

**CZECH-NORWEGIAN RESEARCH PROGRAMME**  
**GUIDE FOR APPLICANTS**  
Norwegian Financial Mechanism 2009–2014  
Norway Grants

Approved by the Programme Committee on 13 November, 2013

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## 1. GENERAL PRINCIPLES OF PROGRAMME AND CALL

The terms and conditions of the Guide for Applicants have been prepared on the basis of the “*Regulation on the implementation of the Norwegian Financial Mechanism 2009 – 2014*” adopted by the Norwegian Ministry of Foreign Affairs pursuant to Article 8.8 of the Agreement between the Kingdom of Norway and the European Union on a Norwegian Financial Mechanism for the period 2009-2014 on 11 February 2011, as amended on 15 December 2011 and 14 March 2013 (hereafter “the Regulation”), and *Annex 12 “Rules for the establishment and implementation of donor partnership programmes falling under the Programme Areas “Research within Priority sectors” and “Bilateral Research Cooperation”*. The Programme Operator of the Czech-Norwegian Research Programme (hereinafter the Programme), (*formerly Programme CZ09 Research Support Fund*), is the Ministry of Education, Youth and Sports of the Czech Republic (hereinafter “the **Programme Operator**”), the Donor Programme Partner is the Research Council of Norway (hereinafter “RCN”).

### 1.1 PROGRAMME OBJECTIVES

The overall objective of the Programme is to enhance research-based knowledge development in the Czech Republic through research cooperation between Norway and the Czech Republic. The Programme strengthens bilateral relations with the aim of stimulating long-term cooperation, capacity and competence building.

An important objective of the Programme is to promote mobility and to support young researchers (involvement of Ph.D. students and postdocs in a project) and involvement of researchers who have returned after maternity leave. Mobility can include research visits between Project Partners.

Through joint research projects the Programme enables research teams to bring together complementary skills, knowledge, and resources in order to jointly address research problems. The Programme contributes to the strengthening of existing, and the creation of new, long-term scientific relations between Czech and Norwegian research institutions and research teams.

In general the objective of bilateral research cooperation is to enhance mutual cooperation between Czech and Norwegian entities and hence contribute to the development of scientific knowledge and produce quality outputs. A further objective of the Programme is to strengthen research capacity and build competence of Programme Operators, Project Promoters, Project Partners and researchers. The Programme allows for international cooperation among research organisations as well as research organisations and small and medium-sized enterprises, thus strengthening competitiveness as well as the creation of innovative products, technologies and services.

The objective of the Programme is to support Czech-Norwegian bilateral projects in basic and applied research and experimental development.

### 1.1.1 Programme outputs

Expected outputs to be achieved by the cooperation projects include:

- internationally refereed (*joint scientific*) publications published on the basis of the results of the project;
- active involvement of female researchers;
- active involvement of Ph.D. students and postdocs in the project;
- involvement of researchers who have returned after maternity leave;
- close cooperation between the partners involved in the project from the Czech Republic and Norway with the aim of building sustainable cooperation for future activities;
- knowledge transfer, sharing of experience and best practices;
- research and development results including e.g.: patents, designs, and plant varieties.

The Programme is open to projects:

- with or without additional funding from other sources;
- with different kinds and number of Project Partners involved;
- based on already established cooperation between the Project Partner(s), as well as projects establishing and building up new partnerships;
- with or without a link to other programmes (including other Norway/EEA Grants programmes).

#### Note:

These conditions (existing additional funding, number of partners, etc.) do not place any project in a more favourable position compared to others in the evaluation process. No additional points are added based on these conditions.

The project may be additionally financed from other sources and/or be a part of another project, but in that case the budget of the project and project activities financed by the Programme must be clearly separated from the other activities and financial sources. The project part financed by the Programme must have clear aims and focus, and deliver concrete results which can be independently evaluated.

**There can be no double financing of any part of the project by any other source of funds.**

## 1.2 PROGRAMME THEMATIC AREAS

Proposals for research projects are invited in these areas of research:

- **Social Sciences and Humanities;**
- **Environment; and**
- **Health.**

Interdisciplinary projects are also supported.

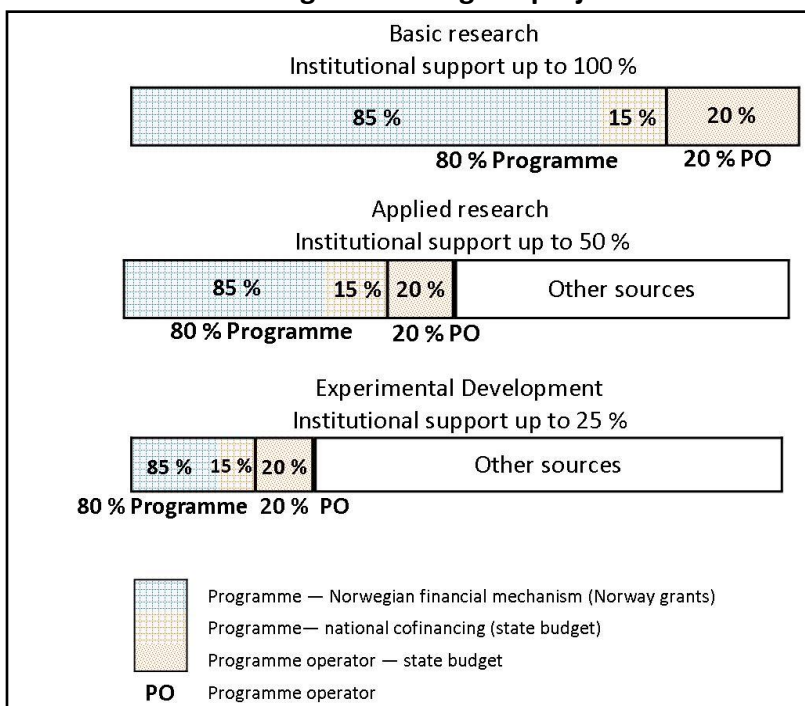
## 1.3 ALLOCATION FOR CALL

The total amount available through the Programme call is € 13 088 235 (336 236 000 CZK). Each project selected from the Call is further supported from the budgetary chapter of the Programme Operator (hereinafter “PO”) by 20 % (total amount € 3 272 051; 84 059 000 CZK) respecting all national and European legislation on state aid.

