

EUREKA PENTA Cluster, UK Call

Frequently Asked Question (FAQ)

Q: Do we need to submit a Project Outline?

A: Yes. Only Project Outlines that receive a positive evaluation are invited to submit a Full Project Proposal.

However, note that project partners may change after project outline proposal is submitted. UK additions as partners to PENTA projects may apply for funding prior to the closing of the UK call, subject to being a confirmed member of a project which has been submitted to the PENTA application process.

Q: Roughly how many projects are likely to be funded and what is the typical size of a project (in Euro)?

A: Based on historical experience within PENTA cluster, we expect a significant proportion of projects to be funded. There is a relatively low number of applicants due to the added complexity of building an international consortium. Overall in PENTA there may be less than 20 projects funded, covering less than 100 organisations.

In PENTA Calls 1 & 2, 10 projects were funded, at a total eligible cost of €160m. Approximately 40% of submitted Project Outlines are funded.

Q: What is the typical consortium size - number of organisations and number of countries involved?

A: Based on historical experience within PENTA cluster there is a wide range in size of consortia, from 6 organisations across 2 countries up to 28 organisations, spread across multiple countries. However, this is only a guideline and all projects that involve at least two EUREKA countries will be considered.

Q: What is the definition used for Micro, Small and Large businesses?

A: This is defined at the link shown on the slide, which will be included in the info pack.

<http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition/>

This link provides additional detail to the table below, and a self-assessment questionnaire to determine if a company is an SME.

The main factors determining whether an enterprise is an SME are:

1. **staff headcount**
2. either **turnover** or **balance sheet total**

Company category	Staff headcount	Turnover	or	Balance sheet total
Medium-sized	< 250	≤ € 50 m		≤ € 43 m
Small	< 50	≤ € 10 m		≤ € 10 m
Micro	< 10	≤ € 2 m		≤ € 2 m

These ceilings apply to the figures for individual firms only. A firm that is part of a larger group may need to include staff headcount/turnover/balance sheet data from that group too. Please note the turnover and balance sheet amounts are in euros.

Q: Is there a limit of funding for each individual UK organisation? Is there a limit per project for UK organisations?

A: There is no defined limit per UK organisation or per project. £2m of funding is available in total, with award limits defined in terms of percentage of eligible project costs. Innovate UK will adopt a portfolio view when allocating the budget.

Q: Are there any costs associated with being part of a PENTA programme?

A: Yes, an administrative charge is invoiced to cover the costs of running the PENTA programme. If an organisation wishes to be part of a Full Project Proposal, they must decide either to become a member of the AENEAS Industrial Association (free of charge) or sign a Declaration of Acceptance (DoA) that commits the organisation to the payment of an administrative fee. Organisations are ONLY invoiced IF they receive Public Authority (Innovate UK) funding and the current rate (reviewed annually) is 1.5% of received grant split in equal parts over the duration of the project (normally 3 years). The first invoice is sent 1 year after the project starts. More information is available at <https://aeneas-office.org/membership/financial-contributions/>

Q: Is the administrative charge an acceptable expense for Innovate UK Projects?

A: The administrative charge is not an eligible cost under Innovate UK funding rules. Details about eligible costs are available at <https://www.gov.uk/government/publications/innovate-uk-completing-your-application-project-costs-guidance>

Q: What does the AENEAS have to do with PENTA?

A: AENEAS is an Industrial Association, originally set up to help create and operate the ENIAC and ECSEL Joint Undertakings, under the European Commission. It is also the legal entity that operates PENTA.

Q: Where do I find out which types of organisation are eligible for funding in other countries?

A: Information on funding rules in other countries is available on the PENTA website - http://www.penta-eureka.eu/funding/local_index.php. However, PENTA is generally open to Large Enterprise, SME's, Research and Technology Organisations (RTO's) and Academia. We encourage prospective partners in consortia to make early contact with their national funding organisations to see if they are eligible for participation under individual national rules.

Q: What happens if a project receives the PENTA label but then an individual country decides not to fund the organisations in that country?

A: This rarely happens as individual countries collectively take part in the PENTA labelling process. However, it is possible for a project to still be considered viable even if some countries decide not to support it. If this occurs, then the original partner has the option to self-fund, or the Project Leader can look for a replacement from a country that is funding the project. In all cases where partner changes occur a "Change Request" process is initiated to capture the final project plan that reflects accurately the make-up and structure of the project. This must be approved by the Technical Expert Group (TEG) and Public Authorities involved.

Q: Where do I find the description of scope?

A: A summary of eligibility and scope, together with the FAQ will be made available and included on the same page as the link to the recorded webinar. This will be communicated to all webinar registrants a few days after the webinar.

Q: Is there a guidance document available to advise what evaluators are looking for when scoring the proposals?

A: PENTA – Project Outline and Full Project tutorials are available in the PENTA Project Zone. The PO and FPP “Annex Templates” also contain detailed guidance on what should be included in the submissions. We also strongly recommend making early contact with the Public Authorities in the countries involved to understand their criteria for providing support

A: UK – Over the next few weeks we will be planning the competition in more detail, but the aim is to make the UK national application process as simple as possible. Since we will have access to the information submitted to PENTA in the Project Outline and Full Project Proposal, it will not be necessary to submit all the project details again. There will be a further briefing opportunity when the UK call opens in May.

