



**GUIDE FOR APPLICANTS
for Call ENIAC-2013-2
ENIAC-ED-126-13
Version 1.2
21/02/2013**

This Call specifically focus on KET Pilot Line project proposals. Be aware that Eligibility criteria and Evaluation of the proposal are substantially different from non-pilot line calls, in particular in sections 8, 9, 12 and 13.

Look for



items as compared to the last calls

Disclaimer

This Guide is based on the rules and conditions contained in the legal documents applicable to the ENIAC Joint Undertaking and the national funding schemes of the ENIAC member States. The Guide does not in itself have legal value, and thus does not supersede these documents.

Further copies of this Guide, together with all information related to this Call for Proposals, can be downloaded from <http://www.eniac.eu>

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1 Synopsis of the call

- Call reference
 - Call title: **ENIAC Call 9**
 - Identifier: **ENIAC-2013-2**
- Schedule
 - Schedule is posted on **www.eniac.eu**
- Indicative Budget of Call ENIAC-2013-2
 - The indicative budget is posted on www.eniac.eu
- **Funding percentage:**
 - **JU% = 15.0%**

An ENIAC helpdesk will be open for the duration of the Call:

ENIAC JU Help desk
email: eniac@eniac.europa.eu
Tel: +32 2 221 81 02

When sending an email clearly indicate in the subject line: “Call 2013-2”

2 Lost in translations?

Abbreviation used in this document	Meaning
ENIAC JU	A public-private partnership focusing on nanoelectronics that brings together ENIAC Member/Associated States, the European Commission, and IRC.
PAB	(Public Authorities Board) The PAB is one of the bodies of the ENIAC JU composed of the public authorities (ENIAC member States and the European Commission)
PA	Public Authority, is the authority that manages the ENIAC JU programme for a member State
NFA	National Funding Authority, is the public authority that manages the implementation of the national grant agreements in the frame of the ENIAC JU programme. The NFA is often but not always the PA.
IRC	Industry and Research Committee; The IRC represents the interests of the European R&D actors within ENIAC JU and organised through AENEAS.
AENEAS	An association constituted of European R&D actors in the nanoelectronics field and organizing the IRC
ED	Executive Director of ENIAC JU; the ED implements the ENIAC JU programme, such as the management of Calls. He is supported in his tasks by the ENIAC JU Secretariat.
ENIAC JU Secretariat	The Secretariat supports the Executive Director of the ENIAC JU in the implementation of his responsibilities,
Call	The Call is the procedure to attract and select proposals for projects to be funded through the ENIAC JU programme.
Call page	This is a page on the ENIAC JU website that contains all relevant information for the present Call. It also contains a number of documents and links related to the present Call.
MASP	Multi Annual Strategic Plan. This MASP (latest version is the 2010 version) describes the strategy for ENIAC JU and is coherent with the VMS document.
AWP	Annual Work Plan. The Annual Work Plan of the year of the call contains the details of the Grand Challenges selected for the present Call.
NGA	National Grant Agreement is the agreement between a partner and its NFA, that provide for the national funding of the partner to a project selected in the frame of the ENIAC JU programme.
JU Grant	The Joint Undertaking grant is the agreement between the ENIAC JU and a consortium for a project selected in the frame of the ENIAC JU

	programme.
PO	Project Outline is the first description of a project proposal. A project outline as the name indicates does not contain all the details of a proposal but enough to assess its relevance.
FPP	Full Project Proposal is the complete and detailed description that is submitted for an evaluation by experts.
Part B	Part B is the part of a proposal that contains all the relevant technical details. It is also sometimes referred to as Technical Annex or Description of Work.
Coordinator	A Coordinator is a legal entity that within a consortium, manages the efforts of the consortium to elaborate a project proposal, submit the proposal for evaluation and later coordinates the implementation of the project. The project coordinator is the person who will execute this task.
project coordinator	The project coordinator is the person who will execute this task, he/she is appointed by the Coordinator organisation.

3 Where do I find more information?

The documents that you should consult for this call are all posted on the ENIAC JU website (www.eniac.eu). They are:

Abbreviation used in this document	Title of the document	Official reference	What you can find in there
GUIDE	Guide for Applicants	This document	The general JU eligibility criteria as well as evaluation criteria and sub-criteria are set out in this Guide for Applicants
TEMPLATE	Template for Part B	ENIAC-ED-126-13	to be used in preparing the technical annex in the FPP phase
NATIONAL ELIGIBILITY CRITERIA AND FUNDING RULES	National Eligibility criteria and Funding rules for the present Call	ENIAC-ED-125-13	National eligibility criteria National funding rules References to national contact persons and websites
TOOLGUIDE	Guide for the proposals submission tool	ENIAC-ED-127-13	How to submit a proposal using the electronic submission tool.
AWP	Annual Work Programme relevant to the present call	ENIAC-PAB-100-12	The AWP valid for the present Call
MASP	Multi Annual Strategic Plan 2010	ENIAC-GB-0105	MASP2010
REGULATION	Council Regulation (EC) No. 72/2008 setting up the ENIAC Joint Undertaking	COUNCIL REGULATION (EC) No72/2008 of 20 December 2007	The rules governing the ENIAC JU
FINANCIAL GUIDE	Guide to Financial Issues	ENIAC-ED-22	Financial rules in the frame of ENIAC JU projects.
JU-GA	Joint Undertaking Grant Agreement	JU-GA (ENIAC-GB-0030)	The model JU-GA that is used for all ENIAC JU projects.

Box 1: Consider reading this!

