# The Eurostars™ Programme

## Funding excellence in innovation

## Guidelines for Applicants
for
Eurostars Cut-Off 9
**20th September 2012; 20h00 C.E.T**

**Version 10.5**
For use with
Eurostars Project Application Form version 7.6

The Eurostars Programme is a joint initiative of EUREKA and the European Community

This document provides applicants with guidelines on the submission of applications for funding from the Eurostars Programme. It identifies the types of projects you can apply for, who can apply, together with details of the application process and the evaluation criteria.

**This version of the Guidelines for Applicants (v.10.5) is designed for Eurostars Project Application Form version 7.6 for submission during the 9th Eurostars Cut-Off.**
**(Deadline 20th September 2012; 20h00 C.E.T)**

Further information on the Eurostars Programme is available from the Programme website at ***http://www.eurostars-eureka.eu***


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# Contents

0. Changes from Version 10.4 ..... 4

1. Introduction ..... 5

The Eurostars Programme ..... 5
SMEs and R&D - European added value ..... 5
A summary of the application process and timeframe ..... 5

2. Funding ..... 7

What are the sources of funding? ..... 7

3. How to apply ..... 7

Is my project eligible for funding? ..... 7
What documents do I need to submit? ..... 8
How do I complete the application form? ..... 9

Application Form ..... 10

What are the requirements for the annexes to the application form? ..... 23
What happens after I have submitted my application? ..... 23
The nine-point eligibility check explained ..... 26

4. Application assessment and evaluation ..... 27

Introduction ..... 27
Technical experts and the Independent Evaluation Panel ..... 27
The assessment and evaluation process ..... 28

5. Further information ..... 32

Appendix 1 ..... 33

Eligible costs ..... 33

Appendix 2 ..... 34

Information security and confidentiality ..... 34

GLOSSARY ..... 35


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# 0. Changes from Version 10.4

Below is a list of changes in the content of this document when compared to its immediate predecessor. This list is for information purposes only and while the EUREKA Secretariat checks the document, it does not guarantee that this list is comprehensive. The inclusion of this list does not negate the requirement of participants to fully review all information contained within the latest published version of the Guidelines for Applicants.

| | P. | Section | Para. | Change from version 10.3 |
|---|---|---|---|---|
| 1 | 2 | Document introduction | 2 | Version numbers and cut-off deadline |
| 2 | 3 | Contents | | Changes from version 10.4 within contents |
| 3 | 9 | The draft consortium agreement | 2 | 3 months deadline for sending the final consortium agreement is clarified as 12 weeks. |
| 4 | 13 | Main Participant | 3.1 | Differentiation between legal and operating addresses |
| 5 | 18 | Other Participant | 4.1 | Differentiation between legal and operating addresses |


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# 1. Introduction

## The Eurostars Programme

The Eurostars Programme ('Eurostars') is a European innovation programme. It is managed by EUREKA. Its purpose is to provide funding for market-oriented research and development with the active participation of specifically research and development performing small and medium-sized enterprises (R&D-performing SMEs).

The Eurostars Programme will improve availability of joint national and EC funding for Eurostars-approved international research projects, led by R&D-performing SMEs, in any area of technology. Further information on the Eurostars Programme is available at *http://www.eurostars-eureka.eu*

Eurostars is a joint initiative between EUREKA and the EU Seventh Framework Programme for Research and Technological Development (FP7).

## SMEs and R&D - European added value

European SMEs are an essential source of growth, employment, entrepreneurial skills, innovation and economic and social cohesion. It is therefore essential to unlock their potential through support of their R&D efforts. The Eurostars Programme will specifically enable R&D-performing SMEs to improve performance through its support of 'in-house' research. It will also enable companies to develop closer working relationships with the European research community. The objective of the Eurostars Programme is to bring increased value to the economy, higher growth and more job opportunities by supporting the R&D-performing SME.

R&D-performing SMEs are contributing to the development of products, processes and services that help improve the everyday life of citizens world-wide. Their involvement in international research projects enables participants to combine and share creativity and expertise, and often allows access to previously uncharted markets for the resulting innovation.

## A summary of the application process and timeframe

This document provides guidance for SMEs and all other types of organisations applying for funding from the Eurostars Programme. However, you and your project partners are strongly advised to contact your EUREKA National Project Coordinator (NPC) for more comprehensive information on the Eurostars Programme, the national funding rules and for assistance in preparing an application. You can find contact details of the relevant EUREKA NPC at *http://www.eurostars-eureka.eu/where.do*

The Eurostars Programme is open for funding applications on a continuous basis, with at least one cut-off date each year. Information on the upcoming cut-off dates will be regularly updated on *http://www.eurostars-eureka.eu*

There is a one-stage application process for all projects. The process is summarised in the following flow chart.


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**Who should lead?**

- You are an R&D-performing SME and want to lead a Eurostars project.

**Key Contacts**

- **Eurostars projects are funded primarily through national funding schemes.**
- **You and your project partners** must **contact your respective EUREKA National Project Coordinator (NPC). They will guide you through the straightforward application process; they can also explain the regulations and obligations relating to any eventual receipt of national public support.**

**Application**

- You must register in order to download the application form from the public website.
- You must submit your application electronically through the public website
- ***http://www.eurostars-eureka.eu*.**

**Process**

- Your application is checked to ensure completeness.
- Your complete application is acknowledged and checked against Eurostars eligibility criteria.
- Your application is assessed and evaluated by technical experts and an Independent Evaluation Panel for its project structure, technological and innovative value and its market and competitive potential.

**Results**

- **Within four months of the cut-off date of the call, you will be informed of the results of the evaluation.**

**Project Approved**

- If your application is successful you will be sent a formal Eurostars Evaluation Result Letter. Contact your EUREKA NPC immediately after receipt of this letter. Final contract negotiation should be completed with your National Funding Body.


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# 2. Funding

## What are the sources of funding?

Eurostars projects will be funded primarily through national funding schemes. The amount of funding and costs eligible for funding will follow national rules and procedures. It may therefore vary between Eurostars member countries.

**Each partner is strongly advised to contact their EUREKA NPC** (listed *at http://www.eurostars-eureka.eu/where.do)* for information on the applicable funding rules and the availability of funding per cut-off date.

# 3. How to apply

## Is my project eligible for funding?

A Eurostars project is an international research and development project. According to the EUREKA criteria, a Eurostars project can address any technological area, but must have a civilian purpose and be aimed at the development of a new product, process or service. A Eurostars project is collaborative, meaning it must involve at least two participants (legal entities) from two different Eurostars member countries. The main participant must be an **R&D-performing SME** from a Eurostars member country.

The role of the SME participant(s) in the project should be significant. At least 50% of the total project costs related to R&D activities shall be carried out by the participating R&D-performing SME(s), however this percentage can include minor contracting.

The consortium should be well balanced, meaning that no participant or country will be required to invest more than 75% of the total project costs.

A Eurostars project should be market-driven; it must have a maximum duration of three years. Within two years of project completion, the product of the research should be ready for launch onto the market. An exception to this rule applies to biotechnology, biomedical or medical projects which require clinical trials. These trials must be started within two years of project completion.

Applicants are advised to contact their EUREKA NPC for more comprehensive information on the national funding rules, for assistance in preparing an application and for information with regards to the chances of a successful project application.

The NPCs involved investigate whether a Eurostars project application falls within the scope of the Eurostars Programme. In order to ensure that your project is eligible, please refer to the nine-point eligibility check list (see page 26).


