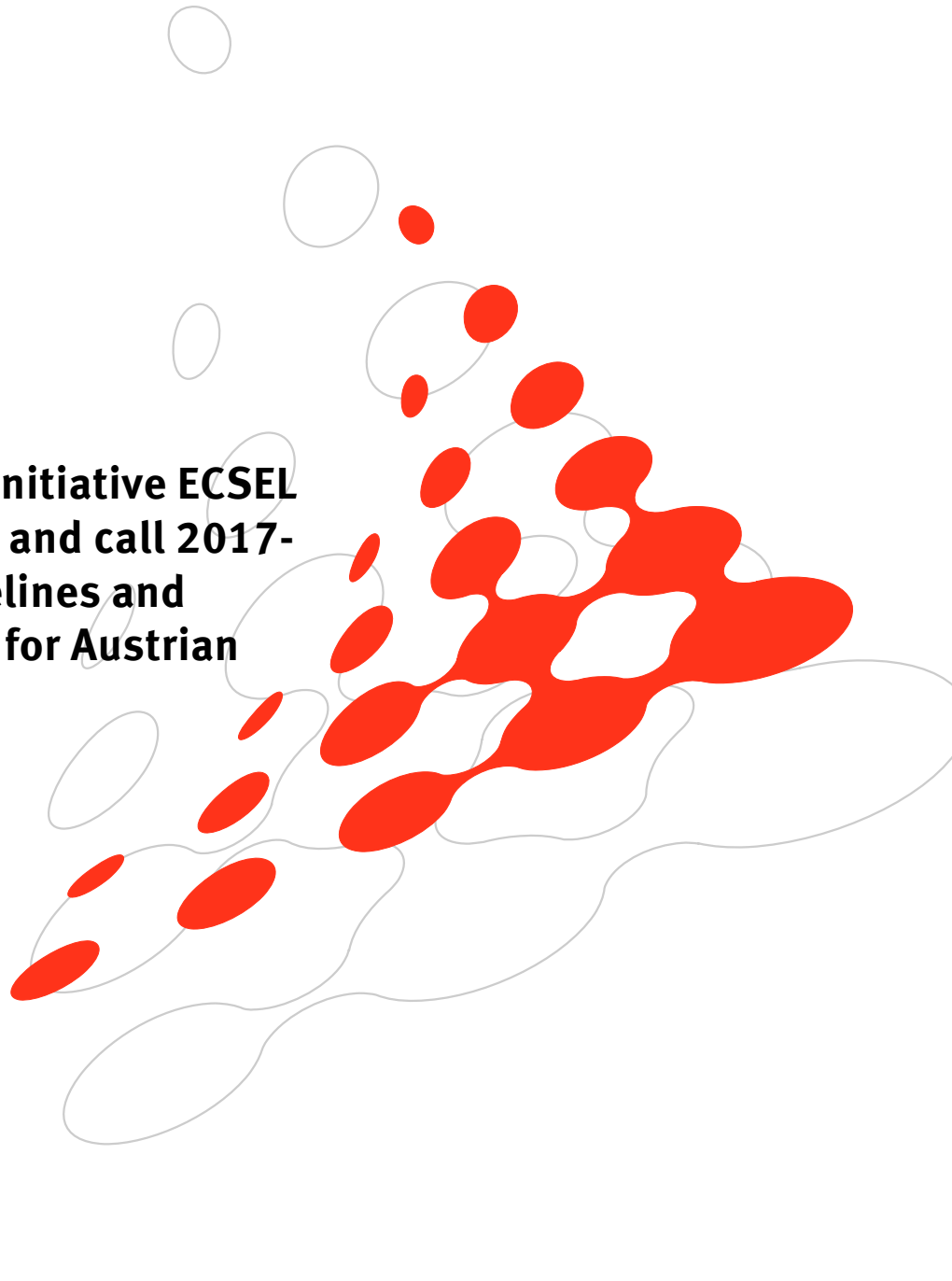




**FFG**

**Joint Technology Initiative ECSEL  
2017 (call 2017-1 and call 2017-  
2): National Guidelines and  
Eligibility Criteria for Austrian  
Participants**

**Version 1.0**





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## Preface

ECSEL (Electronic Components and Systems for European Leadership) is a European funding instrument for R&D&I in electronic systems based on the Public-Private Partnership model. ECSEL projects are co-funded by the EU and the ECSEL Participating States.

ECSEL calls are transnational calls that are managed by the ECSEL Joint Undertaking (JU). Relevant information for the calls such as the conditions and rules for the calls, the budget, publication date and deadlines are published on the websites of the ECSEL JU <http://ecsel.eu>. In order to submit a project proposal, applicants must use the tools provided for this purpose by the European Commission through its “Participant Portal”, which can be accessed through the call pages.

Full details of the topics open for proposals, terms and conditions for participation and funding budgets are available in the ECSEL JU Work Plan for 2017.

The topics for all calls are described in the ECSEL Multi-Annual Strategic Plan (MASP).

In addition to the general rules and conditions country specific eligibility rules apply. This document describes the **National Eligibility Criteria for Austrian participants** - it is designed to describe the conditions for Austrian partners and to support Austrian partners with the national submission.