To prepare your proposal you can also get help from:

Important websites	What you can find there
http://www.eniac.eu/web/projects/search.php	If you are in search of partners or if you are in search of a project
ec.europa.eu/research/participants/portal/page/myorganisations	To register your organization; THIS IS MANDATORY FOR ALL ORGANIZATIONS PARTICIPATING TO THIS CALL!
http://ec.europa.eu/research/participants/portal/ShowDoc/Participant+Portal/portal_content/help/participant_portal_usermanual.pdf	The guide to the participant portal (see above)
www.eniac.eu	You can find here: The Call page All documents mentioned in this document More information on the ENIAC JU Projects supported by the ENIAC JU And much more
www.aeneas-office.eu/web/aeneas/mission.php	Aeneas the organization representing the industry and other partners of the ENIAC JU, you can find support here.
circa.europa.eu/Public/irc/eniac/Home/main	Look here for public documents of the ENIAC JU, including procedures
cordis.europa.eu/home_en.html	This is the gateway to European research and development. Cordis provides information on R&D projects and programmes supported by the European Union budget
cordis.europa.eu/fp7/ncp_en.html	National contact points for ICT projects, they can help you with contacts at the national level. Also look in the ENIAC-ED-53“National Eligibility Criteria and Funding Rules” document for contact points specific for the the ENIAC JU programme
www.ideal-ist.net/	You can find partners here.
www.ipr-helpdesk.org/index.html	You can get help on intellectual property issues here.

Box 2: Where you can find some useful information.

4 The road to an ENIAC project

Following the launch of the call, participants are expected to register their proposal by submitting a complete Project Outline (PO) before the deadline. **The submission of a PO is mandatory!**

After the submission of a PO, ENIAC JU Secretariat assesses the proposal eligibility against the submission rules. This can result in a motivated rejection of the proposal if the rules have been violated. Then ENIAC JU (with the help of independent experts) and the national authorities assess the proposal against national and JU criteria with respect to the content and the funding request. The ENIAC JU Secretariat returns an assessment report to the Coordinator.

After assessment the proposals can be adapted and shall be submitted in full before the deadline of the Full Project Proposal (FPP) phase. In particular the FPPs submitted should describe in detail the planned research activities and provide information as to who will carry them out, and how much they will cost.

The submitted FPPs are then evaluated in order to identify those whose quality is high enough to justify public funding. This evaluation includes a peer-review carried out by independent experts.

After the evaluation of the proposals by the experts, the PAB of the ENIAC JU decides on the selection of proposals and the allocation of public funding (ENIAC JU and national funding).

Following the PAB decision, the ENIAC JU will enter into negotiations with the consortia having submitted the selected proposals taking into account the maximum public funding allocated and the potential recommendations for changes.

If negotiations are successfully concluded, then participants from ENIAC member states are in the position to conclude national grant agreements with their respective national funding authorities that will constitute the legal basis for receiving national financial contributions.

After conclusion of national grant agreements the participants must access to the ENIAC JU grant agreement. This step is necessary to claim the JU financial contribution (if applicable).

Consequently, each project participant established in an ENIAC member State thus receives two streams of funding one from the ENIAC member state, and one from the ENIAC JU (which comes from the EU budget).

If the participant comes from an EU Member State or a country associated to the Framework Programme that is not an ENIAC member state and did not close an Administrative Agreement with the ENIAC JU, only the JU Grant Agreement shall be closed, and any possible national funding will not be visible to the ENIAC JU. The remaining support needed to cover the costs of the proposed work not provided for in form of grant shall come from the participants' own resources.