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## What documents do I need to submit?

English is the only accepted language for completion of the project application form; although there is one exception to this rule (see below) for annexed financial documents. **Complete project applications may only be submitted electronically through the Eurostars website** *http://www.eurostars-eureka.eu*. Documents cannot be submitted via any other means. Annexed documents should preferably be in Portable Document Format (pdf). The size of each annexed document must not be bigger than 10MB.

**Your application should include:**

- A completed Eurostars project application form (completed in English)

- Financial documents (permitted in national language)

  For private entities only, a certified copy of every participant's annual financial report for the last operating year or a business plan. If the latest annual financial report is not yet available, a certified copy from the previous operating year can be submitted. If no financial reports can be submitted (for example, for a start-up company), a business plan may be accepted. These documents may be submitted in the national language. **Only organisations which are 100 % publically funded are not required to supply this annex.**

- A Draft Consortium Agreement (completed in English)

  The consortium is obliged to construct the draft consortium agreement using the skeleton agreement provided. This skeleton is available in an open format from the Eurostars website. A draft (unsigned) consortium agreement, constructed around the skeleton document, is required in order to complete the application documentation. As with all other required documentation, it must be submitted before the cut off deadline in order for the project application to be processed. Absence of a draft consortium agreement which respects the skeleton will result in an invalid application which will not be evaluated.

  The skeleton agreement constitutes the minimum scope of items that must be acknowledged and addressed in order to produce a draft consortium agreement of sufficient detail and clarity.

  The draft consortium agreement must reflect that all clauses within the skeleton have been examined by the participant. If any of the clauses within the skeleton are not applicable to this project they must be declared. If some of the aspects of the skeleton agreement are already addressed within the application form, a reference to this can be entered into the draft consortium agreement.

  In particular, there are four aspects within the skeleton agreement which are considered very important and should be addressed and carefully explained:

  - <u>ARTICLE 3 - PROJECT MANAGEMENT</u>

    1. How is the project management set-up?


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- ARTICLE 5 - INTELLECTUAL PROPERTY RIGHTS

  Article 5.2 - Protection of the Pre-Existing Know-How and Project Results

  2. How will project results be protected?

  Article 5.3 - Access Rights to and Exploitation of Pre-Existing Know-How and Project Results

  3. What are the access rights to the pre-existing know how in your project?
  4. How will the parties exploit the project results?

These four aspects of the draft agreement receive particular attention from the technical experts and the IEP members as they are considered to be very important to the successful implementation of a project and the exploitation of its results.

Should your project be accepted, the main participant must provide a copy of the final consortium agreement, signed by all consortium members, to the ESE within **12 weeks** of the Eurostars communication of the funding results in order for funding to be approved. The payments of a National Funding Body cannot occur before a signed and approved final consortium agreement is made available to the EUREKA Secretariat. **Failure to return the final signed consortium agreement to the ESE will lead to the removal of the project's label and ultimately to the withdrawal of public funding.** The draft consortium agreement is therefore important, as a well constructed document may help to speed up the acceptance of the final consortium agreement and therefore the time to contract and payment.

## How do I complete the application form?

You must use the pdf version of the project application form provided via the Eurostars Programme website. Applications will not be accepted in any other format. **The form must not be altered, converted or renamed.**

**Applications shall only be submitted through the electronic submission system available on the Eurostars website** *http://www.eurostars-eureka.eu*

The application form contains specific fields that must all be filled in. Incomplete application forms will be rejected.

The space given in each field of the form is limited to a fixed number of characters. You must restrict the content of your response in each of the fields to the space provided. The number of characters in each field is displayed as pop-up information. "Copy and paste" from MS Word can generate "hidden" characters and therefore may not provide an accurate character count.

The typeface, font size and colour are predetermined and cannot be changed.

Illustrations and graphics cannot be included in the application form. However you may submit these and additional information as an annex to the application form. This annex shall be compiled in one document of about 5 pages and not bigger than 10 MB.

The following synopsis provides guidance on the completion of fields of the application form, where extra clarification may be necessary.


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Unless otherwise stated, the information you enter in the application form is published and publicly available. If a particular field is marked 'CONFIDENTIAL', this means that access to the information within it is only available to all organisations participating in the project (this does not include subcontractors), the EUREKA National Project Coordinators from the involved countries, the EUREKA Secretariat, the funding agencies of those countries, the two technical experts who will assess the application, members of the Independent Evaluation Panel who will rank the application, and the Eurostars High Level Group.

# Application Form

## 1. General information

Enter the acronym and title for your project.

Provide a small summary of the content and objectives of your project including what is innovative about it.

Select the technological and market area your project addresses.

**Estimated project costs in Euros**
This information will appear automatically after completion of the form.

**Participants' contribution**
This information will appear automatically after completion of the form.

## 2. Project outline

### 2.1. Project description

*Note: the information entered in this section is considered as public.*

Describe the goal and background of your project including technical and market applications. Give a general description of the project consortium.

### 2.2. Technological development envisaged

*Note: the information entered in this section will be treated as confidential.*

#### *2.2.1. What is innovative about your project?*

Clearly identify the innovative aspects of your project. What is the level of this innovation and how far will this push boundaries and knowledge past current leading-edge work? Alternatively, how does your project apply existing technologies to the new areas? For example this should include details of the technical breakthrough being sought.

##### *2.2.2.1. What are the technological risks?*

Describe the technological steps related to your project and describe how these will be addressed, which steps are considered risky and describe the risk involved.


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#### 2.2.2.2. What are the technological alternatives, their advantages and disadvantages compared to the technological developments envisaged in your project?

State if there are any technological alternatives and mention the advantages or disadvantages compared to the technological developments envisaged in your project.

#### 2.2.2.3. Research method

Describe the research methods used in your project as well as the alternatives to these methods. Explain the advantages and disadvantages of the chosen method.

#### 2.2.2.4. What are the specific problems or demands in your project's area of application or sector?

Describe the technological problems your project intends to solve and which specific technology market demands your project will meet.

### 2.2.3. What are the expected project results?

Describe the concrete results expected at the end of your project (new products, prototype, IPR, process, etc).

## 2.3. Market application and exploitation

*Note: the information entered in this section will be treated as confidential.*

### 2.3.1. What type of market does your project reach?

Describe the markets your project is aimed at (including possible spin-offs) and indicate market sectors at national and international level.

### 2.3.2. What is the estimated market size and expected market share?

Describe the estimated market size and expected market share of your project.

### 2.3.3. Participant's position on the market(s)

Describe the position of the partner on the market(s).

### 2.3.4. What is the status of competition on the market(s)?

Describe the status of competition on the market(s), competing products, services and processes. Include the competitors' positions on the market and describe competing technological developments to your knowledge.

### 2.3.5. Non-technological aspects of the market introduction

Describe the non-technological aspects of introducing the project results onto the market (e.g. market acceptance, cost process aspects, legislation and regulations, standards and certification, knowledge protection, etc).

### 2.3.6. Marketing approach

Give a general description of the marketing approach and how the consortium will introduce results onto the market.


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## 2.4. Cooperation

*Note: the information entered in this section will be treated as confidential.*

### *2.4.1. Participants and subcontractors*

Explain and justify the choice of participants and subcontractors.

### *2.4.2. Who is responsible for knowledge protection and how will the rights for this knowledge be distributed?*

State the arrangements that have been made between the project participants regarding intellectual property rights (IPR).