All relevant information can be obtained from the ECSEL Website at FFG: <http://ffg.at/ecsel>. The FFG is the National Funding Agency (NFA) for the ECSEL Joint Technology Initiative in Austria. National contact person for the ECSEL JU Programme is Doris Vierbauch, T +43 (0)57755 50 24, [doris.vierbauch@ffg.at](mailto:doris.vierbauch@ffg.at).

## 1 General Information

### 1.1 What is the procedure for national submission?

In addition to the submission at the European Commission’s “Participant Portal” national applications must be electronically submitted via eCall (<https://ecall.ffg.at>) both before the deadline of the **Project Outline (PO) stage AND the Full Project Proposal (FPP) stage**. In exceptional cases where partners join the consortium only in the FPP phase they must submit a national application in the FPP phase as described below.

How does it work?

- Register at the eCall (please note: do not register as consortium – each partner has to submit a separate national application)
- Fill in the online forms and the calculation – the system verifies, if the funding requirements are met (e.g. max. funding,...)
- Upload the required documents (FPP stage only)
- Finalisation application in eCall and click “Submit application” (“Einreichung abschicken”)

- Upon successful submission, an acknowledgement will be sent automatically by email

An eCall tutorial is available at: <https://ecall.ffg.at/Cockpit/Help.aspx>

Please note: As the total length of ECSEL proposals is restricted, experience has shown that many proposals do not contain sufficient information for the national eligibility check. Therefore it is necessary that detailed information about the contribution of your organization to the project is provided in the national annex “ECSEL 2017 work package description for Austrian partners” which you have to upload in the FFG eCall at the FPP stage.

## 1.2 What is necessary for the PO-Phase?

After the deadline of the PO-Phase we will conduct a reduced eligibility check. The following criteria are checked:

- National application
- Project duration
- Financial potential
- Funding rate
- Consortium requirements

The results of the eligibility check (eligible/not eligible) are communicated to the ECSEL Joint Undertaking.

## 1.3 What is the formal check? (FPP-Phase only)

In the formal check the FFG examines the national application for formal correctness and completeness, but not for thematic content.

You will be notified of the result of the formal check within 2 weeks after the submission deadline via an eCall message.

- If the formal criteria are not met and the deficiencies cannot be corrected, the application for funding will not enter the subsequent steps of the procedure.
- If the deficiencies can be corrected, you may rectify these problems within a reasonable period of time.

Should it transpire after the formal check that incorrect information has been given, the funding application may also be removed from consideration at a subsequent point in the procedure.

The following criteria are checked:

- Completeness of the application (e.g. complete application in FFG eCall and application in the EC Participant Portal)
- Duration: max. 48 month
- Language: English or German
- Is the partner eligible to receive funding? See chapter 2.1

- Consortium requirements
- National Funding
- Consistency between data submitted in FFG eCall and EC Participant Portal
- Call-specific supplementary as specified in the National Eligibility Criteria for Austrian Participants in chapter 2 (upload as .pdf)
- Uploads to eCall master data (upload as .pdf file; annual accounts of the last 2 financial years)

#### **1.4 What is the eligibility check? (FPP-Phase only)**

In the eligibility check we combine the results of the following checks:

- Formal check
- Check of the eligibility of costs with respect to the guidelines for costs
- Check of the financial potential of the participating enterprises by FFG experts (credit rating and liquidity). It is not possible to provide funding to undertakings in difficulty.
- Compliance with the national eligibility criteria

The results of the eligibility check (eligible/not eligible) are communicated to the ECSEL Joint Undertaking.

## 2 National Eligibility Criteria for Austrian Participants

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

#### 2.1.1 Type or nature of participants<sup>1</sup>

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

*The following are eligible for funding:*

- **Companies of any legal form**
- **Institutions of research and knowledge dissemination**
  - Universities and universities of applied sciences
  - Non-university research institutions
  - Technology transfer institutions, innovation agents and other research-oriented organisations such as associations with a relevant purpose
- **Other non-commercial institutions**
  - Local authorities<sup>2</sup> and autonomous bodies
  - Non-profit making organisations such as NPOs<sup>3</sup>

#### 2.1.2 Legal, administrative and financial conditions

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

Formal correctness and completeness of the application are examined in a formal check.

FFG experts will check the financial potential (credit rating and liquidity) of the participating enterprises. It is not possible to provide funding to undertakings in difficulty<sup>4</sup>.

Austrian Partners have to provide the following documents:

- Companies have to upload the balance sheets of the last two years in the FFG eCall.
- The company size is to be determined according to the SME definition as specified by EU competition law: information on SME definition<sup>5</sup>.

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<sup>1</sup> “Guidelines for Cooperative R&D Projects” (Version 2.2, section 1.4)

<sup>2</sup> Activities of local authorities falling within their statutory mandate are not eligible for funding.

<sup>3</sup> “Non-profit making organisations” do not distribute profits to their owners, members or other natural persons or legal entities in accordance with their legal status or articles of association.

