

ECSEL JOINT UNDERTAKING



First draft of the WORK PLAN 2021 for the ECSEL JU as prepared by the ECSEL JU office – for discussion & approval in the ECSEL JU GB meeting on 11 December 2020

Version V6.0 - date 10 December 2020

In accordance with the Statutes of the ECSEL JU annexed to the Council Regulation (EU) No 516/2014, and with Article 33 of the Financial Rules (ECSEL GB 2020.138)

The annual work plan will be made publicly available after its adoption by the Governing Board.

Decision/Date	Version	Change	Pages
GB 2020.151 **/**/2020	Draft work plan 2021 V5.0	Cleaned version V4.0	26
GB 2020.151 11/12/2020	Draft work plan 2021 V6.0	Budget figure updates and Communication activities	26

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1. INTRODUCTION

The scope of the work plan is mainly to inform potential beneficiaries in a transparent manner about the Joint Undertaking's intentions to support and fund actions in their specific field of research, in accordance with the legal provisions, in particular:

- Council Regulation (EU) No 561/2014 of 6 May 2014 establishing the ECSEL Joint Undertaking (in the following, the ECSEL Regulation)
- Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the financial rules applicable to the general budget of the Union, amending Regulations (EU) No 1296/2013, (EU) No 1301/2013, (EU) No 1303/2013, (EU) No 1304/2013, (EU) No 1309/2013, (EU) No 1316/2013, (EU) No 223/2014, (EU) No 283/2014, and Decision No 541/2014/EU and repealing Regulation (EU, Euratom) No 966/2012, *Article 189*
- Regulation (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" and repealing Regulation (EC) No 1906/2006, *Article 2*
- Commission Delegated Regulation (EU) 2019/887 of 13 March 2019 on the model financial regulation for public-private partnership bodies referred to in Article 71 of Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council, *Article 33*
- Financial rules of the Joint Undertaking, Decision ECSEL GB 2020.138.

The “Electronic Components and Systems for European Leadership” Joint Undertaking (ECSEL JU) has the mission to contribute towards keeping Europe at the forefront of the technology development addressing capabilities of essential systemic and strategic importance for each citizen, company and nation in the contemporary world and even more in the future world. The information and communication technology and its applications run on this fabric: no industrial product or system is conceivable today without extensive usage of electronic components and systems (ECS), and the trend will become stronger in the future.

The ECSEL JU has the statutory task to “draw up and implement the work plans for executing the multiannual strategic plan”. Specifically, the Executive Director shall “prepare and submit for adoption to the Governing Board the draft work plan including the scope of the calls for proposals needed to implement the research and innovation activities plan as proposed by the Private Members Board and the corresponding expenditure estimates as proposed by the public authorities”. The work plan shall include the specific reimbursement rates by the Union and by each ECSEL Participating State; the financial commitments reserved for each call for proposals as communicated by the public authorities to the Executive Director; the research and innovation activities plan, the administrative activities and the corresponding expenditure estimates. The work plan shall be adopted by the Governing Board (GB) by the end of the year prior to its implementation and shall be made publicly available. Once the Work Plan is adopted:

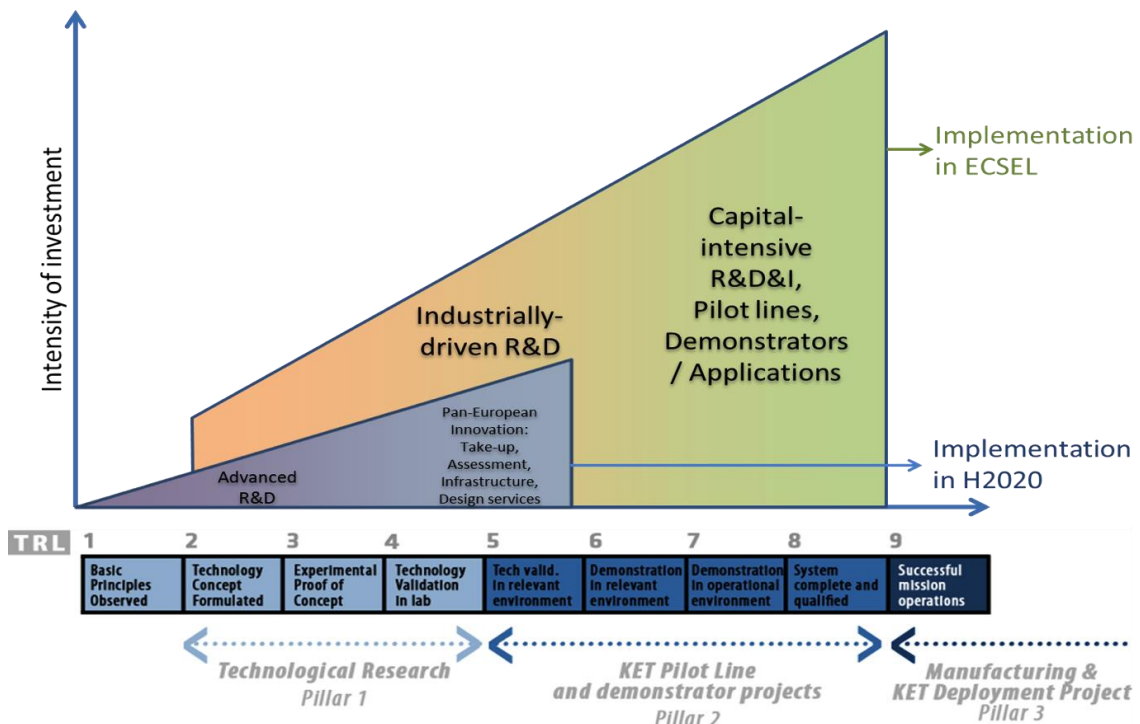
- The Public Authorities Board (PAB) shall approve the launch of calls for proposals, in accordance with the work plan,
- The Executive Director shall manage the calls for proposals as provided for in the work plan,
- The Executive Director shall describe in the annual activity report the progress made by the ECSEL Joint Undertaking in relation to the annual work plan for that year.