### *2.4.3. For which parties outside this consortium could your project results be useful?*

Describe how the project results will be used (licenses, publications, etc) and indicate the parties outside the consortium for which the project results could be useful.

### *2.4.4. How is your project management set up?*

Describe your project management structure.

## 2.5. Project execution

*Note: the information entered in this section will be treated as confidential.*

### *2.5.1. Technical approach*

Describe how solutions to technical problems will be approached including activities, methods, techniques and go and no-go decisions. Give an explanation of the criteria for the go and no-go decisions.

### *2.5.2. Work Packages*

Describe the relevant work packages that need to be performed during the execution of the project and its distribution among the participants.

In each work package describe its objectives, explain the technical approach to the work, clearly state the starting point and expected results and describe the role and capacity of each of the participants. Each work package should contain the tasks, deliverables, milestones and the contribution of each partner.

**Tasks:** Give a detailed description of the work required in this task, its objectives, the starting point and the methodology followed. If applicable, please indicate clearly what technological challenges you expect.

**Deliverables:** Describe the deliverables. State clearly what type of deliverable it is (document/blueprint/software/system/hardware/…) as well as when you expect to have completed it.

**Milestones:** Describe the milestones and their place in the critical path of the overall project.

**Contribution of each partner:** Describe briefly the role and the responsibilities of each partner in each of these work packages.


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# 3. Main participant

The main participant is the R&D-performing SME leading the project.

## 3.1. Organisation

### *3.1.1. Legal address and details*

Enter the details of your organisation as prompted by the fields. This must be the legally registered address for your organisation. This information will be used within the Commitment and Signature Form (see page 24 for details).

### *3.1.2. Operational address and details*

If the operating address of your organisation is different to its legal address, enter the details as prompted by the fields. If the details are the same you may leave these fields blank.

## 3.2. Contact person data

Enter details of your project's main contact person as prompted by the fields.

## 3.3. Organisation Overview

### *3.3.2. Organisation type*

A Eurostars project must be led by an R&D-performing SME.
Organisations which declare that they are SMEs must conform to the EC definition; *http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/index_en.htm*. R&D-performing SMEs are SMEs, which conform to the EC definition but also reinvest 10% of their turnover or FTE in R&D activities.

*Note: the information entered in the remaining fields of this* section *will be treated as confidential.*

### *3.3.3. Date of Registration and Company registration code*

State the date (dd/mm/yyyy) that your organisation was registered in its host country and the registration code allocated to the organisation by the relevant national authorities.

### *3.3.4. Last financial report*

State the period that your last financial report covers up to and including the dates specified (dd/mm/yyyy - dd/mm/yyyy) and the date that it was submitted to the national tax authorities or their equivalent (dd/mm/yyyy).

### *3.3.5. Does another organisation control* your company?*

*****Control is defined as having a decisive vote in the strategic decisions of the company, according to the criteria determined within the EC definition. If 'Yes' answer field 3.3.4.1. If 'No' go to field 3.3.5.

#### *3.3.5.1. Are the financial statements consolidated?*

If 'Yes', complete field 3.3.5-14 using the financial information for the holding company. If 'No', complete field 3.3.5-14 using the financial information for the applicant company.


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## Section 3.3.5 to 3.3.14

**Use information from your organisation's financial report(s) and any other relevant document recommended by your national funding body to complete the table.**

- **In column B,** insert your organisation's most recent annual figures (from a complete, closed financial year). These figures must correspond to the official figures from the financial account for the specified period. If official figures are not yet available, enter figures that correspond to the latest financial account, even if it has not yet been submitted to the national authorities.

- **In column A,** insert figures for the financial year *preceding* that of column B.

- **In column C,** insert estimated figures for the period from the latest date covered within column B to the date 12 months later. The date of the cut-off deadline must be within – and cannot be on the final day of this period.

**Example 1:** A company's annual accounting period runs from 1 January through 31 December. The company should report the period 1 January 2011 to 31 December 2011 in column B. Column A should contain figures for the period 1 January 2010 to 31 December 2010. Column C should be an estimate for the period 1 January 2012 to 31 December 2012. This latter is the accounting period that overlaps **the cut-off deadline of 20th September 2012**. The estimate should be based on actual figures for performance in the eight months prior to the **cut-off deadline** together with a projection for the remaining four months until the end of the accounting period.

**Example 2:** A company's annual accounting period runs from 1 April through 31 March. The company should report the period 1 April 2011 to 31 March 2012 in column B. Column A should contain figures for the period 1 April 2010 to 31 March 2011. Column C should be an estimate for the period 1 April 2012 to 31 March 2013. This latter is the accounting period that overlaps the **cut-off deadline of 20th September 2012**. The estimate should be based on actual figures for performance in the five months prior to the **cut-off deadline** together with a projection for the remaining seven months until the end of the accounting period.

In column C, you must include bona fide figures available for actual performance during that period.

- 'Start-up' companies must complete column C with the information from their business plan. The period should start at the day of national registration/incorporation and end on the date 12 months later. The date of the cut-off deadline must be within – and cannot be on the final day of this period.

The accuracy of the figures you provide in this table will be subject to verification by the relevant national funding body.

- The ESE will verify the R&D performing status of an SME using only the information presented within section 3.3.5-3.3.8 of the application form.

- If the figures within section 3.3.5-3.3.8 do not permit a calculation of the percentage to be performed (either zero or a text entry) the R&D performing status will not be allocated.


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**Number formats:**
**Please ensure that you use the correct units when filling in the table (Euros or numbers). All number entries must use the format 1234567.89 A single decimal point is permitted, however numbers should not use 'thousands separators', punctuation, letters or currency units. For example, one million one hundred Euros should be written as '1000100.00'.**

### *3.3.6. Number of Employees*

a) **State the number of employees** within your organisation during the specified financial periods. The number of employees must cover full-time, part-time and seasonal staff and includes the following:

- Employees,
- Persons working for the enterprise being subordinated to it and considered to be employees under national law,
- Owner-managers,
- Partners engaged in a regular activity in the enterprise and benefiting from financial advantages from the enterprise.

- Apprentices or students engaged in vocational training with apprenticeship or vocational training contracts are **not** included in the headcount. Nor do you include maternity or parental leave.

b) **State the number of FTEs** within your organisation during the specified financial periods. Anyone who worked full-time within your enterprise, or on its behalf, during the entire reference year counts as one unit. You treat part-time staff, seasonal workers and those who did not work the full year as fractions of one unit.

### *3.3.7. Number of FTEs dedicated to R&D activities*

State the number of the FTEs declared in 3.3.5 that were dedicated to R&D activities within your organisation during the specified financial periods.

*Note: this information is used in the definition of an R&D-performing SME.*

### *3.3.8. Turnover*

State the turnover of your organisation during the specified financial periods.

### *3.3.9. Amount of Turnover dedicated to R&D expenditure annually (in Euros)*

State the amount (in Euros) of your annual turnover reinvested in R&D expenditure on an annual basis within your organisation during the specified financial periods.

*Note: this information is used in the definition of an R&D-performing SME.*

### *3.3.10. Gross Earnings*

State the gross earnings of your organisation during the specified financial periods. This should be total income minus expenditure, but before interest and tax.


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#### 3.3.11. Net Income

State the net income of your organisation during the specified financial periods. This should be the gross earnings plus any interest received, but after payment of tax.

#### 3.3.12. Balance Sheet Total

State the balance sheet total of your organisation during the specified financial periods.

