



EUROPEAN UNION  
European Structural and Investment Funds  
Operational Programme Research,  
Development and Education



# Rules for Applicants and Beneficiaries

## Specific section

# Call “Teaming” Operational Programme Research Development and Education

## Programming period 2014–2020

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## Record sheet

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## List of Changes

Chapter	Detailed specification of change (compared to the version 01, effective from 21 8. 2015)	Justification of revision	Effective from
2.	<b>Completion of the definition of research organization</b>	Specification of text	26. 11. 2015
5.2.2.	<b>Specification of sub-chapters 5.2.2.1 and 5.2.2.2</b>	Improvement of orientation for the applicants to select the proper project impact territory	26. 11. 2015
5.2.5.1.	<b>Paragraph with the text completed into this chapter</b> “The financial milestones (interim and boundary financial indicators) are specified by the MA of OP RDE on the basis of the submitted financial plan for pre-financing and expenditure statement by the applicant in the grant application..”	Specification of rules in relation to financial milestones	26. 11. 2015
5.2.5.1.1	<b>Original wording of the first paragraph replaced with a new wording:</b> In case when the evaluation process results in a request for reduction/adjustment of budget, the issue of the legal act on grant award / transfer is conditioned with submission of an updated financial plan, which will reflect the request for reduction/adjustment of budget, by which approval of the project implementation is conditioned. If in framework of the evaluation process no adjustment of the budget is proposed, the financial plan as stated in the submitted and approved grant application will be used to set financial milestones.  This financial plan will be used to set the obligatory interim financial project indicators.	Specification of rules in relation to financial milestones	26. 11. 2015
5.2.5.1.1.	<b>Original wording of the last paragraph replaced with a new wording:</b> If the minimum value of the interim financial indicator is not satisfied, the granting authority will impose on the beneficiary a sanction amounting to 0.001% from the total grant amount. The sanctions for failure to perform the determined obligations will be described in the legal act on grant award / transfer.	Specification of rules in relation to financial milestones	26. 11. 2015
5.2.5.1.2.	<b>Original wording of the next-to-last paragraph replaced with a new wording:</b> “If the minimum rate of the boundary financial indicator as stated in the legal act on grant award / transfer is not satisfied, the granting authority will impose a sanction in the amount of 0.5% from the total grant amount.”	Specification of rules in relation to financial milestones	26. 11. 2015
5.3.	<b>Completion of text: Above the framework of the Rules for Applicants and Beneficiaries</b> - General section all applicants have the obligation to prepare and submit CBA, specifically always financial and social-economic analysis.	Specification of the applicant's obligation, which is linked to the preparation of obligatory parts.	26. 11. 2015

6.4.	<b>Original wording of the last paragraph replaced with the following wording:</b> Amended grant application in IS KP14+ according to instructions from the administrator of MA OP RDE including updated financial plan for pre-financing and expenditure statement (in case of necessity for budget reduction based on evaluation), which will be used to set the obligatory interim financial indicators of the project and to determine the amount of the first advance payment, which will be already stated in the legal act on grant award / transfer.	<b>Specification of rules in relation to issue of the legal act on the provision/transfer of allocation</b>	26. 11. 2015
6.4.	<b>Completion of specifying text:</b> In case when the applicant documented together with the grant application a power of attorney/authorization to represent in originals/officially verified copies in scanned form, it will also submit these documents in originals/officially verified copies before issue of the legal act on grant award / transfer.	<b>Specification of rules - documenting of documentation.</b>	26. 11. 2015
8.1.5.	<b>The last sentence of the first paragraph replaced with the following wording:</b> The method of co-financing will be described by the applicant in the grant application. Co-financing in form of in-kind contribution - the beneficiary is obliged to prove at the latest at the project completion, i.e. in the final report on project implementation/request for payment.	<b>Specification of information to the co-financing of projects</b>	26. 11. 2015
8.1.5.	<b>Text added:</b> If an applicant/beneficiary is for the purposes of determining the rate of co-financing included in the category of a "public higher education institutions and research organizations", it is necessary that the applicant/beneficiary fulfils the requirements of the definition of organization for research and dissemination of knowledge under the point ee) paragraph 15 of the Communication from the Commission (EU) Framework for State aid for research and development and innovation (2014/C 198/01), as well as the definition of a research organization in compliance with Act No. 130/2002 Coll. on the support of research, experimental development and innovations. In case that this entity is not state organisation unit or contributory organisation of state organisation unit its rate of co-financing is minimum of 5% from the total eligible expenditure. If the entity meets only the definition of an organisation for research and dissemination of knowledge according to the Framework, it belongs for the purposes of co-financing level calculation to the "other entities" type.	<b>Specification of information to the co-financing of projects to</b>	26. 11. 2015
8.1.5.	<b>Change in the title of table, which specifies the ratio of funds between less-developed regions and more-developed regions, at the same time the original text under the table was replaced with the following wording</b> The ratio of allocation of financing between	<b>Specification of information to the co-financing of projects to</b>	26. 11. 2015

	<p>less and more developed regions is entered by the applicant into IS KP 14+ in its grant application (within scope of the Category of region, see chap. Specific goals in the User manual IS KP 14+ - Instructions for filling out a form of a grant application). This ratio does not represent the share of co-financing between sources from EU, national budget and own sources of the applicant/beneficiary. The allocation of sources of financing between EU, national budget and sources of the applicant/beneficiary is calculated by the monitoring system using the entered share between the less and more developed regions. The obligatory level of co-financing by the applicant/beneficiary is added into the monitoring system automatically; however, this % share of own co-financing may (in some cases must) be modified by the applicant, but this value may never be lower than as stipulated in the call. When determining the amount of own co-financing with processing of the grant application, the applicant shall also proceed according to the User manual IS KP 14+ - Instructions for filling out a form for a grant application.</p> <p>The decomposition of financing resources according to the given category of region and legal subjectivity of the applicant/beneficiary are stated in the chapter 8.1.5 Rules for Applicants and Beneficiaries – General section.</p>		
8.6.2.	<p><b>Original wording of the first paragraph replaced with the following wording:</b> „ In terms of time, the expenditures are eligible from 1. 1. 2016. From this date, the applicant can start or physically implement the project. In the event the project start date is earlier than the start of the physical implementation of the project, only the expenditure associated with the preparation of the project are eligible, not those associated with the key activities of the project.” A new third paragraph with the below stated text inserted: „ In terms of time, the expenditures are eligible from 1. 1. 2016. From this date, the applicant can start or physically implement the project. In the event the project start date is earlier than the start of the physical implementation of the project, only the expenditure associated with the preparation of the project are eligible, not those associated with the key activities of the project. Expenditure incurred under a contract of employment concluded before the announcement of the Call may be recognized as eligible provided that the activity was carried out first on the day of announcement of the Call. However, the job description related to the project must be modified by an amendment to such a contract of employment or otherwise adequately appropriate to the internal rules of the applicant/beneficiary/partner.”</p>	<p><b>Specification of rules for the time-limited eligibility of expenditure</b></p>	26. 11.2015
8.6.2.	<p><b>A new eighth paragraph was completed with the text as stated below:</b> “Affidavit of the applicant/partner and at the same time collectively for all employees in the project, who are involved in the project, for documenting of expenditure associated with personnel expenditure, i.e. that the rule of 1.2 work load (as defined in the Rules for Applicants and Beneficiaries - General section) was observed for these employees within the monitored period.”</p>	<p><b>Specification of rules for reporting of personal project costs</b></p>	26. 11.2015
8.6.2.	<p><b>Text</b> “It must be available in the work sheet as the minimum” was replaced with the new wording: “The following data must be available in the work sheet as minimum:” <b>and the original wording of the first sentence, seventh bullet in this section was replaced with a new wording:</b> “-description of activities/groups of activities, which the worker performs for the project.”</p>	<p><b>Specification of rules for reporting of personal project costs</b></p>	26. 11. 2015

8.6.2.	Eligibility of compensation per holidays - adaptation of compensation within the scope of 5 weeks was put into compliance with the valid legislation.	Comment from the Czech Conference of Rectors	26. 11. 2015
8.8.1	The chapter 8.8.1 was completed with the following text: All applicants within this Call have the obligation to submit CBA beyond the framework of the Rules for Applicants and Beneficiaries - General section, specifically always financial and also social-economic analysis disregarding financial limits or incomes under the Art. 61 of the General Regulation.	Specification of text	26. 11. 2015
11.	Structure of the chapter amended, according to the new structure Rules for Applicants and Beneficiaries - General section. Specification of documenting and monitoring of indicators	Unification of numbering of chapters, Unification with other announced calls.	26. 11. 2015
15.	Interpretative specification of the chapter of state aid	Specification of text	26. 11. 2015
18.9.	Completing of two annexes (compliance with criteria) - Time schedule of key activities and	Specification of rules, harmonization with criteria.	26. 11. 2015
18.9.	Evaluation results <sup>H2020</sup> Completing of obligatory annexes – constructional part including explanatory description for documenting of annexes	Specification of rules, harmonization with criteria and call.	26. 11. 2015

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# 1. CHAPTER – INTRODUCTION

Rules for Applicants and Beneficiaries – Specific section (hereinafter only the “Rules”) completing the Rules for Applicants and Beneficiaries – General section. While the Rules for Applicants and Beneficiaries – General section regulate the rules for all applicants and beneficiaries within OP RDE, these rules contain completing Rules for Applicants and Beneficiaries at relevant chapters.