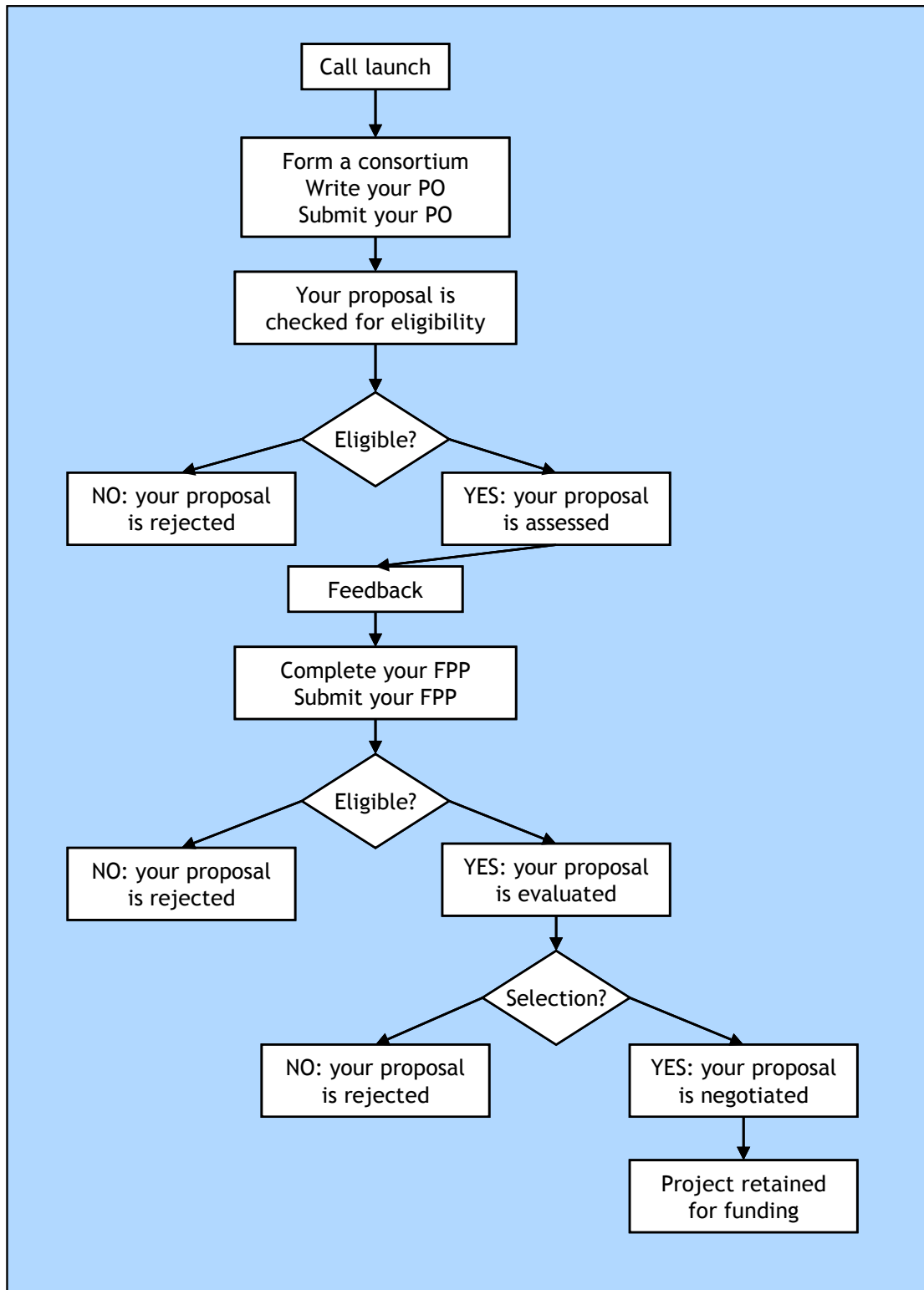


Figure 1: From idea to project

5 Step 1: Getting started

In this step you will:

1. *Form a consortium ⇒ check Box 1 “Who can participate?”*
2. *Check the documents ⇒ check the Chapter 3 “Where do I find information?”*
3. *Check the objectives for this Call ⇒ check the Annual Work Programme*

You are highly encouraged to get in touch with your NFA at an early stage of the proposal preparation. The national ENIAC Contact Points are provided in the document NATIONAL ELIGIBILITY CRITERIA AND FUNDING RULES. They can provide advice and support to organisations which are preparing proposals for the ENIAC Call.

Who can participate?

In principle, any legal entity may participate in a proposal no matter where it is established. A legal entity can be a so-called "natural person" (e.g. Mme Dupont) or a "legal person" (e.g. National Institute for Research).

Participants in an ENIAC JU project are eligible for ENIAC JU funding only if they come from either from an ENIAC member State or from an associated country, under the conditions set forth in the Council Regulation 72/2008, article 13 of the Annex.

ENIAC member States are: Austria, Belgium, Czech Republic, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Malta, Netherlands, Norway, Poland, Portugal, Romania, Slovakia, Spain, Sweden, United Kingdom.

Not ENIAC member State but with Administrative Agreement: Israel

Other EU Member States and Associated countries (including the European Commission's Joint Research Centre) are presently: Albania, Bosnia & Herzegovina, Bulgaria, Croatia, Cyprus, Denmark, Iceland, Faroe Islands, Liechtenstein, Lithuania, Luxembourg, FYR Macedonia, Montenegro, Serbia, Slovenia, Switzerland and Turkey [1].

The consortium must be composed of at least three 'legal entities' established in at least three different ENIAC JU member States. The entities must be independent of each other.

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Box 3: Who can participate?

6 Step 2: Preparing your Project Outline

In this step you will:

1. *Collect the information*
2. *Use the templates to write your proposal*

6.1 Which information do I need?

The information requested in the PO phase consists of:



1. Part A: Administrative information providing information about the proposal and the participants. At this stage only the coordinator needs to fill in Part A. Partner information still needs to be filed in Part B, as well as budgets.
2. Part B: An outline of the proposal, with the main points that will allow the assessment of the proposal. The intention is to give a first impression about the proposed work and explore the possibilities of funding. The document is written using the TEMPLATE, that consists of both a WORD document AND an EXCEL spreadsheet.
3. Part C: Further information that will allow national authorities to verify eligibility and funding for the Beneficiaries. Please refer to the document NATIONAL ELIGIBILITY CRITERIA AND FUNDING RULES for more country specific information. In certain circumstances, documents can be requested and/or accepted by the national authorities from beneficiaries past the deadline of the PO submission.

6.2 *How do I use the template to write my proposal*

The use of the TEMPLATE for Part B is MANDATORY

To write the Part B you should use the TEMPLATE. It contains both a structure and additional information on the content. This information is not replicated here. The TEMPLATE is the same for the PO and FPP but in the FPP more information and detail are requested. The TEMPLATE tells you what is mandatory at the PO stage; limit yourself to that required information and don't omit anything as this might be a reason for exclusion.

The TEMPLATE consists of a WORD document and an EXCEL spread sheet with a number of tables. The goal is to use both documents to collect the information. The WORD document must first be converted to a Pdf document in order to be up loaded with the electronic submission system, while the EXCEL document can be uploaded directly.

Be clear and concise in your description, prefer quality above quantity.

Only black and white copies of Part B are used for assessment and later for evaluation and you are strongly recommended therefore not to use colour in your document. Also do not insert hypertext links, only the text of your Part B will be read, not any documents linked to it.

It is wise to print out your Part B, to check that it really is the file you intend to submit, and that it is complete, printable and readable? After the call deadline it will not be possible to replace your Part B file.

7 Step 3: Upload and Submit your PO

In this step you will:

1. *Upload the documents using the submission tool*
2. *Submit your proposal*
3. *Check for your confirmation letter*

The upload and submission of the proposal are done electronically using a web-based portal. A link to the web page to access the portal is given on the Call page.

The coordinator and the participants can upload information, but it is the responsibility of the coordinator to check that all information has been uploaded correctly and to submit the proposal.

