



ECSEL Joint Undertaking

Electronic Components and Systems for European Leadership



**Horizon 2020
European Union Funding
for Research & Innovation**

Guide for applicants

ECSEL JU Calls for Proposals (IA, RIA, CSA Actions)

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| V 1.0 ED 2018.183 | 16/02/2018 | <i>Initial version</i> | |
| V 2.0 ED 2019.233 | 25/01/2019 | <i>Update the links (embedded links) and reference links following the closure of the Participant Portal and opening of the Funding and Tenders Portal in December 2018. Update the nomenclature as per the changes in the Funding and Tenders Portal (Beneficiary Register became Participant Register, etc.), typos correction, formatting)</i> | whole document |

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INTRODUCTION

Questions?

calls@ecsel.europa.eu

All the questions pertaining to the ECSEL JU Calls are to be addressed to the above-mentioned functional mailbox, which is continuously monitored by the Calls team, who does its best to provide an answer as soon as possible (in principle when possible even the same day if a workday).

The ECSEL Joint Undertaking is a public-private partnership in nanoelectronics, embedded software and smart system integration, with the mission to implement a Joint technology Initiative within Horizon 2020.

The specificity of the ECSEL JU consists essentially in its three-partite funding scheme: the actions are indeed funded by the private sector supported by European grants, national grants (including in some cases even funding from regional sources) as well as ESI Funds/ESIF (European Structural and Investment Funds). Therefore, the proposals for ECSEL projects have multiple funding sources:

- EU funding through ECSEL JU
- national/regional funding (through the ECSEL Participating States)
- ESI Funds/ESIF (through the ECSEL Participating States)

This multi-partite funding results in requirements adjustments, which are specific to ECSEL JU and differ in quite a number of aspects from the general H2020.

This “Guide for applicants” provides the applicants with the necessary information and/or directs them to the appropriate sources of information necessary to prepare and submit the proposals for ECSEL JU Calls. It highlights the differences imposed by the ECSEL JU specificity, provides clarification where needed, gives additional information on an important topic: how to include in the projects partners and/or cost items supported using ESI Funds or ESIF, and redirects the applicants to the H2020 sources for the aspects which are common with the H2020

All the information concerning the ECSEL JU Calls is published on [ECSEL JU website](#) and can be found in the menu “**Participate**” / “**Current Call**” – including the links to the **Calls Pages** in the [Funding and Tenders Portal](#) (under “**Search Funding & Tenders**” / “**Grants**” / “**H2020**”). The Funding and Tenders Portal replaced the previous Participant Portal in December 2018 and it represents the Single Electronics Data Interchange Aria (SEDIA). The electronic submission system is an online wizard that guides the applicants step-by-step through the preparation of their proposal.

The proposals for ECSEL JU Calls MUST be submitted ONLY through the dedicated Calls Pages in the Funding and Tenders Portal!

In this document are described important issues the participants are confronted with, at various stages at submission and grant management phases:

SUBMISSION

- The ***TIMELINES (deadlines for the proposals submissions)*** are clearly indicated both on the ECSEL JU website and on the Calls Pages in Funding and Tenders Portal in the format: date (day/month/year), time (hh:mm:ss Brussels time/CET).
- The ***Type of action (IA – Innovation Action, RIA – Research and Innovation Action, CSA – Coordination and Support Action)*** addressed by each Call is clearly indicated both on the ECSEL JU website and the Calls Pages in Funding and Tenders Portal and the participants are invited to carefully check this information in order to assess which call they target and in which call their proposal is submitted (whether IA, RIA or CSA)
- Clear information on the type of Call; whether ***one stage (Full Project Proposal – FPP) or two stages (Project outline – PO AND Full Project Proposal – FPP)*** is also provided both on the ECSEL JU website and on the Calls Pages in Funding and Tenders Portal.
- For the ***two stage Calls the first stage (PO) is BOTH Mandatory and GATING***. Only the proposals that successfully passed the PO stage are invited to submit a FPP. Successfully passing a PO phase means being scored above threshold. Thresholds apply to each evaluation criteria and to the overall score of a proposal.
- ***Admissibility and eligibility criteria*** are indicated for each call in the ECSEL JU Annual Work Plan. It is possible to have some differences between the Calls therefore the applicants are advised to check which criteria apply to the calls they target.
- The ***thresholds*** are listed in the respective ECSEL JU Annual Work Plan, which is part of the Calls Documents and available on both ECSEL JU website and Calls Pages in the Funding and Tenders Portal. They may change from year to year therefore the applicants are advised to carefully check the respective Annual Work Plan. ***Thresholds may differ from PO to FPP phase as well as from Call to Call depending on the type of action (IA, RIA, CSA).***
- ***The Evaluation criteria*** for each Call are presented in detail in the ECSEL JU Annual Work Plan above mentioned. The applicants are invited to check each year the respective Annual Work Plan as there can be changes from year to year. A self-evaluation form is also provided in the Calls Documents in case, applicants would like to self-check their proposal.
- The overall ***Evaluation and Selection Procedures related to the ECSEL JU Calls for proposals*** are decided by the PAB (Public Authorities Board) and the decision is part of the Calls Documents published both on ECSEL JU website and on Calls Pages in Funding and Tenders Portal.

- **Templates for the Proposals** are provided in the Calls Pages in the Funding and Tenders Portal (they can be downloaded from the Funding and Tenders Portal once the Coordinator created a draft proposal). They contain clear indications/instructions on how to fill in the various sections. Applicants are advised to carefully read the instructions and follow them. Model templates (pdf format for information only!) are also provided both in the Funding and Tenders Portal and ECSEL JU website for the applicants' convenience.
- A **proposal may consist of several documents/parts** depending on the **type of Action (IA, RIA, CSA)**. Applicants are invited to carefully check that when submitting the proposal all required documents/parts/information are correctly included. Failure to submit all the documents/parts/ information may render the proposal not admissible. The documents/parts of the proposals are clearly indicated on the Calls pages.
- **Admissibility and eligibility conditions** are clearly indicated in the Calls Documents above mentioned. Applicants for ECSEL JU proposals must be aware that there for ECSEL JU proposals there are several levels of admissibility and eligibility due to the various funding sources:
 - Admissibility and eligibility at EU level
 - Admissibility and eligibility at national/regional level (for national/regional funding)
 - Admissibility and eligibility for ESI Funding (for beneficiaries receiving ESI Funding)

All are described in the ECSEL JU Annual Work Plan and the applicants are invited to contact at their earliest convenience the respective National Funding Authorities to check compliance at national/regional/ESIF level.

Applicants shall be aware that various **Calls may have various admissibility and eligibility conditions** depending on the type of action therefore applicants are advised to carefully check the admissibility and eligibility conditions of the Call they submit their proposal to.

- The **EU Funding Rates in ECSEL** grants differ in principle from the funding rates of the H2020. They are clearly indicated in the respective ECESL JU Annual Work Plan. They are also specific to the type of action addressed by the Calls (IA, RIA, CSA). Consequently, the applicants are advised to carefully check the EU Funding Rates of the Call they submit their proposal to. The Funding Rates can also change from one year to another. The same is valid for the **national funding rates and/or ESI Funds**.
- **Information on the outcome of the evaluations:** The H2020 rules apply also to ECSEL JU Calls: i.e. 5 months from the final date of the submission. For the two stage Calls, the applicants will be communicated the results of the first stage (PO results) at the latest 6 weeks before the deadline for the second stage submission (FPP submission). Only the successful proposals that passed the PO stage will be invited to submit a FPP proposal.