## 1.1. SUMMARY OF PRIORITY AXES, INVESTMENT PRIORITIES AND SPECIFIC OBJECTIVES OF OP RDE

Amended in the Rules for Applicants and Beneficiaries General section.

# 2. CHAPTER – DEFINITION OF USED TERMS

## **Applied research**

Industrial research, experimental development or their combination

## **Project implementation**

Period between the date of the project start and the project completion (the definition of the date of the project start and the project completion is stated in the Rules for Applicants and Beneficiaries - General section).

## **Experimental development**

Acquiring, linking, forming and use of the existing scientific, technological, commercial and another relevant knowledge and skills for the purpose of development of new or improved products, procedures or services. Activities focused on determination of a concept, planning and documentation for new products, procedures or services can be for example concerned. The experimental development can include prototype development, demo activities, pilot projects, testing and verification of new products or improved products, procedures or services in a representative area from view of real Operation conditions, if the main objective consists in further technical improvement of products, procedures or services, which are not largely determined. It also includes development of commercially usable prototype or a pilot project, which is necessarily the end commercial product and of which production is too expensive to be used only for purposes of demonstration and verification. The experimental development does not mean usual or regular modifications of the existing products, manufacturing lines, production procedures, services and other unfinished operations, even if such modifications can result in improvement. High-quality projects within the Call Teaming from Horizon 2020 – a high-quality project is a project, which will be positively evaluated within the call to support 2nd phase of the Teaming project from Horizon 2020, i.e. it exceeds the qualitative evaluation limit (i.e. it will be evaluated “over the threshold” for individual criteria and at the same time in the total of criteria), and it can be financed, however under the limited budget for the call it will not be granted with financing from Horizon 2020.

## **Organization for research and dissemination of knowledge**

According to definition in letter ee), paragraph 15, chapter 1.3 Frameworks for national support to research, development and innovations 2014/C 198/01 (hereinafter only the

“Framework”) the organization for research and dissemination of knowledge (hereinafter only “RO “). Means an entity (for example university or research centre, agency for transfer of technologies, mediating agency in the area of innovations, physical or virtual cooperating entity focused on research) disregarding its legal status (established under the public law or private law) or the financing method, of which main objective is to perform independently the fundamental research, industrial research or experimental development or propagate results of these activities in form of learning, publications or transfer of knowledge to the general public.

### **Industrial research**

Planned research or critical investigation focused on acquiring of new knowledge and skills for development of new products, procedures or services or for substantial improvement of the existing products, procedures or services. It includes creation of partial parts of complex systems and it may include prototype manufacture in the laboratory environment or in the environment with simulated interface of the existing systems and also production of pilot lines, if necessary for the industrial development and in particular for general verification of technology.

**Successful projects within the Call Teaming from Horizon 2020** – successful project is a project, which will be positively evaluated within the call to support 2nd phase of the Teaming project from Horizon 2020, i.e. it exceeds the qualitative evaluation limit (i.e. it will be evaluated “over the threshold “for individual criteria and at the same time in the total of criteria), and financing for implementation of the 2nd phase of the Teaming from Horizon 2020 will be granted to this project.

### **Effective collaboration**

Cooperation of at least two independent parties for the purpose of exchange of knowledge or technologies or for achievement of a joint objective under distribution of work, where the relevant parties will jointly set the scope of the project of cooperation, contribute to its implementation and share its risks and results. One or more parties can cover costs of the project in full amount, and thereby release remaining parties from their financial risks. Contractual research and provision of research services are not considered as forms of cooperation.

### **Research infrastructure**

Equipment, resources and associated services, which are used by the scientific community for performance of research in relevant fields, including scientific equipment and research material, sources based on knowledge, for example collections, archives and structured scientific information, infrastructures of information and communication technologies, for example GRID networks, computing facilities and software, communication means, as well as other elements of a unique character, which are necessary for performance of research. These infrastructures (hereinafter only “VI”) can be situated at one point or they can be distributed within the network.

### **Research organization**

The research organization pursuant to paragraph 2 of the Act No. 130/2002 Coll. on support to research, experimental development and innovations is a legal entity, state organisation unit or organizational unit of the Ministry, involved in research and development,

- 1) of which main purpose is to perform fundamental research, applied research or development and disseminate their results through learning, publishing or transfer of technologies;

if a territorial self-governing unit is concerned, determination on the main purpose of research organization relates to its organization unit;

- 2) which reinvests its profit to activities under the point 1;
- 3) to which research activities or results entities performing economic activities consisting in offering of goods or services do not have preferential access, i.e. entities, which could control it.

**Successful projects within the Call Teaming from Horizon 2020** – successful project is a project, which will be positively evaluated within the call to support 2nd phase of the Teaming project from Horizon 2020, i.e. it exceeds the qualitative evaluation limit (i.e. it will be evaluated “over the threshold “for individual criteria and at the same time in the total of criteria), and financing for implementation of the 2nd phase of the Teaming from Horizon 2020 will be granted to this project.

#### **Fundamental research**

Experimental and theoretical activities performed in particular for the purpose to acquire new knowledge concerning the fundamental principles of phenomena and observable facts, which are not focused on direct commercial application or use.

Other used terms are defined in the Rules for Applicants and Beneficiaries – General section.

### **3. CHAPTER – LEGISLATIVE BACKGROUND AND OTHER BASELINE DOCUMENTATION**

Specified in the Rules for Applicants and Beneficiaries – General section.

### **4. CHAPTER – CONTACTS AND COMMUNICATION WITH THE APPLICANT AND BENEFICIARY**

Specified in the Rules for Applicants and Beneficiaries – General section

### **5. PROCESSES AND RULES OF GRANT APPLICATION, PROJECT EVALUATION AND SELECTION**

#### **5.1. ANNOUNCEMENT OF CALL FOR PROPOSALS**

A continuous Call is announced for the Teaming projects, which makes the use of a single-round evaluation model. The applicant submits a full grant application, this means the infrastructure part, for which it expects a grant from OP RDE, and also the strategical part supported in Horizon 2020, all applicants have the option to consult wording of the grant application with representatives of the Managing Authority, the contact person as stated in the Call, before submitting an application.

## 5.2. PREPARATION OF GRANT APPLICATION

The applicant is obliged to submit obligatory annexes together with the grant application through IS KP14+. The list of obligatory/non-obligatory annexes is stated in the table 18.9. and in the annex No. 9 containing the form and method of documenting.

### 5.2.1. ELIGIBILITY OF APPLICANT/PARTNER

Eligible applicants are entities complying with the definition of organization for research and dissemination of knowledge pursuant to the Art. 1.3, paragraph 15, letter ee) Framework for national support to research, development and innovations (2014/C 198/01) (hereinafter only the "Framework"), which submitted projects within the call WIDESPREAD-2014-1 TEAMING and were stated as "Coordinator in country" in the list of projects to be financed under Phase 1 of the Horizon 2020 Teaming call").

#### Conditions for eligibility of applicant/partner:

Applicant or possibly other entities with share in eligible expenditure ("Partners") must always comply with all below stated conditions coming from the definition "organization for research and dissemination of knowledge" under the point aa), paragraph 15 of the Framework for State aid for research and development and innovation (2014/C 198/01), hereinafter only the "Framework", and it is obliged to ensure that it will comply with these conditions for the entire period of the project implementation and also during its sustainability period. The applicant is obliged to document this fact in form of an affidavit.