This work plan is written using a template provided by the Commission services in charge of Horizon 2020 so that it can be consolidated with the related activities throughout the European Union.

2. MULTI-ANNUAL PROGRAMMING

A. Multi-annual objectives

The Commission proposal for a European strategy in electronic components and systems has been laid out in 2013¹



The strategy includes a Joint Technology Initiative implemented as ECSEL JU that “will mainly support capital-intensive actions such as pilot lines or large-scale demonstrators at higher Technology Readiness Level up to level 8 as shown above. ... Within the new JTI the Commission will furthermore explore how to simplify and accelerate state aid approvals including through a Project of Common European Interest according to Article 107.3(b) of TFEU.”

The objectives of the ECSEL JU are listed in the Article 2 of its basic act, paraphrased here:

- 1) To contribute to the implementation of Horizon 2020, and to LEADERSHIP IN ENABLING AND INDUSTRIAL TECHNOLOGIES (LEIT).
- 2) To contribute to the development of a strong and competitive Electronic Components and Systems (ECS) industry in the Union.
- 3) To ensure the availability of ECS for key markets and for addressing societal challenges, aiming at keeping Europe at the forefront of the technology development, bridging the gap between research

¹ COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS. A EUROPEAN STRATEGY FOR MICRO- AND NANOELECTRONIC COMPONENTS AND SYSTEMS, Brussels, 23.5.2013, COM(2013) 298

and exploitation, strengthening innovation capabilities and creating economic and employment growth in the Union.

- 4) To align strategies with Member States to attract private investment and contribute to the effectiveness of public support by avoiding unnecessary duplication and fragmentation of efforts, and easing participation for actors involved in research and innovation.
- 5) To maintain and grow semiconductor and smart system manufacturing capability in Europe, including leadership in manufacturing equipment and materials processing.
- 6) To secure and strengthen a commanding position in design and systems engineering including embedded technologies.
- 7) To provide access for all stakeholders to a world-class infrastructure for the design and manufacture of electronic components and embedded/cyber-physical and smart systems.
- 8) To build a dynamic ecosystem involving Small and Medium-Sized Enterprises (SMEs), thereby strengthening existing clusters and nurturing the creation of new clusters in promising new areas.

B. Multi-annual programme

The Executive Director (ED) has the statutory task to “consolidate and submit for adoption to the Governing Board the draft Multi-Annual Strategic Plan (MASP) composed of the Multi-Annual Strategic Research and Innovation Agenda (MASRIA) as proposed by the Private Members Board and the multiannual financial perspectives from the public authorities”.

C. Work plan

The Work Plan is the implementation plan for the MASP (Art. 1 of Statutes of the ECSEL JU in Annex 1 of the Council regulation) and should contain the research and innovation activities plan, the administrative activities and the corresponding expenditure estimates (Art. 21 of Statutes of the ECSEL JU in Annex 1 of Council regulation). It should cover among others: the scope of the calls for proposals and the rules for participation and dissemination to the actions funded by ECSEL JU (Art. 17 of the Council Regulation), the reimbursement rates (Art. 18 of Statutes of the ECSEL JU in Annex 1 of the Council regulation), the financial commitment by each public authority reserved for each call (Art. 18 of Statutes of the ECSEL JU in Annex 1 of the Council regulation).

D. Human and financial resource outlook

The ECSEL establishment plan for 2021 is available in the Budget 2021: decision ECSEL GB 2020.150.

3. ANNUAL WORK PLAN 2021

A. Executive Summary

The Annual work plan 2021 foresees the following activities:

Operations:

- No new calls under ECSEL JU will be launched.
- Other operational activities include:
 - the Grant Agreement signature cycle with the start of the projects selected from the Call 2020,
 - the monitoring of the ECSEL projects selected in the calls 2014, 2015, 2016, 2017, 2018, 2019
 - various supporting activities to communication, administration & finance.