#### 3.3.13. Number of running R&D projects

State the number of R&D projects started or already running within your organisation during the specified financial periods.

#### 3.3.14. Workload of other R&D projects

State a) the number of employees and b) the number of FTEs dedicated to any started or already running R&D projects during the specified financial periods. This should include all FTE involvement in the project and not just those performing the R&D work itself (i.e. accounting/marketing/production should also be included).

#### 3.3.15. Public Grants received

State a) the number of public grants received or already underway in each specified financial period **and** b) the value in Euros that these grants represent.

### 3.4. Financial support plan of the applicants

*Note: the information entered in this section will be treated as confidential.*

#### 3.4.1. Actual financial situation

This section should generate an understanding of the capacities of the applicant to perform their part of the project. The information on the actual financial status of the applicants is included in the financial reports. A summary including some key elements must be provided in English. This will also give the applicant the possibility to explain their financial situation of the past recent months when an annual financial report is not yet available.

#### 3.4.2. Explanation on the financing of the self-funded part

The Eurostars budget does not cover all applicant costs in an application. Depending on the national funding rules, an important part of the activities must be financed by the participant. It is important to understand and know how the applicant plans to cover these expenditures.

### 3.5. Expertise

*Note: the information entered in this section will be treated as confidential.*

#### 3.5.1. Expertise and core business

Describe your organisation's expertise and core business.

#### 3.5.2. Managerial expertise

Describe your managerial expertise with regard to R&D projects.


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## 3.6. Contribution to the project

*Note: the information entered in this section will be treated as confidential.*

### *3.6.1. Technical contribution*

Describe the specific technical expertise you contribute to the project.

### *3.6.2. Goal in project participation*

Explain what you expect as a result of the project in terms of new technology, products, services, processes, IPR and market access.

### *3.6.3. Person-Months and Detailed cost contribution in Euros*

Indicate the number of person-months the main participant will be required to contribute for each work package and describe the main participant's detailed contribution costs in Euros. The project application must reflect the true cost of the entire participation, not just the desired public subsidy.

### *3.6.4. Contribution to the work packages*

Describe the role, the activities and the responsibilities of your organisation in each of these work packages.

## 3.7. Economic impact

*Note: the information entered in this section will be treated as confidential.*

In figures, describe what you expect as a result of the project in terms of new technology, products, services, processes, IPR and market access.

### *3.7.1. Describe the business plan for the commercialisation period*

Following the end of the project, a description of the conversion of the project outputs to outcomes should be provided. This description should outline such things as the setting up of the necessary production processes, IP protection proposed and development of the sales network. Such an exploitation plan may be required to be developed by funding bodies.

### *3.7.2. Expected employment growth as a result of your project*

Indicate the percentage of expected employment growth as a result of your project.

### *3.7.3. Impact on annual turnover*

Indicate the percentage of impact your project hopes to have on your annual turnover.

### *3.7.4. Economic results of the project*

Describe the different levels of this project's economic results in your organisation, the time and cost for their market introduction and give in the box a general outline of the expected economic results of the project.


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**Investment** is the total cost of the project to your organisation and should combine the entire sum of the self-funding element along with all public funding. This should be reported in Euros.

**Turnover** is the total revenue generated by the **investment**. It should be measured over a period of 5 years commencing at the start date of the project and reported in Euros.

Margin is calculated as being = (**Turnover**-**Investment** / **Turnover**) x100. It should be reported as a percentage.

Return on Investment is calculated as being = (**Turnover** –**Investment**)/ **Investment** x 100. It should be reported as a percentage.

#### *3.7.5. Comment*

Use this box to provide additional comments relating to the economic results of the project for the main participant.

## 4. Other participant (s)

Note: The system will automatically generate section 4 for each named participant in the application

### 4.1. Organisation

#### *4.1.1. Legal address and details*

Enter the details of your organisation as prompted by the fields. This must be the legally registered address for your organisation. This information will be used within the Commitment and Signature Form (see page 24 for details).

#### *4.1.2. Operational address and details*

If the operating address of your organisation is different to its legal address, enter the details as prompted by the fields. If the details are the same you may leave these fields blank.

### 4.2. Contact person data

Enter details of your organisation project's contact person as prompted by the fields.

### 4.3. Organisation Overview

#### *4.3.1. Organisation type*

Organisations which declare that they are SMEs must conform to the EC definition; *http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/index_en.htm*. R&D-performing SMEs are SMEs, which conform to the EC definition but also reinvest 10% of their turnover or FTE in R&D activities.

*Note: the information entered in the remaining fields of this* section *will be treated as confidential.*

#### *4.3.2. Date of Registration Company registration code*

State the date (dd/mm/yyyy) that your organisation was registered in its host country and the registration code allocated to the organisation by the relevant national authorities.


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### 4.3.3. Last financial report

State the period that your last financial report covers up to and including the dates specified (dd/mm/yyyy - dd/mm/yyyy) and the date that it was submitted to the national tax authorities or their equivalent (dd/mm/yyyy).

### 4.3.4. Does another organisation control* your company?

*****Control is defined as having a decisive vote in the strategic decisions of the company, according to the criteria determined within the EC definition. If 'Yes' answer 4.3.4.1. If 'No' go to 4.3.5.

#### 4.3.4.1. Are the financial statements consolidated?

If 'Yes', fill 4.3.5-14 using the financial information for the holding company. If 'No', fill 4.3.5-14 using the financial information for the applicant company.

**Section 4.3.5 to 4.3.14**
**This section is only applicable to SMEs. If you are an SME you should complete all fields. Other types of organisation can omit fields 4.3.5 - 4.3.14.**

**Use information from your organisation's financial report(s) and any other relevant document recommended by your national funding body to complete the table.**

- **In column B,** insert your organisation's most recent annual figures (from a complete, closed financial year). These figures must correspond to the official figures from the financial account for the specified period. If official figures are not yet available, enter figures that correspond to the latest financial account, even if it has not yet been submitted to the national authorities.
- **In column A,** insert figures for the financial year *preceding* that of column B.
- **In column C,** insert estimated figures for the period from the latest date covered within column B to the date 12 months later. The date of the cut-off deadline must be within – and cannot be on the final day of this period.

**Example 1:** A company's annual accounting period runs from 1 January through 31 December. The company should report the period 1 January 2011 to 31 December 2011 in column B. Column A should contain figures for the period 1 January 2010 to 31 December 2010. Column C should be an estimate for the period 1 January 2012 to 31 December 2012. This latter is the accounting period that overlaps **the cut-off deadline of 20th September 2012**. The estimate should be based on actual figures for performance in the eight months prior to the **cut-off deadline** together with a projection for the remaining four months until the end of the accounting period.

**Example 2:** A company's annual accounting period runs from 1 April through 31 March. The company should report the period 1 April 2011 to 31 March 2012 in column B. Column A should contain figures for the period 1 April 2010 to 31 March 2011. Column C should be an estimate for the period 1 April 2012 to 31 March 2013. This latter is the accounting period that overlaps the **cut-off deadline of 20th September 2012**. The estimate should be based on actual figures for performance in the five months prior to the **cut-off deadline** together with a projection for the remaining seven months until the end of the accounting period.


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In column C, you must include bona fide figures available for actual performance during that period.

- 'Start-up' companies must complete column C with the information from their business plan. The period should start at the day of national registration/incorporation and end on the date 12 months later. The date of the cut-off deadline must be within – and cannot be on the final day of this period.