Definition of organization for research and dissemination of knowledge under Art. 1.3, paragraph 15, letter ee) of the Framework is defined as follows:

- 1) Organization for research and dissemination of knowledge is an entity (for example university or research institute, agency for technology transfer, mediating agency in the area of innovations, physical or virtual collaboration entity focused on research) disregarding its legal status (established under the public law or private law) or the financing method, of which main objective is:
  - a) the main objective of the applicant/partner is to carry out independent fundamental research, industrial research or experimental development,
  - b) or to publicly disseminate the results of these activities in the form of teaching, publication activities or transfer of knowledge.
- 2) Enterprises, which can enforce controlling power on such entity, for example as shareholders or members, must not have preferential access to results, which such enterprise achieved.
- 3) In case when the same entity perform activities of both economic character and non-economic character, than it is obliged in the interest of effective prevention against cross subsidizing of economic activities to clearly separate both types of activities stated, as well as relevant costs, financing and incomes. Annual statements of relevant entity can serve for documenting purposes.

**The above stated conditions must be stipulated in the applicant's fundamental internal regulations (articles of association, deed of foundation, etc.) as of the date of filing the grant application.**

Since universities are top centres in the education system, independent knowledge and creative activities playing a key role in the scientific development of society, one of their main activities can include performance of fundamental research, industrial research or

experimental development and propagate in public results of these activities in form of learning. By the above stated reason we deduce that also universities can fall under organizations for research and dissemination of knowledge under the definition as stated in the Framework.

## 5.2.2. TERRITORIAL ELIGIBILITY OF OP RDE PROJECTS

### 5.2.2.1. Acceptable point of the project implementation impact

The programme area of less-developed regions is defined for projects within this Call.

Projects within this Call can be implemented in framework of the programme area of less-developed regions. Exception according to Art. 70, paragraph 2 of the General Regulation can be applied in this Call, this means it is possible to implement projects also outside this programme area.

In its grant application, the applicant will define, which programme area the project will impact. The applicant will define the territory where the project activities in favour of the target group will take place.

Shares of financing between more and less developed regions are specified in section 8.1.5.

As part of the project implementation, the beneficiary does not demonstrate any link of the target group to the programme area.

### 5.2.2.2. Acceptable place of implementation

Programme area	Outside the programme area	
Within this Call, it is possible to implement the project in less developed regions (the territory of 13 regions of the Czech Republic).	Within this call it is possible to implement the project in more developed regions (the capital City of Prague).	Within this call it is possible to implement the project within the European Union outside the Czech Republic.

The project must be implemented in the territory of the European Union.

## 5.2.3. TARGET GROUP ELIGIBILITY

Eligible target groups for the Teaming projects are staff of research organizations and students at higher educational institutions.

## 5.2.4. ELIGIBILITY OF PROJECT ACTIVITIES

### Description of supported activities:

- Completion<sup>1</sup>, modernisation and upgrade of infrastructure – material and technical facilities for modernised (upgraded) excellence centres;
- Activities for implementation of modernisation (upgrade) of the excellence centre/centres enhance its/their scientific capabilities - improvement of quality of human resources, strategic management and significant improvement of the research and innovative culture;
- Project management – description of the content of this activity is given in the Rules for Applicants and Beneficiaries – General section.

<sup>1</sup> Completion – extension or completion of the existing capacity of R&D centre linked to acquisition or use of new technologies, if possible within the existing buildings

#### Description of excluded activities:

Construction of a new research centre outside the territory of the Capital City of Prague

### **5.2.5. PROJECT BUDGET AND FINANCIAL PLAN**

Specified in the Rules for Applicants and Beneficiaries – General section.

Furthermore, for projects within this Call the following limits of budget chapters apply:

#### **Budget limits:**

The purchase of outsourced services budget chapter – the limit is set at a maximum of 49 % of the total eligible expenditure.

**By reason of use of the simplified form of reporting of the eligible expenditure the applicant in the grant application edits the budget divided to administrative expenditure and expenditure on direct activities (see the chapter 8.7.4.).**

#### **5.2.5.1. Financial milestones**

The financial milestones (interim and boundary financial indicators) are specified by the MA of OP RDE on the basis of the submitted financial plan for pre-financing and expenditure statement by the applicant in the grant application.

##### **5.2.5.1.1. Interim financial indicators**

In case when the evaluation process results in a request for reduction/adjustment of budget, the issue of the legal act on grant award / transfer is conditioned with submission of an updated financial plan, which will reflect the request for reduction/adjustment of budget, by which approval of the project implementation is conditioned. If in framework of the evaluation process no adjustment of the budget is proposed, the financial plan as stated in the submitted and approved grant application will be used to set financial milestones. This financial plan will be used to set the obligatory interim financial project indicators.

The interim financial project indicator is 80% of the total planned eligible expenditure for each consecutive 12 months (always associated with the monitoring period). In case when the beneficiary needs to adjust the interim financial indicator during the course of the project implementation, it can ask for substantial change and adjust the interim financial indicator. Financial indicators do not need to be adjusted in case when the beneficiary is confident that they will be fulfilled up to the minimum amount as stated in the legal act on grant award / transfer. Adjustment of the financial indicator can be approved by the granting authority only in case, when it is documented until the last date of 6th month at the latest, for which the interim financial indicator is determined. The beneficiary is obliged to prove adjustment of the financial plan together with adjustment of interim financial indicators.

In case when the interim financial indicator for the project is substantially decreased, the Managing Authority has the option to propose temporary suspension of payment of the project pre-financing. This step will be taken only in case, when the original planned value of the interim financial indicator differs significantly from a newly proposed interim financial indicator. The procedure for suspension of the project pre-financing is governed by the Rules for Applicants and Beneficiaries - the General section.

If the minimum value of the interim financial indicator is not satisfied, the granting authority will impose on the beneficiary a sanction amounting to 0.001% from the total grant amount. The sanctions for failure to perform the determined obligations will be described in the legal act on grant award / transfer.

#### **5.2.5.1.2. Boundary financial indicator**

One of the above stated interim financial indicators will be determined for the beneficiary as the obligatory boundary financial indicator. The boundary financial indicator for the project is 60% of the planned total eligible expenditure for the period corresponding with approx. 60% of the project implementation period. The applicant cannot significantly adjust this boundary financial indicator, if at the same time an application for significant adjustment (reduction of the total grant amount) is not submitted. The significant adjustment consisting in reduction of the boundary financial indicator, submitted simultaneously with the application for reduction in the total grant amount, can be approved by the granting authority only in case, when it is submitted until the last date of 6th month at the latest, for which the interim financial indicator is determined. If a boundary financial indicator is fixed for the determined period, interim financial indicator is not fixed for this period.

Financial milestones are stated in the Grant Award Decision.

“If the minimum rate of the boundary financial indicator as stated in the legal act on grant award / transfer is not satisfied, the granting authority will impose a sanction in the amount of 0.5% from the total grant amount.”

The beneficiary is obliged to submit adjustment of the financial plan together with adjustment of the above stated financial indicators.

### **5.3. RECEIPT OF GRANT APPLICATIONS**

Specified in the Rules for Applicants and Beneficiaries – General section.

Above the framework of the Rules for Applicants and Beneficiaries - General section all applicants have the obligation to prepare and submit CBA, specifically always financial and social-economic analysis.

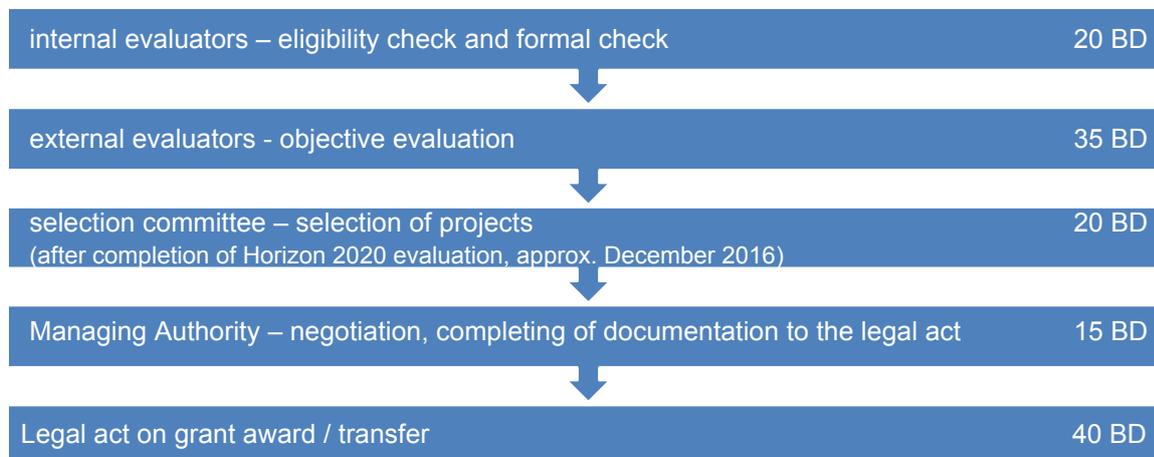
### **5.4. PROJECT APPROVAL STAGE**

After finalizing the grant application, the project approval process is initialized, which will be ended within 7 months from the date of submission the grant application.