GRANT AGREEMENT

- All the projects** funded by ECSEL JU **ARE REQUIRED** to conclude/sign a **Grant Agreement**. The Grant Agreement is published on the Calls pages together with the other Call Documents. Applicants who are not familiar with the document are invited to check its provisions in due time to avoid misunderstandings at the Grant Agreement Preparation (GAP) stage. The document is not subjected to any changes and it must be signed such as (no negotiations possible on provisions, wording, etc. – it is a take it or leave it). Depending on the specific situation of each project some provisions may or may not be applicable: for example if the project opts out of the “Open access to research data” Pilot the related provisions (Article 29.3) are not applicable.
- Indicative date for signature of the ECSEL Grant Agreements (GA)**. As soon as the ECSEL PAB (Public Authorities Board) takes the funding decision, the coordinators of the proposals selected for funding are invited to start the GAP process using the electronic exchange system. The indicative date for the signature of the GA: 8 months from the final date of submission (in case of the two stage Calls the final date of submission of the second stage: FPP submission).
- National Grant Agreements (National Contracts) / ESIF Grants (ESIF Contracts)**. As a consequence of the ECSEL JU three-partite funding the participants in ECSEL projects are in general requested to conclude also Grants/Contracts with the funding authorities in their respective countries in order to receive the National/Regional/ESI Funding. The procedures for these grants/contracts are specific for each country and in case of the countries with various funding sources, there may be differences even the same country due to these sources (for example a country where both National and ESI Funding are available as the funds may be managed by different organizations). Because the National/Regional/ESI Grants (Contracts) are handled exclusively by the National Funding Authorities in the respective countries, the applicants are advised to contact them directly. Ideally as soon as they receive the invitation for the Grant Agreement Preparation from ECSEL JU in order to have both processes (at EU level and at the national level) run at the same time (in parallel) in order to align/synchronize the requirements at both levels. In some countries, the National Funding may depend on the amount of EU Funding received and changes of one imply adjustments of the other. ECSEL JU office and the National Funding Authorities work together to align and synchronize the steps but this is only possible with the full cooperation of the applicants. They must also be aware of the specific conditions at the national level: for example if in a country the costs are only eligible from the date, the National/ESIF Grant/Contract is signed even if the project starts at an earlier date.
- Consortium Agreement**: In line with the Rules for Participation and the ECSEL JU Grant Agreement, **the beneficiaries are required to conclude a consortium agreement**. In principle the consortium agreement shall be concluded **BEFORE** the signature of the ECSEL JU GA. This proved in the past to be a big challenge especially for large consortia. Consequently, the applicants are advised to give appropriate consideration to this item. Payments of the

ECSEL JU Grant follow the pace and rules of H2020, which means that practically ECSEL JU transfers the money due (pre-financing, interim payments, payment of balance) to the Project Coordinator, which will further distribute it to the beneficiaries in the consortium. It is therefore highly advisable especially for the coordinator to ensure that *sufficient and proper provisions are included in the Consortium Agreement with respect to payments handling* and minimizing financial risk within the consortium.

- *One of the major difference between ECSEL JU Grants and H2020 Grants is that in ECSEL JU Grants transfer of budget between beneficiaries requires an amendment while in H2020 not.*

PREPARE AND SUBMIT YOUR PROPOSAL

The applicants are advised when they start to prepare the proposal to check:

- what Calls are open for proposals and what type of actions they target (ECSEL-IA, ECSEL-RIA, ECSEL-CSA, etc) in order to decide where their proposal would fit (in which Call to submit it). **CAUTION:** the main difference between RIA and IA type of actions is the TRLs (Technology Readiness Levels). The proposal's TRLs must match the Call's TRLs (described in the ECSEL JU Annual Work Plan).
- what topics/focus areas/major challenges are opened in the respective Calls: not all the topics/focus areas/major challenges described in the MASP (ECSEL JU Multiannual Strategic Plan) may be opened to all the Calls. Some Calls can be open only to certain topics/focus areas/major challenges. Applicants must make sure that the proposal addresses the topic(s) opened in the Calls the proposal is submitted to!
- whether the Call is a one stage or two stages and the timelines for the respective stages in order not to miss the submission deadline(s).
- available budgets (EU/ national/ regional/ ESI Funds) including capping of the funding (at EU/national/regional/ESIF level) per project and/or per beneficiary and eligibility of the participants to get EU and/or national/regional/ESI funding in order to correctly establish the budget of the proposal and the composition of the consortium. If for example in one ECSEL Participating State there is no national budget available for the respective Call/topic the consortium shall evaluate the risk of including partners from the respective ECSEL Participating State in the proposal. There might also be some specific eligibility criteria for funding at national level (e.g. include a SME in the consortium, or include an academic and an industrial partner, etc.). The budgets are listed in the ECSEL JU Annual Plan as well on the ECSEL website and kept always up to date. The applicants are strongly encouraged

to contact their National Funding Authorities as indicated in the ECSEL JU Annual Work Plan at their earlier convenience and check for potential issues related to the eligibility for getting national/regional/ESI Funds.

- what documents/information are requested for proposal submission. Depending on the Call there might be differences concerning the documents/information needed to be included in the proposal submitted. Applicants are advised to verify that all the documents/information needed was properly submitted and they have been filled in according to the given instructions.

Proposals must be created and submitted by a representative/contact person of the coordinating organisation (“coordinator”). The proposal coordinator sets up the consortium (“Add Partners”), and give access to other contact persons. Partners ('participants') must be identified at this step by their nine-digit PIC numbers (Participant Identification Code). To facilitate the consortium set-up, a search function is provided in the system or on the [Participant Register](#) page of the Funding and Tenders Portal. All participants have to be registered in the system before this step so that they can be found with the search function. Participants who do not have a PIC number need to register their organisation by following the [instructions](#) given in the Funding and Tenders Portal. All the information on the steps to follow in order to submit a proposal is available in the Funding and Tenders Portal under “[How to Participate](#)”. For step by step tutorials with screen shots and short videos just click on  button. There are  for all the phases of the process (registration of beneficiaries, create a draft proposal, fill in the Part A, edit the proposal, add participants to the consortium, remove participants from the consortium). These  are very useful and the participants (especially the ones who are not familiar with the Funding and Tenders Portal Submission System) are strongly encouraged to make full use of them.

- **Proposals coordinators are advised to submit their proposals at least 48 hours before call closure!**

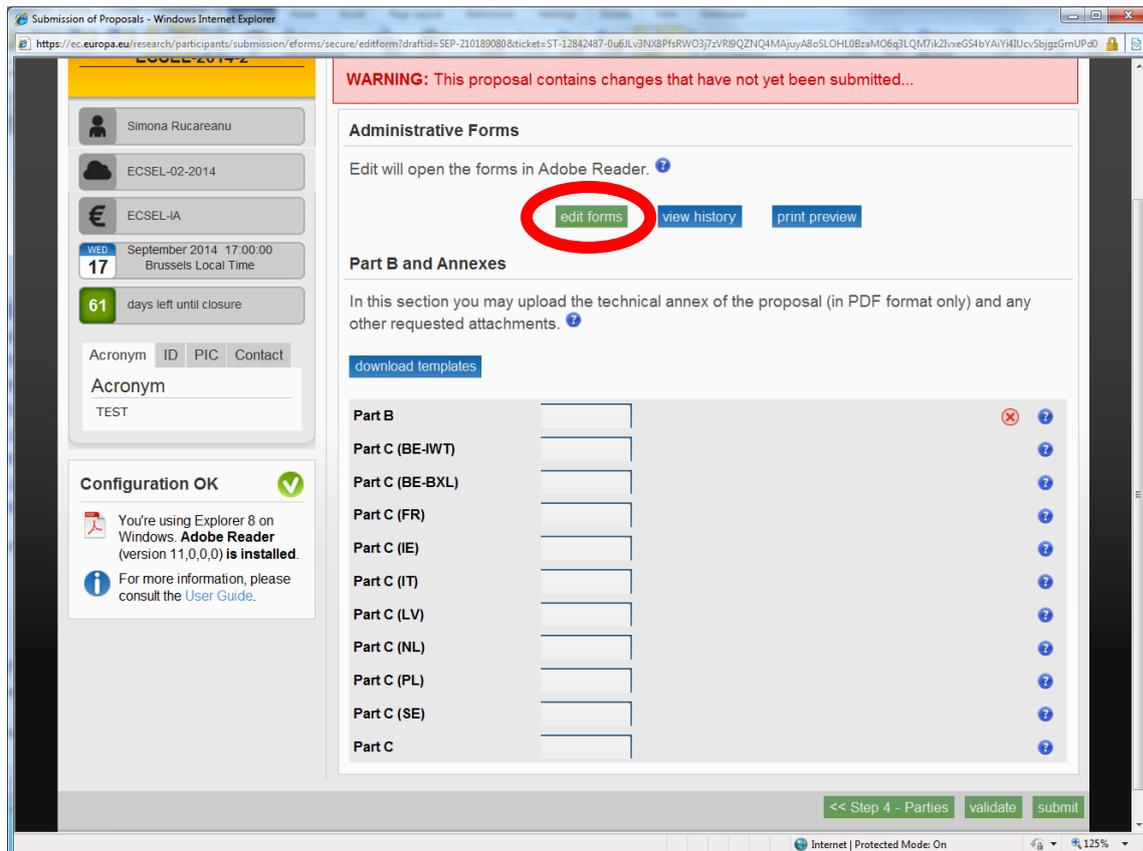
PART A

Unless indicated otherwise in the call conditions Part A is mandatory. Part A of the proposal contains the administrative information about the proposal and the participants. Necessary information includes a brief description of the work (a short abstract), contact details and characteristics of the participants, and requested budget by cost categories detailed in separate tables according to the H2020 rules, respectively to the national rules.