The accuracy of the figures you provide in this table will be subject to verification by the relevant national funding body.

- The ESE will verify the R&D performing status of an SME using only the information presented within section 4.3.5-4.3.8 of the application form.

- If the figures within section 4.3.5-4.3.8 do not permit a calculation of the percentage to be performed (either zero or a text entry) the R&D performing status will not be allocated.

**Number formats:**
**Please ensure that you use the correct units when filling in the table (Euros or numbers). All number entries must use the format 1234567.89 A single decimal point is permitted, however numbers should not use 'thousands separators', punctuation, letters or currency units. For example, one million one hundred Euros should be written as '1000100.00'.**

### *4.3.5. Number of Employees*

a) **State the number of employees** within your organisation during the specified financial periods. The number of employees must cover full-time, part-time and seasonal staff and includes the following:

- Employees,
- Persons working for the enterprise being subordinated to it and considered to be employees under national law,
- Owner-managers,
- Partners engaged in a regular activity in the enterprise and benefiting from financial advantages from the enterprise.

- Apprentices or students engaged in vocational training with apprenticeship or vocational training contracts are not included in the headcount. Nor do you include maternity or parental leave.

b) **State the number of FTEs** within your organisation during the specified financial periods. Anyone who worked full-time within your enterprise, or on its behalf, during the entire reference year counts as one unit. You treat part-time staff, seasonal workers and those who did not work the full year as fractions of one unit.

### *4.3.6. Number of FTEs dedicated to R&D activities*

State the number of the FTEs declared in 3.3.5 that were dedicated to R&D activities within your organisation during the specified financial periods.

*Note: this information is used in the definition of an R&D-performing SME.*


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#### 4.3.7. Turnover

State the turnover of your organisation during the specified financial periods.

#### 4.3.8. Amount of Turnover dedicated to R&D expenditure annually (in Euros)

State the amount (in Euros) of your annual turnover reinvested in R&D expenditure on an annual basis within your organisation during the specified financial periods.

*Note: this information is used in the definition of an R&D-performing SME.*

#### 4.3.9. Gross Earnings

State the gross earnings of your organisation during the specified financial periods. This should be total income minus expenditure, but before interest and tax.

#### 4.3.10. Net Income

State the net income of your organisation during the specified financial periods. This should be the gross earnings plus any interest received, but after payment of tax.

#### 4.3.11. Balance Sheet Total

State the balance sheet total of your organisation during the specified financial periods.

#### 4.3.12. Number of running R&D projects

State the number of R&D projects started or already running within your organisation during the specified financial periods.

#### 4.3.13. Workload of other R&D projects

State a) the number of employees and b) the number of FTEs dedicated to any started or already running R&D projects during the specified financial periods. This should include all FTE involvement in the project and not just those performing the R&D work itself (i.e. accounting/marketing/production should also be included).

#### 4.3.14. Public Grants received

State a) the number of public grants received or already underway in each specified financial period **and** b) the value in Euros that these grants represent.

### 4.4. Financial support plan of the applicants

*Note: the information entered in this section will be treated as confidential.*

#### 4.4.1. Actual financial situation

This section should generate an understanding of the capacities of the applicant to perform their part of the project. The information on the actual financial status of the applicants is included in the financial reports. A summary including some key elements must be provided in English. This will also give the applicant the possibility to explain their financial situation of the past recent months when an annual financial report is not yet available.

#### 4.4.2. Explanation on the financing of the self-funded part


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The Eurostars budget does not cover all applicant costs in an application. Depending on the national funding rules, an important part of the activities must be financed by the participant. It is important to understand and know how the applicant plans to cover these expenditures.

## 4.5. Expertise

Note: the information entered in this section will be treated as confidential.

### *4.5.1. Expertise and core business*

Describe your organisation's expertise and core business.

### *4.5.2. Managerial expertise*

Describe the managerial expertise of your organisation with regard to R&D projects.

## 4.6. Contribution to the project

*Note: the information entered in this section will be treated as confidential.*

### *4.6.1. Technical contribution*

Describe the specific technical expertise your organisation contributes to the project.

### *4.6.2. Goal in project participation*

Explain what your organisation expects as a result of the project in terms of new technology, products, services, processes, IPR, market access.

### *4.6.3. Person-Months and Detailed cost contribution in Euros*

Indicate the number of person-months each participant will be required to contribute for each work package and describe each participant's detailed contribution costs in Euros. The project application must reflect the true cost of the entire participation, not just the desired public subsidy.

### *4.6.4. Contribution to the work packages*

Describe the role, the activities and the responsibilities of your organisation in each of these work packages.

## 4.7. Economic impact

*Note: the information entered in this section will be treated as confidential.*

In figures, describe what you expect as a result of the project in terms of new technology, products, services, processes, IPR and market access.

### *4.7.1. Describe the business plan for the commercialisation period*

Following the end of the project, a description of the conversion of the project outputs to outcomes should be provided. This description should outline such things as the setting up of the necessary production processes, IP protection proposed and development of the sales network. Such an exploitation plan may be required to be developed by funding bodies.


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#### 4.7.2. Expected employment growth as a result of your project

Indicate the percentage of expected employment growth as a result of your project.

#### 4.7.3. Impact on annual turnover

Indicate the percentage of impact your project hopes to have on your annual turnover.

#### 4.7.4. Economic results of the project

Describe the different levels of this project's economic results in your organisation, the time and cost for their market introduction and give in the box a general outline of the expected economic results of the project.

**Investment** is the total cost of the project to your organisation and should combine the entire sum of the self-funding element along with all public funding. This should be reported in Euros.

**Turnover** is the total revenue generated by the **investment**. It should be measured over a period of 5 years commencing at the start date of the project and reported in Euros.

Margin is calculated as being = (**Turnover**-**Investment** / **Turnover**) x100. It should be reported as a percentage.

Return on Investment is calculated as being = (**Turnover** –**Investment**)/ **Investment** x 100. It should be reported as a percentage.

#### 4.7.5. Comment

Use this box to provide additional comments relating to the economic results of the project for the participant.

## What are the requirements for the annexes to the application form?

With the exception of financial reports and business plans, which may be submitted in the national language, all annexes must be provided in English.

## What happens after I have submitted my application?

Application documents (i.e. application form, annual financial report and the draft consortium agreement) may be modified until the deadline hour of the cut-off date. After each cut-off date, the EUREKA Secretariat will check if the application is duly completed. Only applications which are complete at the cut-off date of the call will be accepted.

You will receive an acknowledgement by e-mail from the EUREKA Secretariat confirming receipt of your complete application. If you have not received confirmation within 48 hours, please contact *applications@eurostars-eureka.eu*.


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## Commitment and signature form

After the cut-off date, **all participants** will receive an e-mail sent to the e-mail address specified in the project application form. This e-mail includes the project application form as it was received by the EUREKA Secretariat, and a commitment and signature form to be signed by the authorised representative of each participating organisation.

This form can be signed electronically or manually, and can be sent back to the EUREKA Secretariat by e-mail to *applications@eurostars-eureka.eu* or fax to +32 2 770 74 95 or by post to EUREKA Secretariat, 107 rue Neerveld, 1200 Brussels, Belgium.

All commitment and signature forms will have to be received by the EUREKA Secretariat within 5 working days of the date of the above mentioned e-mail. An e-mail will be sent by the EUREKA Secretariat within another 5 working days to the participants to acknowledge the receipt of the commitment and signature form.