Two possible variants of project approval process for the Teaming projects are stated below. One particular one variant will be selected and published on the web site of OP RDE on the basis of information from the European Commission – the General Directorate for Research and Innovations – to the format of the obligation of national authority for financing of the infrastructural part of the project, specifically before start of acceptance of grant applications. In this connection the Call can be changed, specifically postponement of the start date of acceptance of grant applications to a later date.

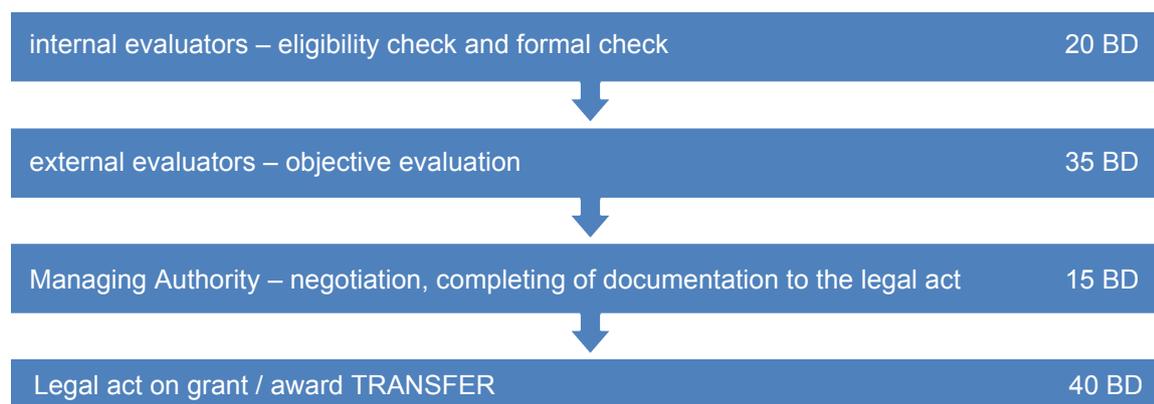
## Variant A

### Approval process stage incl. partial deadlines<sup>2</sup> (BD – business day)



## Variant B

### Approval process stage incl. partial deadlines<sup>3</sup> (BD – business day)



<sup>2</sup> Partial deadlines are for indicative purposes

<sup>3</sup> Partial deadlines are for indicative purposes

## **5.4.1. ELIGIBILITY CHECK AND FORMAL CHECK**

### **Variant A, B**

The stage of the check of eligibility and the formal requirements will be ensured by internal evaluators of the MA in CSSF14+. The check of eligibility and formal requirements shall be completed within 20 business days from the completion of the receipt of grant applications. The result of the evaluation stage will be notified to the applicant using an internal message.

The criteria for the check of eligibility and formal requirements, including a description of the method of evaluation, are included in a separate annex to the Call. The criteria have an exclusionary function – they are evaluated as YES/NO, i.e. pass/fail (or irrelevant for the given project).

The criteria for the check of the formal requirements are divided into correctable (i.e. those, where a supplementation of the required data can be done by the applicant based on the request of the MA of OP RDE as part of the approval process), and uncorrectable (i.e. for which any non-compliance always means an exclusion from the approval process without any possibility of completion by the applicant). The check of eligibility criteria are always uncorrectable.

In case of failure to satisfy one of correctable criteria in framework of formal check the applicant is always once requested through IS KP14+ to complete missing information, specifically within the time limit of 10 business days from the date of delivery of this request. In case when the applicant on the basis of request from the Managing Authority OP RDE to complete data does not complete missing information/supporting documents (in adequate manner according to requests from the Managing Authority OP RDE and within the time limit), the grant application is excluded from the approval process.

In case of failure to satisfy one of the uncorrectable criteria of formal requirements and/or any criterion of eligibility the project is excluded from further evaluation process.

With respect to type of Call (continuous) the grant application can be submitted repeatedly by the applicant in case of its rejection during the approval process, however at the latest until the end date of accepting grant application in the Call.

## **5.4.2. OBJECTIVE EVALUATION**

### **Variant A**

Objective evaluation is ensured by specialists, external evaluators, selected from the Database of evaluators of the Managing Authority with respect to thematic focus of the grant application submitted. All evaluators undergo a proper procurement procedure and follow-up professional training focused on evaluation of grant applications at the priority axis 1 and Call specifics. The objective evaluation stage will be ended within 55 business days from the date of completion of the previous approval stage at the latest. The applicant will be informed about results of the objective evaluation with change in the project status in IS KP14+ and internal despatch.

Rules and criteria, according to which the selection committee evaluates the grant applications, are determined by the Statutes and Rules of Procedure of the selection committee, see the sample <http://www.msmt.cz/strukturalni-fondy-1/vzory-dokumentu-op-vvv>

The criteria for the check of eligibility and formal requirements, including a description of the method of evaluation, are included in a separate annex to the Call. The CBA tool will be used for objective evaluation of all projects in framework of this Call.

The objective evaluation criteria have the evaluation, exclusion and combined functions:

- Evaluation criteria are criteria, for which satisfaction/failure to satisfy point evaluation is assigned.
- Exclusion criteria are criteria, for which failure to satisfy means exclusion of the grant application from the approval process.
- Combined criteria are criteria, for which satisfaction/failure to satisfy points are assigned. In case of failure to satisfy the minimum point limit, which is determined in the Call, the grant application is excluded from the approval process.

Evaluator/arbiter writes down his evaluation into the evaluation table, in which he evaluates individual criteria, and he writes down comments/reasoning for each evaluation. The objective evaluation consists of two steps.

#### **5.4.2.1. 1st step of objective evaluation**

Members of the evaluation committee evaluate the criteria 1 - 8 at the 1st step of the objective evaluation. The maximum number of points, which the evaluation committee can assign to the grant application, is 94. The evaluation committee will determine on the basis of results of 1st step of objective evaluation, whether it recommends / does not recommend the grant application

**YES** – if the project is evaluated with 61 and more points and at the same time it satisfies the minimum point limit of all combined sub-criteria/criteria and at the same time satisfies all exclusion criteria, the grant application is recommended for financing;

**NO** – if the project is evaluated with less than 61 points and/or it does not satisfy the minimum point limit of one of combined sub-criteria/criteria and/or does not satisfy one of the exclusion criteria as minimum, the grant application is not recommended for financing.

The evaluation committee will create a list of qualified projects, qualified projects with reservation and disqualified projects for grant. The list of disqualified/qualified grant applications<sup>4</sup> will be signed by a Deputy Minister in charge of the Operational Programmes section at MEYS. The list of qualified projects will be provided to applicants as a guarantee of financing to relevant part of the grant application from OP RDE.

#### **5.4.2.2. 2nd step of objective evaluation**

Members of the evaluation committee evaluate one exclusion criterion No. 9 at the 2nd step of the objective evaluation. The aim of the 2nd step in the objective evaluation is evaluation and follow-up harmonization of the infrastructural part with conclusions of evaluation of the Horizon 2020 strategic part.

The evaluation committee will create a list of recommended projects, projects recommended with reservation and not-recommended grant applications. The list of recommended/not-recommended grant applications will be signed by the Deputy Minister in charge of management of the Operational Programme section at MEYS<sup>5</sup>.

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<sup>4</sup> List of disqualified/qualified grant applications must contain conditions of allocation depending on approval of the strategic part of Horizon 2020 projects.

<sup>5</sup> List of disqualified/qualified grant applications must contain conditions of allocation depending on approval of the strategic part of Horizon 2020 projects.

## Variant B

Objective evaluation is ensured by specialists, external evaluators, selected from the Database of evaluators of the Managing Authority with respect to thematic focus of the grant application submitted. All evaluators undergo a proper procurement procedure and follow-up professional training focused on evaluation of grant applications at the priority axis 1 and Call specifics. The objective evaluation stage will be ended within 55 business days from the date of completion of the previous approval stage at the latest. The applicant will be informed about results of the objective evaluation with change in the project statuses in IS KP14+ and internal despatch.