**Total available sum for institutional support (regranting) is:**

336 236 000 CZK (80 % Programme) + 84 059 000 CZK (20 % PO) = 420 295 000 CZK.

### Scheme 1: Cofinancing of total eligible project costs



At least 20 % of the total amount available through the Call is allocated to projects under the area “*Social Sciences and Humanities*”, including research on bilateral relations between Norway and the Czech Republic, or interdisciplinary projects with aspects of this research area.

**Note:**

The budget in the project proposal must be represented in Czech Crowns (CZK).

The European Commission's exchange rate from October 2013: **25,69 CZK/€** is used.

See: [http://ec.europa.eu/budget/contracts\\_grants/info\\_contracts/infoeuro/infoeuro\\_en.cfm](http://ec.europa.eu/budget/contracts_grants/info_contracts/infoeuro/infoeuro_en.cfm).

## 1.4 TYPES OF ACTIVITIES

### 1.4.1 Types of activities

Eligible types of activities are basic and/or applied research as well as experimental development.

In accordance with the Community Framework for State Aid for Research and Development and Innovation (2006/C 323/01) the projects may be supported as follows:

**Table 1: Overview of maximum percentage of subsidy to beneficiaries**

| Type of organisation<br>Type of activity | Maximum percentage of the subsidy to beneficiaries |   |
|--|--|---|
|  | Small and medium-sized enterprises                 | Research organisations<br>e.g. public research institutes<br>and universities |
| Fundamental/Basic research               | Up to 100 %  | Up to 100 %   |
| Industrial/Applied research              | Up to 50 %   | Up to 100 %   |
| Experimental development                 | Up to 25 %   | Up to 100 %   |

The support granted by the Programme/PO has to comply with the Community Framework for State Aid for Research and Development and Innovation (2006/C 323/01). Basic research projects may be granted support up to 100 % of eligible costs, whereas applied research projects may be granted basic aid up to 50 % of eligible costs and experimental development projects up to 25 % of eligible costs.

For SMEs: Bonuses that may be granted in applied research in accordance with Article 5.1.3 of the Community Framework for State Aid for Research and Development and Innovation (2006/C 323/01) are provided if a company cooperates with a research organisation

pursuant to Articles 3.2.2 and 5.1.3(b) (ii) of the Community Framework for State Aid for Research and Development and Innovation (2006/C 323/01).

For ROs: Research organisations (RO) are supported in accordance with the scheme above only for their R&D and not for commercial activities.

## 1.5 ELIGIBILITY

The eligibility of Project Promoters and Project Partners is defined in Annex II of the Programme Agreement signed between the Norwegian Ministry of Foreign Affairs and the Ministry of Finance of the Czech Republic on 31 October, 2013.

### 1.5.1 Number of partners

Joint research projects must involve at least one Czech partner (**Project Promoter**) and at least one Norwegian partner (**Project Partner**).

There is no formal limit as to the maximum number of partners (Czech or Norwegian).

### 1.5.2 Eligibility criteria for Project Partner(s)

Project Partners have to be research organisations as defined in the Community Framework for State Aid for Research and Development and Innovation (2006/C 323/01) or private law enterprises (small or medium-sized - SMEs) as defined in the Community Framework for State Aid for Research and Development and Innovation (2006/C 323/01).

Donor Project Partners from Norway must fulfil the same eligibility criteria as Czech Project Promoters/Project Partners appropriately in the form of mandatory annexes to the project proposal for Norwegian Project Partners.

#### Note:

Information about the Project Partner organisation(s) (name and their role in the project) has to be provided in the project proposal.

#### 1.5.2.1 Eligibility of research organisations

A research institution in the role of either Project Promoter or Project Partner must be categorised as a research organisation fulfilling the definition of the Community Framework for State Aid in Research, Development and Innovation (2006/C/323/01) for research and development and must be listed in the register of the Council for Research, Development and Innovation ([www.vyzkum.cz/FrontClanek.aspx?idsekce=622660](http://www.vyzkum.cz/FrontClanek.aspx?idsekce=622660)) as of the date of the proposal submission of this Call.

**Note:**

The Community Framework for State Aid for Research and Development and Innovation (2006/C 323/01) specifies research organisation as an entity, such as universities or research institutes, irrespective of its legal status (organized under public or private law) or financing, whose primary goals is to conduct fundamental research, industrial research or experimental development and to disseminate their results by way of teaching, publication or technology transfer; all profits are reinvested in these activities, the dissemination of their results or teaching; undertakings that can exert influence upon such an entity, in the quality of, for example, shareholders or members, shall enjoy no preferential access to the reached capacities of such an entity or to the research results generated by it.

A methodology used for the assessment of research organisations in the Czech Republic can be found at: <http://www.vyzkum.cz/FrontClanek.aspx?idsekce=560752>.

Norwegian entities who consider themselves to qualify as research organisations are requested to contact the Research Council of Norway to clarify the issue (for a contact see chapter 10).

**1.5.2.2 Small and medium-sized enterprises**

Small and medium-sized enterprises, as defined by the EU recommendation 2003/361/EC, are enterprises which have less than 250 employees and an annual turnover less than € 50 million or an annual balance sheet total less than € 43 million.

**Table 2: Company categories**

| Company category | Employees | Turnover    | or | Balance sheet total |
|------------------|-----------|-------------|----|---------------------|
| Medium-sized     | < 250     | ≤ € 50 mil. |    | ≤ € 43 mil.         |
| Small            | < 50      | ≤ € 10 mil. |    | ≤ € 10 mil.         |

Source: European Commission.

**1.5.3 Eligibility of Project Promoter**

Czech entities which fulfil the eligibility criteria for Project Partners are eligible as Project Promoters.