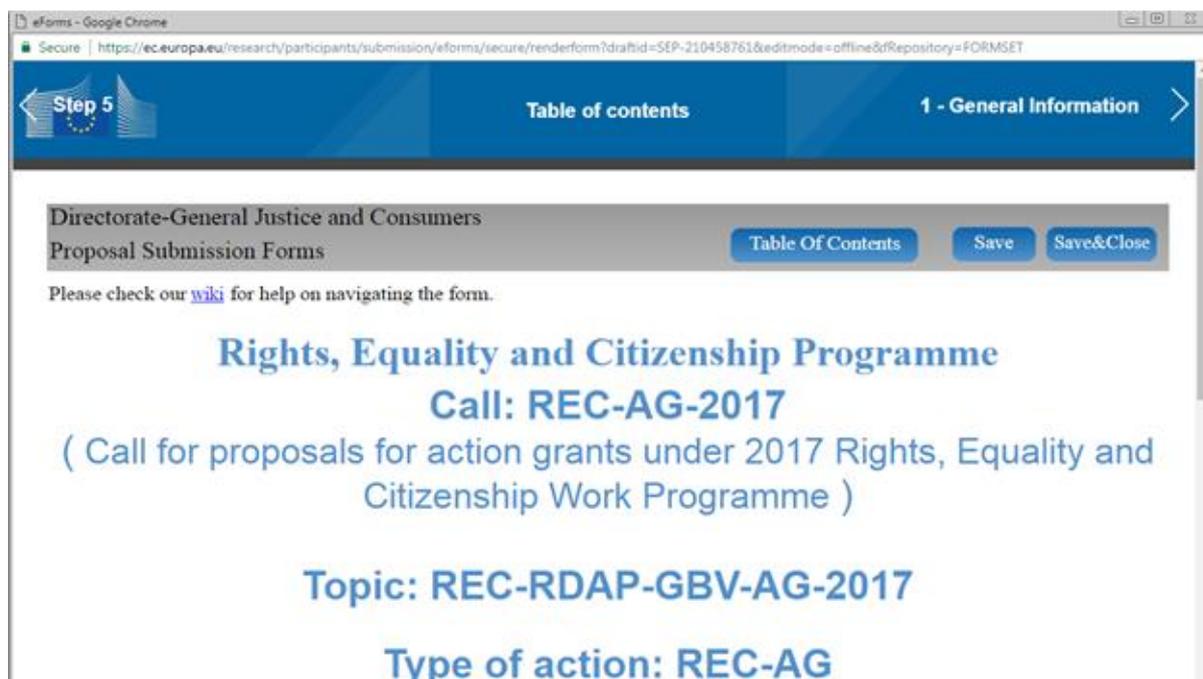
In case an applicant experiences IT-problems when filling in the Part A or at any stage/step of the proposal submission she/he is advised to contact the IT HelpDesk that is responsible for the Funding and Tenders Portal/H2020 IT tools:

<https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/support/helpdesks/contact-form> The part A must be filled directly/electronically in the Funding and Tenders Portal (there is no option to upload a prefilled form!)

IMPORTANT: starting with the ECSEL JU Calls 2018 a new submission system technology has been deployed (html), a web-based administrative form for the Part A, which replaces the previously pdf-based system. In order to start editing of the Part A the applicants the applicants must click on the **edit form** button as seen in the screen shot below.

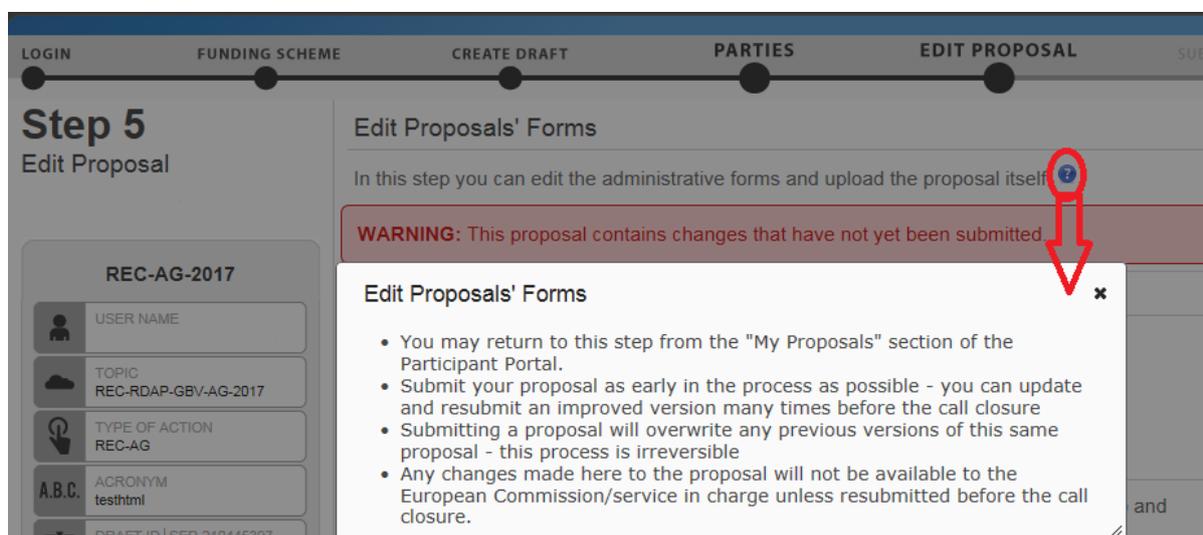


The administrative part looks like a webpage (i.e. the applicants can read "eForm" on the top of the emerging window like the one below):

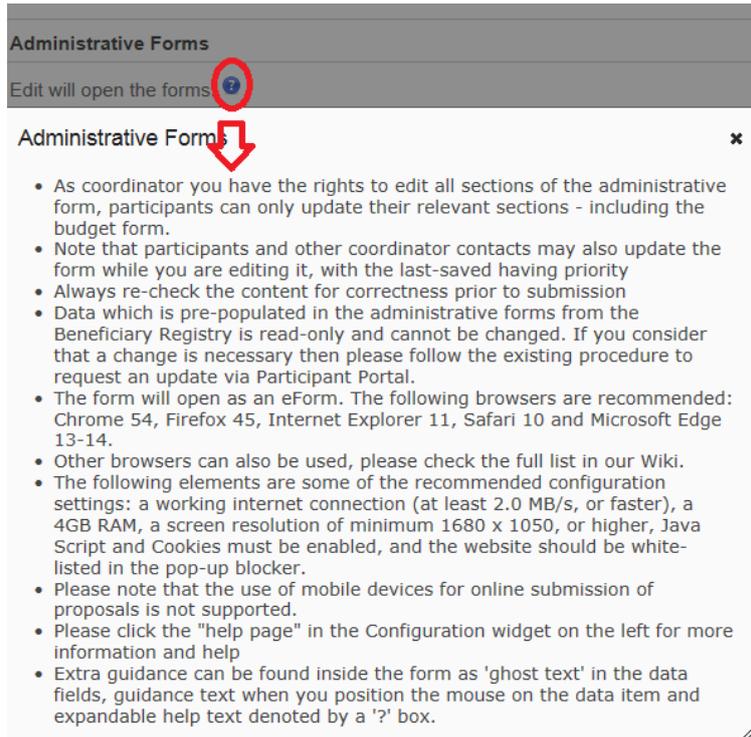


Familiarising with the Wizard and the Form

The applicants shall click the first  button at the top of the screen to read the general help instructions for editing proposal forms, as shown on the image below:



Then to click the  button in the **Administrative Forms** section to read the help instructions for editing the administrative forms of the proposal, as shown on the visual example below:



Guidance instructions embedded in the Form

By clicking on the question marks blue buttons  more information about the respective sections is displayed.