Rules and criteria, according to which the selection committee evaluates the grant applications, are determined by the Statutes and Rules of Procedure of the selection committee, see the sample <http://www.msmt.cz/strukturalni-fondy-1/vzory-dokumentu-op-vvv>

The criteria for the check of eligibility and formal requirements, including a description of the method of evaluation, are included in a separate annex to the Call. The CBA tool will be used for objective evaluation of all projects in framework of this Call.

The objective evaluation criteria have the evaluation, exclusion and combined functions:

- Evaluation criteria are criteria, for which satisfaction/failure to satisfy point evaluation is assigned.
- Exclusion criteria are criteria, for which failure to satisfy means exclusion of the grant application from the approval process.
- Combined criteria are criteria, for which satisfaction/failure to satisfy points are assigned. In case of failure to satisfy the minimum point limit, which is determined in the Call, the grant application is excluded from the approval process.

The objective evaluation is conducted in 1. step (criteria No. 1 - 8). The evaluation committee writes down its evaluation into the evaluation table, in which it evaluates individual criteria, and it writes down comments/reasoning for each evaluation. The maximum number of points, which the evaluation committee can assign to the grant application, is 94. It writes down overall comments and reasoning, whether it recommends/does not recommend the project for grant, at the end of the table:

**YES** – if the project is evaluated with 61 and more points and at the same time it satisfies the minimum point limit of all combined sub-criteria/criteria and at the same time satisfies all exclusion criteria, the grant application is qualified for financing;

**NO** – if the project is evaluated with less than 61 points and/or it does not satisfy the minimum point limit of one of combined sub-criteria/criteria and/or does not satisfy one of the exclusion criteria as minimum, the grant application is not recommended for financing.

The evaluation committee will create a list of qualified projects, qualified projects with reservation and disqualified projects for grant. The list of disqualified/qualified grant applications<sup>6</sup> will be signed by a Deputy Minister in charge of the Operational Programmes section at MEYS.

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<sup>6</sup> List of disqualified/qualified grant applications must contain conditions of allocation depending on approval of the strategic part of Horizon 2020 projects.

## **5.5. METHOD OF NOTIFICATION OF THE APPROVAL PROCESS RESULTS TO THE APPLICANT**

### **Variant A, B**

The applicant will be informed about results of the evaluation with change in the project status in IS KP14+ and internal despatch.

The negotiation process is conducted after the objective evaluation for the grant applications qualified with reservation/recommendation, when the applicant amends the grant application in compliance with the evaluation committee's requirements and then the completed/amended grant application is sent to MA.

## **6. CHAPTER – PROCESSES AND RULES FOR ISSUE OF LEGAL ACT ON GRANT AWARD / TRANSFER**

### **6.1. AWARD OF GRANT TO THE APPLICANT**

Specified in the Rules for Applicants and Beneficiaries – General section

### **6.2. FORMS OF GRANT AWARD**

Specified in the Rules for Applicants and Beneficiaries – General section

### **6.3. NOTIFICATION OF APPROVAL OF THE GRANT APPLICATION FROM OP RDE**

#### **Variant A, B**

Successful applicants are contacted by the Managing Authority OP RDE through an internal despatch with the request to submit documentation necessary for issue of the legal act on grant award / transfer. The applicant is obliged to submit the required documentation within the period of 15 business days. In case when the applicant does not comply with the determined conditions it will be excluded from the approval process.

Documents will be submitted in copies (scanned copies) or in electronic originals (except for documents issued originally in electronic form or documents created by authorized conversion from documentary form to electronic form). Internal despatch will specify the form of submission.

After submission of required documents by the applicant the Managing Authority OP RDE will initiate completing and preparation of supporting documents for issue of the legal act on grant award / transfer. Legal act on grant award / transfer is issued at the latest until 40 business days **from the date, when the applicant submitted all supporting documents as required by the granting authority for issue of the legal act on grant award / transfer. No legal title is attached to the grant award.**

## **6.4. DOCUMENTS NEEDED TO ISSUE A LEGAL ACT ON GRANT AWARD / TRANSFER**

The requested documents for the issue of a legal act including the way of delivery are referred to in the Rules for Applicants and Beneficiaries – General section. In addition, it's applicant's obligation to submit:

**Partnership agreement** – concluded between the applicant and partner/partners, in framework of which the partner/partners undertook to fulfil and observe the conditions and rules OP RDE. The sample is published on web pages of MEYS – under the section Samples of documents OP RDE.

**Amended grant application in IS KP14 according to instructions from the administrator of MA** OP RDE including updated financial plan for pre-financing and expenditure statement (in case of necessity for budget reduction based on evaluation), which will be used to set the obligatory interim financial indicators of the project and to determine the amount of the first advance payment, which will be already stated in the legal act on grant award / transfer.

## **6.5. APPROVAL OF GRANT AWARD**

Specified in the Rules for Applicants and Beneficiaries – General section.

## **7. CHAPTER – PROCESSES AND RULES OF PROJECT MANAGEMENT**

Specified in the Rules for Applicants and Beneficiaries – General section.

### **7.1. MONITORING**

Specified in the Rules for Applicants and Beneficiaries – General section.

For the Teaming projects the monitoring period of six months is set.

#### **7.1.1. INTERIM REPORT ON PROJECT IMPLEMENTATION (INCLUDING AN INTERIM REQUEST FOR PAYMENT**

The deadline for submission of the interim report on project implementation/request for payment for the Teaming projects:

The beneficiary is obliged to submit the first interim report on project implementation/request for payment for the project within 20 business days, after passing of three months from the start date of the project physical implementation or from the date of issue of the Grant Award Decision, whatever occurs later. The beneficiary is obliged to submit every next interim report on project implementation /request for payment within 20 business days after expiration of six months from completion of the previous monitoring period.

In case when the beneficiary implemented eligible expenditure for the project already before issue of the Grant Award Decision, the beneficiary can use the option of submission of the first interim report for the project implementation/request for payment at an earlier date in accordance with the chapter 7.1.1. of the Rules for Applicants and Beneficiaries – General section, as stated in the part Earlier submission of the report on project implementation/ /Request for payment.

Procedure for administration, return for revision and approval of the report on project implementation / request for payment are described in the Rules for Applicants and Beneficiaries – General section in the chapter 7.1.

### **7.1.2. INFORMATION ON PROJECT IMPLEMENTATION PROGRESS**

Specified in the Rules for Applicants and Beneficiaries – General section.

### **7.1.3. FINAL REPORT ON PROJECT IMPLEMENTATION**

Specified in the Rules for Applicants and Beneficiaries – General section.

Furthermore, it applies for projects in this Call the beneficiary is obliged to submit to the MA of OP RDE the final report on the project implementation / request for payment within 40 business days from the date of completion of the physical implementation of the project, but **no later than on 24.2.2023** (if the date of completion of the physical implementation of the project is 31.12.2022).

### **7.1.4. FINAL REPORT FOR THE ENTIRE PERIOD OF THE PROJECT IMPLEMENTATION**

Specified in the Rules for Applicants and Beneficiaries – General section.

Furthermore, it applies for projects in this Call that the beneficiary is obliged to submit this type of final report, specifically in case when the project satisfies one of conditions stated in the Rules for Applicants and Beneficiaries - General section. The beneficiary submits the final project report within **40 business days after the end of physical project implementation**, however at the latest until **24.2.2023** (if the date of completion of the physical implementation of the project is 31.12.2022).

### **7.1.5. INTERIM REPORT ON PROJECT SUSTAINABILITY**

The beneficiary submits the interim report on the project sustainability during the period of **five years** from the last payment to the beneficiary (i.e. from the date when the project receives central status “Project financially terminated on the part of MA”) for each past year in compliance with the Rules for Applicants and Beneficiaries – General section.