Communication:

Noting that the Communications Policy and Strategy – the work of the Communications Working Group set up by the Governing Board in 2017 - is still being implemented. In addition, the last year of operation of the ECSEL JU as such requires heightened focus on publicising its achievements and successes. The communications activities of ECSEL JU in 2021 will continue in the same modes as the previous years, though with strong focus on achievements and successes. In summary

1. Events.

- a. In June 2021, an ECSEL JU symposium event will be held in online format in order to highlight the successful outcomes of ECSEL JU and address specifically European stakeholders regarding the next phase of the JU. The allocated resources will be limited compared to previous years.
- b. In addition to the ECSEL JU symposium, some other events will be organised to ensure strong presence of the ECSEL JU on the European scene and complementing the events of the other Members of the JU. A strategy that ensures high attention to the positive impact of ECSEL at all levels will be pursued, though restrictions on meetings due to the COVID-19 pandemic may preclude physical meetings still (such as the successful “Impact visits” that were trialled in 2019, as well as active participation in relevant events organised by various DGs in the EC).
- c. The cooperation with ECSEL Participating States and their regions will be enhanced by information / brokerage events at national / regional level, where necessary by videoconference/webinar format. This will be carried through to the Permanent Representations to the EU Council in Brussels.
- d. Participation in the Brokerage/Consortium events of the Associations will be considered. This will in any case be followed up with additional Call information sessions using a Webinar format.
- e. Further specific support will be provided for the Lighthouse Initiatives (Industry 4.E, Mobility.E and Health.E) by encouraging their dedicated actions at events and dissemination of their (digital) publications.

2. Dissemination Support

- a. Provide support to the ECSEL projects in their dissemination activities (project posters and flyers, events, publications).
- b. The EF ECS community event, organised by the private members of the ECSEL JU, may be financially supported through an SLA.
- c. Publications of the JU, using resources available internally, to be augmented, including the next volume of the “Book of Projects” covering projects from Calls 2018 and 2019, plus the selected projects from the 2020 Call.
- d. Specific support to ECSEL JU supported technologies events or clustered/combined projects events, especially in the domain of the Lighthouse Initiatives. These can be in the form of presentations at publicly accessible parts of review meetings (a format to be encouraged), networking opportunities/dinners or lunches, or specific ECSEL JU pitches, awards, or prizes to improve and accelerate the synergies amongst the stakeholders.
- e. Implement Coordinators’ Info day. In addition, a Webinar format will be used, minimising the need to travel and to broaden the audience, easy access and openness.

3. Public Communications

- a. Website: further evolution to implement necessary improvements in the visual aspects and content of the site.
- b. Continued attention to press releases, to be issued timely at key points in the annual calendar.
- c. Social Media primarily via Twitter and LinkedIn, though increasing visibility of the YouTube channel will also be assured.

Administration and Finance:

The budget is established in accordance with the provisions of the Council Regulation (EC) No 561/2014 of 6 May 2014 setting up the ECSEL Joint Undertaking.

The budget includes the description of human and financial resources deployed by the ECSEL JU for the implementation of its programmes and plans in 2021. Budget execution is a key performance indicator on progress towards ECSEL JU's objectives.

Budget commitments to cover the legal obligations of ECSEL JU in 2021 will be limited to the JU's running costs and will amount to:

- 4,940,000.00 € in 2021: -97.73% compared to 2020

Budget payments which are dedicated for the main part to payments of participants in the selected running projects and for the minor part to the running costs (including the payments of experts involved in reviews) in 2021 will amount (with respect of the follow up of certificates received from the Participating States for the legacy, and in accordance with the rules under H2020 for the new programme) to:

- 197,938,660.00 € in 2021: -8.04% compared to 2020

The running costs required for the administrative expenditure will be reduced (in commitments) from 5,400,000.00 (final adopted budget for 2020) € to 4,940,000.00 € reflecting the activities related to ECSEL JU in the context of H2020 programme. The JU budget for 2021 shall cover all ECSEL JU actions and needs until the launching of Horizon Europe programme.

Should there be a need not yet identified, the Governing Board will be invited to enter the necessary adjustments for appropriations.

B. Operations

Actions: no new ECSEL JU calls to be launched

Managing the projects/Dissemination and information on projects

This covers the activities related to the project management: grant agreement signature, amendments, cost eligibility recognition and payments, checks, reporting, monitoring and audits, Information sessions, management of the EPS information exchange.

For the monitoring of the ECSEL projects selected in previous calls, approximately 50 reviews are planned, that will require 100 expert appointments. Due to COVID-19 situation in 2020 (and most

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probably part of 2021) several projects were delayed and may require additional reviews, therefore this number is approximate and most likely will go up.

Project dissemination will be encouraged and facilitated, through direct help to projects in developing attractive project documentation (posters, project descriptions...) and active support at appropriate community and JU events.

Grant preparation of around 12 projects.

Other activities

- Support to the 3 lighthouse initiatives and their respective CSAs
- Running the programme: portfolio analysis, KPI tracking, audit support, etc.
- Information sessions: coordinator info sessions on cost recognitions, information session towards PAB regarding JU payments, information session for new coordinators, etc.
- Liaising with the different services of the CSC and implementing the Sygma-Compas tools
- Support to audits and audit processes
- Support the other departments: administration, finance and communication as well as the ED

4. Call management rules (not applicable)

5. Support to Operations

A. Communication and events

The following summarises the key elements of the Communications Strategy for the ECSEL JU and gives an indicative guide to the allocation of resources. The Working Group (WG) for Communications of the Governing Board has already indicated that Internal Communications are to be regarded as part of the general management of the Office, though recognises the essential need for communication on operational issues with the participants (mostly, coordinators).