Each box of the form contains a short text with guidance on the format, the length and required information. Guidance for the fields are displayed when the cursor is brought over the boxes. Once clicked on the text or start editing the information, it disappears automatically.

Navigation in the Form

The different sections in the form can be viewed either by using the scroll bar or by clicking on the blue **Show** buttons in the Table of contents – as in the image below:

Table of contents

| <i>Section</i> | <i>Title</i> | <i>Action</i> |
|----------------|-------------------------|---|
| 1 | General information |  |
| 2 | Participants & contacts |  |
| 3 | Budget |  |

By clicking on the **Show** button, the applicants can easily get back to the respective fields to edit/correct them.

Saving the Data

IMPORTANT: NO DATA IS ACTUALLY SAVED UNTIL THE APPLICANT(S) PERFORM THE SAVING ACTION! To do so the applicant(s) must click on the button . The action can be performed at any given moment. After saving the data the applicant(s) can continue editing.

Before closing the form, click the  button. It just saves the data and closes the form for further editing later on, but it does not mean that the proposal is submitted yet. This will take the applicant(s) back to Step 5, where they can upload the Technical Annex and any additional documents. The applicants may return to edit the form as many times as they wish before the closing date of the call.

However, **it is very important to remember that any changes saved in the form need to be resubmitted to actually save them into the proposal, in case the proposal was already submitted once.**

The eForm allows the applicant(s) to **Go back** to Step 5 in the Submission Wizard by either clicking the Step 5 button in the cover page of the proposal (backwards button) or the Step 5 button of the validation results page (forward button). **In any of the two cases, leaving the form using these buttons does not save the changes operated, therefore the applicant(s) must make sure to save the form first.**

IMPORTANT: Applicants are advised to **check the Minimum Technical Requirements** section for further information about the compatibility recommendations to work with the eForm (section is accessible only after the applicants login in the system). The system provides a diagnostic window that will warn about some possible incompatibilities. To use the electronic submission system, the applicants must ensure that their computer configuration complies with the mandatory system requirements indicated in the **Minimum Technical Requirement** section.

The general information about the proposal and participants for ECSEL JU calls is the same as for H2020 and several fields are already prefilled with data available in the system (e.g. name and address of the participants that have a PIC). A participant can be added at any moment (before the proposal is submitted!) by using the “«Step 4 –Parties” as seen in the screen shot below. In the ECSEL Calls, participants can be added at both stages, at PO phase and at FPP phase.

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

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

This administrative part of the proposal consists of following sections:

Title page

1 - General information

2 - Administrative data of participating organizations

These chapters are the same as for the H2020 forms. The Main Contact of the Coordinator (coordinating organisation) is the only person that can complete the form, including the budget tables and all other administrative details. The other **Partners/Participants** can preview the form and edit their contact detail information.

3 - Budget for the proposal

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

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

Please, note that although a proposal refers to the same action (project), the budgets in the two tables, “JU Grant” and “National Grant”, can be significantly different, because of the differences in cost eligibility under H2020 and under national rules. If in an ECSEL Participating State there is also regional funding available the regional funding requested must be included in the “National Grant” table.

Examples:

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

The “JU Grant” table

Rules to calculate the budget to be taken into account for establishing the JU Grant can be found in the [Annotated Model Grant Agreement](#) (AMGA) as well as the [List of Issues applicable to particular countries](#). The articles in the AMGA referring to cost eligibility apply in full to the ECSEL JU. The important articles in this context are:

- Article 5, in particular section **3. Cost forms** and the table on p29-30 of the AMGA
- Article 6, essential, because it defines in detail the cost eligibility
- The Option F (Column G) for specific categories of cost does not apply to ECSEL JU.

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

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

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

The “National Grant” table

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

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

The participating states that entrust can be found in the respective ECSEL JU Annual Work Plan. Partners from those Participating States introduce in the National Grant table the same amounts of eligible costs as in the JU Grant table. The funding percentages for the national contribution are the same as for ECSEL JU.

- *Partners from a non-participating state*

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

- *Partners with ESI Funding*

Refer to the chapter in this document concerning this topic.

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

The participating states that do not entrust can be found in the respective ECSEL JU Annual Work Plan. Rules to calculate this budget can be found in respective ECSEL JU Annual Work Plan, that contains the eligibility and funding rules per ECSEL Participating State. Some national authorities require extra information in Part C or request that the applicants submit a national application separately (see the next chapter). Therefore, it is important that each applicant check out what is applicable to his/her organization.

The National Grant table is shown below:

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

- Column L is the personnel cost according to national rules
- Column M contains all the other national recognized eligible costs except for personnel and subcontracting,
- Column N contains the subcontracting as per national rules
- Column O are the indirect costs as per national rules
- Column P is automatically generated.
- Column R is the reimbursement rate as per national rules and is to be filled in if applicable
- Column S is automatically calculated based on R and P
- Column T is to be filled in by each participant/applicant and the next paragraph details its calculation

In order to fill in column T, one should consider the instructions given by the national authorities in the respective ECSEL JU Annual Work Plan.

Three specific cases are detailed below:

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

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

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

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

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

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

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

4. Linked third parties

Linked third parties should not be inserted as separate entities in the administrative forms, they should only be mentioned in the narrative part of the proposal (part B). No PIC is necessary at the proposal stage. **The budget planned for linked third parties** should be added to the budget of the beneficiary to which they belong (no separate row in the budget table for the third party). Only for a successful project entering the grant preparation phase, a PIC has to be provided for the linked Third Party and the budget for the Third Party has to be specified separately.

5 - Ethics issues table

The Ethics Appraisal Procedure concerns all activities funded in Horizon 2020 and includes the Ethics Review Procedure, conducted before the start of the project, as well as the Ethics Checks and Audits. The Ethics Appraisal Procedure is established by the Rules for submission of proposals, and the related evaluation, selection and award procedures

When preparing a proposal, it is required to conduct an [Ethics Self-assessment](#) starting with the completion of an [Ethics Issues Table](#). If your proposal raises one of the issues listed in the ethics issue checklist, you must complete the ethics self-assessment in Part B of your proposal (section 5).

Additional information and an e-Library providing access to the most important pieces of European legislation, international conventions and declarations and codes of conduct relevant to research activities can be found on the [Europa website](#).

For assistance you can contact the [Ethics Review Helpdesk](#) (select subject 13. Ethics in the enquiry form).

6 - ECSEL specific questions

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

- Under 5.1, the consortium shall tick one or more boxes to indicate in which of the three areas defined under Article 2.2 of the "Council Regulation (EU) No 561/2014 establishing the ECSEL Joint Undertaking" will the proposal foster new developments:
 - *design technologies, process and integration, equipment, materials and manufacturing for micro- and nanoelectronics while targeting miniaturisation, diversification and differentiation, heterogeneous integration;*
 - *processes, methods, tools and platforms, reference designs and architectures, for software and/or control-intensive embedded/cyber-physical systems, addressing seamless connectivity and interoperability, functional safety, high availability, and security for professional and consumer type applications, and connected services; and*
 - *multi-disciplinary approaches for smart systems, supported by developments in holistic design and advanced manufacturing to realise self-reliant and adaptable smart systems having sophisticated interfaces and offering complex functionalities based on, for example, the seamless integration of sensing, actuating, processing, energy provision and networking*
- Under 5.2, the consortium shall tick one of the two boxes to indicate agreement or disagreement with granting access to Part A of the proposal to the ECSEL Private Members (AENEAS, ARTEMIS-IA and EPoSS).