As coordinator you need to have the agreement of all the members of the consortium to submit this proposal on their behalf.

Refer to the TOOLGUIDE for all the details on upload and submission.

The « Parts of Ten » for uploading and submitting a proposal

1. Call deadlines both for PO and FPP are absolutely firm and are strictly enforced.
2. Only the coordinator is authorised to submit the proposal. Do not delegate this responsibility as it requires some understanding of SEP.
3. In Part A: Leaving cells empty will block the submission of your proposal, therefore if you miss some of the data (a name, a phone number, an amount, etc.) then use a dash ("-") for alphanumeric character and a zero ("0") for numerical data, or ("0.00") for decimal numeric information.
4. Part B must be in PDF format and in EXCEL format for the table.
5. The overall limit size for Part B is 10 Mbytes.
6. For larger documents, please contact ENIAC JU Secretariat
7. Part B filename made up only of the letters A to Z and numbers 0 to 9 without special characters or spaces
8. Only when all problems are corrected can the proposal effectively be submitted.
9. You must press the button "SUBMIT PROPOSAL" in order to validate the submission.
10. After submitting your proposal you can still modify it and re-submit it. Therefore do not wait till the last moment to submit.

Box 4: "Parts of Ten" for uploading and submitting a proposal?

Keep a close eye on the deadline for submission!

The deadline for submission is strictly enforced, therefore:

1. Have you made yourself familiar with the submission system early enough?
2. Have you allowed time to submit a draft version of your proposal well in advance of the deadline (at least several days before), and then continued to improve it with regular resubmissions?
3. Have you completed the submission process for your final version by pressing the SUBMIT PROPOSAL button?

Box 5: Time keeps ticking!

The reception of the submitted proposal is the task of the ENIAC JU Secretariat. An acknowledgement of receipt is automatically sent by the electronic system to the contact person for partner no. 1, partner no.1 being the Coordinator of the project, but it does not imply that the PO has been accepted as eligible for assessment.

If you, as coordinator, did not receive an acknowledgement of receipt within 12 working days after the call deadline, you should contact the ENIAC JU Help desk. However, first please check that you are the person named in the proposal as contact

person for partner no.1, check the email address provided, and check the spam mail box of your email system for a few days following the deadline of the PO (or FPP). Technical issues in the submission process will be clarified by the ENIAC JU Secretariat, and if needed, decided upon by the Executive Director of the ENIAC Joint Undertaking.

8 Step 4: Eligibility check of your PO

While the ENIAC JU checks your PO you can continue working on the FPP version of your proposal. The ENIAC JU Secretariat will:

1. *check eligibility*
2. *inform you in case of non-eligibility*

The eligibility check proceeds in two steps.

Firstly, a check is performed by the ENIAC JU Secretariat of the validity of the submission based upon the following six criteria:

1. The proposal was submitted before the deadline using the electronic submission system. The timestamp of the submission in the electronic system is used for this check.
2. The content of the PO as defined in the Part B of the proposal, chapter "Relevance and contributions to the content and objectives of the Call", relates to the topic(s), strategies and policies described in the AWP for the relevant Call addressing KET Pilot Line project proposals. The "KET Pilot Line" concept referred to in this document is detailed in the text box below.
3. The proposal involves at least 3 non-affiliated legal entities established in at least 3 ENIAC member States. This is checked using the information provided in Part A.
4. The mandatory information requested for Part B is provided.
5. The documents for Part A and Part B are submitted in English.

Concerning the second eligibility criterion, the following clarification is made:

The proposals shall typically qualify as "experimental development"¹ as a minimum, consisting in acquiring, combining, shaping and using existing scientific, technological, business and other relevant knowledge and skills for the purpose of producing plans and arrangements or designs, experimental production and testing of new, altered or improved products, processes or services, provided that they are not intended for commercial use, unless the prototype is necessarily the final commercial product and it is too expensive to produce it for demonstration and validation purposes only (in which case any revenue generated must be deducted from the eligible costs).

If the proposals also contain parts that may qualify as "industrial research", they must be clearly identified.

For the purpose of this Call, a KET Pilot Line is an installation that should allow acquiring information upon the future behaviour of an innovative product or process in an industrial facility, or in defining the design of such an industrial facility. A KET Pilot Line can be

¹ COMMISSION REGULATION (EC) No 800/2008 of 6 August 2008 , OJ L 214, 9.8.2008, p.3

distributed in more than one building or geographic location; for example, in a project including both Front End of Line and Back End of Line operations, although they are technologically a single sequence, the two parts may be at different locations.

Eligible proposals for this call must be:

- (1) using an innovative technology**
- (2) to develop innovative products, meeting social challenges, and**
- (3) establishing a new, realistic R&D environment, a facility (“KET Pilot Line”) capable to manufacture**
- (4) demonstrators in small volume in order to establish their value and potential while**
- (5) including a deployment plan to a real life European manufacturing site.**
- (6) The project coordinator must be a company with at least one significant production site in the EU, unless it is a start-up.¹**

Box 6: The KET Pilot Line and related Eligibility Criteria

Secondly, the eligibilities of the proposals and the participants are checked by the national authorities against the criteria that can be found in the document NATIONAL ELIGIBILITY CRITERIA AND FUNDING RULES.

At the end of the check three cases can occur: non-eligible, eligible, conditionally eligible.

A non-eligible proposal is rejected and will be excluded from further participation in the Call procedure. In such a case the negative result of the eligibility check, dully motivated, will be communicated to the coordinator of the project, who can address a written recourse to the Executive Director of ENIAC JU. This recourse will be handled by ENIAC JU and the outcome communicated to the coordinator.

If the proposal is identified as eligible then the PO will be assessed.