It should be noted that these are the planned actions for Communication and Events for the ECSEL JU and focus on the first part of 2021.

The concrete external communication objectives are to:

1. **Strengthen the public and political awareness** of Electronic Components and Systems (ECS) technologies and their applications as Key Enablers of solutions for pressing societal issues, to achieve wide support of European society;
2. **Facilitate access to support mechanisms at European, National, and Regional level** which are complementary to those offered by the ECSEL JU, including new and additional financial resources;
3. **Expand the outreach of the ECSEL JU** to new public and private audiences and potential partners with the objective of building bridges to other JU's, PPP's, EUREKA clusters and programmes;
4. Attract **appropriate and dedicated political support** to maintain an adequate and effective European regulatory framework for ECS technologies;

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5. Ensure that the **communication policies** of all ECSEL JU members are **aligned** wherever possible;
6. Channel the information from the operational group in charge of the projects about the **programme successes** (which is mandatory);
7. Establish a **calendar of actions/events** in alignment with the member organisations.

These objectives can be addressed by continuing to deliver easy-to-understand technical information about:

- ECS,
- ECSEL JU (including the rationale about the tripartite model),
- the projects and their added value induced by the public funding as well as their impact on competitiveness, growth, and quality of daily life.

The following tables describe the potential audiences for external communication activities, the associated topics of interest and suggested media for communication.

	Potential audiences	Possible communication topics	Possible communication media
<p>A. Peer groups and ECSEL (potential) stakeholders</p>	<p>Active and potential participants in ECSEL projects and initiatives; Industrial associations, European Commission and ECSEL Participating States; Organisations with a specific interest in the activities and results of the ECSEL programme RD&I actors not (yet) participating in JU activities, specifically SMEs Other funding instruments or organisations (e.g. EUREKA, other JUs, H2020 including PPPs, etc.) National/regional ECSEL mirror organisations (e.g. ECSEL Austria, etc.).</p>	<ul style="list-style-type: none"> - Themes to be addressed in future calls; - Brokerage opportunities for active and potential project participants; - How to create or engage in a project consortium; dos and don'ts when drafting an ECSEL proposal; - Creating support for ECSEL at relevant levels through dedicated events e.g. on "Lighthouse initiative(s)" etc.; - Publication of results; - Alignment of messages and coordinated actions between ECSEL public and private stakeholders in order to underline the ECSEL profile and strengthen important communication moments. Examples: joint press releases on call launches and funding decisions or sharing messages at national events. 	<ul style="list-style-type: none"> - Website; - Publications; - Workshops, seminars, forum sessions, brokerage events; - Events at national level; - Press releases; - Public appearances of ECSEL stakeholders.

	Potential audiences	Possible communication topics	Possible communication media
<p>B. Decision makers relevant to ECSEL on European, national and regional level</p>	<p>European Parliament and national Parliaments; Policy makers and dedicated bodies (European, national and regional); Permanent Representation to the EU of the various Participating States. Sister JUs and other programmes focused on application areas covered by ECSEL; Civil society organisations.</p>	<ul style="list-style-type: none"> - Demonstration of results of projects and, in particular, the societal relevance of the “communication toolbox” items, in terms of new solutions to problems or economic benefits etc.; The justification of the public funding of the project should be specifically highlighted; - Underlining the unique tripartite nature of the ECSEL concept and the (pan-European) synergies it creates on various policy fields; - The combination of European and national priorities and interests and ECSEL’s capability to mobilise and combine substantial European, national and regional funds; - Interaction with relevant organisations on societal issues and possible technology solutions e.g. in the areas of health, automotive, energy, IoT, environment etc.; - Opportunities for cooperation and for joint initiatives. - (...) 	<ul style="list-style-type: none"> - Website; - Factsheets, Position documents; - Active dissemination of project results by the consortium partners; - Participation of ECSEL stakeholders at relevant events organised by user communities, public authorities or civil society organisations; - (...) -

	Potential audiences	Possible communication topics	Possible communication media
C. Interested public and specific audiences not related to ECSEL	<p>Interested public; Dedicated groups: students; technology adopters; special interest groups, NGO's;</p>	<ul style="list-style-type: none"> - Key application areas: mobility, society, energy, health, security and the solutions that ECSEL-generated technology can offer; - (...) 	<ul style="list-style-type: none"> - Website; - Daily newspapers; technical Press, "Brussels-EC-press"; - Television, notably programmes that address science and technology for a broader audience; - Social media; - Dedicated information packages e.g. for schools.

* The Working Group (WG) for Communications of the Governing Board indicated that Internal Communications are to be regarded as part of the general management of the Office, but it is noted here for completeness. The reference descriptions in the above table will in future be updated to reflect the further outcome of the WG's recommendations. However, it is expected that the major audiences identified will remain unchanged.