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

PART B

Unless indicated otherwise in the call conditions the Part B is mandatory!

The use of the appropriate template is mandatory for all stages of all ECSEL JU Calls. Not using it can result in non-admissibility of the proposal. Templates may differ from call to call, therefore the applicants are strongly advised to use the template provided in the respective Calls documents and to use it such as (no modifications/changes of the template!).

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

Clear instructions are provided in the templates with respect to what and how to fill in various sections. In the case of the two stage Calls (PO and FPP) for the first stage (PO) only some sections/parts of the template are mandatory – this is clearly indicated in the respective template. For the second stage (FPP phase), all sections of the template are mandatory.

The template is provided as a word/.rtf document to make editing easier, but the submission system (SEP) accepts '.pdf' files only. Therefore, **Part B MUST to be converted into '.pdf' before submission**. Attention has to be paid that features are not lost/distorted (rendered non readable) during the conversion (tables, figures, pictures, graphs, etc.)

In case the Call foresees page limits for various sections of the Part B, the page limits and sections subjected to limitations are clearly shown in the proposal template in the Funding and Tenders Portal electronic submission system. . The proposal is a self-contained document. Experts will be instructed to ignore hyperlinks to information that is specifically designed to expand the proposal, thus circumventing the page limit and disregard the excess pages when evaluating the proposals

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

The template is designed to highlight the aspects that will be assessed against the evaluation criteria mentioned in respective ECSEL JU Annual Work Plan. It covers, among other things, the nature of the work, its anticipated impact, the participants and their roles in the proposed project. The description of the expected entry for each criterion is given in the template.

Draft plan for the exploitation and dissemination

Proposals must include a **draft plan for the exploitation and dissemination** of the results, unless otherwise specified in the call conditions. The draft plan is not required for proposals at the first stage of two-stage procedures. Therefore, the applicants are strongly advised to check the respective call conditions.

Financial Support to Third Parties

When the Call foresees financial support to third parties the applicants are advised to check the conditions mentioned in the respective ECSEL JU Annual Work Plan and take them into account when preparing the proposal. If such funding is requested the applicants must fill in the specific section in the Part B following the instructions included in the Part B template of the respective Call. Applicants are also advised to consult the Grant Agreement provisions with respect to the financial support to third parties (Article 15). The Grant Agreement is provided in the Call Documents.

Description of the participants

The description of participants (Section 4: Members of the consortium) is not subjected to page limitations. This section must be filled in following the instructions provided in the template and taking into consideration the evaluation criteria presented in the respective ECSEL JU Annual Work Plan.

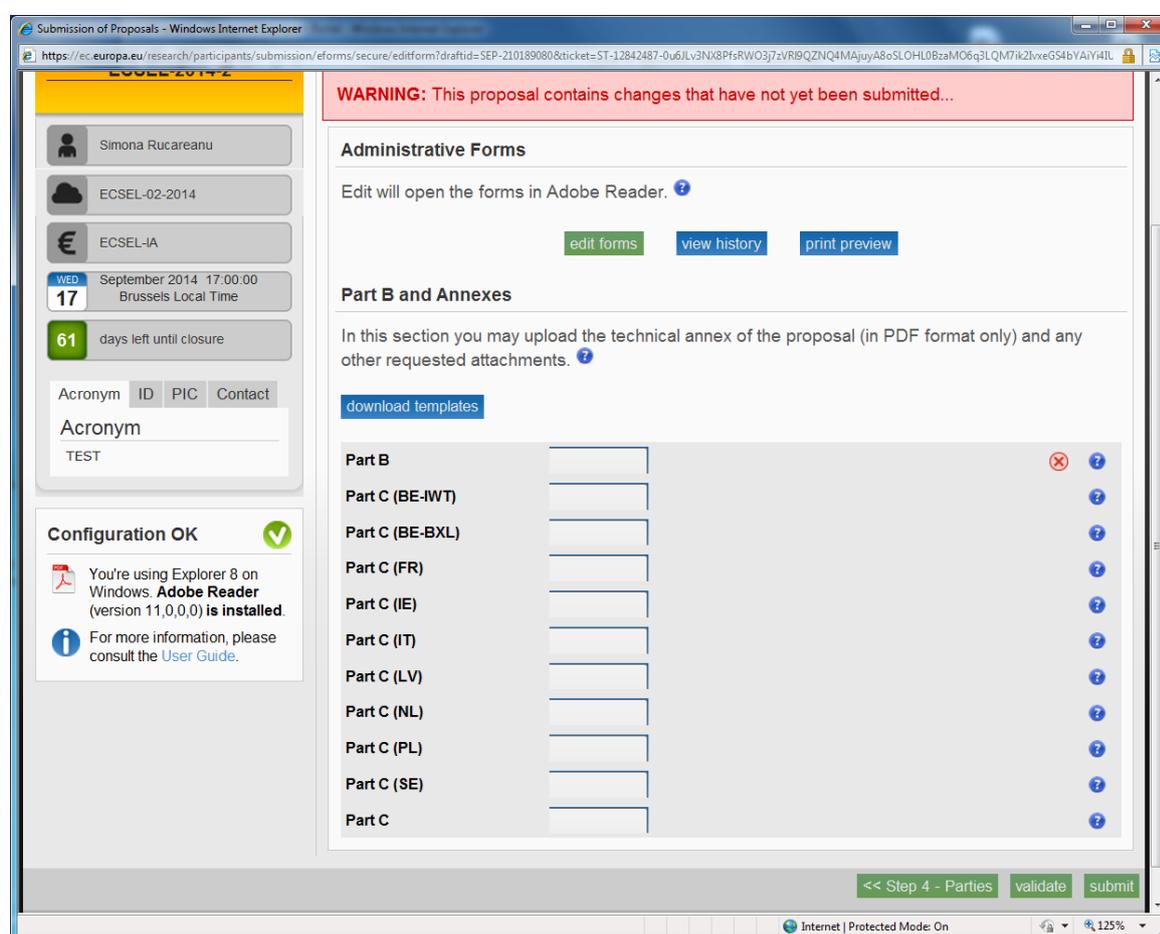
Publishable Summary

A **publishable summary** is requested (Section 6) , this is unique to ECSEL JU.

Not providing this summary can result in non-admissibility of the proposal!

PART C

Applicants are advised to check whether a Call for proposals foresees Part C or not. The easiest to check it is to look at the draft proposal page – if Part C is required then placeholders for the respective Part C are included and listed just below the placeholder for the Part B – see the screen shot below.



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

Participants from several ECSEL Participating States indicated in the section “**Country Specific Eligibility Rules**” of the respective ECSEL JU Annual Work Plan must provide additional information

according to the guidelines published in this document. These files, if requested, will be included in Part C of the proposal unless the guidelines in the “Country Specific Eligibility Rules” section instruct otherwise (e.g., uploading directly to a website of the national funding authority or submitting them through a dedicated IT system).

All Part C files of the participants from the same country must be grouped together in a specific folder identified by the country name; the folder contents shall be compressed in a single password protected zip file, before uploading it through the correspondent country specific place holder, provided by SEP for this purpose – see the above screenshot. There is also an additional placeholder, not attributed to a specific country, in case it may be needed. Applicants are advised to pay attention that the Part C files are uploaded into the proper placeholder (e.g. Part C of the Applicants from France (FR) shall be uploaded in the “Part C (FR) holder and not Part C (NL) holder which is dedicated to the Part C of the Dutch Applicants. This may result in not transmitting the necessary information to the respective national authorities correctly.

The ECSEL JU will provide a password for each specific country folder to the project coordinator upon request sent to the dedicated calls e-mail (ECSEL Calls Help Desk):

calls@ecsel.europa.eu

The request must mention the C proposal acronym..