If you have not received confirmation within 10 working days of the cut-off deadline please contact the EUREKA Secretariat at *applications@eurostars-eureka.eu*.

### Instructions for use

1. The Commitment and Signature document must be opened using Adobe Acrobat Reader. We always recommend using the latest version of the software, available for free at: http://get.adobe.com/uk/reader/

2. The Commitment and Signature document is unique to each participant. You must submit the document which was delivered to you. Using the Commitment and Signature document of a different organisation is not permitted and will result in rejection.

3. The Unique Identifying Marks (Project Number, Project Acronym, Reference number, Organisation name, and name of official contact) of the Commitment and Signature document must be visible in the submitted document. Insertion of this information through defacement of the document is not permitted. Documents without the identifying marks or with non-original identifiers will be rejected. **If the marks are not visible your software may require updating (see point 1).**

4. The declarations within the Commitment and Signature document may not be altered in any way. Altered Commitment and Signature documents will be rejected.

5. The document must be signed by a person that has the authorisation to act as a legal representative of your organisation. The EUREKA Secretariat may contact you directly to verify this fact.

6. The Commitment and Signature document may be signed by hand or with an electronic signature.

7. Annexes to the Commitment and Signature document will be rejected.

8. All tick boxes must be ticked off.

9. The completed and signed document should be sent to applications@eurostars-eureka.eu with the appropriate e-mail subject reference. E-mails which do not contain this reference in the subject field may experience delays in processing.


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## Authorised representative

Indicate first and last name and function within the organisation.

## Declaration

- all necessary internal authorisations have been obtained in order to permit the legal entity I represent to submit this application.
- all the information given in relation with this application are complete, accurate and correct.
- the legal entity I represent is committed to participate in and cooperate within the project, as described in this application, in accordance with the provisions set out in the agreement to be signed with the funding body.
- the legal entity I represent has stable and sufficient funding to maintain its activity throughout its participation to the project as described in this application.
- the legal entity I represent has or will have the necessary resources to carry out its involvement in the project as described in this application.
- the legal entity I represent has not been granted until now any financial support for the activities described in the associated Eurostars application form from the Eurostars programme, nor from any other national or international public funding mechanism. The legal entity I represent shall inform the ESE and/or the Funding Body of any current and future application for public financial support from any public funding schemes as regards the same activities or a part thereof. Should such application(s) result in any grant of funding, the legal entity I represent shall inform the ESE and/or the Funding Body and all authorities/agencies with which such applications were filed, and shall cooperate in such adaptations of the granted funds as necessary for the compliance with all applicable rules, including avoidance of any double public direct or indirect funding of these activities or of a part thereof.

## Exclusion of technical expert(s)

If necessary, indicate the technical expert(s) that cannot be involved in the assessment of your application.

## Signature

Sign this document to fully complete your application.

## Legal entity

**All participating organisations are required to send their own completed and signed commitment and signature document to the specified e-mail address. Failure to do so will result in the removal of the project application from the Eurostars process.**


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## The nine-point eligibility check explained

Your project application must meet all the eligibility criteria, otherwise it will not be put forward for assessment and evaluation.

These are the questions asked to ensure only eligible projects are taken forward:

1. Does the project proposed meet the criteria set by EUREKA*?
2. Is the main participant a research-performing SME, according to the Eurostars Programme criteria for main participants (10% of full-time equivalent or 10% of turnover dedicated to R&D activities and established in a Eurostars member country)?
3. Do all the SME participants fulfil the European Union-adopted definition of an SME? see: *http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm*
4. Is at least 50% of the total project costs related to R&D activities to be carried out by the R&D-performing SME participants? (This percentage can, however, include minor sub-contracting.)
5. Is there at least one other participant from another Eurostars member country in the consortium?
6. Is the project consortium well balanced? Is there no participant or country responsible for more than 75% of the declared project costs?
7. Is the planned duration of the project no more than 36 months?
8. Within two years of project completion, is it foreseen that the product of the research be ready for launch onto the market? In the case of biotechnology, medical or biomedical projects, will clinical trials start within two years of project completion?
9. Are all participants legal entities?

If all the above eligibility criteria are met, your Eurostars project application will be taken forward to assessment, evaluation and ranking stage.

* According to EUREKA criteria, a Eurostars project can address any technological area, but must have a civilian purpose and be aimed at the development of a new product, process or service.


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# 4. Application assessment and evaluation

## Introduction

The process to seek funding support from the Eurostars Programme is undertaken using a competitive application process. The evaluation of applications is based on the principles of technology, market and the fulfilment of basic project conditions.

### Fairness and confidentiality

Technical experts assess all applications and members of the Independent Evaluation Panel (IEP) evaluate and rank them. These processes are free from any conflict of interest and uphold the confidentiality of the intellectual property underlying the applications submitted.

### Efficient streamlined process

The assessment and evaluation processes ensure responses to applicants within a stated timeframe whilst meeting probity considerations and the objectives of the Eurostars Programme.

### Transparency

The assessment and evaluation processes are transparent and managed at arm's length of the EUREKA Secretariat. The evaluation criteria are clearly articulated to applicants and feedback is provided to all applicants.

## Technical experts and the Independent Evaluation Panel

A common assessment and evaluation process applies to all applications. It follows a two-step procedure; first a technical assessment by two independent experts, and then evaluation and ranking by the Independent Evaluation Panel (IEP).

Through a careful selection process, recognised specialists in their relevant fields are appointed as technical experts and members of the IEP to assess, evaluate and rank all Eurostars applications.

- Technical experts and IEP members are required to sign confidentiality agreements and to declare any potential conflicts of interest. They shall refrain from assessing applications in which they have a conflict of interest. Applicants have the right to request exclusion of specific experts by quoting the companies and/or organisations that should not be involved in the evaluation of the application in the commitment and signature form. To guarantee their independence, the identities of the technical experts and IEP members will however remain confidential.

- Technical experts and IEP members are required to treat applications in the strictest confidence. They are engaged as individuals, not as representatives of their employer or any other entity. They are required to carry out the evaluations themselves and not ask someone to evaluate the application in their place. They must not ask anyone to give another opinion of their assessment.

- All technical experts and IEP members are trained by the EUREKA Secretariat to undertake assessment and evaluation according to Eurostars Programme requirements.


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## The assessment and evaluation process

### 1. Technical experts

Applications will be assessed by two remote technical experts commissioned by the EUREKA Secretariat. The most appropriate technical experts will be selected. Preference will be shown for those from countries outside of those represented in the proposed project consortium. The Technical Expert Report produced will consist of an analysis and an assessment of the project management and the project consortium, the technological innovation envisaged and the economic impact of the project. The assessors will rate applications on each criterion by using the quality indicators 'Poor, Average, Good or Excellent' on the Technical Expert Report. **This report is confidential.**

### 2. Independent Evaluation Panel

Each application is then collectively reviewed and ranked by an Independent Evaluation Panel (IEP) in an IEP Meeting, where the members meet to discuss the relative strengths and weaknesses of each application against the set criteria on the basis of the following information:

- the Eurostars application form
- the draft consortium agreement
- the financial report
- the two Technical Expert reports drafted by the technical experts
- a cover note prepared by the NPC of each country involved

The ranking system allows an allocation of a maximum of 200 points to each criterion on a scale from 0 to 200. This reflects that the Basic Assessment conditions [200], the Technology and Innovation aspects [200] and the Market and Competitiveness aspects [200] are considered of equal importance for a successful Eurostars project. Details on the IEP ranking system can be found below. The total score for an application is the sum of the scores given to each criterion, producing a maximum of 600 points. All projects will be scored and ranked accordingly. If an application scores less than 120 on any of the evaluation criteria or less than 402 points overall, the application will automatically become ineligible for funding within the Eurostars Programme.