A proposal can also be identified as conditionally eligible, meaning that the non-eligibility is due to some well identified solvable issue or even due to a lack of some specific information. When this happens, the ENIAC JU can decide to accept the PO for assessment and allow it to proceed to the FPP phase. The pending issue will then be mentioned in the assessment letter and must be resolved before submitting the FPP. The fact that a PO is assessed in such circumstances does not constitute proof of its eligibility.

The use of English is mandatory for the Part A and Part B but the additional information and forms that may be requested by the ENIAC member States for the verification of eligibility of national funding can be in their respective national languages.

9 Step 5: Assessment of your PO

In this step the ENIAC JU Secretariat will:

- 1. assess the proposal*
- 2. inform you of the results including eventual conditions for eligibility that must be met in the FPP*

¹ http://ec.europa.eu/enterprise/sectors/ict/files/kets/hlg_report_final_en.pdf

Eligible proposals are assessed with the help of external independent experts nominated by the ENIAC JU.

The experts will look specifically at:

- Relevance of the objectives to the topic(s) of the AWP, in particular regarding the “KET Pilot Line” concept
- Contribution at the European level
- Degree of application innovation
- Degree of IP development
- Expected market impact, in particular of the industrial partners
- Clarity in the description of the objectives and expected results
- Soundness of the project concept to achieve the results
- Quality of the consortium as a whole including complementarities, balance and involvement of SMEs

The assessment will not contain any scores for the POs (only FPPs are scored).

After the completion of the assessment, the ENIAC JU will communicate to the coordinators in an assessment letter the comments and recommendations of the experts as well as comments by the public authorities on eligibility and/or funding.

10 Step 6: Preparing a Full Project Proposal

In this step you will:

1. *Collect the information*
2. *Use the templates to write your FPP*
3. *Deciding for a start date and a duration*
4. *Check your proposal against eligibility and evaluation criteria*

10.1 Which information do I need?

You will need the same information as for the PO. In fact with the electronic submission tool all information you entered in the PO phase will be accessible in the FPP phase.

So you will need to collect information pertaining to changes that occurred following the submission of the PO, for example missing information, information on new partners, modifications of the financial information, required documents pertaining to national eligibility.

The information requested in the FPP phase consists of:

1. Part A: Administrative Information which provides information about the proposal and the participants. Each of the partners in the consortium can introduce its own information with the submission system.
2. Part B: Technical description of the proposal allows the evaluation of the proposal. The document is written using the Template for Part B.

3. Part C: Further information that allows national authorities to verify eligibility and funding for the Beneficiaries. Please refer to the document NATIONAL ELIGIBILITY CRITERIA AND FUNDING RULES for more country specific information. In certain circumstances, documents can be accepted by the national authorities from beneficiaries even after the deadline of the submission.

10.2 How do I use the template to write my proposal?

It is MANDATORY for Part B to use the TEMPLATE (MS-Word and MS-Excel spread sheet).

Both documents must be uploaded within the SEP system but the WORD document must first be converted to a PDF document.

Be clear and concise in your description, prefer quality above quantity. Edit your proposal tightly, strengthen or eliminate weak points. Put yourself in the place of an expert evaluator. Ask for experienced colleagues to review your draft. The acronym and name for the FPP must be the same as the acronym and name used in the PO.

Only black and white copies of Part B are used for evaluation and you are strongly advised therefore not to use colour in your document. Do not insert hypertext links, only the text of your Part B will be read, not any documents linked to it.

It is recommended to print out your Part B and double check that it really is the file you intend to submit, and that it is complete, printable and readable. It is impossible to replace Part B after the deadline for submission.

The FPP is a more detailed version of the PO, for example it includes a complete description of the work packages. But also the assessment letter can contain valuable information to develop your proposal further. Based on the feedback that you receive, you might:

- fine tune your objectives in order to improve the relevance of your work in relation to the topic(s) of the work programme and the contribution to the overall ENIAC JU targets;
- improve the description of the basic concept of your proposal;
- clarify the expected results and include new demonstrators;
- clarify the degree of application innovation in the context of the sub-programmes addressed;
- better describe and quantify the expected market impact of the results for the industrial partners;
- improve the quality of the consortium as a whole including complementarities, balance and involvement of SMEs, possibly by modifying its composition;
- change the costs adapted to the modifications you have introduced.

It is though important that the overall approach and objectives developed in the FPP, as well as the composition of the consortium or the budget should not deviate significantly from the comparable ones in the PO. For future reference it is advisable to document how the results of the assessment were incorporated in the FPP, certainly when this involves changes in budget or partner.

If you modify the composition of your consortium or the budget and funding when evolving from PO to FPP, you are advised to contact the relevant Public Authorities in

order to check any potential issues dealing with for example the national eligibility criteria for the newly introduced partners.

10.3 Deciding start date and duration

The start date of a project is the point in time at which the project partners start their activities and can generate costs. This date can be prior to the signature date of the JU GA and/or NGA. German partners must take into account that eligible costs are only recognized after the signature of a NGA.

The duration of a project is typically three years. A longer duration must be clearly justified. Projects with shorter duration are allowed.

10.4 Check your proposal against eligibility and evaluation criteria

The eligibility and evaluation criteria will be described in detail in the subsequent chapters. You must make sure before submitting your FPP that you are in compliance with all of them, in order for the proposal to be taken into account and score higher than the other competing proposals.

11 Step 7: Submission of your FPP

In this step you will:

1. Upload the documents using the submission tool
2. Submit your proposal
3. Check for your confirmation letter

Submission is done as in the PO case, therefore please refer to Step 3. An automatic acknowledgement of receipt of your proposal will be sent just as in the PO case.

Reminder: the deadlines for submission are strictly enforced!

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One difference though at this stage each participant needs to fill in the Part A. For this a PIC code is required. This is done by registering the organization in the Commission database. This process takes 5 minutes but must be done before filling in Part A.