Q: The average size of a PENTA project looks to be around 15m Euro? The UK contribution is only £2m - assuming this is to be split across more than one project, will other countries be willing to take the risk of adding another country (with the associated extra bureaucracy) for such a small partner? With one exception, the majority of projects look to be comprised of only 2 or 3 countries but 10- 20 partners. I.e. the individual country contribution to one project is large?

A: We are looking for projects that extend the State-of-the-Art in micro and nanoelectronics enabled systems and applications that have the capability to have real economic and/or societal impact. To this end, as long as two EUREKA countries are involved, project size is not an issue. The important consideration is that consortia bring together the individual capabilities that they need to make the project successful, wherever they may come from. As such, if an individual UK organisation, small or large, brings that needed capability to a project, then there is no restriction to being involved. This involvement could be at the “application” end of the value chain, maybe a hospital testing a new capability, or fundamental research enabling a new application, or anything in between. It should also be noted that project size is usually referred to as “eligible cost”, which is the total cost of the project. Any grant that is given to partners will be a percentage of this amount, as defined by national rules. The UK contribution therefore stimulates a higher overall collaborative activity.

Q: Can you define the types of research in more detail?

- **Industrial Research**
- **Experimental Development**

A: These are the general research definitions we use:

Industrial research

This means planned research or critical investigation to gain new knowledge and skills. This should be for the purpose of product development, processes or services that lead to an improvement in

existing products, processes or services. It can include the creation of component parts to complex systems and may include prototypes in a laboratory or environment with simulated interfaces to existing systems, particularly for generic technology validation.

Experimental development

‘Experimental development’ means acquiring, combining, shaping and using existing scientific, technological, business and other relevant knowledge and skills with the aim of developing new or improved products, processes or services. This may also include, for example, activities aimed at the conceptual definition, planning and documentation of new products, processes or services.

Experimental development may comprise prototyping, demonstrating, piloting, testing and validation of new or improved products, processes or services in environments representative of real-life operating conditions. The primary objective is to make further technical improvements on products, processes or services that are not substantially set. This may include the development of a commercially usable prototype or pilot which is necessarily the final commercial product and which is too expensive to produce for it to be used only for demonstration and validation purposes.

Experimental development does not include routine or periodic changes made to existing products, production lines, manufacturing processes, services and other operations in progress, even if those changes may represent improvements.

Projects that span more than one category of research - Enter the research category that reflects the majority of your work.

Q: What are the maximum funding rates?

A: The maximum funding rates vary by type of organisation and category of research and development:

Organisation / Type of Activity	Industrial Research	Experimental Development	Notes
Business (economic activity)	Micro/Small – 70% Medium – 60% Large – 50%	Micro/Small – 45% Medium – 35% Large – 25%	
Research Organisation (non-economic activity)	Universities – 80% of Full Economic Costs Other research organisations can claim 100% of eligible costs	Other research organisations must: <ul style="list-style-type: none"> • be non-profit distributing and • disseminate the project results & • explain in the application form how this will be done 	

Q: What is EUREKA?

A: EUREKA is an intergovernmental network launched in 1985. Its aim is to support market-oriented R&D and innovation projects by industry, research centres and universities across all technological sectors. It is a

global network of government ministries and innovation agencies of 45 countries (and increasing), who collaborate on research and innovation projects. With its flexible and decentralised network, EUREKA offers project partners rapid access to skills and expertise across Europe as well as national public and private funding schemes. For more information visit the EUREKA network website

<http://www.eurekanetwork.org/>

Q: What are EUREKA Clusters?

A: EUREKA Clusters are long-term and strategically significant initiatives that develop technologies of key importance for European competitiveness. Cluster are the engine for industrial innovation and economic growth as they catalyse the generation of innovative, industry-driven, near to the market and pre-competitive R&D projects in their respective domains. There are currently seven EUREKA Clusters. For more information see the [EUREKA Cluster page](#).

Q: What is PENTA?

A:

PENTA is a [EUREKA](#) Cluster with a mission to catalyse research, development and innovation in areas of micro and nanoelectronics enabled systems and applications. Micro and nanoelectronics underpin the rapidly developing Digital Economy and are a cornerstone of key European & Global economic and societal developments.

PENTA supports projects along the Electronic Components & Systems (ECS) value chain, working with National Public Authorities to identify focus areas with common industrial and National interest.

The PENTA programme is guided by the [ECS Strategic Research Agenda](#), a comprehensive document providing guidance on the challenges and opportunities for innovation along the electronics value chain.

PENTA was set up to meet the needs of Industry, covering all facets of development – and projects are welcomed from research (TRL 2) to pilot production or service launch (TRL8). The programme is designed to be flexible, agile and supportive – with the intent of matching industrial innovation with national funding support. It occupies a unique position in the funding landscape, bridging national support programmes and large strategic programmes, such as ECSEL.