In 2021 the following events and publications are proposed

ECSEL JU Events 2021:

A. MAJOR “ECSEL JU” branded events for communication and dissemination

1. ECSEL JU would normally actively participate in the Brokerage sessions organised by the PMB organisations, giving information and guidance about the Calls for Proposals for the following year. An online version of event is planned on 13+14/01/2021. As there is normally no Call for ECSEL JU, contribution will be limited. This will be followed up with additional information sessions via Webinars, once the Call planning is clarified.
2. ECSEL JU will present successes from its programme to Members of the European Parliament, though various online events to be set up with targeted members of the EP.
3. To provide a platform for projects to present their main results to their colleague participants (and thereby seed new ideas for future projects), ECSEL JU will organise an online “Technical Conference” (exact name TBC) in the April/May timeframe.
4. A slimmed down version of the ECSEL JU Symposium, to be held online in June 2021. Targeted audience: Regional, National and European policy makers, in cooperation with the ECSEL JU members. The main theme will be on **opinion-building and foresight** concerning the impact of ECS for/with ECS policy-makers, National/Regional funding authorities and industry/RTO representatives, with a strong identification with the ECSEL JU programme.
5. It has become common practice for the Associations (in their role as PMB) to organise a specific event that incorporates the function of ECSEL JU Stakeholders’ Forum : EF ECS (the European Forum for Electronic Components and Systems) – an industry-wide event.
 - **set strategic technical priorities of relevant industries** and technical innovation pathways.
 - **network across the whole ECS Community:** EF ECS brings together all the partners in the ECS value chain ecosystem, from end users to raw materials, forming the basis for the next generation of collaborative activities.
 - **brokerage event for ECS projects**The activity and any financing agreement for EF ECS will be under ECSEL’s successor JU.
6. Some other events will be organised to ensure stronger presence of the ECSEL JU, complementing the events of the other Members of the JU, in particular with active participation in relevant events organised by various DGs in the EC.

B. Other “bridge building” initiatives to facilitate contacts between Permanent Representations to the EU (i.e. Scientific Attaché and Councillors acting in the field of Research and ICT) and the Public Authorities Members of the ECSEL JU will be organised.

C. ECSEL JU events on specific topics

1. ECSEL JU Programme Dissemination Support events. As the ECSEL JU clearly has an obligation to facilitate the dissemination of the programme results (and by analogy the projects it funds) and has also called into life the Lighthouse Initiatives which further support this strategy, support, and facilitation of appropriate dissemination activities, such as workshops, seminars, or similar events, is to be foreseen. To that end, ECSEL JU will assist all running LIs in organising their (ad-hoc) events.
2. Coordinator’s Day. This is to provide updates, training, and general information of specific use to project coordinators. To be organised in close collaboration with the Operations unit and making use of Webinars as a low-threshold tool for reaching an expanding audience.
3. The ECSEL JU office will facilitate and support, together with the industrial and public-sector stakeholders, a number of politically-focussed events related to preparing the next phase of the JU (see also C. below); timing, location, scope and audience to be confirmed.

4. Ad-hoc: PAB / NFA events to clarify administrative arrangements through tutorials, workshops, etc... for NFA administrations.

D. Specific events for communication with Institutions (Commission, Parliament, Council)

Noting that the decision process for future initiatives (JUs, ...) that are particularly relevant for the community of stakeholders in ECSEL JU will be a high-profile activity that will be closely monitored, with appropriate follow-up, by the ECSEL JU stakeholders and supported where necessary by the ECSEL JU Communications team. The following activities will strongly depend on the evolution of the COVID-19 pandemic and consequent meeting restrictions.

1. Breakfast Sessions with MEPs / European Commissioners' Cabinets.
2. Presence and active participation in working-group meetings and high-level Round Tables
3. Participation in exhibition / promotion events at the relevant EU institutions (for example in conjunction with other JUs sharing common interest).
4. As a continuation of the 2019 (Eindhoven, Graz/Villach) activities, further ECSEL JU impact visits with important Public-sector representatives. To maximise the visibility of project results, selected site visits will be organised, engaging the relevant representatives of EU Institutions.

E. Support to Community-building and road-mapping

1. Support, through Service Level Agreements and/or "Sponsoring", of events organised by Members Industrial Associations, where these are directly relevant for the ECSEL JU or where they contribute to Dissemination and Exploitation of ECSEL JU project results or Lighthouse Initiative actions.
2. Support by direct participation in relevant events organised by the European Commission.
3. Support by direct participation to events set up by National and/or Regional authorities to promote ECSEL participation in their area. (ECSEL-JU frequently and pro-actively request such meetings ad-hoc, with specific National/Regional or other relevant authorities).

PUBLICATIONS

Annual Activity Report (AAR)

As in preceding years, ECSEL JU will publish its statutory AAR as an attractive book, that serves not only to catalogue the activities but also as an aid to publicising the positive impact of ECSEL JU to a wide audience.

Flyers/Brochures:

ECSEL JU will publish informative brochures / flyers on relevant topics for general promotion of the programme. Specific instruments of this type that are relevant for participants in the programme will be developed. These instruments shall be foreseen for primarily digital distribution but shall also be printable as needed. Other promotional materials ("Merchandising") will be prepared, as supporting tools for the Events.

ECSEL JU will also help the projects in achieving the levels of active dissemination required by the Dissemination and Exploitation Strategy of H2020 by providing for preparation of basic materials such as an exhibition poster and project summary information, professionally edited and produced to assure clear and concise communication to a broad public.