The Project Promoter has the main responsibility for initiating, preparing and submitting the project proposal taking care of the administrative and management tasks of the project, and ensuring active involvement of Project Partner(s) in the preparation of the proposal.



After the award of the grant, the Project Promoter ensures that the project is carried out in compliance with the terms and obligations set in the contracts and is responsible for submitting periodic reports to the Programme Operator.

Only the Project Promoter (Czech entity) may submit the project proposal on behalf of the Project Partners.

#### 1.5.4 Research team

The research team of the Project Promoter consists of a **Principal Investigator (hereinafter “PI”)** and **research staff** (main participants, including doctoral students, postdocs and master’s candidates).

##### Eligibility criteria for the Principal Investigator:

- The PI must be a researcher with at least four year experience holding at least a master’s degree of the Czech Republic or an equivalent academic degree (awarded by the deadline of submission of the grant application at the latest).

##### Eligibility criterion for main participants:

- A main participant of the project is a person who participates in the substantial performance of the project. A main participant of the project has at least a master’s degree or an equivalent qualification.

#### 1.5.5 Third parties

Institutions established in countries outside of the Czech Republic or Norway (third party) can participate as **additional Project Partners**. Project costs are not covered for a third party from the project grant. The activities of additional Project Partners from third countries have to be funded from other sources.

##### Note:

**Adding Project Partners during the project realization is not allowed.**

The Project Promoter signs a Partnership agreement with the Project Partner(s). The draft Partnership agreement is submitted to the Programme Operator before signing of the Project contract, as a mandatory annex to the project proposal. The Partnership agreement complies with article 6.8 of the Regulation.

Before issuing the Projects contract is issued by the Programme Operator, the Projects Promoter submits a Partnership agreement signed by all Project Partners.

## 1.6 ELIGIBLE DURATION OF PROJECTS

The project may last up to 3 years. The end of the period of eligibility of costs in the projects is 30 April, 2017.

### Note:

Prolongations of the projects are not possible and expenses incurred after April 2017 are not be funded.

Exceptionally, costs in respect of which an invoice has been issued in the final month of eligibility are also deemed to be incurred within the dates of eligibility if the costs are paid within 30 days of the final date for eligibility (see Article 7.2 of the Regulation).

## 1.7 ELIGIBILITY OF PROJECT PROPOSALS

Proposals must fulfill all of the eligibility criteria in order to be retained for evaluation.

### 1.7.1 Eligibility criteria

The project proposal must include at least one Czech and one Norwegian entity eligible according to the Programme.

The Project Promoter must be a Czech entity eligible for funding according to the Programme.

The following eligibility criteria apply to all proposals submitted under the Call:

- receipt of proposal by the Programme Operator before the deadline (date and time) established in the Call;
- project proposal is submitted using the online submission system;
- minimum conditions concerning the number of participants (at least one Czech and one Norwegian entity eligible according to the Programme);
- completeness of the proposal, i.e. the presence of all mandatory administrative forms, annexes and the proposal description (the completeness of the information contained in the proposal is for the experts to evaluate; the eligibility checks only apply to the presence of the appropriate parts of the proposal);
- scope of the Call: the content of the proposal must relate to the topics and funding scheme set out in the Call. A proposal can only be deemed ineligible on grounds of scope in clear-cut cases;
- project proposal is written in English (exceptionally specific parts).

If it becomes clear before, during or after the evaluation phase that one or more of the eligibility criteria have not been fulfilled, the proposal is declared ineligible by the Programme Operator.

### 1.7.2 Appeals procedure

Project Promoters of proposals found to be ineligible are informed of the grounds for such a decision and advised on the protest procedure.

The Project Promoters of proposals found to be ineligible may file a protest against the decision of the Programme Operator within **14 days from the receipt of the information** on the proposal rejection.

The Programme Committee is informed about proposals declared ineligible and the outcome of the appeals procedure at the project selection meeting.

## 1.8 BUDGET AND ELIGIBLE COSTS

The Project Promoter must specify all financial resources in the project budget (see the project proposal form) which are used for the project implementation.

**Costs are eligible if** they are justified, necessary and appropriate, and directly related to the project within its duration.

Eligible costs under the project are defined in Chapter 7, Articles 7.2, 7.3 and 7.6 of the Regulation on the implementation of the Norwegian Financial Mechanism 2009-2014 and its Annex 12 (specified in Article 5.4 definition of Indirect costs).

The project budget must be presented in CZK (Czech Crowns).

### 1.8.1 Project size and grant rate

The minimum amount of grant assistance per project applied for is € 100 000 (2 569 000 CZK); the maximum amount is € 1 000 000 (25 690 000 CZK) (including overhead costs), co-financing by the Programme Operator included.

Award of grants (institutional support) from the Programme/PO may cover up to 100 % of total eligible project costs (80 % Programme; 20 % co-financing by Programme Operator), provided all applicable National and EU rules on State Aid are complied with (see chapter 1.4.1 of this Guide).

Any remaining costs of the project are provided or obtained by the Project Promoter and the Project Partners, according to their respective shares of the project budget.

### 1.8.2 Eligible costs

Eligible costs consist of eligible direct costs and indirect costs (overheads) in projects.

Each project partner selects the appropriate method of calculating cost for their part of the project:

Option 1: only direct costs (section 1.8.2.1)

or

Option 2: direct costs **and** indirect cost (section 1.8.2.2.)

### **1.8.2.1 Eligible direct costs**

#### **1.8.2.1.1 Preparatory costs**

The Programme foresees the possibility to apply for reimbursement of preparatory costs both for the Project Promoter as well as for Norwegian and Czech partners. These are costs related to searching for partners prior to or during the preparation of a project proposal, the development of such partnerships and preparation of an application for a project proposal.

Project Promoters can apply for reimbursement of such costs while applying for a project to be funded under the Call. A lump sum of up to € 5 000 (128 000 CZK) is reimbursed in the case of proposals recommended for financing. The concrete amount is to be recommended by the Programme Committee.