### 3. The Independent Evaluation Panel ranking system

**Basic Assessment** relates to the partnership, participants and project structure. It deals with the project plan and the capabilities of the participants in relation to their tasks in the project. Aspects to be considered include:

- well-balanced partnership
- added value through cooperation
- technological capacity of all participants
- managerial capacity of all participants
- methodology and planning approach
- milestones and deliverables
- cost and financing structure
- financial commitment of each participant


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**Technology and Innovation** relates to the requirement that the project must involve research and development and a high advance in technology. Aspects to be considered include:

- degree of technological maturity or risk
- technological achievements envisaged
- degree of innovation
- technological progress performed in the project by the SME
- geographical and/or sectorial impact

**Market and Competitiveness** relates to the market targeted, the profitability of the project results and the competitive advantages for the participants involved. Assessment aspects include:

- market size
- market access and risk
- time to market
- return on investment
- market potential for SMEs
- strategic importance of the project
- enhanced capabilities and visibility for the participants

The IEP agrees appropriate final scores for the applications, all comments are recorded and an IEP Report is produced. This Report recommends to the Eurostars High Level Group a ranked list of applications to be adopted or rejected by them in its entirety. The Report forms part of the audit process and is used to generate official feedback to applicants. The EUREKA Secretariat communicates the decision of the Eurostars High Level Group to all applicants within 4 months of the cut-off date of the call for applications.

The IEP is an independent panel and as such its decision can not be overruled by the EUREKA Secretariat. Once the decisions of the IEP are approved by the HLG, they become final and are not subject to change or appeal.

## 4. Funding decision

Within 4 months of the cut-off date, final contract negotiations between the main participant and its national funding body should have been concluded.

## 5. Approved Projects

Approved projects are entitled to use the Eurostars logo on their official documents. Guidelines for Approved Projects will be made available to explain the rights and obligations of approved Eurostars projects.

## Contact your EUREKA National Project Coordinator

Within 4 months of the cut-off date, the EUREKA Secretariat will send a letter to all participants with the funding results of the cut-off. If a project has been earmarked for funding within the framework of an approved Eurostars project, all participants must contact their National Project Coordinator within the deadline specified in the letter of funding results.


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## National registration for funding

Each of the consortium members must send a registration for national funding, in accordance with their country's national rules, in order to secure the committed funding. The National Funding Bodies can be contacted via the NPC.

## Supply a copy of the final consortium agreement signed by all the participants

The **main participant** must provide a copy of the final consortium agreement, signed by all consortium members, to the EUREKA Secretariat **within twelve weeks** of the Eurostars communication of the funding results. **Please note that public funds cannot be paid to participants before a signed and approved final consortium agreement is delivered to the EUREKA Secretariat.**

**Failure to return the final signed consortium agreement to the EUREKA Secretariat will lead to the removal of the project's label and ultimately to the withdrawal of public funding.**


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| | Milestones in Eurostars Programme | When? | What? | Who? | Links | Contact for information |
|---|---|---|---|---|---|---|
| PROJECT INITIATION | Results of project funding | Within four months of the cut-off date | Receipt of funding results letter | Each participant of the consortium receives the letter | | www.eurostars-eureka.eu/where.do |
| | Contact NPC | Within ten working days of receipt of the letter with the funding results | Contact national NPC | Each participant of the consortium | | www.eurostars-eureka.eu/where.do |
| | National registration for funding | After receipt of the letter with the funding results | Contact the National Funding Body (NFB) via NPC | Each participant of the consortium | | www.eurostars-eureka.eu/where.do |
| | The final Consortium Agreement | Within 12 weeks of the funding results | Supply the final CA signed by all the participants to the ESE | The main participant of the project | https://www.eurostars-eureka.eu/guidelines.do | projects@eurostars-eureka.eu |
| PROJECT EXECUTION | Project Progress Reports (PPRs) | Twice yearly (in spring and in autumn) independently of the project start date | Report about the technical progress of the project | Main participant must return the official form to the ESE | https://www.eurostars-eureka.eu/guidelines.do | projects@eurostars-eureka.eu |
| | Declaration of changes in the project | Any time once the project is approved | The ESE must be informed about any change of the project | Main participant informs the ESE | https://www.eurostars-eureka.eu/guidelines.do | projects@eurostars-eureka.eu |
| PROJECT FINALISATION | Final report (FiR) | Report for terminated projects | Final report - project's technical achievements and steps to follow | The ESE despatches the FiR | https://www.eurostars-eureka.eu/guidelines.do | projects@eurostars-eureka.eu |
| | Market Impact Report (MIR) | Annual reports after successful project completion | Report during the marketing phase of the product/process/service | The ESE despatches the MIR | https://www.eurostars-eureka.eu/guidelines.do | projects@eurostars-eureka.eu |


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# 5. Further information

For further information on the Eurostars Programme and the application process:

- The Eurostars Programme website *http://www.eurostars-eureka.eu* provides comprehensive information on the Programme including a list of frequently asked questions (FAQs);

- EUREKA National Project Coordinators (NPC) can address your specific questions either by telephone or email. Contact details for all NPCs are provided at *http://www.eurostars-eureka.eu/where.do.*

- Potential applicants are also invited to attend briefing meetings organised by their EUREKA NPCs. Further details including the dates of these meetings will be made available at *http://www.eurostars-eureka.eu*


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# Appendix 1

## Eligible costs

The rules applying to eligible costs vary from one Eurostars member country to another. Your EUREKA National Project Coordinator (NPC) can address your specific questions either by telephone or email. Contact details for all NPCs are provided at *http://www.eurostars-eureka.eu/where.do*.


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# Appendix 2

## Information security and confidentiality

### Electronic submission of application documents

The electronic submission of applications uses https, which encrypts and decrypts the requests and information between the applicant's browser and the server to which applications are submitted, using a Secure Socket Layer (SSL). SSL allows an SSL-enabled server to authenticate itself to an SSL-enabled client and vice versa, enabling the machine to establish an encrypted connection.

### Technical expert and Independent Evaluation Panel confidentiality and potential conflicts of interest

Technical experts and the Independent Evaluation Panel are required to sign confidentiality agreements and to declare any potential conflicts of interest. They are required to treat applications in the strictest confidence. They are engaged as individuals, not as representatives of their employer or any other entity. They are required to carry out the assessment or evaluation themselves and not ask someone to assess or evaluate the application in their place. They must not ask anyone to give another opinion of their work.

### Data Protection Act

The EUREKA Secretariat is situated in the Kingdom of Belgium and as such is governed by Belgian data protection law. More information can be found (in English, Dutch and French) at *http://www.privacycommission.be.*

The information that applicants provide on the application forms will be used in the processing of all aspects of the relevant application. This will include recording on the in-house and the Eurostars-contracted Programme Manager's processing computer and management information systems and in the preparation of material for applicants and for use by the assessment panels. In addition, information may be used in the generation and collation of output and performance indicators and other management statistics. It may also be used in policy and strategy studies to inform management in carrying out the business of the EUREKA Secretariat and in improving business processes. Any queries on issues relating to data protection should be addressed to the EUREKA Secretariat, Rue Neerveld 107, 1200 Brussels.