12 Step 8: Eligibility check of your FPP

In this step you sit down and relax as your work is temporarily finished. The ENIAC JU Secretariat will:

1. check eligibility
2. inform you in case of non-eligibility

The eligibility check proceeds in three steps.

Firstly, a check is performed by the ENIAC JU Secretariat of the validity of the submission based upon the same criteria as in the PO phase (see Chapter 8, Step 4).

If any of the eligibility criteria is not met, the proposal is considered non-eligible and will be excluded from further participation in the Call procedure. In such a case the

negative result of the eligibility check, dully motivated, will be communicated by the Executive Director to the coordinator of the project.

If the proposal is eligible then the FPP will be evaluated.

Secondly, the eligibility of the participants is checked by the respective national authorities, based on the pre-defined national eligibility criteria and for funding rules that can be found in the document NATIONAL ELIGIBILITY CRITERIA AND FUNDING RULES. In general this will be done in more detail as compared to the check in the PO.

Thirdly, the ENIAC JU will carry out verifications of the participants against the following eligibility criteria for the ENIAC JU funding:

1. The participant has its location in an EU Member State or in an Associated Country.
2. The participant is not in any of the situations detailed hereafter. ENIAC JU Grants may not be awarded to applicants who are, at the time of the grant award procedure, in one of the following situations¹:
 - they are bankrupt or in the state of being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
 - they have been convicted of an offence concerning their professional conduct by a judgment which has the force of *res judicata*;
 - they have been guilty of grave professional misconduct proven by any means which the Joint Undertaking can justify;
 - they have not fulfilled obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or with those of the country of the Joint Undertaking or those of the country where the contract is to be performed;
 - they have been the subject of a judgment which has the force of *res judicata* for fraud, corruption, involvement in a criminal organization or any other illegal activity detrimental to the Communities' financial interests;
 - they are currently subject to an administrative penalty imposed by the Joint Undertaking or by the Community institutions as referred to in the general Financial Regulation;
 - they are subject to a conflict of interest;
 - they are guilty of misrepresentation in supplying the information required by the Joint Undertaking as a condition of participation in the grant award procedure or fail to supply this information.

If partners are not eligible either because of the national or the ENIAC JU verifications, the project can either be declared as non-eligible, or can be evaluated based on the assumption that the non-eligible partners will be replaced or the work will be redistributed among the other participants.

¹ At the subsequent negotiation stage, applicants should declare on their honour that they are not in one of these situations.

If there is a doubt on the eligibility of an FPP, the ENIAC JU reserves the right to proceed with the evaluation, but the results shall not be taken into consideration as long as a final decision on eligibility is pending. The fact that an FPP is evaluated under such circumstances does not constitute proof of its eligibility.

13 Step 9: Evaluation of your FPP

In this step ENIAC JU Secretariat evaluates the proposal.

Independent external experts appointed by the ENIAC JU Executive Director evaluate the proposals respecting the principles of transparency, fairness, impartiality and confidentiality according to the criteria listed below. Four independent experts (two proposed by the ENIAC member States and two by AENEAS) evaluate first each project individually. In a panel session chaired by the Executive Director or by his/her appointed staff of the JU the evaluators synthesize and consolidate the individual evaluators' scores, remarks and recommendations for each proposal. Only projects above threshold as defined below are retained for further consideration.

The evaluation criteria against which proposals will be judged are set out in the document ENIAC-PAB-4-08: "ENIAC Joint Undertaking selection and evaluation procedures related to Calls for proposals".

The 5 evaluation criteria are:

1. Relevance and contributions to the objectives of the Call.
2. R&D innovation and technical excellence.
3. S&T approach and work plan.
4. Market innovation and market impact.
5. Quality of consortium and management¹.

These 5 evaluation criteria match the chapters of the Part B of the FPP.

The experts who perform the evaluation will be asked to evaluate each criterion and give it a score between 0 and 10. Criteria 1, 2, 3, and 5 will have a weight of 1 and criterion 4 will have a weight of 2. The threshold for the individual criteria (1), (2), (3), (4) will be 6. There is no threshold for the individual criterion (5). The overall threshold, applying to the weighted sum of the five individual scores, will be 60.

In evaluating the criteria, the experts are guided by a number of open questions for each criterion.

The bullets in bold are specific to the pilot line calls

1. Relevance and contributions to the objectives of the Call.
 - How relevant is the project in relation to the selected Sub Programme targets and Grand Challenges of the AWP2012?

¹ Evaluation criterion 5 corresponds to the selection criteria in the meaning of the general financial regulation (article 115) [OJ L 248, 16.09.2002, p. 1] and its implementing rules (article 176 and 177) [OJ L 357, 31.12.2002, p.1] and of the financial rules of the Joint Undertaking (article 101). It will also be the basis for assessing the 'operational capacity' of participants. The other four evaluation criteria (1-4) correspond to the award criteria.

- How much does this project contribute to the overall ENIAC JU objectives as listed in the MASP?