#### **1.8.2.1.2 Personnel cost**

The personnel cost is eligible for staff assigned to the project, comprising actual salaries plus social security charges and other statutory costs included in the remuneration, provided that this corresponds to the Project Promoter's and Project Partners' usual policy on remuneration.

The concerned staff must conclude a labour contract with the partner institution. The need for such staff should be justified in the project proposal form.

The project may involve researchers to be hired by the institutions. The respective responsible persons in the institutions need to make sure that the project starts at the latest 2 weeks after formal approval by the Programme Operator. The applicant should state how he/she ensures that the new personnel is in place for the start of the project.

The Programme Operator expects project staff to use timesheets so that their actual time is recorded against a project to form the basis of the costs charged. When a person is contracted to work 100 % of their time on a single project (whether they are working full-time or part-time), timesheets are not necessary, as their costs can only be charged to that activity. In all other cases, timesheets or project time records are required. This includes those who may be contracted to work on two or more projects, since it is essential to have a means of recording and verifying the actual time applied to each activity.

#### **Note:**

Please indicate information on Project Promoter and key staff in the project proposal form.

#### **1.8.2.1.3 Travel and subsistence**

Travel and subsistence allowances for staff and students taking part in the project are eligible, provided that they are in line with the Project Promoter's and Project Partner's usual practices on travel costs and do not exceed the relevant national scales.

Travel and subsistence costs should be limited to the necessity of the project.

As a general rule, the travel costs should be calculated on the basis of economy class travel on public transport. Taxis may be used only in occasional and truly necessary cases.

#### **1.8.2.1.4 New or second hand equipment**

The cost of new or second hand equipment is eligible, provided that it is depreciated in accordance with generally accepted accounting principles applicable to the Project Promoter and Project Partners, and generally accepted for items of the same kind. Only the portion of the depreciation corresponding to the duration of the project and the rate of actual use for the purposes of the project may be taken into account by the Programme Operator.

This includes, but is not limited to, laboratory or workshop equipment (including specialized computers and servers), software and installation costs.

Please indicate in the project proposal form:

- the precise nature of equipment with specific technical requirements;
- its unit cost and number of units;
- its relevance to the project;
- the necessity of the equipment taking into account the equipment currently available in the institution;
- its expected useful life (technical and financial) and its use beyond the project;
- its use by other national or international research groups/institutions (if applicable).

The portion of the depreciation corresponding to the duration of the project and the rate of actual use for the purposes of the project can be calculated as follows:

$$N = (A/B) \times C \times D$$

where

A = duration of project (in years)

B = depreciation period (in years)

C = cost of the equipment

D = share of the usage of the equipment for the project (max=1, the equipment is solely used for the project, full time)

*Example: A new equipment costs 100 000 €, depreciation period is 5 years, project duration is 2 years, and the equipment is used full time for the sole proposes of the project e.g.:*

$$UN = (2/5) * 100\ 000 * 1 = 40\ 000\ €.$$

#### 1.8.2.1.5 Consumables and supplies

The applicant needs to indicate the nature (chemicals, glassware, etc.) of the consumables and justify the estimation of the total costs and requested budget in the project proposal form. The consumables and supplies need to be assigned to the project.

#### 1.8.2.1.6 Other costs

This category includes all other costs which are clearly required for the implementation of the project and respectively identifiable, in particular:

- a) Costs of laboratory animals;
- b) Costs of publishing and disseminating project results;
- c) Non-recoverable **value added tax (VAT)** is an eligible project cost.
- d) Subcontracting – generally only additional or complementary tasks (for example translation, costs of analyses, audit, promotion etc.) could be subcontracted to third parties. Core project research tasks should not be subcontracted. The need for a subcontract must be detailed and justified in the description of the relevant work package. The subcontractor is neither a project participant nor a signatory to the project contract or the consortium agreement. Public procurement rules must be respected.

#### Note:

Subcontracting cannot exceed 10 % of the budget applied for (total eligible costs applied for by the Project Partner requesting the costs for subcontracting). The subcontractor is neither a project participant nor a signatory to the Project contract or the Partnership agreement.

Purchase of any personal computers (desktops, laptops, tablets, iphones etc.), standard office furniture and equipment, etc. from the project grant is not allowed.

#### 1.8.2.2 Indirect cost (overheads)

Institutional overhead to cover the research institution's infrastructure costs is an eligible cost.

Definition: Indirect costs are all eligible costs that cannot be identified by the Project Promoter and/or the Project Partner as being directly attributed to the project but which can be identified and justified by its accounting system as being incurred in direct relationship with the eligible direct costs attributed to the project. They may not include any eligible direct costs.

Project Promoter and Project Partners who wish to include indirect cost in their project budget, must identify the appropriate method of calculating the flat rate (in %) of overhead from the following alternatives:

#### **1.8.2.2.1 Entities which have participated in EU FP7 projects**

Project Promoters and/or Project Partners who have had their legal and financial data, including their Indirect Cost Model (hereinafter “ICM”), validated in the Unique Registration Facility (hereinafter “URF”) of the European Framework Programme for research, and have received a **Participant Identification Code** (hereinafter “PIC”), apply the same indirect cost model.

#### Note:

If your organisation has taken part in EU FP7 project(s), you use the same cost model and overhead rate as were used in these projects.

#### **1.8.2.2.2 Entities with analytical accounting systems (without an FP7 code)**

Project Promoters or Project Partners that have an analytical accounting system which allows them to identify the indirect costs of a particular project can use the actual indirect costs in their budgets.

#### **1.8.2.2.3 Entities without analytical accounting systems (without an FP7 code)**

##### **1. Research organisations, public bodies and SMEs: 60 % flat rate**

Project Promoters and Project Partners that are nonprofit public bodies, secondary and higher education establishments, research organisations and SMEs, which, due to the lack of analytical accounting, are unable to identify with certainty their real indirect costs for the project, may opt for a flat rate of 60 % of their total direct eligible costs, excluding direct eligible costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the Project Promoter.

##### **2. Others: 20 % flat rate**

Project Promoter and Project Partners which lack analytical accounting systems may opt for a flat rate of 20 % of their total direct eligible costs, excluding its direct eligible costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the Project Promoter.

