



**GUIDE FOR APPLICANTS
for Call ENIAC-2011-1
ENIAC-ED-51-v22022011
Version 7.0**

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 4**
 - Identifier: **ENIAC-2011-1**
- Schedule
 - Schedule is posted on **www.eniac.eu**
- Indicative Budget of Call ENIAC-2011-1
 - The indicative budget is posted on **www.eniac.eu**

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 ERNIAC JU Secretariat.
ENIAC JU Secretariat	The Secretariat supports the Executive Director of 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.
VSM	Vision, Mission and Strategy document. Document common to the Catrene and ENIAC JU programmes integrating a vision, a mission and a strategy for the European nanoelectronics sector.
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 (version 2011) contains the details of the Grand Challenges selected for the present Call.
NGA	National Grant Agreement is the agreement between a partner and his 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 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 that will execute this task.
project coordinator	The project coordinator is the person that will execute this task, he is appointed by the Coordinator organisation.

3 Where do I find more information?

The documents that you should consult for this call are:

Abbreviation used in this document	Title of the document	Official reference	What you can find in there
GUIDE	Guide for Applicants	ENIAC-ED-51	The general 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-52	to be used in preparing the technical annex in the PO phase and or the FPP phase
NATIONAL CRITERIA	National Eligibility criteria and Funding rules for Call ENIAC-2011-1	ENIAC-ED-53	National eligibility criteria National funding rules References to national contact persons and websites
AWP	Annual Work Programme 2011	ENIAC-PAB-62-10	The AWP valid for the Call: ENIAC-2011-1
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 ENIAC JU
TOOLGUIDE	Guide for the proposals submission tool	ENIAC-ED-54	How to submit a proposal using the electronical submission tool.
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!

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 03

To prepare your proposal you can also get help from:

Important websites	What you can find there.
www.eniac.eu	You can find here: The Call page All documents mentioned in this document More information on ENIAC JU Projects supported by ENIAC JU And much more
circa.europa.eu/Public/irc/eniac/Home/main	Look here for public documents of 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 NATIONAL ELIGIBILITY document for conatc points speciufic for the ENIAC JU programme
www.eniac.eu/web/aeneas/aeneas_ex.php	Aeneas the organization representing the industry and other partners of ENIAC JU, you can find support here.
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 JU 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.

