DG RTD Ethics department.

4. The Commission shall be informed of the result of ethics checks and audits concerning human embryonic (hESC) or significant research integrity issues requiring an in depth assessment by ethics experts. In this case, the Commission may undertake an in-depth examination of the case if necessary with the help of an external expert panel and address binding recommendations to the ECSEL JU.

5. The ECSEL JU uses external ethics experts to ensure that ethics issues identified in proposals are adequately addressed (both for the ethics review and other procedures of the ethics appraisal scheme).

6. The list of ethics experts is drawn up annually by the Commission's DG RTD Ethics Department.

7. Proposals shall be evaluated to examine if they raise 'ethics issues' and, if so, to check if these issues are adequately addressed (including during the action implementation phase)[20].

8. The ethics review has 2 stages, stage 1 (ethics screening) and stage 2 (ethics assessment). All proposals shall undergo an ethics review process, made up of one or two consecutive stages, depending on whether or not the ethics issues are confirmed, their severity and complexity.

9. Stage 1 — Ethics screening

   During the ethics screening, the proposals that have an empty 'ethics issue table' in the Part A (and therefore no ethics self-assessment in Part B) are first 'pre-screened', in order to establish potential ethical issues.

   Proposals potentially raising ethics issues are then screened more thoroughly ('full screening'), in order to check if the ethics issues are properly addressed by the applicants. As a result, the proposal can either be cleared, conditionally cleared or go through the ethics assessment.

10. Stage 2 — Ethics assessment (if necessary)

    If the ethics screening shows more serious or complex ethics issues requiring a more in-depth analysis, they will be subject to the ethics assessment and DG RTD Ethics department should be informed. For proposal involving hESC, ECSEL JU shall request the Commission's DG RTD Ethics Department to perform the ethics assessment.

11. The ECSEL JU may contact applicants during the ethics review if more information or supporting documents are needed.

III.6. Security scrutiny

1. A proposal should not contain any information that is 'EU classified' under the rules on security of information in the Commission internal Rules of Procedure[21]. Proposals concerning actions that would deal with information that is 'EU-classified' under the

[20] The main focus of the ethics review is on the **ethical dimension** (e.g. human rights and protection of human beings, animal protection and welfare, data protection and privacy, environmental protection, malevolent use of research results, dual use), however, **research integrity aspects** may also be addressed (e.g., fabrication, falsification and plagiarism, in proposing, performing, or reviewing research or in reporting research results; including misrepresentation of credentials and improprieties of authorship).

[21] Commission Decision 2001/844/EC, ECSC, Euratom amending the Commission's internal Rules of Procedure (OJ L 317, 3.12.2001, p. 1–55). Available at http://eur-lex.europa.eu/legal content/EN/TXT/PDF/?uri=CELEX:02001D0844-20050202&qid=1395937087333&from=EN).

Commission Internal Rules of Procedure shall undergo a periodic 'security scrutiny'[22].

2. The scrutiny check shall be limited to identifying actions that involve security-sensitive information (and classifying them and their deliverables as 'classified deliverables') and shall not constitute a fully-fledged security check on all potentially security-relevant aspects of an action.

3. Security scrutiny may apply to proposals submitted to ECSEL JU, for instance, if:
   - the applicants declared in the proposal submission form that it is 'security-sensitive', i.e. concerns EU-classified information;
   - the topic is flagged in the work plan as potentially resulting in security-sensitive actions;
   - the ECSEL JU detects or suspects that:
     a. classified information is, or may be, used as background and/or
     b. it is planned that some results will be classified.

In such cases, the process will be triggered by the ECSEL JU operational services managing the call and passed to the chair of the 'Security Scrutiny Committee' in the Commission.[23]

III.7. Complaints

1. If the applicants consider that the submission of their proposal was not entirely successful due to a technical error on the side of the ECSEL JU/EC IT systems involved, the coordinator may lodge a complaint through the IT Helpdesk on the Participant Portal. For the complaint to be admissible it must be filed by the coordinator within four (4) calendar days following that of the call closure[24].

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22 The security scrutiny does not concern other issues or 'activities involving dual-use goods or dangerous materials and substances'.

23 Unless the applicant have already included them in the proposal, the ECSEL JU operational services managing the call/the Commission may request the following:
- a 'Security Aspect Letter (SAL)' and 'Security Classification Guide (SCG) 3', covering the level of classification of background information (and the formal written authorisation by the competent security authorities to use this information);
- the classified results (including which participant will have access to what information).
- a copy of the 'Facility Security Clearances (FSC)' (or of the FSC request).

The validity of the FSC may be checked by the Commission Security Directorate through the appropriate formal channel with the national security authorities (NSAs) involved.

24 The following procedure will apply for applicants:

Applicant will receive an acknowledgement of receipt the same or next working day.