2. R&D innovation and technical excellence.

- How sound is the core concept of the project?
- Are the objectives and expected results clearly defined?
- Are the objectives realistic?
- **Are the expected R&D results leading edge compared to competition?**

3. Scientific & Technological approach and work plan

- Are the challenges well identified?
- Is the chosen approach effective in tackling the challenges of this project?
- Is the work plan comprehensive, coherent, well structured? and are the individual tasks, deliverables, demonstrators, milestones clearly identified?
- Is the work plan, including schedule, resources and work breakdown, adequate for implementing the chosen approach? Is it realistic?
- Are the activities appropriately selected in resolving the challenges towards the objectives of the project?
- Will the results of the project be demonstrated in a convincing way?
- Does the deliverable plan provide for a sufficient coverage of all the activities identified in the work plan?
- Does the milestone plan allow for a clear scheduling and follow-up of the project?
- Does the approach provide for demonstrators? And do those demonstrators validate the objectives of the project?
- **Does the approach use innovative technologies to develop novel products and does it establish a realistic R&D environment, a facility, a KET Pilot Line?**

4. Market innovation and market impact

- Is the market analysis section including competitor descriptions and market opportunities well researched and complete?
- What are the exploitation plans of the industrial partners?
- What contribution is this project expected to deliver in terms of market impact within 1, 3 and 10 years after the end of the project?
- Does the expected impact contribute to the general strategy as discussed in the MASP?
- How appropriate are the measures that are proposed for the dissemination of project results?
- Is the project contributing to standards and if yes how?
- Is the project contributing to the generation of IP and if yes how much?
- Is the management of IP described?

- **Does the KET Pilot Line result in product demonstrators, and does it assess their commercial value and market potential?**
- **Will the project after completion generate benefits both for the ENIAC member State hosting the KET Pilot Line and for the other ENIAC member States involved?**
- **Does it generate or safeguard direct sustainable jobs?**
- **Does it lead to first exploitation of generated IP and technology in Europe?**
- **Does the KET Pilot Line contribute, where appropriate, to skills and educational training?**

5. Quality of consortium and management.

- How appropriate are the management structure and procedures?
- How relevant is the experience of the individual participants?
- How good are the experience, the capacities and skills of the individual participants?
- Is the consortium as a whole well suited to implement the project? Are the partners complementary in their capacities and experiences? Do the appropriate partners cover all activities? Is there a good involvement of SMEs?
- Appropriateness of the level, allocation and justification of the resources to be committed (budget, staff, equipment)
- **Does the project involve partners along the value chain, creating opportunity for suppliers to demonstrate advanced materials and technologies on the upstream value chain and for the end users on the downstream value chain to foster the innovation of final products on the market?**

Projects that are below threshold for one criterion or for the total score will not further be considered for the selection procedure.

The final list of projects selected for funding is decided by the PAB taking into account the proposals' synergy with EU and national R&D and Innovation policies and activities as well as the overall coverage of the objectives of the Call. Only the R&D policies that are applied by the Union and national governments at the time of the Call and that have been made widely and publicly available can be taken into account.

14 Step 10: Selection of your FPP

In this step you sit down and relax and wait for the ENIAC JU Secretariat to finish the:

1. *selection of the proposals for negotiation*
2. *informing you of the results*

The PAB draws up the final list of proposals selected for funding, based on the results of the evaluation by experts (above threshold list), on checks against the ENIAC JU and national¹ eligibility criteria, and taking into account the proposal's synergy with EU and

¹ In the case of participants from ENIAC member States, the checks of compliance with the national eligibility criteria shall be based on the verifications carried out by the respective national funding authorities.

national R&D and Innovation policies and activities as mentioned in the PAB decision 4-08. The PAB mandates the Executive Director to start negotiations for the selected projects and the approved budgets.

If your proposal has been successful, you will receive an official invitation marking the beginning of the negotiation phase. Due to budgetary or other constraints, it is possible that not all participants in a project are allocated national and/or JU funding, or that the recognized total eligible costs vary with respect to the initial request.

If the negotiation of your project is concluded successfully, you will be invited to conclude an ENIAC JU GA.

It is possible that, due to budget constraints, some proposals are placed on a reserve list. In this case, negotiations will only begin if funds become available.

The coordinators of the unsuccessful proposals will be informed about the results of the evaluation.

15 Step 11: So now, my project is selected, what can I expect and what should I do?

And now for the real work!

- *Your consortium must conclude a project consortium agreement.*
- *Each participant must conclude a national grant agreement after which they can accede to the JU Grant Agreement*
- *Claiming the JU contribution to your project*
- *You are encouraged to become member of the industry association AENEAS*

15.1 Project Consortium Agreement (PCA) (also Project Agreement)

Participants in ENIAC JU projects must jointly sign a 'Project Consortium Agreement' (PCA) before accessing the ENIAC JU Grant Agreement. The PCA should cover:

- the internal organisation of the consortium including the decision making procedures;
- rules on dissemination and use, and access rights;
- the settlement of internal disputes, including cases of abuse of power;
- liability, indemnification and confidentiality arrangements between the beneficiaries.

Example of templates and/or checklists for PCA's can be found at the ENIAC JU and CORDIS websites.

15.2 National Grant Agreement (NGA) and accession to the ENIAC JU Grant Agreement

Participants in ENIAC JU projects must sign a National Grant Agreement (NGA) with their respective national authority before entering into the ENIAC JU Grant agreement. The NGA is based on the Technical Annex document that will be prepared during negotiations and that is itself based on the submitted project description Part B.

The NGA is not required for:

- legal entities established in Member States or associated countries to the Seventh Framework Programme that are not ENIAC member States¹
- the Joint Research Center (JRC)²
- international organisations³ having a seat in EU Member States or associated countries to the Seventh Framework Programme

15.3 Financial Regime

Financial support to projects is provided through a co-funding scheme. The projects will be carried by participants that will incur the running costs; they are partially compensated by public grants from the ENIAC JU and from the ENIAC member States in which the participants are located.

Public funding will be provided at a percentage of the total eligible costs incurred by participants to implement the projects. The total public financial contribution to a participant shall not give rise to a profit (i.e. it will not exceed its eligible costs).

The indicative maximum budget committed by the ENIAC JU to the projects approved for funding is published in the Call.

For the present call the ENIAC Joint Undertaking will provide grants in value of JU% (see value at begin of document) of the eligible costs incurred by any participant established in any ENIAC member State or associated country.