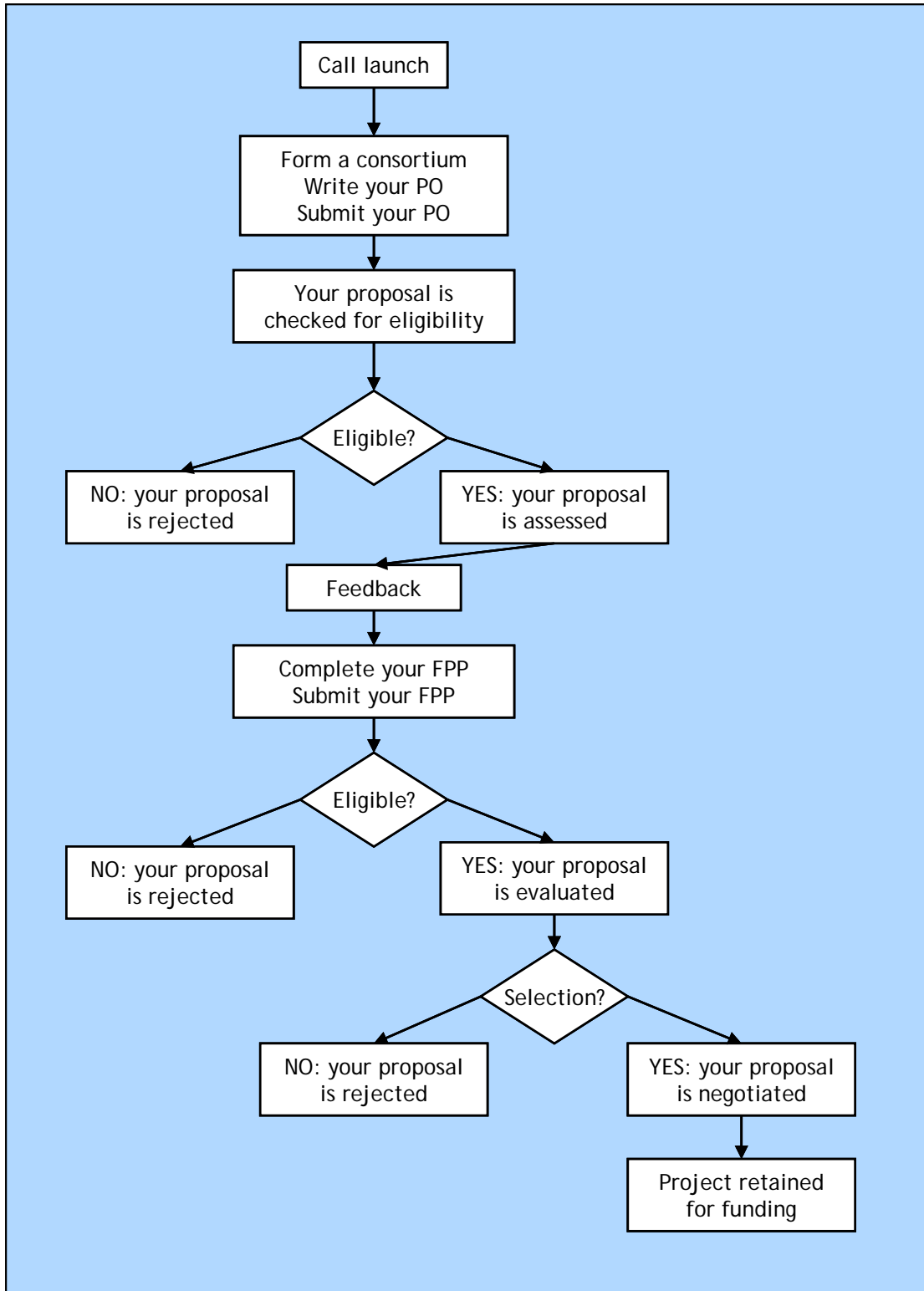


Figure 1: From idea to project

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 Chapter 3 “Where do I find information?”
3. *Check the objectives for this Call* ⇒ check the Annual Work Programme

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, Netherlands, Norway, Poland, Portugal, Romania, Slovakia, Spain, Sweden, United Kingdom.

•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, Israel, Faroe Islands, Liechtenstein, Lithuania, Luxembourg, FYR Macedonia, Malta, 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.

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. Administrative information (the so-called Part A) about the proposal and the participants. Each of the partners in the consortium can introduce his own information with the submission system.
2. An outline of the proposal (the so-called Part B), 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.

3. Further information (the so-called Part C) in the form of Pdf documents, that 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 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 spreadsheet 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 up load it 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 EPSS.
- 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/C must be in PDF format.
- 5.The overall limit size for Part B/C is 10 Mbytes.
- 6.For larger documents, please contact ENIAC JU Secretariat
- 7.Part B/C 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 proposals?

Keep a close eye on your deadlines for submission!

Deadlines for submission are strictly enforced, therefore:

1. Have you made yourself familiar with the submission system in good time?
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?

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 send 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 which you gave for yourself, and check the spam mail box of your email system for a few days following the close of the call. Technical issues in the submission process will be clarified by 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't continue working on the FPP version of your proposal. ENIAC JU Secretariat will:

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

The eligibility check proceeds in two steps.

First 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 relates to the topic(s), strategies and policies described in the AWP2011 and the MASP. The statement made under the chapter "Relevance and contributions to the content and objectives of the Call" of the document Part B/ Technical Annex.
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.

Second the eligibilities of the proposals and the participants are checked by the national authorities, based on 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, duly 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, 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 when 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 and is advised for Part C but the additional information and forms that may be requested by ENIAC JU 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 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*

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

The experts will look specifically at:

- o Relevance of the objectives to the topic(s) of the AWP
- o Contribution at the European level
- o Degree of application innovation
- o Degree of IP development
- o Expected market impact, in particular of the industrial partners
- o Clarity in the description of the objectives and expected results
- o Soundness of the project concept to achieve the results
- o 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, 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. Check your proposal for the evaluation criteria*
- 4. Deciding for a start date and a duration*

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.

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

You will use the same TEMPLATE for the Part B just as for the PO, but now all of the sections are mandatory, though some might not be applicable to your project.

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. In other words your FPP should not become an entirely new project in comparison to 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.

Some further points:

- The acronym and name for the FPP must be the same as the acronym and name used in the PO.
- Edit your proposal tightly, strengthen or eliminate weak points. Put yourself in the place of an expert evaluator. Arrange for your draft to be evaluated by experienced colleagues; use their advice to improve it before submission.
- Be clear and concise in your description and prefer quality above quantity.
- Refer to the evaluation criteria given in annex 2 of this Guide

10.3 Against which evaluation criteria will my proposal be evaluated and how will it be scored?

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/ Technical description!

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 40.

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

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 AWP?
 - 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?
 - Is there Progress beyond the state-of-the-art?
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?

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.

- 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?

4. Market innovation and market impact

- Are the market analysis section including competitor descriptions and market opportunities well researched and complete?
- What are the exploitation plans of the industrial partners?
- What contributions 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?

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)

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

More explanation on the evaluation procedure is given further on.

10.4 Deciding a start date and a duration

The Start Date of a project is the date at which partners in the project start activities in the frame of the project generating costs. This date can be prior to the signature date of the JU Grant Agreement and/or National Grant Agreement. German partners must take into account that eligible costs are only recognized after the signature of a National Grant Agreement.

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

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 send just as in the PO case.

Reminder: the deadlines for submission are strictly enforced!

12 Step 8: Eligibility check of your FPP

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

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

The eligibility check proceeds in three steps.