The third and final volume of the ECSEL JU “Book of Projects” will be prepared and published. Its publication has been delayed to allow the immediate inclusion of the ECSEL JU Calls2020 selected projects.

Website and Social Media:

ECSEL JU’s reworked public website has greatly facilitated the timely publication of news and other public announcements. In 2021 – some cosmetic updates to the existing ECSEL JU website will be implemented. ECSEL JU will maintain and expand the web-site and highlight the use of the Twitter account (the LinkedIn page will be kept open, though it is not gaining traction in the community and will continue to be evaluated along with other options), as well as the VIMEO video library and newly-launched YouTube channel.

Media coverage

Regular contacts with Media and specialised magazines will be paramount given the strategic nature of the ECS sector, even more crucial and relevant during the COVID-19 pandemic. A collaboration based on some months of sustained media coverage, from January 2021 to July 2021, will be proposed. This would allow ECSEL to:

- keep ECS policy issues on the public agenda;
- communicate on the crucial importance of the ECS sector from different angles;
- bring visibility to ECSEL JU.

A dedicated page could be built together with the provider where to write with a mix of articles and interviews and non-original content.

Press releases

In addition to press releases independently published by members, ECSEL JU can foresee approximately 3 press releases, distributed by the JU using its own means, covering, but not limited to, the following key events:

- Outcome of the ECSEL JU Calls 2020 (funding decisions).
- Event relevant for the constituents and JU Members.
- Key events relevant for the Institutions.

Service-Level Agreements (SLAs)

Effective Dissemination and Communication requires specialist resources, many of which are already available within Members of the ECSEL JU. Therefore, execution of parts of the ECSEL JU Communications and Events and related actions may be implemented by means of Service Level Agreements (SLA) with relevant member organisations, though bearing in mind that clear, individual branding of ECSEL JU must remain a priority.

B. Procurement and contracts

Procurement and contracts are managed in accordance with the provisions of the Financial Rules adopted by the Governing Board of ECSEL JU (Decision GB 2020.138).

In order to reach its objectives and adequately support its operations and infrastructures, ECSEL JU will allocate funds to procure the necessary services and supplies. In order to make tender and contract management as effective and cost-efficient as possible, ECSEL JU concludes Service Level Agreements (SLAs) with relevant Commission services as well as its private members and makes use of inter-institutional framework contracts (FWC). In 2021, ECSEL JU foresees to run a limited number of procurement procedures, mainly for very low and low value contracts².

Supply/service	Max. indicative expenditure (EUR)	Type of procedure	Indicative schedule
Trainings	45,000 €	Very low and low value contracts or specific contracts/order forms implementing FWC or negotiated procedure for low value contracts	Q1, Q2, Q3 and Q4 2021
IT services and equipment	300,000 €	Very low and low value contracts or specific contracts/order forms implementing FWC or negotiated procedure for low value contracts	Q1, Q2, Q3 and Q4 2021
Catering services	30,000 €	Very low and low value contracts or specific contracts/order forms implementing FWC or negotiated procedure for low value contracts	Q1, Q2, Q3 and Q4 2021
Communication and event organisation	100,000 €	Very low and low value contracts or specific contracts/order forms implementing FWC or negotiated procedure for low value contracts	Q1, Q2, Q3 and Q4 2021
Legal and audit services	55,000 €	Low value contracts or specific contracts/order forms implementing FWC or negotiated procedure for low value contracts (including for a defence in court).	Q1, Q2, Q3 and Q4 2021

This list shall be considered indicative, but non-exhaustive, as other procurement procedures may be launched within the budgetary limits approved by the Governing Board. The Executive Director shall report to the Governing Board about the procedures launched as part of the AAR 2021.

C. IT and logistics

At present, six Joint Undertakings are sharing the housing location in the building “White Atrium”, Brussels Belgium: Clean Sky, FCH, IMI, BBI, S2R, and ECSEL.

² According with Article 43 of the ECSEL JU Financial Rules, for contracts with a value between EUR 60,000.00 and the thresholds laid down in Article 175 of the Financial Regulation 2018, the procedure set out for contracts with a low value not exceeding EUR 60,000.00 may be used.

The arrangements for the facilities are subject to a common contract for both the office space and the IT management of equipment, maintenance and help desk.

The 6 Joint Undertakings have jointly developed a common IT work programme and a common IT Security Policy. They also developed joint Business Continuity and Disaster Recovery Plans (BCP+DRP). The common IT programme includes a roadmap and a timeline, in order to be able to cope with business needs and required updates of networks and equipment.

In accordance with the principles of economy, efficiency and effectiveness, ECSEL as well as the other JUs are also using and paying for tools and applications developed by the Commission, namely for finance (ABAC and SAP), for evaluation and grant management under H2020 (SYGMA and COMPASS) and administration (Sysper, ARES, web hosting, ...).

D. JU Executive Team – HR matters

The number of staff employed by ECSEL JU in 2021 will be kept at 31 statutory staff.

These limited human resources are to be considered as a challenge for ECSEL JU, which manages two programmes at the same time (FP7 and H2020) and running with different rules. In this context trainees and interim solutions have proven necessary and are expected to remain needed in 2021.

Details on the staff establishment plan can be found in ECSEL budget 2021 (decision ECSEL GB 2020.150).