The financial contribution of the ENIAC member States will be a certain percentage of eligible costs incurred by a participant to implement a project, which will vary according to the type of participant and the type of R&D activity as specified by each ENIAC member State in the document NATIONAL ELIGIBILITY CRITERIA AND FUNDING RULES. The list of ENIAC member States and the maximum total financial contribution committed by each of them is specified in the Call announcement.

Eligible costs⁴ are defined as follows:

- For participants established in ENIAC member States, the respective funding authorities issuing the national grant agreements define the eligible costs.
- For participants established in EU Member States or associated countries to that are not ENIAC member States, the ENIAC JU defines the eligible costs.

Funding from national authorities and ENIAC JU is subordinated to the signature of a national grant agreement, a project consortium agreement, and accession to a JU Grant agreement that is in force (min. three independent participants (one being the Coordinator) of three different ENIAC member States).

To collect the awarded grants, the participants must submit cost claims to the NFA. The NFA checks them for eligibility and decides upon the costs that can be recognized.

The ENIAC JU reviews all projects, assesses the project advancement, and issues a certificate for the NFAs on a yearly basis.

1 Unless stipulated otherwise in 'administrative agreement' that national authorities of these countries that are not ENIAC member States may have signed with the ENIAC JU. Currently there are no countries in this situation.

2 Unless the JRC applies in the proposal for national funding from an ENIAC member State.

3 Unless the international organisation applies in the proposal for national funding from an ENIAC member State

4 VAT is not considered as an eligible costs under any circumstance

Upon reception of a positive certificate resulting from the technical review executed by the ENIAC JU, the NFA enacts the payment of the national grant.

The NFA certifies the recognized eligible costs to the ENIAC JU. Upon reception of this certificate, the ENIAC JU enacts the payment of the ENIAC JU grant.

This mechanism applies even if you do not receive any national funding (so called "zero-Euro" national grant), for instance in one of the following situations:

- your country did not commit any national funding to the Call;
- the national budget for the Call has been exhausted before your project was reached in the selection process;
- you are not eligible for national funding but eligible for ENIAC JU funding.

For participants from countries that did not become ENIAC member States, the funding rules are established by the ENIAC JU and are similar to those applying in an FP7 project.

15.4 AENEAS and Contribution to AENEAS

AENEAS nominates the IRC of the ENIAC JU that elaborates the proposal for the MASP and the AWP. If you want to participate in this process you must join AENEAS.

AENEAS finances its contribution to the ENIAC JU operational costs from a contribution of its members and of other participants in the project equivalent to a percentage of the maximum eligible project costs. Non-members of AENEAS might be invited by AENEAS to voluntarily sign a Declaration of Acceptance to pay the same contribution fee to AENEAS, as AENEAS members do, in order to participate in the support of the initiative. AENEAS defines this percentage every year.

16 Some background on the ENIAC JU and its programme

The ENIAC Joint Undertaking (ENIAC JU) was created in February 2008 in order to implement a Joint Technology Initiative (JTI) in nanoelectronics; the main task of this JU is the execution of a research programme to enhance the further integration and miniaturisation of devices, and increasing their functionalities.

The ENIAC JU is set up as a public-private partnership, bringing together the European Commission and 21 European countries with AENEAS, which is an association representing the actors in the area of nanoelectronics (companies, research centres, universities).

The ENIAC JU will provide financial support for R&D projects selected through open and competitive calls for proposals. The technological content of calls for proposals is described in detail in the ENIAC JU's AWP. A longer term strategy is described in the of ENIAC JU's MASP, based on the VMS document. The AWP selects every year the relevant topics from the ones listed in the MASP to include in the call.

According to the MASP and AWP,

"... the mission of the European micro- and nanoelectronics industry value chain is to progress and remain at the forefront of state-of-the-art innovation in the further miniaturisation and integration of devices, while dramatically

increasing their functionalities and by these enabling solutions for societal needs. "

The strategy developed in the MASP relies on two pillars (§3):

" ... The first pillar of the strategy for the European micro- and nanoelectronics industry is therefore to build on its leading position in specific technology and application domains.

The second pillar of this strategy is for Europe to be positioned at the forefront of new emerging markets with high potential growth rates and to become a world leader in these domains. Today's emerging markets include energy efficiency and health and ageing society, as well as some specific areas within safety and security, communications and automotive.

The synergy of these two pillars will enable the European semiconductor industry to expand its leadership position in More-Moore as well as in More-than-Moore technologies, providing optimised systems solutions adapted to the demand of European original equipment manufacturer (OEM) leaders in the new emerging markets."

The MASP identifies five application areas/ subprograms:

1. Automotive and transport
2. Communications and digital lifestyle
3. Energy efficiency
4. Health and ageing society
5. Safety and security

and three technological areas/subprograms:

6. Design technologies
7. Semiconductor process and integration
8. Equipment, materials and manufacturing

Within each area a number of Grand Challenges (3 to 4) are identified. To each Grand Challenge corresponds a number of "Expected achievements/Innovation foreseen", as well a chapter on "Synergies with other domains". Finally the AWP selects a number of Grand Challenges as scope for the yearly call for proposals.

The research within the ENIAC JU programme consists in industry-driven projects in the field of nanoelectronics, which aim at generating new and improved technologies and in applying them in products, processes or services; in order to strengthen the competitiveness of European industry, improve sustainability, and facilitate the emergence of new markets and applications that respond to societal needs.

The projects should have clearly defined and sharply focused objectives and approaches. All projects should have a proper balance of application focus vs. generic technology development. The description of work and the composition of the consortium are normally fixed for the duration of the project.

The size, scope and internal organisation of projects can vary. The ENIAC JU promotes the involvement of SMEs in its projects. More specific guidance is given in the MASP.