### **7.1.6. FINAL REPORT ON PROJECT SUSTAINABILITY**

The beneficiary submits the final report on sustainability of the project within 10 calendar days from termination of the 5 year period of sustainability – in compliance with the Rules for Applicants and Beneficiaries – General section

## **7.2. PROJECT CHANGES AND PROJECT SUPPLEMENTATION**

Specified in the Rules for Applicants and Beneficiaries – General section

## **7.3. PROJECT TERMINATION AND SUSTAINABILITY**

Specified in the Rules for Applicants and Beneficiaries – General section

### **7.3.1. TIME FRAMEWORK FOR TERMINATION OF PROJECTS**

Specified in the Rules for Applicants and Beneficiaries – General section

### **7.3.2. FORMAL TECHNICAL TERMINATION OF THE PROJECT**

Specified in the Rules for Applicants and Beneficiaries – General section

### **7.3.3. TERMINATION OF THE PROJECT FROM THE VIEWPOINT OF MONITORING AND FINANCING**

Specified in the Rules for Applicants and Beneficiaries – General section

### **7.3.4. NON ACHIEVEMENT OF THE PURPOSE OF THE GRANT AT THE TERMINATION OF THE PROJECT**

Specified in the Rules for Applicants and Beneficiaries – General section

### **7.3.5. EARLY / NON-STANDARD TERMINATION OF THE PROJECT**

Specified in the Rules for Applicants and Beneficiaries – General section

### **7.3.6. SUSTAINABILITY OF THE PROJECT**

The sustainability of the project is stipulated for the period of 5 years from the last payment to the beneficiary (i.e. from the date, when the project acquired central state “Project completed by the Managing Authority in terms of financing”). The fulfilment of the conditions during the period of sustainability of the project is based on article 71 of the General Regulation.

The expenditure associated with financing of the sustainability of the project outputs during the period of sustainability of the project are not paid from the financing of the approved budget intended for the implementation of the project. These expenditures can be paid either from own beneficiary's resources or the beneficiary can ensure the sustainability of the project outputs by engaging in the programmes facilitating R&D sustainability.

## **7.4. RETENTION OF DOCUMENTS**

Specified in the Rules for Applicants and Beneficiaries – General section

## **8. CHAPTER – PROCESSES AND RULES OF THE FINANCIAL MANAGEMENT**

### **8.1. PROJECT FINANCING**

Specified in the Rules for Applicants and Beneficiaries – General section

#### **8.1.1. EX-POST FINANCING**

Irrelevant for the Teaming projects.

#### **8.1.2. EX-ANTE FINANCING**

Ex-ante financing is required for the projects within this Call. The amount of the first advance payment cannot exceed 20 % of the total eligible project expenditure. The specific amount will be determined for each project individually based on the expected amounts of eligible expenditure in the first two monitoring periods, and will be included in the Grant Award Decision.

The granting authority will provide advance payments up to a maximum co-financing share of the EU and the national budget, i.e. maximum of 95% of total eligible expenditure.

#### **8.1.3. COMBINED PAYMENTS FINANCING**

Irrelevant for the Teaming projects.

#### 8.1.4. CONDUCT OF PAYMENTS TO STATE ORGANISATION UNITS AND CONTRIBUTORY ORGANISATIONS OF THE STATE ORGANISATION UNITS

Irrelevant for the Teaming projects.

#### 8.1.5. CO-FINANCING IN OP RDE PROJECTS

Specified in the Rules for Applicants and Beneficiaries – General section. Furthermore, the following applies for the projects within this Call:

The beneficiary is obliged in the Teaming projects to provide co-financing to the project from **5% of total eligible expenditure as minimum**. The obligation to co-finance is not determined for the beneficiary.

In case when the beneficiary is obliged to co-finance the project from 5 % of total eligible expenditure as a minimum, it is not required to co-finance minimum of 5 % from each stated expenditure within the submitted request for payment for one monitoring period, but it required to co-finance 5 % from the total amount of stated eligible expenditure within the given request for payment. The method of co-financing will be described by the applicant in the grant application. Co-financing in form of in-kind contribution - the beneficiary is obliged to prove at the latest at the project completion, i.e. in the final report on project implementation/request for payment.

If an applicant/beneficiary is for the purposes of determining the rate of co-financing included in the category of a “public higher education institutions and research organizations”, it is necessary that the applicant/beneficiary fulfils the requirements of the definition of organization for research and dissemination of knowledge under the point ee) paragraph 15 of the Communication from the Commission (EU) Framework for State aid for research and development and innovation (2014/C 198/01), as well as the definition of a research organization in compliance with Act No. 130/2002 Coll. on the support of research, experimental development and innovations. In case that this entity is not state organisation unit or contributory organisation of state organisation unit its rate of co-financing is **minimum of 5%** from the total eligible expenditure.

If the entity meets only the definition of an organisation for research and dissemination of knowledge according to the Framework, it belongs for the purposes of co-financing level calculation to the "other entities" type.

Table: Ratio of allocation of financing between OP RDE programme areas (between less and more developed regions)

Place of project implementation	Place of project impact	Less-developed region	More-developed region
Less-developed region	Less-developed region	100%	0%
More-developed region	Less-developed region	100%	0%

The ratio of allocation of financing between less and more developed regions is entered by the applicant into IS KP 14+ in its grant application (within scope of the Category of region, see chap. Specific goals in the User manual IS KP 14+ - Instructions for filling out a form of a grant application). This ratio does not represent the share of co-financing between sources from EU, national budget and own sources of the applicant/beneficiary. The allocation of

sources of financing between EU, national budget and sources of the applicant/beneficiary is calculated by the monitoring system using the entered share between the less and more developed regions. The obligatory level of co-financing by the applicant/beneficiary is added into the monitoring system automatically; however, this % share of own co-financing may (in some cases must) be modified by the applicant, but this value may never be lower than as stipulated in the call. When determining the amount of own co-financing with processing of the grant application, the applicant shall also proceed according to the User manual IS KP 14+ – Instructions for filling out a form for a grant application.

The decomposition of financing resources according to the given category of region and legal subjectivity of the applicant/beneficiary are stated in the chapter 8.1.5 Rules for Applicants and Beneficiaries – General section.

By the reason that projects will have marginal impact outside the programme area within one project, the pro-rata ratio will not be applied within this Call.

## **8.2. ACCOUNTING AND DOCUMENTING**

Specified in the Rules for Applicants and Beneficiaries – General section.

## **8.3. BANK ACCOUNT**

Specified in the Rules for Applicants and Beneficiaries – General section.

## **8.4. CASH**

Specified in the Rules for Applicants and Beneficiaries – General section.

## **8.5. VALUE ADDED TAX**

Specified in the Rules for Applicants and Beneficiaries – General section.

## **8.6. REPORTING OF EXPENDITURE**

Specified in the Rules for Applicants and Beneficiaries – General section. Furthermore, the following applies for the projects within this Call:

Total eligible expenditure will be partly reported by one of simplified forms, see the chapter 8.7. Rules for Applicants and Beneficiaries – Specific section.

### **8.6.1. FULL REPORTING OF EXPENDITURE**

Amended in the Rules for Applicants and Beneficiaries General section.

### **8.6.2. SIMPLIFIED REPORTING OF EXPENDITURE**

**Specified in the Rules for Applicants and Beneficiaries – General section. Furthermore, the following applies for the projects within this Call:**

**In terms of time**, the expenditures are eligible from 1. 6. 2016. From this date, the applicant can start or physically implement the project. In the event the project start date is earlier than the start of the physical implementation of the project, only the expenditure associated with the preparation of the project are eligible, not those associated with the key activities of the project.

Expenditure incurred under a contract of employment concluded before the announcement of the Call may be recognized as eligible provided that the activity was carried out first on the

day of announcement of the Call. However, the job description related to the project must be modified by an amendment to such a contract of employment or otherwise adequately appropriate to the internal rules of the applicant/beneficiary/partner.

Grant cannot be awarded, if the physical aspect of the project had been completed or fully implemented before the applicant submitted the grant application disregarding whether the applicant effected all associated payments or not.

**The latest date** of the end of physical project implementation is 31. 12. 2022.

**Eligibility of expenditure after completion of the project physical implementation** – necessary expenditures occur also after the end date of project physical implementation, which are associated with the project completion and its administration. In particular this concerns costs, which are incurred during the project implementation and are matter-of-fact eligible, but payments were effected only after the end of project physical implementation and before submission of the final report on the project implementation together with the final request for payment.

The project implementation duration must not exceed 79 months with the minimum project duration being 14 months.

- **Personnel expenditure** – only professional jobs are included into the category of direct personnel expenditure of the project. In addition to requirements specified in the Rules for Applicants and Beneficiaries General section, for projects within this call the following applies for documenting of direct Personnel expenditure:

Employment agreements and agreements to perform work, executed outside of the labour relation, or their annexes shall include:

- identification of the project in which the worker is engaged,
- description of the working activity (i.e. job content) relevant for the project, incl. distinguishing whether this includes economic or non-economic activity,
- extent of the activity, i.e. full time equivalent for a time unit (month, year, etc.) with specification of the adequate share in the project,

data on the wage or salary (usually a wage assessment) with specification of the adequate share of the wage/salary in the project.