Applicant should secure a PDF version of all the B-parts and annexes of their proposal holding a time stamp (file attributes listing the date and time of creation and last modification) that is prior to the call deadline dd/mm/yyyy:hh:mm , as well as any proof of the alleged failure (e.g. screen shots).Later in the procedure applicant may be requested by the IT Helpdesk to provide these items.

Any information regarding the proposal shall be treated in a strictly confidential manner. In order that a complaint would be upheld, the IT audit trail (application log files and access log files of the EC/ECSEL JU IT-systems involved) must show that there was indeed a technical problem at the EC/ECSEL JU side which prevented the applicant from submitting (or resubmitting) the proposal

2. If the applicants consider that the ECSEL JU unduly rejected their proposal, the coordinator may file a complaint via the Participant Portal ('formal notifications box').

3. For specific complaints concerning the evaluation of proposal, the coordinator may — within thirty (30) days of receiving the proposal rejection letter — file a request for an evaluation review via the Participant Portal, using the on-line forms provided. The ECSEL JU shall thus convene the internal evaluation review committee to examine the complaints. The internal evaluation review shall assess solely the procedural aspects of the evaluation, without deciding on the merits of the proposal.

4. If the complaint is justified, the ECSEL JU will arrange for a re-evaluation and inform the coordinator. If the complaint is not justified, the ECSEL JU will inform the coordinator, together with the reasons why.

The equivalent procedure as for complaints concerning the evaluation of proposals shall apply for complaints concerning the outcome of the admissibility and eligibility check.

III.8. Eligibility check by EPS and financial capacity check

1. The ECSEL Participating States shall verify the eligibility of their listed applicants against any predetermined national criteria for funding as published with the call. The Executive Director shall verify the eligibility of all the listed applicants for funding from the Union according to the ECSEL JU Financial Rules and the criteria published with the call. The results of those verifications by the national authorities and the Executive Director shall be available at least twenty (20) days before the PAB meets to discuss the selection of proposals and the allocation of public funding. Applicants shall be informed on the results of those verifications as part of step III.9.(8).

2. The public authorities shall be given the opportunity to express a score for each proposal above threshold with which they are financially concerned, to reflect the level of synergy of the proposed work with EU and national R&D&I policies. They may also abstain from scoring or declare themselves neutral. A neutral score supports the order of the "above threshold" list produced by the experts.

3. The Executive Director shall consolidate the individual public authorities' scores per proposal based on a mechanism previously approved by the PAB and published with the call. The consolidation of the scores shall be based on the following principles, listed in order of importance:

    a) The weight of the score of a public authority shall be determined in proportion to the estimated expenditure of that public authority for the call.

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using the electronic submission system. Applicants shall be notified about the outcome of the treatment of their complaint as soon as possible and at latest within 15 working days following the reception of their complaint. If a decision cannot be reached in this term applicants shall receive a holding reply.

If a complaint is upheld, the secured files (provided by you to the IT helpdesk), for which the investigation has demonstrated that technical problems at the EC side prevented (re)submitting, will be used as a reference for accepting the proposal for subsequent evaluation. In absence of such documents, the version present in the IT system will be evaluated.

b) The score of an ECSEL Participating State shall have greater impact on the projects demanding higher national contributions from that State.

c) The consolidated score of the public authorities may eventually move a proposal at most half way of the ranking established by the experts.

4. Based on the evaluation results and the scoring by the public authorities, the Executive Director shall elaborate the draft final ranking list with the draft allocation of public funding as well as any other observations and suggestions before the PAB proceeds with the selection decision.

III.9 PAB Selection decision and allocation of public funding

1. On the basis of the draft final ranking list and the draft allocation of funding, the PAB shall decide on the final ranking of proposals.

2. Following this decision, the PAB shall decide on the selection of proposals to be retained for public funding, taking into account the budgets available and the verifications of the eligibility for funding of individual applicants made earlier. The PAB shall also decide which proposals are not viable in the light of the available public funding.

3. The national expenditure estimated by an ECSEL Participating State for Calls shall normally be dedicated to cover a percentage of the eligible costs of the participants in projects established in its territory. Nevertheless, an ECSEL Participating State may decide to fund organisations established in other EU Member States or Associated States of the Framework Programme.

4. In this case, the "host" ECSEL Participating State shall bear the same rights, responsibilities and obligations with respect to this "foreign" participant as if such participant was based in the host ECSEL Participating State (as specified in the administrative arrangements concluded between the ECSEL JU and the host ECSEL Participating State e.g. in terms of grant agreements, audits and cost claims). ECSEL Participating States may also allocate national funding beyond their estimated expenditure for the Call.

5. In case that the total funding allocated by an ECSEL Participating State is less than the expenditure estimated for the Call, that State may allocate the difference to applicants in proposals that would not be viable without further funding. Alternatively, the non-allocated amounts may remain unused by the ECSEL Participating State in the specific call.

6. In case the total EU funding allocated is less than the expenditure foreseen for the Call, the non-allocated amount may be de-committed and reused in up to the next 3 years.