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

In case of unexpected uploading problems of the Part C, the participants shall contact immediately either ECSEL Calls HelpDesk (calls@ecsel.europa.eu) or the representative of their National Funding Authorities (contact details are available in the section “Country Specific Eligibility Rules” of the respective ECSEL JU Annual Work Plan. A viable alternative will then be found to submit part C outside SEP. SEP will technically consider the proposal submission completed even if Part C has been partially loaded, or the uploading has been unsuccessful. This is because Parts C are specific to only applicants from certain ECSEL Participating States. Therefore, in the submission system the Parts C have an “optional” status, unlike the Part A and Part B, which are mandatory. It means that a proposal can be submitted without the Parts C but not without the Part A and Part B. The “optional” character of Parts C is only in order to avoid that potential IT issues with uploading the Parts C prevent/block the submission of the proposal itself. However, ***the coordinator of a proposal whose consortium includes participants from Participating States that require a Part C is strongly advised to check if the respective Parts C are properly uploaded in the system and submitted. Not uploading/submitted the Part C can have dire consequences and result in the respective participants being not eligible to receive national funding.***

ECSEL LIGHTHOUSE INITIATIVE – HOW TO PARTICIPATE

1. What is a Lighthouse Initiative?

A detailed description of the ECSEL Lighthouse Initiative can be found in the dedicated Annex of the respective ECSEL JU Work Plan, which is included in the Call Documents.

Applicants must be aware that not all Calls foresee participation to a Lighthouse Initiative. When Lighthouse Initiatives are foreseen and the Call is a two-stage Call the submission of the Lighthouse Initiative must be done at the second stage of the Call (FPP submission).

2. How will the Lighthouse Initiatives be adopted?

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

https://www.ecsel.eu/sites/default/files/2017-09/ecsel_gb_2017_79_-_lighthouse_initiatives_0.pdf

3. How can a proposal participate to Lighthouse Initiative?

When participation to a Lighthouse Initiative is foreseen in an ECSEL JU Call for proposals there are two possible options:

- a) **introduce a new Lighthouse Initiative:** the consortium must fill in the template for the Expression of Interest (EoI) provided in the respective Call documents (can be downloaded from the respective Call page in the Funding and Tenders Portal similar to the Part B of the proposal (as a .rtf or word document). Similar to the Part B of the Proposal the EoI document must be converted to .pdf, uploaded to the Funding and Tenders Portal using the dedicated placeholder and submitted together with the other parts/documents of the respective Call.
- b) **Participate in/join an existing Lighthouse Initiative:** the consortium must fill in the template for the Expression of Interest (EoI) provided in the respective Call documents (can be downloaded from the respective Call page in the Funding and Tenders Portal similar to the Part B of the proposal (as a .rtf or word document). Similar to the Part B of the Proposal the EoI document must be converted to .pdf, uploaded to the Funding and Tenders portal using the dedicated placeholder and submitted together with the other parts/documents of the respective Call.

All the information pertaining to the Lighthouse Initiative must be submitted **exclusively** via the EoI, no information is allowed in Part A and/or Part B of the proposal. Submission of the EoI is optional, therefore, not uploading an EoI in the system will not block the submission of the proposal. Therefore, the coordinator of a proposal that intends to either propose a new Lighthouse initiative or join an

existing Lighthouse Initiative is advised to check when submitting the proposal if the EoI document is properly uploaded and if the submission of the EoI was successful.

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

The Governing Board decision on the adopted Lighthouse Initiative will be made public (only the name of the Lighthouse not the content of the EoI document!). The decision is part of the ECSEL JU Annual Work Plan and is published on [ECSEL JU website](#) under the menu “*Documents*”/ “*Categories*”/ “*Governing Board*” / “*Decisions*”

An up to date list of the adopted Lighthouse Initiative and related information is provided on the [ECSEL JU website](#) under the menu “*Participate*”/ “*Lighthouses*”. This may be of interest for the proposals/consortia that plan to join an existing Lighthouse Initiative.

SELECTION AND EVALUATION OF THE PROPOSALS

The evaluation and selection procedures related to ECSEL JU Calls are subjected to the decision of the Public Authorities Board of ECSEL JU. The PAB decision is included in the Calls documents and the applicants are invited to consult it when preparing their proposals. There may be small adjustments from year to year therefore the applicants are advised to consult the decision in the Calls Document of the respective call and not rely in versions from previous years, which might be no longer valid. This document describes in particular the specific differences with regard to the generic H2020 procedure, including the role of the ECSEL Public Authorities Board (PAB) in the process.

Please note that H2020 does not foresee negotiations for the proposals selected for funding. Under ECSEL JU during the Grant Agreement Preparation phase (GAP) there will be a request-for-change procedure to align the national and EU sides of the proposals during the GAP phase. The process will be concluded with the PAB decision for funding based on which the Grant Agreements are signed.

Evaluation criteria, Scoring, and Thresholds

The evaluation criteria, scoring and the thresholds for each ECSEL JU Call for proposals are published and described in detail in the respective ECSEL JU Annual Work Plan, which the applicants are invited to consult when preparing and submitting their proposals. Caution is advised as there may be differences between various Calls, various topics within the same Call, between stage one (PO) and stage 2 (FPP) of the same Call.

A self-evaluation form is made available in the Calls Documents for participants who may themselves wish to arrange an evaluation of their proposal (e.g. by an impartial colleague) prior to final editing, submission and deadline. The aim is to help participants identify ways to improve their proposals.

The forms used by the experts for their evaluation reports will be broadly similar, although the detail and layout may differ.

These forms are based on the criteria, scores and thresholds defined for the respective Calls as above-mentioned.

A self-evaluation, if carried out, is not to be submitted to the ECSEL JU, and has no bearing whatsoever on the conduct of the evaluation. It is exclusively for the use of the applicants.

As per the ECSEL PAB decision on the evaluation and selection procedures related to the Calls for Proposal (included in the Call's Documents) a possibility is given to the applicants to send a list of companies or experts that should not be assigned to the evaluation of the proposal – by email to calls@ecsel.europa.eu (together with the supporting justification).

ESI FUNDS

The Europe 2020 strategy towards smart, sustainable and inclusive growth will make significant progress by building upon the synergy between the cohesion policies and the excellence objectives of Horizon 2020. Combining funding from different European sources is now an accepted implementation tool. ECSEL JU has already several running projects with beneficiaries that receive ESI Funding. When an ECSEL JU Call for proposal foresees the option to have ESI Funds this is stated in the respective ECSEL JU Annual Work Plan by including the following provision: *“Applicants may submit proposals referring to cost items contributing towards the milestones and deliverables of an action that are independently funded by other European sources.”* In addition, the ESI Funds available are indicated in the budget table of the ECSEL JU Annual Work Plan as well as on ECSEL JU website (calls pages) (for each country where such funding is available).

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

- One or more participants
- One or more cost items

Including participants supported by ESIF in the ECSEL project proposal form

Any applicant/participant supported with ESI Funds (“ESIF participant”) will become legally a part of a project consortium by signing an accession form to the ECSEL JU GA. It is therefore necessary that the ECSEL JU GA includes provisions justifying the accession, both in terms of the contributions to the project administrations, as per Part A of the proposal, and in terms of the scientific and technical contributions as per ECSEL JU GA Annex 1 Description of Action (DoA) which integrates the Part B of

the proposal. Therefore, the proposal must identify the “ESIF participant(s)” and its/there contributions as indicated below:

- Part A
 - There will be an entry for each “ESIF participant” under *2. Administrative data of participating organizations (the same as for the other participants)*
 - “”, in the section *3. Budget for the proposal* the ESIF participants will introduce zero euro costs and request zero euro JU grants (column K of the JU Grant table) and zero euro national grants (column T of the National Grant table). The budget of the ESIF Participant(s) will be included in the Part B of the proposal as described below.
- Part B
 - There will be an entry for each “ESIF participant” on the *Cover page*, in the table *List of participants*
 - Under *3. Implementation*:
 - There is no specific need to individually identify the “ESIF participant” involvement under *3.1 Work plan – Work packages*, deliverables and milestones, but the corresponding tables must – or some of them may – have specific entries. Tables under 3.1:
 - the resources allocated (in person/months) and the description of work including the role of the “ESIF participant(s)” are included for each relevant segment of *Table 3.1b: Work Package Description*
 - Should any “ESIF participant” assume leadership for a work package, it will be mentioned in *Table 3.1a: List of work packages*
 - Should any “ESIF participant” assume leadership for a deliverable, it will be mentioned in *Table 3.1c: List of Deliverables*
 - The interactions of the consortium with the “ESIF participant(s)” shall be explained under *3.2 Management structure, milestones and procedures*. The chapter will describe the risk that the ESI Funds will not be allocated as planned by the “ESIF participant” and will identify the mitigation measures. Tables under 3.2:
 - *Table 3.2b: critical risks for implementation* will identify the possibility that ESI Funds will not be allocated as planned by the “ESIF participant”
 - The “ESIF participant(s)” and their contributions shall be described in some detail in *3.3 Consortium as a whole*
 - A specific entry is necessary under *3.4 Resources to be committed*. Table under 3.4:
 - The efforts of the “ESIF participant” will be included in *Table 3.4a: Summary of staff effort*
 - The total eligible costs and the requested funding of the “ESIF participant” shall be introduced in *Table 3.4c: Support through ESI Funds*
 - Under *4. Members of the consortium*
 - Each “ESIF participant” will have an entry under *4.1 Participants (applicants)*