The really worked hours are declared by the beneficiary through time sheets, however only in case of occurrence of at least one of the following to circumstances:

- a) it concerns a worker, who in framework of the employment relation given performs activities for the project and also outside the project
- b) it concerns a project, in which indirect costs are used, and there is an unavoidable risk that the given job position would perform also agenda included in the category of indirect costs<sup>7</sup> (this means that there is a risk of double-financing). A beneficiary (partner)/provider will make the decision if there is a risk of double-financing according to description of work activities of the employee<sup>8</sup> given. In case of lack of clarity the

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<sup>7</sup> In case of combination of professional and administrative activities for one work position the applicant will already divide an expected workload belonging to these activities into direct expenditure and administrative expenditure in the grant application budget. While a part of professional activities is stated in the budget as a direct cost, a part of administrative activities is included into administrative expenditure. Division is necessary only for a project, for which the applicant expects application of indirect costs.

<sup>8</sup> However it is not necessary that all activities, which appear in the work sheet, are stated in this description (i.e. eligible expenditure also represent personnel costs associated with work, which the description of job position does not expressly covers, but the activity falls under a more general formulated description of activity and this activity is needed/necessary for the project).

contact person of the Managing Authority, responsible for the project given, can be contacted through IS KP14+.

For documenting of the expenditure connected with personal costs there shall be submitted an affidavit of the beneficiary/partner and also for the project, a summary for all the employees that are engaged in the project and that the rule on 1, 2 FTE (defined in the Rules for Applicants and Beneficiaries - General section) was observed.

The statements are prepared for individual monitoring periods (monitoring periods) and include signatures of the employees and their superiors (or signatures of another person responsible for confirmation of the statement, e.g. the project manager); both signatures shall be completed with dates.

The time sheet shall include at least the following data:

- project identification;
- identification data: name and surname of the worker, name of his position, type of the labour-law relation, load of the worker relating to the particular labour-law relation (of this, the load relating to the labour-law relation in the project);
- the fund of labour time of the worker in hours in the particular month;
- number of hours of holiday, of this number of hours of holiday for the project, relating to remuneration only in the mode of direct expenditure (in details, for two decimal points);
- number of hours of sickness benefits, of this number of hours of sickness benefits for the project, relating to remuneration in the mode of direct expenditure only;
- number of really worked hours, of this, number of hours worked for the project, relating to remuneration in the mode of direct expenditure only;
- time allocation in hours, from there can be determined unambiguously the time, for with the particular employee executed economic activities, incl. the identification symbol of the order (economic activity, name and brief description of the particular order). Description of activities/group of activities that the worker executed for the project and the number of hours for each of them. The hours spent for activities out of the project are included in total figures for the monitoring period, however, without information what the worker executed during such hours;
- affidavit on correctness of the data;
- date and signature of the employee, name and surname and date of signature of the person authorised to verify correctness of the statement;

For the projects within this Call, in compliance with Chapter 8 of the Rules for Applicants and Beneficiaries – General section, the following options for the determination of wages/salaries defined in the document entitled *List of wages/salaries and possible methods of determining wages/salaries for employees/staff involved in the implementation of projects of the Operational Programme Research, Development and Education are also applicable* (<http://www.msmt.cz/strukturalni-fondy/op-vvv/mzdovelimity.pdf>):

**Only** possibilities, which are summarized and described in the above stated document, can be applied in projects within this Call for determination of the rate of wages/salaries (on page 2 below of the above stated document):

- under the point 1 – Determination of rate by means of ISPV;

- under the point 2 – Alternative calculation method of the rate wage/salary;
- under the point a – Use of limits determined in the chapter 1 of the stated document (limits for key/excellent employees/staff can be used, however under the precondition that the applicant defines the job position as a key job position and states in the grant application why this job position is a key job position);
- under the point b – Individual determination of rate wage/salary outside the scope of limits as determined in the document mentioned (it is necessary to submit a reasoning in the grant application) - this option can be used only for determination of wage/salary of a key foreign researcher (manager in charge of a new team).

Classification of compensation for holiday is determined by another way than as in the Rules for Applicants and Beneficiaries – General section. For employers defined in sect. 109, par. 3 of Labour Code no. 262/2006 Coll., the compensation is eligible in the extent of 5 weeks per year.

- **Travel allowances** – foreign business trips: hotel accommodation abroad can be ensured in prices usual in such place, as a rule in the category \*\*\*. Expenditure up to the amount of 100 EUR/person/night can be considered as eligible (in case of another currency corresponding with the equivalent 100 EUR). In case of exceeding this amount it is required to document market research with respect to hotel services in the given area, in particular this research is required for hotels of higher category (more than 3\*) as a supporting document for evaluation of eligibility.

### 8.6.3. INELIGIBLE DIRECT EXPENDITURE

- **Ineligible expenditures, which by their nature belong into administrative expenditure, are described in this chapter beyond the frame of ineligible direct expenditure.** Flat rate of indirect costs will be determined on the basis of the above stated administrative expenditure (after cut-off of ineligible expenditure) with the procedure pursuant to the chapter 8.7.
- wage expenditure of administrative staff, who do not participate in the project implementation;
- aliquot part of wage expenditure, which does not correspond with the given workload of an employee in the given project for administrative employees, who participated in the project implementation;
- expenditure for legal disputes arisen in connection with a certain project, for example expenditure for payment of a court fee, for acquisition of proofs, for legal representation in case of a dispute, sanctions, penalties, other sanction fees and court charges associated with a legal dispute;
- overhead costs relating to general operation of organization without project links.

### 8.7. ELIGIBLE EXPENDITURE

The simplified reporting forms will be applied on the Teaming projects within the financial management with **financing by flat rate (in form of indirect costs – see the chapter 8.7.1).**

**The flat rate of indirect costs will be calculated individually on the project level depending on the amount of eligible direct project expenditure. Flat rate of indirect costs must never exceed 25%.**

This rate will be determined in the following manner at the project level:

- the applicant divides budget to administrative expenditure and other expenditure in the grant application;
- the budget is assessed in framework of objective evaluation. If it contains ineligible expenditure or possibly overvalued amounts, it is reduced in corresponding manner;
- The Managing Authority will determine a flat rate of indirect costs as a proportion of administrative costs to total direct eligible expenditure;
- the flat rate is fixed and is valid until completion of the project implementation. It is stated in the Grant Award Decision. Indirect costs are determined with this rate in each Request for payment.

### **8.7.1. INDIRECT COSTS**

Beyond the frame of the Rules for Applicants and Beneficiaries – General section the indirect costs include:

- **Expenditure arisen from 1. 6. 2016 until issue of the Grant Award Decision:**

Eligible expenditure is only expenditure associated with the project preparation in framework of indirect costs during this period. Project preparation means for purposes of OP RDE activities associated with preparation of the project documentation, i.e. for example procurement procedure with respect to deliveries, services and constructional works etc., which are included into project eligible expenditure, specifically until the moment of issue of the Grant Award Decision.

Expenditure for the project preparation in form of wage to administrative project team (obligatory activity for the Project management) are part of the project preparation.

## **8.8. INELIGIBLE EXPENDITURE**

Amended in the Rules for Applicants and Beneficiaries – General section.”

### **8.8.1. GENERAL RULES FOR THE PROJECTS GENERATING INCOMES UNDER ART. 61**

All applicants within this Call have the obligation to submit CBA beyond the framework of the Rules for Applicants and Beneficiaries - General section, specifically always financial and also social-economic analysis disregarding financial limits or incomes under the Art. 61 of the General Regulation.

## **8.9. INCOME FROM THE PROJECT**

Amended in the Rules for Applicants and Beneficiaries - the General section.

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## **9. CHAPTER – PROCESSES AND RULES OF INSPECTIONS AND AUDITS**

Amended in the Rules for Applicants and Beneficiaries – General section.

## **10. CHAPTER – PROCESSES AND RULES OF THE REMEDIAL MEASURES**

Amended in the Rules for Applicants and Beneficiaries – General section.

## **11. CHAPTER – INDICATORS OF OP RDE**

### **11.1. GLOSSARY OF TERMS**

Specified in the Rules for Applicants and Beneficiaries – General section.

### **11.2. INSTRUCTIONS FOR APPLICANTS**

Annex entitled Summary of key outputs to fulfil the ERDF project indicators is submitted as an attachment to the grant application. In this annex, the applicant specifies partial outputs of the indicator 2 40 00 ( e.g. partial reconstructions, key device equipment) which are necessary for the fulfilment of the particular indicator. In this summary it is necessary to financially quantify a partial output of the indicator, follow up to the project budget and a clear link to the project implementation time schedule. These partial outputs shall be always determined to each unit of the target indicator value. For example, if the indicator 2 40 00 has the target value two, the applicant must clearly separate the partial outputs of the indicator, the purpose and link to the time schedule to unit 1, unit 2 etc. if they differ substantively.