E. Administrative Budget and Finance

The administrative budget of ECSEL JU will be reduced to 4,940,000.00 € for 2021 (- 8.52% with regard to 2020 commitment appropriations for administrative budget) reflecting the phasing-out of ECSEL JU activities under H2020 programme.

Funding sources for the budget of ECSEL are at present limited to:

- The EU budget for the operational costs and a part of the running costs,
- The Private Members for the remaining part of the running costs.

Accounting tasks have been transferred to European Commission's DG BUDG, which has been formally appointed ECSEL JU's accountant as of 1 July 2018. Interface with ECSEL JU is ensured through an "accounting correspondent" function within the JU.

F. Data protection and conflicts of interest

- Data protection

The EUI-GDPR N°2018/1725, implemented by ECSEL JU in internal set of documents, will be regularly updated to include recent developments. Mostly, these are internal privacy policies that are concerned, as published on the ECSEL website.

In 2020, a Data Protection Impact Assessment (DPIA) was initiated together with the 6 other Joint Undertakings to anticipate the migration to Microsoft tools. 2021 will see the finalisation of this exercise and its implementation into internal policies as well as the migration towards Office 365.

- Conflicts of interest

The Governing Board has adopted comprehensive rules on the prevention and management of conflicts of interest in June 2015 (ECSEL GB 2015.41). It addresses all actors involved in the Joint Undertaking activities, including staff, PAB and GB members, experts involved in projects reviews and evaluations, participants in procurement and recruitment committees.

6. Governance

Governance of the Joint Undertaking includes the following bodies:

- The **Governing Board** has overall responsibility for the strategic orientation and the operations of the ECSEL Joint Undertaking and supervises the implementation of its activities. The Chair is Ms Sabine Herlitschka.
- The **Executive Director** is the chief executive responsible for the day-to-day management of the ECSEL Joint Undertaking in accordance with the decisions of the Governing Board. Mr. Bert De Colvenaer is the Executive Director of ECSEL JU since January 2016.
- The **Public Authorities Board** is competent for matters related to calls for proposals and allocation of public funding. The Chair is Ms Doris Vierbauch.
- The **Private Members Board** is responsible for drawing up the draft multiannual strategic research and innovation agenda and the draft research and innovation activities plan. It consists of the three industry associations, AENEAS, ARTEMISIA and EPoSS. Its Chair is Mr Jean-Luc di Paola-Galloni.

7. Internal Control framework

A. Financial procedures

1. Legacy projects (ARTEMIS and ENIAC)

The financial procedures of ENIAC and ARTEMIS projects have been harmonised. Despite the intrinsic similarities, some adjustments in the internal procedures (check-lists, work-flows, etc.) were implemented taking into account best practices of both programmes. The bulk of the process remains the same with payments based on certificates provided by Participating States in both cases.

2. ECSEL projects

The financial procedure for projects under H2020 depends on the H2020 IT tools developed by the European Commission. These IT tools encompass the full cycle of the process, including work-flows, check-lists, etc.

B. Ex-ante and ex-post controls

The internal control processes and methods have been subject, from the first days of existence of ECSEL JU, to a decision of the Governing Board (ECSEL GB 2014.15 of 03 July 2014) adopting the internal control standards for efficient management. A Revised Internal Control Framework has been adopted in 2020 (Decision ECSEL GB 2020.147).

With regard to financial matters, ex-ante and ex-post controls are organised in accordance with the Financial Rules of the ECSEL JU (Decision ECSEL GB 2020.138, in particular its articles 21 and 22).

1. Legacy projects (ARTEMIS and ENIAC)

The ECSEL JU continues to operate under the stipulations previously defined under FP7 for the former organisations ARTEMIS and ENIAC. The procedures have been updated to ensure a high level of quality, in close cooperation with the national funding authorities issuing certificates for payments.

2. ECSEL projects

The current developments for the electronic management of calls and selected projects shall be complemented in cooperation with the Common Implementation Centre of the Commission, in charge of the applications, and in due consideration of the specificities of the tripartite model of the ECSEL JU.

C. Audits

Audits are organised both on an internal and external basis:

C1 Internal audits are operated by the internal auditor of the JU (the competent service of the Commission) and by the staff member appointed by the Governing Board for performing the internal audit capability, in accordance with the provisions of Chapter 5 of the Financial rules of the ECSEL JU.³

³ Decision ECSEL GB 2020.138

C2 External audits are operated by the European Court of Auditors, reporting to the European Parliament and the Council, responsible for the discharge procedure.

C3 Ex-post audits of beneficiaries are also operated by or on behalf of the ECSEL JU, with methods which are adapted to the specificities of the programmes:

1. Legacy projects (ARTEMIS and ENIAC)

In accordance with the financial rules applying to the projects previously managed by the ARTEMIS and ENIAC JUs, the National Authorities of the Participating States are entrusted with the ex-post audit of the beneficiaries. The role of the JU is, in accordance with the ex-post audit strategy defined under FP7, to assess the means and outputs of the audits operated by the National Funding Authorities. A key request in this respect is for the issuance by the latter of a declaration of assurance on a yearly basis.