Through annual calls, PENTA seeks to help the formation of innovation “ecosystems” bringing together the best technologies in large enterprises, SME’s, RTO’s and Academia to form dynamic new teams that will extend the State of the Art with the potential of rapid subsequent commercial exploitation. It serves countries and organisations across the broad EUREKA network of countries. Extensive support for this process is provided through events, tools and the PENTA team.

Q: Which countries are eligible to participate in this call?

A: EUREKA members are eligible to participate. A full list of EUREKA countries are listed on the [EUREKA website](#). Project partners can be from any of the countries listed (full members or associate countries), but funding can be provided only by the countries taking part in the PENTA cluster. Partners from other countries will need to fully self-fund their costs.

EUREKA currently counts 41 members including European Communities. Several European countries participate in EUREKA cooperation through a network of National Information Points (NIPs).

The affiliation known as Associated Country Status was initiated as part of EUREKA's proactive strategy to enhance cooperation with countries outside of Europe judged to have scientific and research potential.

EUREKA members (since):

Austria (1985), Belgium (1985), Bulgaria (2010), Croatia (2000), Cyprus (2002), Czech Republic (1995), Denmark (1985), Estonia (2001), Finland (1985), former Yugoslav Republic of Macedonia (2008), France (1985), Germany (1985), Greece (1985), Hungary (1992), Iceland (1986), Ireland (1985), Israel (2000), Italy (1985), Latvia (2000), Lithuania (1999), Luxembourg (1985), Malta (2006), Monaco (2005), Montenegro (2012), the Netherlands (1985), Norway (1985), Poland (1995), Portugal (1985), Romania (1997), Russian Federation (1993), San Marino (2005), Serbia (2002), Slovak Republic (2001), Slovenia (1994), Spain (1985), Sweden (1985), Switzerland (1985), Turkey (1985), Ukraine (2006), United Kingdom (1985), European Commission (1985).

EUREKA NIPs: Albania (1991), Bosnia and Herzegovina (2009).

EUREKA Associated country: Canada (2012), Republic of Korea (2009), South Africa (2014) and Chile (2017).

Q: Which countries are eligible for funding through this call? What if my potential partner is from another country?

A: Projects can include partners from any EUREKA country. As of December 2018, PENTA countries are: AUSTRIA, BELGIUM, CANADA, CZECH REP., FINLAND, FRANCE, GERMANY, IRELAND, MALTA, NETHERLANDS, PORTUGAL, SPAIN, TURKEY, UNITED KINGDOM. In 2019, PENTA is running a synchronised call process with EURIPIDES², another EUREKA Cluster specialising in Packaging and integration of micro devices and smart electronic systems. Through a process of “co-labelling”, this brings the number of EUREKA countries supporting these types of projects to 24 (for a map of countries supporting each cluster see the webinar presentation). In essence, the best thing to do is for any potential consortium partner to talk to the PENTA office and to ask the National Authority concerned if funding may be possible. Self-funding is also possible if the benefits of being part of a new project ecosystem make it worthwhile.

Q: I have an idea for a project but I don't know how to find suitable partners. Who can help?

A: PENTA collaboration tools can be found on the PENTA website. The Brussels brokerage event on 15th - 16th January 2019 offers networking and partner discovery opportunities.

Additionally, Innovate UK has two partner organisations that can help you. The Knowledge Transfer Network (KTN) can help you find partners in the UK as well as abroad. The Enterprise Europe Network (EEN) has an extensive network covering Europe as well as the rest of the world.

Q: What is a brokerage event?

A: Brokerage events are held throughout the year to encourage the formation of consortia in value chain ecosystems that can innovate, and subsequently commercialise, new ideas. For the PENTA 2019 call, an event has been arranged in Brussels on the 15th and 16th of January 2019, in Brussels. The ECS Brokerage Event combines the brokerage activities of the industry associations AENEAS, ARTEMIS-IA and EPOSS into one networking event dedicated to project proposals in the field of Electronic Components and Systems – supporting both EUREKA and EU project submissions.

This event facilitates the ECS communities and collects all project proposals and experts together, making it easier for the ECS research community to find and create information and project proposals. Project presentations and posters, looking for partners, will be the major part of the agenda, along with information on funding opportunities. It is also possible for SME's to “pitch” their capabilities as potential project partners.

Q: Where do I find the application form?

A: The PENTA forms are available on the PENTA website, under the tab for 2019 Joint PENTA / Euripides call. The UK forms will be made available nearer the time of the UK call opening in May 2019.

Q: How is EUREKA/PENTA funding different from Horizon 2020?

A: EUREKA programmes are nationally funded while H2020 projects are fully or partially funded by the European Commission – and must follow Commission guidelines. As a result, PENTA works closely with all National Authorities in the EUREKA network to specifically meet their National goals and objectives.

Generally, PENTA projects are much smaller than those generated, for example, in the ECSEL Joint Undertaking. In addition, PENTA projects are characterised by high levels of support throughout the submission and execution process, from the office and through a technical “mentoring” process.