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

1. The corresponding PO has been considered eligible by the ENIAC JU.
2. 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.
3. The content of the FPP relates to the topic(s), strategies and policies described in the AWP2011 and the MASP. The statement made under the chapter "Relevance and contributions to the content and objectives of the Call" of the document Part B/ Technical Annex.
4. 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.
5. The mandatory information requested for Part B is provided.
6. The documents for Part B are provided in English. Part A should be filled in in English where relevant.

Second ENIAC JU will carry out necessary verifications against the following eligibility criteria for 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;

Third the eligibilities of the participants are 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.

At the end of the check two cases can occur: non-eligible or 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, duly 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 FPP will be evaluated.

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

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

been taken by the JU. In such a case the process of the FPP will be suspended until a final decision has been taken.

13 Step 9: Evaluation of your FPP

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

- 1. evaluation of the proposal*
- 2. selection of the proposals for negotiation*
- 3. informing you of the results*

Independent external experts appointed by ENIAC JU do the evaluation of the proposals. Four independent experts first evaluate individually each project (two experts proposed by the member states and two by AENEAS). At conciliation meeting in the ENIAC JU Secretariat the four experts will decide on a common position and score for the proposal.

Based on the results of the evaluation by experts and on checks against the pre-defined JU and national¹ eligibility criteria for funding, the Public Authorities Board of the ENIAC JU draws up the final list of selected proposals for possible funding, taking account of the available budgets.

The results will be finalised and all coordinators of eligible proposals will receive a letter containing initial information on the results of the evaluation, including the **Evaluation Summary Report** (ESR) giving the opinion of the experts on their proposal and any other information decided by the Public Authorities Board of the ENIAC JU. However, even if the experts viewed your proposal favourably, the ENIAC JU cannot at this stage indicate if there is a possibility of funding.

The Executive Director then submits the list of projects above threshold to the PAB, who then decides, according to the rules of procedure PAB 4-08, for which projects the Executive Director of ENIAC JU will be mandated to start negotiations.

It is also possible that, due to budget constraints, your proposal will be placed on a reserve list. In this case, negotiations will only begin if funds become available. In other cases, the letter will explain the reasons why the proposal cannot be funded in this occasion.

Official invitations to negotiations are then sent to the coordinators of the selected projects. If your proposal has been successful, this letter will mark the beginning of a negotiation phase. Due to budget or other constraints, it is possible that not all participants in a project are allocated national and/or JU funding.

On successful negotiations your project will be offered an ENIAC JU Grant agreement.

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.

14 Step 10: 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*

14.1 Project Consortium Agreement

Participants in ENIAC JU projects must jointly sign a 'Project Consortium Agreement' (PCA) before accessing the ENIAC JU Grant Agreement. A PCA means an agreement between project participants setting forth all or part of the terms and conditions that apply between them regarding a specific Project. 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.

14.2 National Grant Agreement 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.

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

For the following applicants, the condition described in the preceding paragraph (previous conclusion of a national grant agreement) does not apply:

- 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

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.

- international organisations¹ having a seat in EU Member States or associated countries to the Seventh Framework Programme

14.3 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 Call ENIAC-2011-1 the ENIAC Joint Undertaking will provide grants in value of 16.7% 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 CRITERIA. The list of ENIAC member States and the maximum total financial contribution committed by each of them is specified in each Call.

Eligible costs² 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 of three different ENIAC member States). The ENIAC JU must have reviewed the project yearly and ENIAC JU must have issued a certificate with a positive assessment of the project advancement. Finally, cost claims must have been submitted to the national authorities that confirmed the eligibility.

This is true even if you do not receive any national funding (so called "zero-Euro" national grant) – e.g. in one of the following situations:

- your country did not commit national funding to the Call
- its funding has been exhausted before your project was reached in the selection process
- you are not eligible for national funding.

For participants from non-member States the funding rules are established by ENIAC JU and are similar to those handled in an FP7 project. Further information can be found in the FINANCIAL GUIDE.

¹ Unless the international organisation applies in the proposal for national funding from an ENIAC member State

² VAT is not considered as an eligible costs under any circumstance

14.4 AENEAS and Contribution to 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 (NOTE: the EC is allergic to defining percentages on the grants, therefore I propose here to link them to the total eligible costs: however, given that the national grants come at various percentage, this may not be correct, because AENEAS used the grants as the basis for its calculation). 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 the AENEAS members do, in order to participate in the support of the initiative. AENEAS defines this percentage every year. For 2011 it is fixed at 3.5%.

15 Some background on 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 Annual Work Programme (**AWP**). A longer term strategy is described in the of ENIAC JU's Multi-Annual Strategic Plan (**MASP**), which itself is based on the Vision Mission and Strategy document of the industry (**VMS**). The AWP selects the relevant topics from the MASP document for a call published in one activity year.

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. An average project in the first two calls would be carried by 23 partners from 8 countries for a total eligible cost of 23 million€. 40% of the partners would be SME's that participate for 20% in the project budget. Some projects are much larger with budgets close to 50 million € or involving more than 40 partners while others are smaller: 3 million € with 9 partners. The ENIAC JU promotes the involvement of SMEs in its projects. More specific guidance is given in the MASP.