2. ECSEL projects

Under the regime of H2020, ECSEL JU has defined the needs and methods for the ex-post audits, in close cooperation with the Common Implementation Centre of the European Commission, in view of a coordinated approach of audits of beneficiaries. A common audit plan for all EU services involved in the programme H2020 will be implemented by the CIC of the Commission, acting on behalf of the ECSEL JU. The first audits of the CIC on behalf of the ECSEL JU were launched in 2017.

8. ANNEXES

Annex 4: Key Performance Indicators

KPI-guidelines included below.

Operational performance

KPI	Definition	Baseline	Objective for year 2021
OP-1	% New participating entities	33%	Not applicable
OP-2	Success rate %	17%	Not applicable
OP-3	Budget % of selected projects along value chain	N/A	(*)
OP-4	Time to grant % below maximum time	100%	100%
OP-5	Time to payments % Late	2%	<2%
OP-6	% Projects achieving insufficiently (Monitoring)	5%	<5%
OP-7	Lighthouse activity	5	>5
OP-8	Ethics: projects not complying	2%	<2%
OP-9	Redress requested	0	0
OP-10	Gender (% women in projects)	N/A	(*)
OP-11	Participants from non-EU state	5%	Not applicable
OP-12	Error rate: % common representative errors	0%	0%
OP-13	Events/Communication	10	>10

(*) The indicated KPI's are important and measure useful information to assess the direction, the impact and the balance of the ECSEL JU program. Despite several internal discussions and meetings with the EC/CIC services and the GB delegates, it needs to be concluded that (for the indicated KPI only) it is currently impossible to properly, cost efficiently and correctly measure the value with the available IT tools (OP-10 & OP-3 & PP-10) and/because there is a large remaining unclearness on the interpretation/definition and on an agreed measuring framework (OP-3 & PP-10). The ECSEL JU Office will put all effort in developing proper measuring methodologies and clear defined KPI indicators for upcoming Horizon Europe program which will start in 2021.

KPI	Definition	Description
OP-1	% New participating entities	Percentage of entities (identified by using PIC number) to total that are participating in one of the submitted proposals at the FPP stage and that have not participated in any of the proposals at FPP stage in the 3 preceding years.
OP-2	Success rate %	Percentage of selected and funded proposals to all eligible submitted proposals at FPP stage
OP-3	Budget % of selected projects along value chain	(*)
OP-4	Time to grant % below maximum time	Percentage of grants that are signed in time (that is within the 8 months from the FPP deadline)
OP-5	Time to payments % Late	Percentage of payments (operational and administrative) that are past deadline
OP-6	% Projects achieving insufficiently (Monitoring)	Percentage of the project under monitoring that are assessed as insufficient at yearly review
OP-7	Lighthouse activity	Number of events attended or organised
OP-8	Ethics: projects not complying	Percentage of projects that at review show insufficient on the ethics part.
OP-9	Redress requested	Redress requested in any of the workflows
OP-10	Gender (% women in projects)	(*)
OP-11	Participants from non-EU state (associated or third country)	Percentage of participants in selected projects from non-EU countries
OP-12	Error rate: % common representative errors	% common representative errors
OP-13	Events/Communication	Number of: presentations given by ECSEL staff at non ECSEL events, publications, organised events by ECSEL.

Programme performance KPI

KPI	Definition	Baseline	Objective for year 2021
PP-1	Number of projects	10	Not applicable
PP-2	National Funding / EU Funding per year	0.92	Not applicable
PP-3	Private partners / Public partners	1.5	Not applicable
PP-4	Average Size of project RIA	27 M€ on H2020 Cost & 30 Beneficiaries	Not applicable

PP-5	Average Size of project IA	80 M€ on H2020 Cost & 40 Beneficiaries	Not applicable
PP-6	EU-countries without national funding Countries participating in the call	5 20	Not applicable
PP-7	Oversubscription	2.0	Not applicable
PP-8	Number of patents per 10 M€ of EU funding	3	>3
PP-9	Participation of SME to the programme	25%	>25%
PP-10	Publications	N/A	(*)

KPI	Definition	Description
PP-1	Number of projects	Number of selected projects
PP-2	National Funding / EU Funding per year	Ratio for the selected projects of the total national funding to the total EU funding
PP-3	Private partners / Public partners	Ratio for the selected projects of the total participation of private entities (Large enterprises and SMEs) to the public entities
PP-4	Average Size of project RIA	Average H2020 cost for selected project and Average number of beneficiaries for selected project
PP-5	Average Size of project IA	Average H2020 cost for selected project and Average number of beneficiaries for selected project
PP-6	EU-countries without national funding Countries participating in the call	Number of EU countries without national funding in the call but with beneficiaries in the selected calls All countries participating in the selected projects of the call
PP-7	Oversubscription	Average of EU and national oversubscription. Oversubscription is calculated as the requested funding for the eligible proposals submitted at the FPP divided by the total amount that is committed by the funding authority
PP-8	Number of patents per 10MEuro of EU funding	Number of patents for all finished ECSEL projects divided by the total EU funding for those projects (per 10M€)
PP-9	Participation of SME to the programme	Proportion of SMEs participating in the selected projects of the calls of that year.
PP-10	Publications	(*)

Impact KPI

Will be defined according to the lines of the KIP defined for the Horizon Europe programme.