#### **1.8.3 Ineligible costs**

The following costs are some examples of costs considered ineligible:

- (a) interests on debt, debt service charges and late payment charges;
- (b) charges for financial transactions and other purely financial costs;
- (c) provisions for losses or potential future liabilities;

- (d) exchange losses;
- (f) costs that are covered by other sources;
- (g) fines, penalties and costs of litigation;
- (h) excessive or reckless costs;
- (i) purchase of land and real estate;
- (j) personal computers (desktops, laptops, tablets, etc.), standard equipment (e.g. office furniture, etc.), standard laboratory equipment, etc.

Note:

The Programme Operator may make final decisions based on the Programme Committee's recommendation, as to which costs are eligible.

#### **1.8.4 Division of budget between partners**

The project proposal must contain a proposed breakdown of the project budget between partners. The costs listed under section 1.8.2 are eligible costs for both the Project Promoter and Project Partner(s).

The project budget should reflect the actual contribution made by each party and should be subject to negotiation between the Project Promoter and the Project Partner(s).

Note:

Very uneven shares between Czech and Norwegian partners have to be explained and justified.

#### **1.8.5 Payment model**

Project funds are transferred into the bank account of the Project Promoter (legal entity) specified in the Project contract. Payments to Project Promoters are made in the form of advance payments and subsequent advance payment based on the interim financial report. The Project Promoters have an opportunity to apply for an advance payment of up to 60 % in the project proposal submitted. Subsequent advance and/or interim payments are requested through interim financial reports but only after 70 % of the previously provided advance payment has been incurred.

A detailed payment model (years/project partners/resources) is specified in the Project contract.



## 2. HOW TO APPLY

### 2.1 PROJECT PROMOTER AND PROJECT PARTNER(S)

The Project Promoter has the main responsibility for initiating, preparing and submitting the project proposal, taking care of the administrative and management tasks of the project, and ensuring the active involvement of the Project Partner(s) in the preparation of the proposal and implementation of the project. Project Partners have to discuss and further define the role of the project coordinator according to their needs.

The project proposal form and all documents related to the Call can be obtained at: [www.msmt.cz/vyzkum-a-vyvoj/norske-fondy](http://www.msmt.cz/vyzkum-a-vyvoj/norske-fondy) (for more see section 10.3); or at the premises of the Programme Operator by contacting the contact persons listed in 10.4.

The project proposal must be submitted on the prescribed forms with all mandatory annexes and required documentation (see the project proposal form). The forms contain detailed explanation and legends.

#### Note:

A project proposal must have only one Project Promoter.

### 2.2 PROPOSAL LANGUAGE

The proposal must be written in English (specific parts of the project proposal should be written also in Czech).

The working language of the Programme is English.

## 3. PROPOSAL SUBMISSION

### 3.1 FORMS OF PROJECT PROPOSAL

Project proposals are submitted both in electronic and printed version. The electronic project proposal is available as part of the Call documentation on the Programme Operator's website as long as the Call is open.

Proposals are submitted electronically to the Programme Operator (PO) by the Project Promoter (a Czech entity), who submits the proposal on behalf of the Project Partners. The online submission system is available for applicants as of 14:00 29/11/2013. Identical copies of the electronically submitted documents in printed version furnished with the required stamps and signatures are also delivered by post (postal stamp of 03/02/2014 at the latest, postal address: Ministry of Education, Youth and Sports of the Czech Republic, Department of Higher Education and Research Support, Karmelitska 7, 118 12 Prague 1).

#### Note:

One envelope must contain only one completed project proposal and all annexes!

### 3.2 PROJECT PROPOSAL CONTENT

The success of the project proposal depends on the ability to properly define the project objectives, the results and the compliance with the main principles of the proposal preparation:

1. Project Promoter and Project Partners must prove that research and development is one of the major subjects of their activity. The relevant document that clearly demonstrates the subject of activity in research and development must be attached to the proposal (mandatory annex to the proposal).
2. The project duration must not exceed the duration of the Programme and must end no later than 30 April, 2017.
3. The total amount of grant from the Programme/PO support must not exceed € 1 000 000 (25 690 000 CZK).
4. The project proposal must specify all financial resources to be used for the project realization.
5. Proposals must be submitted electronically in OpenKM system as well as printed versions to be delivered to the Programme Operator's address no later than the deadline for accepting proposals. A copy of each proposal must be signed by all members of the statutory authority or any authorized member of the statutory body of the applicants in accordance with the charter, certificate of incorporation etc. In case of more project participants, all statutory representatives of all candidates must sign the project proposal. A missing signature of any member of the statutory body may be a reason for exclusion from the evaluation. The project proposal must be furnished with original signatures of statutory authorities of Project Promoters and Czech Project Partners. For Project Partners from Norway copies of signatures are accepted.
6. The obligation to substantiate the document from which the signature authority emerges is not demanded from directors or authorized directors from public research institutions and rectors or rectresses of public higher education entities (e.g. universities).
7. If a person gets authorised to sign the required documents on behalf of the statutory authority, the proper document from which signing authority is clear such as power of attorney/internal regulations must be attached to the project proposal.

**Note:**

All information about the applicants specified in the project proposal must be true and in accordance with the required documents proving the eligibility of the applicants.

For institutions that are established by law, the information must be in accordance with the relevant legal standard.

In case of gross violation caused by the applicants, the Programme Operator has the right to exclude the applicants' proposal from other public tender in research, development and innovation for up to three years, of research programmes announced by the Programme Operator.

### 3.3 RULES AND PROCEDURES FOR SUBMISSION PROJECT PROPOSAL

The PI must contact the administrator to obtain access to the *online submission system* (hereinafter "OSS") called **OpenKM**. After obtaining a specific *Project ID, a user name and a password* the PI can submit the project proposal to the OSS. The Programme Operator has no access to the stored documents until the deadline of the Call.

The electronic project proposal may be submitted from 29/11/2013 to 03/02/2014 at 14:00 pm (CET, Prague).