7. The PAB may decide to create a reserve list of proposals in case funding would become available (e.g. following failure to conclude a grant agreement in a reasonable time after the PAB decision). Such a list shall be made of the proposals that are not viable for reasons of budget availability following the decisions above. It shall be ordered according to the final ranking as decided under step III.9 (1).

8. Following the evaluation and PAB mandate to Executive Director, and within a maximum period of 5 months from the deadline for submission of FPPs, the Executive Director shall communicate the PAB decision on selection (including any budget changes resulting from the PAB decision) to applicants.

The results of the evaluation (ESRs) shall be communicated to applicants at the latest at the same time as the communication of the PAB decision on selection.

9. The Executive Director shall invite the coordinators to the Grant Agreement Preparation phase through the electronic exchange system.

III.10. PAB Mandate to Executive Director

1. For each proposal retained for funding, the PAB shall give the Executive Director a mandate to prepare the JU grant agreement. To that end, the ECSEL JU operational services managing the call shall prepare, under the responsibility of the Executive Director, the 'Description of action' within the limits of the PAB mandate[25] and taking into account any minor recommendations for changes resulting from the evaluation of the proposals.

   a) In case that the grant preparation has been successfully completed within the mandate, the Executive Director shall transmit the results to the PAB and the corresponding national funding authorities of the participants in the projects together with all relevant documentation in order to proceed, where relevant, with the establishment of the national grant agreements.

   b) In cases of substantial changes not foreseen by the PAB mandate (such as the unexpected withdrawal of a partner), the Executive Director shall transmit a 'Project change request' to the PAB for approval. If the change request is approved, the decision of the PAB shall be transmitted by the Executive Director to the corresponding national funding authorities of the participants in the project together with all relevant documentation in order to proceed with the establishment of the national grant agreements, where appropriate.

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

IV Grant agreements

1. After a successful preparation, the ECSEL JU shall transmit to the coordinators of the selected consortia the Joint Undertaking's grant agreement and the accession forms for electronic signature, in the terms and conditions specified by this grant agreement. The grant agreements shall be signed within a maximum period of 3 months from the date of informing applicants they have been successful (step III.9.(8)).

The decision of the PAB on the allocation of public funding to Projects shall be binding for the ECSEL Participating States without any further local evaluation or selection processes. In particular:

- The ECSEL JU shall conclude grant agreements with consortia of selected projects for the contribution of the EU and of the ECSEL Participating States having decided to entrust the ECSEL JU with the implementation of their contribution.

[25] The mandate shall include if appropriate the results of verifications carried out by the public authorities (early warning, outstanding legal and/or financial obligations, etc.) as well as the modifications in budget and possible changes in the consortia due to the non-eligibility of partners.

- Where applicable, the funding bodies responsible for fulfilling the obligations of ECSEL Participating States shall establish grant agreements with partners in selected projects, according to the local financial and legal requirements.
- The approved "Description of action" for each project as established by the ECSEL JU shall be used without change[26] for the JU Grant Agreement and, where applicable, for the grant agreements in ECSEL Participating States.
- The administrative and financial conditions of the JU grant agreements shall be governed by the Rules for Participation in Horizon 2020, the ECSEL JU Financial Rules and the administrative arrangements between the ECSEL JU and the ECSEL Participating States, if appropriate.

Where relevant, the ECSEL Participating States shall make best efforts to synchronize and accelerate their procedures for concluding their own grant agreements.

[26] Except for translations if necessary

Appendix

Rules for conflict of interest

The ECSEL JU operational services managing the call shall ensure that experts that have a conflict of interests are excluded from the concerned activity.

For a given proposal, a conflict of interest exists if an expert:

a) was involved in the preparation of the proposal, and/or

b) stands to benefit directly or indirectly if the proposal is accepted, and/or

c) has a close family or personal relationship with any person representing an applicant legal entity, and/or

d) is a director, trustee or partner or is in any way involved in the management of an applicant legal entity, and/or

e) is employed or contracted by one of the applicant legal entities or any named subcontractors, and/or

f) is a member of an Advisory Group set up by the Commission to advise on the preparation of EU or Euratom Horizon 2020 work programmes, or work programmes in an area related to the call for proposals in question, and/or

g) is a National Contact Point, or is directly working for the Enterprise Europe Network, and/or

h) is a member of a Programme Committee.

The ECSEL JU operational services managing the call will decide whether a conflict of interest exists — taking account of the objective circumstances, available information and related risks — when an expert:

- was employed by one of the applicants in the last three years, and/or

- is involved in a contract or grant agreement, grant decision, membership of management structures (e.g. member of management or advisory board etc.) or research collaboration with an applicant or a fellow (or had been so in the last three years), and/or

- is in any other situation that could cast doubt on his/her ability to participate in the evaluation of the proposal impartially (or that could reasonably appear to do so in the eyes of an external third party).

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