<sup>4</sup> Undertakings in difficulty as defined in the General block exemption Regulation (EU) N°651/2014 of 17 June 2014

<sup>5</sup> Information SME Definition: [https://www.ffg.at/recht-finanzen/rechtliches\\_service\\_KMU](https://www.ffg.at/recht-finanzen/rechtliches_service_KMU)

### 2.1.3 Consortium configuration

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

### 2.1.4 Other Conditions

All topics of the Annual Work Plan 2017 are eligible for national funding in Call 2017-1 and Call 2017-2. A certain amount of the available national budget is earmarked for the funding of national priorities:

- Being a national priority for national funding the key application “Smart Production” should receive a minimum funding of 2.5 Mio. €.
- Being a national priority for national funding the key application “Smart Mobility” should receive a minimum funding of 2.5 Mio. €.
- Projects addressing the national priorities “Smart Production” and “Smart Mobility” should take into account the “ECSEL lighthouse initiatives”<sup>6</sup>.

Projects addressing the national priority “Smart Mobility” have to be in line with the “Austrian Research, Development & Innovation Roadmap for Automated Vehicles – in particular chapter 4”<sup>7</sup>.”.

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

Project participations of Austrian partners are eligible for national funding only if they comprise mainly R&D activities.

## 2.2 Eligibility of costs and funding

### 2.2.1 Eligibility of costs

The eligibility of costs is in accordance with the national rules on eligible costs <https://www.ffg.at/recht-finanzen/kostenleitfaden/version-2> (Kostenleitfaden V2.0) and the section 1.7 of the “Guidelines for Cooperative R&D Projects” (Version 2.2) from the FFG at:

[https://www.ffg.at/sites/default/files/allgemeine\\_downloads/thematische%20programm/IKT/guidelines\\_cooperative\\_rd\\_projects\\_v22.pdf](https://www.ffg.at/sites/default/files/allgemeine_downloads/thematische%20programm/IKT/guidelines_cooperative_rd_projects_v22.pdf)

Eligible costs must be allocable directly to the project. This means that:

- they are incurred additionally to the normal operating costs during the funding period
- they are in accordance with the Funding Contract
- they can be evidenced by receipts

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<sup>6</sup> Details can be obtained from the Multi-annual Strategic Plan 2017 and the Workplan 2017. Additional information will be provided on [ecsel.eu](http://ecsel.eu)!

<sup>7</sup> Details can be obtained from the ECSEL website at FFG.

The earliest possible date for the start of the project is after submission of the application for funding.  
 Third-party costs are limited to 20% of the total costs per partner. Any excess must be justified in the national application.

## 2.2.2 Funding Rates

**Table 1 Funding rates of the national public subsidy**

	Percentage of the national subsidy to the beneficiaries <sup>8</sup>			
	Large enterprise	Medium-sized enterprise	Small enterprise	Research institutions and other institutions <sup>9</sup>
<b>Experimental development (call 2017-1, IA)</b>	up to 20 %	up to 25 %	up to 35 %	up to 30 %
<b>Industrial research (call 2017-2, RIA)</b>	up to 25 %	up to 30 %	up to 40 %	up to 35 %

The funding rate varies depending on the research category and the type of partner:

- The company size is to be determined according to the SME definition as specified by EU competition law: information on SME definition<sup>10</sup>
- Industrial research correspond to the category “RIA - Research and Innovation Action” in the ECSEL Workplan for the year 2017
- Experimental development correspond to the category “IA - Innovation Action” in the ECSEL Workplan for the year 2017

If the contribution to the project involves a commercial activity the funding rates for research institutions and other institutions are the same as those for enterprises.

- The centre of gravity of individual Austrian partner’s project participation has to be within the type of action that the overall project addresses (RIA/IA).

Experimental development does not extend further than Technology Readiness Level (TRL) 7: System prototype demonstrated in operational environment.<sup>11</sup> Exception: commercially usable prototypes and pilot projects if the developed product would be too expensive for demonstration and validation purposes alone. In justified exceptional cases funding may be provided up to Technology Readiness Level (TRL) 8. Market replication can not be funded.

<sup>8</sup> calculation based on national eligible costs

<sup>9</sup> for non-commercial activities

<sup>10</sup> Information SME Definition: [https://www.ffg.at/recht-finanzen/rechtliches\\_service\\_KMU](https://www.ffg.at/recht-finanzen/rechtliches_service_KMU)

<sup>11</sup> Guidelines for Cooperative R&D Projects” (Version 2.2, section 5.2)



## 2.3 Additional information to be provided at submission and other conditions

- **Registration at the eCall System of the FFG** at <https://ecall.ffg.at> for **Project Outline stage AND Full Project Proposal stage** – completion of all relevant forms.
- Upload of relevant documents in the eCall, in particular “ECSEL 2017 work package description for Austrian partners” for FPP
- **For Full Project Proposal stage:** Description of the alignment with the “*Austrian Research, Development & Innovation Roadmap for Automated Vehicles<sup>12</sup>*” if the project is submitted in the topic “Smart Mobility”.

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<sup>12</sup> Details can be obtained from the ECSEL website at FFG.