For the electronic submission: The Principal Investigator (PI) submits the project proposal through Programme Operator online submission system (hereinafter "OSS").

For the submission of the printed version: The proof of recommended delivery is the postal stamp with the date not later than 03/02/2014. Postal address: Ministry of Education, Department for Higher Education and Research Support, Karmelitska 7, 118 12 Prague 1, the envelope must be marked: "Norway grants, Do not open the envelope!" (in Czech: *Ministerstvo školství, mládeže a tělovýchovy, odbor podpory vysokých škol a výzkumu, Karmelitská 7, 118 12 Praha 1; obálka označena "Norské fondy, neotvírat!"*).

The electronic and printed versions of the proposal must be identical, complete with all required annexes and documentation. The front page of the paper version must be furnished with the Project Promoter stamp, Statutory organ signature and Principal Investigator signature.

### 3.4 ABOUT ONLINE SUBMISSION SYSTEM (OSS)

Each electronic project proposal has a unique identification code Project ID (assigned by the administrator), which remains the same throughout the duration of the grant.

Any technical issues about using the data storage can be resolved by contacting technical support (see below).

Note:

Each project proposal has its own folder in OpenKM system.

### 3.5 REQUEST FOR PROJECT ID, USER NAME AND PASSWORD

The Project ID (also name of the folder), user name and password for OpenKM must be requested at least one week before the Call deadline in order to be provided.

### 3.6 CORRECTING OR REVISING PROPOSAL

The Project Promoter may not change the submitted project proposal. If a need to modify the project proposal arises, the Project Promoter has to submit a new version with a new name no later than the Call deadline.

In order to do so, the Project Promoter asks the administrator to create a new subfolder, where the modified/new project proposals completed with all mandatory annexes are stored.

The online submission system (OSS) assigns each project proposal with an exact date and time when the proposal was submitted to the OSS.

#### Note:

Once the Call has been closed, correcting or revising a proposal is not possible.

However, during the project realization, after signing of the Project contract, it is possible to ask the Programme Operator to modify the project as a result of the current situation, development and other requirements. The procedure for project modification is laid down in the Project contract.

The Project Promoter is not legally entitled to any modification of the project's eligible costs.

### 3.7 WITHDRAWING PROJECT PROPOSAL

The Project Promoter can withdraw a project proposal by sending a written request to the Programme Operator indicating the Project Promoter name, proposal title and a Project ID of the proposal within the duration of the Call.

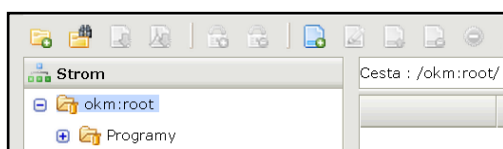
### 3.8 HOW TO USE OPENKM SYSTEM

Project Promoters follow these instructions:

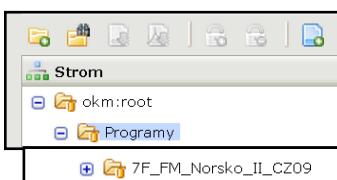
1. First get your Project ID (also folder name), user name and password from the administrator at the Programme Operator. You must ask at email [stepan.obrtlik@msmt.cz](mailto:stepan.obrtlik@msmt.cz) with a copy to [pavla.kacabova@msmt.cz](mailto:pavla.kacabova@msmt.cz).
2. Go to OpenKM system on <https://intervesvav.msmt.cz/>.



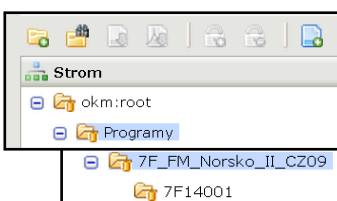
3. Insert your valid user name and password received from the administrator. You may also choose language and login.
4. Click on the folder called Programmes in the menu (left side).




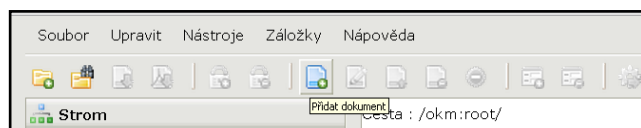
5. Click on the folder called 7F\_FM\_Norsko\_II\_CZ09. You are now at the Programme's level.



6. Click on the folder corresponding to your Project ID (e.g. 7F14001; If you have more project proposals, you see more folders). You are now at the project's level.



7. Click on icon *Add document*  in the upper menu to upload your project proposal and annexes.



8. Upload your project proposal and mandatory annexes separately.

**Note:**

- (a) In case you lose your user name and password, ask the administrator to get new one.
- (b) You may only see your uploaded and current project proposal. When updating a file in OpenKM system, rename it (e.g. just add a number after the name such as 2 or 3, etc. – 7F14001\_2).
- (c) Your access expires on the deadline date!

#### 4. CHECKLIST FOR PROJECT PROMOTERS

In order to be evaluated, proposals must be:

- 1) submitted via the OSS project proposal form and in paper form before the submission deadline;
- 2) submitted by an eligible Project Promoter;
- 3) completed following the prescribed format, mandatory annexes and documentation.

#### 5. NEXT STEPS

##### 5.1 ELIGIBILITY CHECK

After the Call for proposals is closed, an **eligibility check** of submitted project proposals is carried out by the Programme Operator (for more see the Guide for Evaluators).

Eligibility of project proposals is evaluated by the Commission for the acceptance of project proposals, which is appointed by the Programme Operator. The decision on acceptance of project proposals under the Call is made by the Programme Operator.

The following criteria and delivering of the relevant proofs of applicant's capacity are binding for the Project Promoters and other Czech Project Partners.