### Information provided to national funding bodies & NPCs

All information provided to the EUREKA Secretariat as part of the application process will be passed by the EUREKA Secretariat to each national funding body and involved NPC.

### Information released into the public domain by the EUREKA Secretariat on confirmation of project funding

The results of R&D activities should be published in the manner agreed between the participants in their project consortium agreement.

The EUREKA Secretariat reserves the right to use any project as a case study or success story to publicise the Eurostars Programme and the benefits of collaborative working. Publicity material will be agreed with consortium members before release.


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# GLOSSARY

## A

**Annexes:** required documents sent to support the project application form. These include at least the approved financial report or financial/business plans in the case of start-ups, the financial viability statement, the draft consortium agreement and all documents necessary for the comprehension of the application such as diagrams, tables, etc. .

**Application process:** the different steps for setting up the Eurostars projects.

**Application:** all documents necessary for a Eurostars application (i.e. the Eurostars Programme application form and all annexes).

## B

**Basic assessment:** relates to the consortium and project structure. It deals with the project plan and the capabilities of the participants in relation to their tasks in the project.

## C

**CET, Central European Time:** Central European Time (CET) is in the Central European Time Zone. Central European Standard Time (CET) is 1 hour ahead of Greenwich Mean Time (GMT+1).

**CEST, Central European Summer Time:** Summer (Daylight-Saving) Time is observed in Central European Time (CET), where the time is shifted forward by 1 hour; 2 hours ahead of Greenwich Mean Time (GMT+2).

**Competitive application process:** project applications are evaluated and successful projects will be those ranked highest.

**Complete application:** a dossier containing all the required documents for application.

**Completeness:** ensuring all documents have been submitted and that the application is complete.

**Cover note:** internal confirmation document, regarding information about a Eurostars participant.

**Cut-off date:** the deadline for submitting a Eurostars project application.

## D

**Declared project costs:** corresponds to the level of costs declared by the project consortium (no participant should be responsible for more than 75% of the declared project costs).


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## E

**Eligibility check:** process by which project eligibility is verified on the basis of pre-set eligibility criteria.

**Eligibility criteria:** list of criteria required for an application to be eligible for the Eurostars Programme. (See "The nine-point eligibility check")

**Eligible costs:** costs that are nationally considered eligible in the project for which a financial contribution can be obtained. They may vary from country to country.

**EUREKA:** an intergovernmental network committed to enhancing the competitiveness of European industry by promoting cross-border, market-oriented innovation.

**EUREKA National Project Coordinators (EUREKA NPC):** representatives who act as the direct contact with project participants and potential participants in each member country. NPCs facilitate the setting-up and running of projects and are responsible for project generation, national and international support and follow-up.

**EUREKA Secretariat:** a dedicated legal entity which implements the decisions made by the Eurostars High Level Group. It acts as the primary representative of the Eurostars Programme towards the European Commission, the EUREKA network and the outside world.

**Eurostars co-funding:** combining national and European Community research funding.

**Eurostars Evaluation Result Letter:** a letter sent by the EUREKA Secretariat to project participants stating the result of their application evaluation and ranking.

**Eurostars High Level Group:** Eurostars Programme decision-making body which endorses new Eurostars projects. It is composed of High-level representatives from participating EUREKA member countries.

**Eurostars member countries:** EUREKA member country participating in the Eurostars Programme, with a dedicated earmarked budget for the funding of their participants in Eurostars projects.

**Eurostars Programme:** a European innovation programme managed by EUREKA. The programme is a joint initiative with the European Commission and aims to provide funding for market-oriented research and development with the active participation of R&D-performing small and medium-sized enterprises (SMEs).

**EU Seventh Framework Programme for Research and Technological Development (FP7) :** the EU's main instrument for funding research in Europe, running from 2007 until 2013 and designed to respond to Europe's employment needs and competitiveness.

**Evaluation and ranking process:** second step of the application process undertaken by members of the Independent Evaluation Panel.

**Evaluation criteria:** list of criteria at the disposal of the technical experts and the Independent Evaluation Panel required to evaluate and rank a project proposal.

**Expert report:** a report produced by the technical experts, which consists of an analysis and an assessment of the project's management, consortium, the technological innovation and the economic impact based upon the evaluation criteria.


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## F

**Full-time equivalency (FTE)** is a measure of worker involvement in an activity.

A company with 10 full-time employees has an FTE of 10, while a second company of 10 half-time employees will only have an FTE of 5. Therefore, a fixed percentage of a company's FTE is a percentage of the potential for work across the company, not a percentage of the number of employees.

## I

**Independent Evaluation Panel (IEP):** independent body that evaluates and ranks the applications for a specific call on the basis of the application and cover note, the technical and market assessment.

**IEP meeting:** a meeting during which the IEP members discuss the relative strengths and weaknesses of each application against the set criteria and apply the final ranking to each application.

## L

**Legal entity:** an officially-recognised (registered) organisation in the host country.

## M

**Main participant:** the R&D performing SME that is the project leader.

**Market and competitiveness:** relates to the market targeted, the profitability of the project results and the competitive advantages for the partners involved.

**Minor contracting:** outsourcing of a certain amount of work to another company outside the project consortium, which also includes some of the project's core research.

## N

**National funding body:** the organizations designated by each EUROSTARS member country to administer funding at national level and which have concluded an agreement with the EUREKA Secretariat. Each national funding body shall in particular financially support at national level participants of projects selected within the EUROSTARS programme according to the applicable national funding rules, and subject to national track record.

**National funding scheme:** an instrument for funding research and development at national level that can be used to support a Eurostars project.

**National track record:** basis on which a national funding body may waive its obligation to financially support a participant in a selected Eurostars project. The grounds for waiving the obligation to pay on the basis of "National track record" are applicable when a participant has already received funding for the same or a very similar activity. In the event that a participant is excluded from funding from the National funding body on the basis of "National track record", it can still look for alternative funding. "National track record" does not provide a basis for cancelling the project as a whole or to cancel the participation of an individual partner. It only moves the obligation of the National funding body to pay.


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## O

**Other participants:** all participants involving in the project and working close to the main participant.

## P

**Project application form:** a document to be completed and submitted by applicants electronically through the Eurostars website.

**Project progress report:** document that reflects the project progress. Every six months, the main participant will be required to report (in English) on project progress via this document.

**Public entity:** national or international public-sector body, or bodies governed by private laws with a public service mission to provide adequate financial guarantees.

## R

**R&D-performing small and medium-sized enterprises:** An SME that, according to the EU definition, invests 10% or more of their turnover or their full-time equivalent personnel in research and development activities.

A more precise definition can be found at:
*http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm*

## T

**Technical and market assessment:** the first step of the assessment and evaluation process of the Eurostars project proposal undertaken by technical experts.

**Technical expert:** expert in the various technological areas, responsible for assessing applications.

**Technology and innovation:** relates to the requirement that the Eurostars project must involve a major advance in its field of technology.

## W

**Work packages**: each Eurostars project is built up by Work packages. These are coherent clusters of activities or tasks, that together are meant to realise a part of the project's overall objectives. All Work packages together include 100% of the work defined by the project scope and captures all deliverables – internal, external, interim – in terms of the work to be completed. The overall structure of the project and the interdependency between the individual Work packages should be described separately.


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