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

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

– Part A

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

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

– Part B

○ Under 3. *Implementation*:

- There will be an entry for each “ESIF work package” in 3.1 *Work plan – Work packages, deliverables and milestones*. Tables:
 - there will be a specific entry for each “ESIF work package” in *Table 3.1b: Work package description*
 - the “ESIF work package” will be consolidated with other work packages in *Table 3.1a: List of work packages*
 - the deliverables resulting from this work package will be consolidated in *Table 3.1c: List of Deliverables*
- The risk that the ESI Funds will not be allocated as planned will be addressed under 3.2 *Management structure, milestones, and procedures* together with the mitigation measures. Tables under 3.2:
 - the milestones related to the “ESIF work package” will be listed in *Table 3.2a: List of milestones*
 - *Table 3.2b: critical risks for implementation* will identify the possibility that ESI Funds will not be allocated as planned
- A table with the participants involved in the “ESIF work package” showing the expenditures planned by each of them will be added under 3.4 *Resources to be committed*. Table under 3.4:
 - The efforts related to the “ESIF work package” will be included as a specific column in *Table 3.4a: Summary of staff effort* (the efforts

related to the other WPs covered by the JU Grant will be filled in in the columns dedicated to these WPs)

- The total eligible costs and the requested funding of the “ESIF participant” shall be introduced in *Table 3.4c: Support through ESI Funds*

- Under 4. *Members of the consortium*
 - Each “ESIF participant” will have an entry under 4.1 *Participants (applicants)*

PARTICIPANTS FROM THIRD COUNTRIES AND INTERNATIONAL ORGANIZATIONS

The list of countries eligible for ECSEL JU funding is published in the Funding and Tenders Portal:

https://ec.europa.eu/research/participants/data/ref/h2020/other/wp/2018-2020/annexes/h2020-wp1820-annex-a-countries-rules_en.pdf.

The applicants to ECSEL JU Calls for proposals are invited to consult it when preparing their proposals in order to check whether they are eligible or not for receiving funding in ECSEL projects.

Participants from third countries are excluded from funding but not from participation to H2020 projects. Under special circumstances European Union funding can be attributed to such a participant.

Legal entities established in countries not listed above and international organisations (IOs) will be eligible for funding:

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

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

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

- Part A
 - There will be an entry for such partner under 2. *Administrative data of participating organizations*
 - If such partner applies for European Union funding then there will be a line under 3. *Budget for the proposal* introducing the costs (in Euro) and the requested JU grants

(column K of the JU Grant table). The national grants (column T of the National Grant table) must not be filled in.

- Part B
 - There will be an entry for such partner under *Cover page*, in the table *List of participants*
 - Under *3. Implementation*:
 - There is no specific need to individually identify such partner involvement under *3.1 Work plan – Work packages*, deliverables and milestones, but the corresponding tables must – or some of them may – have specific entries. Tables under 3.1:
 - the resources allocated (in person/months) and the description of work including the role of such partner are included for each relevant segment of *Table 3.1b: Work Package Description*
 - Should any such partner assume leadership for a work package, it will be mentioned in *Table 3.1a: List of work packages*
 - Should any such partner assume leadership for a deliverable, it will be mentioned in *Table 3.1c: List of Deliverables*
 - The interactions of the consortium with such partner shall be explained under *3.2 Management structure, milestones, and procedures*. The chapter will describe the risk that Union funding will not be allocated as planned to such partner and will identify the mitigation measures. Tables under 3.2:
 - *Table 3.2b: critical risks for implementation* will identify the possibility that Union funding will not be allocated as planned by such partner
 - Such partner and their contributions shall be described in some detail in *3.3 Consortium as a whole*
 - Very important: In *3.3 Consortium as a whole* the coordinator must explain why the participation of such partner is essential for carrying out the action.
 - A specific entry is necessary under *3.4 Resources to be committed*. Table under 3.4:
 - The efforts of such partner will be included in the *Table 3.4a: Summary of staff effort*
 - Under *4. Members of the consortium*
 - Such partner will have an entry under *4.1 Participants (applicants)*

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

LINKED THIRD PARTIES

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

In the Part B of the proposal (section 4.2), the linked third party, the link of the participant/applicant to the third party, and the description and justification for the tasks to be performed by the third party must be included. The verification and validation of status of the linked third party are carried out in the frame of Grant Agreement Preparation (GAP phase) shall the proposal be selected for funding.

LEGAL STATUS OF THE PARTICIPATING ORGANIZATIONS

As already mentioned in section “Part A” of this document, participants can only be added to the proposal via a PIC number. With a PIC number, the legal data of an organisation is imported in a **read only** mode into Part A of the proposal. Therefore, it is very important that this legal data is correct and up-to-date for each of the participants in the [Participant Register](#). More information regarding the Participant Register is available in the Funding and Tenders Portal:

http://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/applying-for-funding/register-an-organisation_en.htm

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

LEGAL STATUS ENTERPRISE FP7 ICM PROGRAMME SUBMIT DONE

Research

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

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

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

Enter the Research legal status of the organisation

Is it a Non-Profit Organisation? Yes No

Is it a Public Body? Yes No

Is it an International Organisation? Yes No

Is it an International Organisation of European Interest? Yes No

Is it a higher or secondary education establishment? Yes No

Is it a Research Organisation? Yes No

Is it a large infrastructure organisation? Yes No ⓘ

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

Is it a Civil society organisation? Yes No ⓘ

Civil society organisation type Citizens' association pursuing a ▾

Close < Back Save Draft Next >

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

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

[SMEs](#)

The European definition for an SME is used:

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

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

If a legal entity is not yet validated as an SME in the system or the information is older than 2 years (counting back from the year the Call is published), the ***SME self-assessment module*** in the [Participant Register](#) must be completed by the LEAR of the respective entity (LEAR = Legal Entity Appointed Representative). For the Calls for proposals having two stages this holds for the second stage (FPP phase) only. For the PO phase, the LEAR may decide to complete the SME self-assessment module in the [Participant Register](#) at that moment or to postpone this task for later during the FPP phase.

[PROJECT COORDINATORS – FINANCIAL VIABILITY CHECK](#)

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

[EXTENDED OPEN RESEARCH DATA PILOT IN HORIZON 2020](#)

As of the Commission Work Programme 2017 the Open Research Data pilot is extended to cover all thematic areas of Horizon 2020 per default.

However, the Commission recognizes that some research data cannot be made open and applies the principle of '**as open as possible, as closed as necessary**'. It is therefore possible to opt out of research data sharing at any stage - before or after the signature of the grant agreement - but reasons have to be given e.g. for intellectual property rights (IPR) concerns, privacy/data protection concerns, national security concern, if it would run against the main objective of the project or for other legitimate reasons.