**Table 3: Proof of applicant's capacity**

| Eligibility criteria |   | Proof of applicant's capacity   |   |
|----------------------|---|---|---|
|                      |   | when submitting project proposal  | before contract signing   |
| 1                    | Professional qualifications                   | submitting the project proposal   |   |
| 2                    | Appropriate licence to carry out the activity | documentation evidencing trade licence or any other requested authorization, for SMEs Research and Development activities must be listed in the trade | submitting an authenticated copy of a trade licence not older than 90 calendar days |

|   |  |                       |  |
|---|--|-----------------------|--|
|   |  | licence               |  |
| 3 | Applicant has not filed a proposal for settlement or against whom no bankruptcy petition on their property has been filled, or such bankruptcy petition has denied for lack of property, or who is not in liquidation                                      | statutory declaration |  |
| 4 | Applicant has settled all due liabilities in relation to the state budget or budget of territorial self governing unit and other due liabilities payable to the State, state fund, a health insurance company or Czech Administration or a Social Security | statutory declaration |  |
| 5 | Applicant has not been lawfully sentenced for a crime which relates to the scope of applicant's business activities if the applicant is an entrepreneur, or for an economic crime or a crime against property  | statutory declaration |  |
| 6 | Applicant has not received within the last three years any disciplinary punishment under special legal regulation on the execution of professional activities if such activity relates to the subject of the respective public Call                        | statutory declaration |  |

## 5.2 EVALUATION OF SUBMITTED PROJECT PROPOSALS

### 5.2.1 Selection criteria

Individual proposals are evaluated according to the selection criteria specified in Annex 12 of the Regulation. The criteria are shown in the following table:

**Table 4: Selection criteria of Call**

| Criteria  | Description  |
|---|--|
| 1. Relevance in relation to the objectives and prioritised areas of the Programme | 1.1 Coherence with programme thematic areas        |
| 2. Scientific and/or technical excellence   | 2.1 Innovativeness of the idea                     |
|   | 2.2 Appropriateness of the approach                |
| 3. Quality and efficiency of the implementation and management                    | 3.1 Competence and expertise of the applicant team |
|   | 3.2 Feasibility and efficiency of the project plan |

|                                    |  |
|------------------------------------|--|
| 4. Potential impact of the project | 4.1 Contribution to capacity and competence building |
|                                    | 4.2 Intended short-term outcomes                     |
|                                    | 4.3 Intended long-term outcomes                      |

### 5.2.2 Proposal scoring

Experts examine the issues to be considered comprising each evaluation criterion, and score these on a scale from 0 to 5. Half-point scores may be given. For each criterion under examination, score values indicate the following assessments:

- 0 – The proposal fails to address the criterion** under examination or cannot be judged due to missing or incomplete information.
- 1 – Poor.** The criterion is addressed in an inadequate manner, or there are serious inherent weaknesses.
- 2 – Fair.** While the proposal broadly addresses the criterion, there are significant weaknesses.
- 3 – Good.** The proposal addresses the criterion well although improvements would be necessary.
- 4 – Very good.** The proposal addresses the criterion very well although certain improvements are still possible.
- 5 – Excellent.** The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.

### 5.2.3 Thresholds

The proposal can receive a maximum number of 15 points in the evaluation procedure. To be recommended for funding, **the proposal must pass all the thresholds** presented in the table below.

**Table 5: Thresholds**

| Criteria  | Thresholds            |
|---|-----------------------|
| 1. Relevance in relation to the objectives and prioritised areas of the Programme | <b>YES</b>            |
| 2. Scientific and/or technical excellence   | <b>3,5 (out of 5)</b> |
| 3. Quality and efficiency of the implementation and management                    | <b>3,0 (out of 5)</b> |
| 4. Potential impact of the project  | <b>3,5 (out of 5)</b> |

Note: Equal weighting is applied.

A more detailed description of the evaluation process is given in the Guide for Evaluators.



After the Call is closed, the names of experts participating in the evaluation process are published on the Programme Operator's website.

### 5.3 FINALISATION OF EVALUATION RESULTS

The Project Operator's staff reviews the results of the expert evaluation and prepares a **ranking list** based on the evaluations of independent experts. The ranking list is submitted to the Programme Committee for a recommendation as to which proposals should be selected for funding and the final awarding of grants.

### 5.4 NEGOTIATIONS

The Programme Operator may request changes or modifications of the budget or additional information from the Project Promoters of proposals that have not been rejected, and for which funding is available. In such cases the Programme Operator invites the Project Promoter for negotiating by e-mail from the administrator specifying the issue to be negotiated and the timeline.

This round of negotiation may only concern the financial aspects of the proposals.

Once the Programme Operator and an Project Promoter have completed this phase, the Programme Operator completes its internal financial, legal procedures and issues the funding decision for the project.

If it turns out to be impossible to reach an agreement with the Project Promoter within three weeks, the Programme Operator regards the negotiation terminated and rejects the proposal.

### 5.5 CONTRACTS

After the funding decision has been received by the Project Promoter, a **Partnership Agreement** is confirmed and signed by the Project Promoter and all partners.

The Partnership agreement must contain required details as stated in Article 6.8 *Project partners and partnership agreements* of the Regulation on the implementation of the Norwegian Financial Mechanism 2009-2014 as a minimum.

The Project Promoter must submit the signed original Partnership Agreement to the Programme Operator before a formal **Project Contract** between the Programme Operator and Project Promoters and their Project Partners is signed for the term of the grant.

The Project contract establishes means of grant awarding, mutual rights, obligations and liabilities of the parties.

Thereafter the grant is awarded to the Project Promoter as stated in the Project contract and funding can be transferred to the Project Promoter.

## 6. AUDIT TRAIL

Evidence of the Call, including all received project proposals and all relevant documents is kept by the Programme Operator for a period of at least ten years after 1<sup>st</sup> January following the year in which the Final Programme Report was approved by the Financial Mechanism Office.

Proposals are archived in written and electronic forms in compliance with usual security standards used by the Programme Operator.

## 7. CONFIDENTIALITY AND DATA DISCLOSURE

According to § 17 paragraph 6 of the Act No. 130/2002 Coll., on the Support of Research and Development from Public Funds, and on amendments to some related Acts (Act on the Support of Research, Experimental Development and Innovation), as amended, the Programme Operator is entitled to collect data, in written and electronic form, on project proposals and applicants for the purposes of the Call.

