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VERSION 1.1 

**JOINT TECHNOLOGY INITIATIVE ECSEL  
2019 (CALL 2019-1 AND CALL 2019-2):  
NATIONAL GUIDELINES AND ELIGIBILITY  
CRITERIA FOR AUSTRIAN PARTICIPANTS**

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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 2019. 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).

## CHANGES

Version	Date	Change	Pages
V1.0	06.02.2019		

## 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 for both the **Project Outline (PO) AND the Full Project Proposal (FPP)** must be electronically submitted via eCall (<https://ecall.ffg.at>) before the deadlines of the respective stages. In exceptional cases where partners join the consortium only in the FFP phase they must submit a national application in the FFP 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 budget calculation – the system verifies, if the funding requirements are met (e.g. max. funding, ...)
- Upload the required documents (FPP stage only)
- Finalise the 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 to provide detailed information about the contribution of your organization to the project in the national annex “ECSEL 2019 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 viability
- Funding rate
- Consortium requirements

The results of the eligibility check (eligible/not eligible) are communicated to the ECSEL Joint Undertaking as well as information on how the status of none eligible or conditional eligible proposals can be improved. Indications on the budget or other relevant topics (from a national point of view) will be communicated to the applicant if necessary.

## 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. 36 month
- Language: English or German
- Is the partner eligible to receive funding? See chapter 2.1
- Consistency between data submitted in FFG eCall and EC Participant Portal
- Call-specific supplementary as specified in this document under National Eligibility Criteria for Austrian Participants in chapter 2
- Uploads to organization's master data in eCall (e.g. 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 viability 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 (Consortium requirements, National Funding, ...)

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

#### **1.5 What is the legal background for the funding?**

Legal background for funding: Themen-FTI-Richtlinie

[https://www.ffg.at/sites/default/files/richtlinie\\_fti\\_2015\\_themen.pdf](https://www.ffg.at/sites/default/files/richtlinie_fti_2015_themen.pdf)

## 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 (Who is eligible to receive funding? 1)

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<sup>2</sup>
  - 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>3</sup> and autonomous bodies
  - Non-profit making organisations such as NPOs<sup>4</sup>

#### 2.1.2 Legal, administrative and financial conditions (Submission Procedure)

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 viability (credit rating and liquidity) of the participating enterprises. It is not possible to provide funding to undertakings in difficulty<sup>5</sup>. Austrian enterprises have to provide the following documents:

- Annual statement of accounts (balance sheet, profit and loss account) from the past 2 financial years
- [Declaration of SME Status](#) for associations and sole traders
- The company size is to be determined according to the SME definition as specified by EU competition law: information on SME definition<sup>6</sup>.

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<sup>1</sup> “Guidelines for Cooperative R&D Projects” (Version 2.3, section 1.4)

<sup>2</sup> The smallest possible unit of a university is an institute of the university or a organisation comparable to a UOG 2002/§20 organisation unit. It is a precondition that the participating organisation unit (institute or comparable unit) is authorised with corresponding mandate according to UOG 2002/§ 27. Units below (for example working groups) can not act as project partners.

<sup>3</sup> Activities of local authorities falling within their statutory mandate are not eligible for funding.

<sup>4</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>5</sup> Undertakings in difficulty as defined in the General block exemption Regulation (EU) N°651/2014 of 17 June 2014

<sup>6</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 open Topics and Major Challenges of the MASP and Annual Work Plan 2019 are eligible for national funding in Call 2019-1 and Call 2019-2. A certain amount of the available national budget is earmarked for the funding of national priorities:

- Being a priority for national funding the key application “Transport & Smart Mobility” should receive a minimum funding of 3 Mio. €.
- Being a priority for national funding the key application “Digital Industry” should receive a minimum funding of 3 Mio. €.
- Projects addressing the national priorities “Digital Industry” and “Transport & Smart Mobility” should take into account the ECSEL lighthouse initiatives<sup>7</sup> Mobility.E and Industry4.E.
- Priority is also given to projects addressing multi physical modelling and simulation for heterogeneous integration.

Austria intends to reach a good balance between hardware oriented projects and software oriented projects.

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

## 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. For details on the eligibility of costs see the Cost Guidelines Version 2.1:

<https://www.ffg.at/recht-finanzen/kostenleitfaden/version-21>

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 or other type of valid documentation (e.g. timesheets, equipment use records, ...)

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<sup>7</sup> Details can be obtained from the Multi-annual Strategic Plan 2019 and the Workplan 2019.

Non-deductible value added tax paid by the beneficiary which is not refunded according to national legislation is eligible.

The earliest possible date for the start of the project is after submission of the application for funding.

## 2.2.2 Funding Rates

Percentage of the national subsidy to the beneficiaries <sup>89</sup>				
	Large enterprise	Medium-sized enterprise	Small enterprise	Research institutions and other institutions <sup>10</sup>
<b>Experimental development (call 2019-1, IA)</b>	up to 20 %	up to 25 %	up to 35 %	up to 30 %
<b>Industrial research (call 2019-2, RIA)</b>	up to 25 %	up to 30 %	up to 40 %	up to 35 %

Table 1 Funding rates of the national public subsidy

- If the contributions to the project involve 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 beyond the demonstration of the prototype (system) in a relevant environment (TRL 7). Exception: commercially usable prototypes and pilot projects if the developed product would be too expensive for demonstration and validation purposes alone.

## 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: balance sheets, "ECSEL 2019 work package description for Austrian partners" for FPP, ...

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

<sup>9</sup> Information SME Definition: [https://www.ffg.at/recht-finanzen/rechtliches\\_service\\_KMU](https://www.ffg.at/recht-finanzen/rechtliches_service_KMU)

<sup>10</sup> for non-commercial activities