A proposal **will not be evaluated more favourably if the consortium agrees to share its research data, nor will it be penalised if it opts-out**. The proposals which do not opt out at the Proposal Submission stage must provide a Data Management Plan (DMP) in the Part B of the proposal: details on what data will be open: what data the project will generate, how it will be exploited and made accessible for verification and re-use, and how it will be curated and preserved. To opt out at the proposal submission stage the coordinator selects the “YES” answer for the question in the Part A and provides a justification for opting out – see an example in the screen shot below:

| | | |
|--|--------------------------------------|--------------------------|
| We wish to opt out of the Pilot on Open Research Data in Horizon 2020. | <input checked="" type="radio"/> Yes | <input type="radio"/> No |
|--|--------------------------------------|--------------------------|

If opting out please indicate the reason(s) for not being able to participate in the Pilot:

| | |
|--|-------------------------------------|
| - the project does not generate any data | <input type="checkbox"/> |
| - to allow the protection of results (e.g. patenting) | <input checked="" type="checkbox"/> |
| - incompatibility with the need for confidentiality linked to security | <input type="checkbox"/> |
| - incompatibility with privacy/data protection | <input type="checkbox"/> |
| - achievement of the project's main aim would be jeopardised | <input type="checkbox"/> |
| - other legitimate reasons | <input type="checkbox"/> |

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

ECSEL JU GRANT AGREEMENT SPECIFICITIES

The ECSEL JU Grant Agreement (ECSEL JU GA) is not involved at the proposal submission stage but it is extremely important for the proposals selected for funding as it is the legal act establishing the rights and obligations of the parties involved. After the ECSEL JU Public Authorities Board (PAB) takes the funding decision, the coordinator is informed and the consortia are invited to start the [Grant Agreement Preparation](#). During this phase the projects are aligned with the developments at national levels (synchronization of funding, etc). The process is concluded with the signature of the Grant Agreement. The coordinator on behalf of the entire consortium signs the Grant Agreement, while the other beneficiaries will sign the accession forms (one form per beneficiaries). The ECSEL JU Grant Agreement as well as the Annotated Model Grant Agreement are provided together with the other documents pertaining to the Call.

ECSEL JU GA has several important differences in comparison to the H2020 Model Grant Agreement:

1. **The funding percentages for the EU contribution are different from H2020.** The applicable values are the ones defined in the respective ECSEL JU Annual Work Plan. According to Commission Delegated Regulation (EU) No 610/2014 by way of derogation from Article 28(3) of Regulation (EU) No 1290/2013, the ECSEL Joint Undertaking may apply different reimbursement rates for the Union funding within an action dependent upon the type of the participant and the type of activity in actions where one or more ECSEL Participant States co-fund a participant or the action.

2. **Amendments are required when transferring budgets between beneficiaries:**

CHAPTER 2 ACTION

ARTICLE 4 — ESTIMATED BUDGET AND BUDGET TRANSFERS

4.2 Budget transfers

The estimated budget breakdown indicated in Annex 2 may be adjusted - without an amendment (see Articles 55) – by transfers of amounts between budget categories and/or forms of costs set out in Annex 2, if the action is implemented as described in Annex 1.

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

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

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

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

3. The Regulation (EU) No 561/2014 prescribes that the ECSEL Participating States may decide if they will entrust the JU with the implementation and/or payment of their contributions (entrusting states), or if they will conclude national grant agreements with participants to indirect actions funded by ECSEL JU (non-entrusting states).

For partners from entrusting ECSEL Participating States (the list is provided for each Call in the respective ECSEL JU Annual Work Plan), **the national contribution is added to the EU contribution; the sum of the two contributions represents the JU Grant.**

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

CHAPTER 3 GRANT

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

5.2 Form of grant, reimbursement rates and forms of costs

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

- *for beneficiaries established in [insert Participating country having entrusted the JU with the implementation and payment of its contributions]:
[insert percentage¹] % of the eligible costs of the beneficiaries [and linked third parties] that are SMEs or natural persons,
[insert percentage²] % of the eligible costs of the beneficiaries [and linked third parties] that are for-profit private entities other than SMEs,
[insert percentage³] % of the eligible costs of the other beneficiaries [and linked third parties],*
- *for beneficiaries established in [insert Participating country having entrusted the JU with the implementation and payment of its contributions]:*

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

[insert percentage⁴]% of the eligible costs of the beneficiaries [and linked third parties] that are SMEs or natural persons,

[insert percentage⁵]% of the eligible costs of the beneficiaries [and linked third parties] that are for-profit private entities other than SMEs,

[insert percentage⁶]% of the eligible costs of the other beneficiaries [and linked third parties],

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

- *for beneficiaries established in other countries:
[insert percentage⁷]% of the eligible costs of the beneficiaries [and linked third parties] that are SMEs or natural persons,
[insert percentage⁸]% of the eligible costs of the beneficiaries [and linked third parties] that are for-profit private entities other than SMEs,
[insert percentage⁹]% of the eligible costs of the other beneficiaries [and linked third parties].*

USEFUL ADVICE; DOS AND DON'T

- ✓ *Don't wait the last minute to submit the proposal! Part A requires a rather significant amount of data from each participant – start early! Your computer might needs some adjustments (e.g. your firewall is blocking to fill in the Part A)*
- ✓ *Each participant needs to have a PIC number in order to be added to the consortium. Check if your organisation has one if not take the necessary steps to get one. A temporary PIC will be assigned in a faster procedure in order to allow the a swift submission. If the proposal is selected for funding then the organisation must go through the full validation process to get the PIC number.*
- ✓ *Be aware that only the coordinator (the main contact of the coordinating organisation) can add participants to the consortium and only the coordinator can submit the proposal!*

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

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

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

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

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

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

Therefore, make sure the person is available when the proposal must be submitted. Don't miss the deadline because the coordinator is on a business trip with no internet connection.

- ✓ *Make sure you use the correct link before starting to fill in the data: for example for a RIA special topic use the RIA special topic link, for a proposal in a IA call use the link for the IA call and so on. Each call has its own dedicated link for submission and proposals cannot be moved from one call to another! If you used the wrong link (e.g. submitted a RIA proposal in a IA call) you have to start all over again in the correct link!*
- ✓ *For a given proposal can be several submission sessions (the new version will overwrite the old version and only the newest version will be kept in the system)!!*
- ✓ *Caution is advised when uploading documents (Part B/ Part(s) C/EoI for LI) make sure the intended version was uploaded and not one stuck in your browser "cache". Check after uploading – e.g. close the browser/login again and download the document! Having the proposal ranked below threshold simply because instead the final version an early draft was accidentally uploaded in the system is an experience no applicant would like to go through.*
- ✓ *Participants are recommended to check/update their legal data and fill in the data as appropriate/correct as possible. This is especially valid for organisations (SME, not for profit) in Calls where the funding rate is dependent on the organisation status (i.e higher funding rate for SMEs and/or non-profit organisation).*
 - ✓ *If selected for funding the SMEs will be requested to do a self-assessment. If the results of self-assessment is that the respective participant is not an SME though it declared itself a SME when the proposal was submitted the funding will be adjusted accordingly (reduced to correspond to 'for profit non SME)*
 - ✓ *If a participant is a non-for profit organization but at the proposal submission (FPP) filled in the funding rate of a for profit organization, during the GAP phase it will be very difficult to adjust (increase) the funding rate as the EU budget was already allocated.*
 - ✓ *British participants are kindly advised to monitor the Funding and Tenders Portal for the most up to date information. ECSEL JU will apply the same rules as in H2020*
- ✓ *Coordinators of proposals that request more than 500,000.00 € EU funding will have to undergo a financial viability check (except for public bodies, higher or secondary education establishments, international organization or body whose participation is guaranteed by the government of an EU country or associated country). Therefore, the coordinators are advised to use the [self-check tool](#) available in the Funding and Tenders Portal and in case of weak or insufficient financial capacity to already prepare an action plan. This will avoid delicate situations when for example in the middle of the GAP phase with only few weeks left until the signature of the GA the coordinator will have to pass the coordination task to another beneficiary in the consortium because its financial viability check is deemed insufficient. This is*

especially difficult for ECSEL projects, as the EU funding must be aligned with the national funding.

- ✓ *Start to prepare the consortium agreement as early as possible. All ECSEL JU projects are requested to conclude such an agreement (in principle before the signature of the GA), which may prove to be a gigantic task especially for projects with large consortia and coordinators that do not have much experience with managing ECSEL projects. Because in the ECSEL projects payments are made by ECSEL JU to the coordinator and the coordinator is responsible to handle further payments to the other beneficiaries make sure sufficient provisions are included in the consortium agreement.*