The data provided by applicants in the project proposals are not publicly accessible information pursuant Act No. 106/1999 Coll., on Free Access to Information, as amended, and selected data are subject to Act No. 412/2005 Coll., on Protection of Classified Information, as amended.

In line with general practice, the Programme Operator publishes the following information from the received project proposals:

- a) name and identification code of the project;
- b) name of the Project Promoter organisation, and/or Project Partners organisation(s);
- c) name of the Principal Investigator, and/or other research staff;
- d) project abstract;
- e) objectives of the project;
- f) duration of the project;
- g) eligible costs and the amount of grant award.

No information provided by Project Promoters is published before the Call results are announced. Only information listed under points a) and b) is published for non-selected proposals.

The project proposal is made available to the persons directly managing evaluation and selection processes, who are bound by a declaration of confidentiality, i.e. that all information provided in the project proposal is considered confidential information.

The Project Promoter is responsible for providing data for the Central Register of Projects – CEP.

## 8. CANCELLATION OF PUBLIC TENDER

The Programme Operator may cancel the Call in accordance with the provisions of § 24 of Act on the Support of Research, Experimental Development and Innovation, as amended.

- i. If no project proposals are received;
- ii. If there has been a substantial change in circumstances after the publication of the Call which the Programme Operator could not foresee, nor did not cause.

## 9. TIMETABLE FOR MAJOR CALL

**Table 6: Call and selection procedure milestones**

|   |   |
|---|---|
| <b>Call Opening Day</b>   | <b>29 November, 2013</b>                                      |
| <b>Competing period</b> , the period in which it is possible to submit proposals for projects, lasts at least two months.   | 30 November, 2013 -<br>3 February, 2014<br>(67 calendar days) |
| <b>Call Closure Deadline</b>  | <b>3 February, 2014</b>                                       |
| <b>Evaluation Period</b> , the period during which the project proposals are evaluated in accordance with the Guidelines for Evaluators, the Programme Operator decides and announces the results of the Call, it takes a maximum of 240 calendar days.   | 4 February, 2014 – 15 May, 2014<br>(101 calendar days)        |
| <b>Announcement of the Results of the Call</b> on the website of the Programme Operator. As of this day the applicants are provided with the results of the Call, including justification and the information of the evaluation of their project proposal/s without specification of any personal data of relevant opponents. | <b>15 May, 2014</b>   |
| <b>Record of Public Tenders in Research, Development and Innovation (VES)</b> : Provisions of data on the evaluation of the Call by Programme Operator - within 50 calendar days from the date of publication of the results of the Call.   | 4 July, 2014 at the latest                                    |

|  |  |
|--|--|
| <p><b>Expected Date of Project Contract Signature</b> - no later than 60 calendar days from the date of entry into force of the Law on State Budget for 2014 or of the date of the announcement of the results of the Call when the result was announced after the effective date of this Act.</p> | <p style="text-align: center;"><b>29 May, 2014</b></p>         |
| <p><b>Central Register of Research, Development and Innovation (CEP):</b> The Programme Operator provides the applicable data on projects funded from the state budget, within 50 calendar days of the effective date of enforceability of the project contract.</p>                               | <p style="text-align: center;">28 July, 2014 at the latest</p> |
| <p><b>Deadline for the Provision of the Grant:</b> The Programme Operator is obliged to start providing support for up to 60 calendar days from the effective date of enforceability of the project contract.</p>  | <p style="text-align: center;">7 August, 2014</p>              |

## 10. FURTHER INFORMATION SOURCES AND CONTACTS

Applicants are invited to familiarise themselves with all the Call documents as well as the Regulation and Annex 12.

### 10.1 CALL DOCUMENTS

- Project proposal form and List of subareas
- Annexes of project proposal form
- Guide for Applicants
- Guide for Evaluators

### 10.2 LEGAL ACTS

- Regulation on the implementation of the Norwegian Financial Mechanism 2009 – 2014 [Regulation Norway Grants 2009-2014](#);
- Annex 12 Rules for the establishment and implementation of donor partnership programmes falling under the Programme Areas “Research within Priority sectors” and “Bilateral Research Related information: Cooperation”;
- Community framework for state aid and for research and development and innovation (2006/C 323/01);

- Act No. 130/2002 Coll., on the Support of Research and Development from Public Funds, and on amendments to some related Acts (Act on the Support of Research, Experimental Development and Innovation), as amended.

### 10.3 RELATED INFORMATION SOURCES

- Ministry of Education, Youth and Sports  
Online: [www.msmt.cz/vyzkum-a-vyvoj/norske-fondy](http://www.msmt.cz/vyzkum-a-vyvoj/norske-fondy) (in Czech)  
Online: <http://www.msmt.cz/vyzkum-a-vyvoj/czech-norwegian-research-programme>  
(in English)
- Ministry of Finance of the Czech Republic (National Focal Point)  
Online: [www.eeagrants.cz](http://www.eeagrants.cz) (in Czech)
- EEA and Norway Grants Official Website  
Online: <http://eeagrants.org/programme/view/CZ09/PA23> (in English)

### 10.4 CONTACTS

For additional information, contact the Programme Operator (administrators):

The Ministry of Education, Youth and Sports, Karmelitska 7, 118 12 Prague 1  
(working days, from 8.00 am to 4.00 pm CET)

- Jana Bystřická – office phone: +420 234 811 242 ([jana.bystricka@msmt.cz](mailto:jana.bystricka@msmt.cz))
- Pavla Kačabová – office phone: +420 234 811 178 ([pavla.kacabova@msmt.cz](mailto:pavla.kacabova@msmt.cz))
- Štěpán Obrtlík – office phone: +420 234 811 665 ([stepan.obrtlik@msmt.cz](mailto:stepan.obrtlik@msmt.cz))

Norwegian partners and applicants may contact the Research Council of Norway in case of issues specific to the Norwegian part of a project proposal.

- Aleksandra W. Haugstad – office phone: +47 92 28 24 62 ([awh@forskningsradet.no](mailto:awh@forskningsradet.no))