### **11.3. INSTRUCTIONS FOR BENEFICIARIES**

Within the implementation of the project, the annex Summary of key outputs to fulfil the indicators of the ERDF project is attached to the report on project implementation (see chapter 7.1) with a list of created key outputs in the monitored period. Change of plans follows the procedures referred to in chapter 7.2.2 of the Rules for Applicants and Beneficiaries – General section as a substantial change not constituting a change of the legal act. In order to reach the target value of the CO 25 indicator, the beneficiary must maintain this value till the end of the implementation of the project. The reduction below the target value of the CO 25 indicator would mean a substantial change of the project (see chapter 7.2.2)

## Indicator system for the Call Teaming

	Code	Indicator	Attribute	Monitoring and documenting
<b>Result</b>	2 03 12	Number of participations of supported research teams implemented within the programmes of international cooperation.	Obligatory for fulfilment	Indicator values are monitored regularly during the course of the project implementation. Programmes of international cooperation mean resources, which the applicant receives in international public competition, in particular within the framework programme of EU for research and innovations Horizon 2020 (2014–2020), including its partial implementing tools (common technological initiatives, EUROSTARS etc.) and within the programme of the European Communities for nuclear energy for research and professional preparation (2014–2018) exclusively from international resources. Such participation of supported research team, when a project financed from the program of international cooperation completes/develops/continues the project within this Call OP RDE and at the same time at least two members of the professional team in the project OP RDE are involved in the project implementation, will be included into this indicator. A copy of Grant Agreement or a similar legal act, which is concluded between the provider and beneficiary/group of beneficiaries, is documented for the report on project implementation. The legal act must be signed by both/all parties. In case when the research team supported from OP RDE (or more precisely institution, at which it is engaged) is not namely stated in the Grant agreement (for example due to the fact that it is one of members of consortium, but not a coordinator) it is necessary to also document a copy of Partnership agreement of consortium or as similar. The legal act must be signed by both/all parties. Originals are kept for possible in-situ inspection.
<b>Outputs</b>	CO 25	Number of researchers working in modernised research infrastructures.	Obligatory for fulfilment	Indicator values are monitored regularly during the course of the project implementation. Fulfilment of values as of the date of the project implementation completion as stated in the legal act on grant award / transfer is obligatory. An absolute value for the observed monitoring period is reported.

	Code	Indicator	Attribute	Monitoring and documenting
				Copy of an employment contract together with copies of all amendments to the employee's employment contract are documented (for example agreement to perform work and others). If it was already documented in supporting documents for charging, it does not need to be documented again, it can be referenced. Share of workload in the research/implementation team must be clearly defined in a contract/agreement. Share of workload in the research/implementation team must be clearly defined in a contract/agreement.
	2 05 02	Number of researchers working in modernised research infrastructures - women	Obligatory for selection	Indicator values are monitored regularly during the course of the project implementation. Documented only for the indicator CO25.
	2 40 00	Number of newly built, expanded or modernised research infrastructures and centres of excellence	Obligatory for fulfilment	New research centres cannot be established. Applicant/beneficiary is obliged to specify this indicator in the Annex to the grant application/Report on project implementation - The annex Summary of key outputs to fulfil the indicators of the ERDF project. Indicator values are regularly monitored during the project implementation, they are included after final approval of the building or permit for use. An indicator value in the year of achieving the target value, i.e. In the year of hand-over of newly established, extended or modernised infrastructures to use/commissioning of acquired equipment (for example issue of occupancy permit, permit of use trial/pilot operation etc.). A copy of occupancy permit, permit of use, hand-over protocol and/or acceptance protocol or another relevant document, furthermore an accounting document on purchase, document o classification of assets (for example an inventory card) according to type of infrastructure. "If such document was already submitted, for example within the Request for payment procedure, it can be only referenced.

	Code	Indicator	Attribute	Monitoring and documenting
Output	ENVI 4 66 01	Extended, refurbished or newly-built capacity without taking agricultural land	Obligatory for selection	Will be selected by applicants/beneficiaries, who plan activities of type extension, reconstruction. Area of extended, reconstructed or newly constructed capacities in m2 of usable area in total, i.e. reconstruction of existing areas and further constructions or newly established capacities, where taking of new land does not take place (finally approved or permitted for use). Indicator value in the year of achievement of the target value is stated, i.e. In the year of hand-over of extended, reconstructed capacities to use (for example issue of occupancy permit, permit of trial operation etc.).

**Definitions of OP RDE indicators are on the website of MEYS:**

<http://www.msmt.cz/strukturalni-fondy-1/monitorovaci-indikatory-op-vvv>

**specifications for a specific Call will be included in the Call.**

Method of measuring of jobs

Within OP RDE equivalent number of jobs is reported in FTE (Full Time Equivalent) and refers to the average registered number of R&D employees devoting their full time work to R&D activities. One FTE equals one year (full-time employee) work who participates in R&D activities. For employees that are engaged in other activities than R&D only relevant part of their working capacity is counted.

**Within the project, for the purpose of monitoring CO 24 indicator – Number of new researchers in supported entities s, CO 25 – Number of researchers working in improved research infrastructures, 2 04 02 – Number of new researchers in supported entities – women, 2 05 02 – Number of researchers working in improved research infrastructures – women one natural person cannot recognize more than one FTE employment.**

The term employee of the beneficiary/partner designates a person with links to the employers in the form of full-time permanent employment contract or employment agreement or agreement to perform work. For an employee working full-time one enters the maximal value 1, for an employee working part-time it enters corresponding fraction of the full-time contract and for external employees (hired on basis of agreement to perform work or employment agreement) one counts the fraction of the year based on the real time of work.

## 11.4. SANCTIONS DUE TO FAILURE OF BENEFICIARY

Specified in the Rules for Applicants and Beneficiaries – General section and in the legal act on grant award / transfer.

## 12. CHAPTER – PROCUREMENT PROCEDURE

Specified in the Rules for Applicants and Beneficiaries – General section and in the legal act on grant award / transfer.

## 13. CHAPTER – PARTNERSHIP

Specified in the Rules for Applicants and Beneficiaries – General section

Furthermore, the following applies for the projects within this Call:

The projects **must be implemented under partnership** with a foreign research institution with the registered office in the European Union.

## 14. CHAPTER – SYNERGIES AND COMPLEMENTARITIES

Specified in the Rules for Applicants and Beneficiaries – General section.

## 15. CHAPTER – STATE AID

### 15.1. INTRODUCTION TO STATE AID

All support will be provided to beneficiaries for implementation of non-economic activities, in accordance with the Framework for State aid for research and development and innovation (2014/C 198/01), so the granted funds do not have character of state aid within the meaning of Art. 107, paragraph 1 of The Treaty on the Functioning of the European Union.

In case of investment support to acquisition of research infrastructure for performance of non-economic activities as defined in Art. 19 of the Framework the support will be provided fully outside the state aid mode, if within the meaning of paragraph 20 of the Framework this infrastructure is used exclusively for non-economic activities or its use for economic activities will have only secondary character (i.e. such activity, which is directly associated with operation of research infrastructure is concerned, and it is necessary or inseparably connected with its main non-economic use and it is limited in terms of scope). For the purposes of the Framework according to the Commission this condition is met, if the economic activities will use exactly same inputs (e.g. material, equipment, labour force and fixed capital, i.e inputs, which will be eligible as the project eligible expenditure, and will be supported in the framework of the project) as with non-economic activities. The volume allocated annually to these economic activities will not exceed 20% of the total annual volume of the given subject, or relevant entities.

The term organization for research and dissemination of knowledge as an entity is defined within the English version of the Framework as “entity”. It can be deduced from the definition of organization for research and dissemination of knowledge (including also the so-called physical or virtual cooperating entities focused on research) and with putting emphasis on the “relevant entity” term, which is used by the Commission in its answers to this topic, that the “entity” term does not necessarily need to be identified with the legal entity.

Fulfilment of conditions in paragraph 20 of the Framework (qualitative and quantitative conditions for possible performance of secondary economic activity) can relate to more closely defined “relevant entity” (for example supported entity) not to legal entity as a whole (for example university or research organization).

**Relevant entity** is defined as a determined organizational unit, which can independently and effectively use property and other resources, which are purposefully used for performance of independent fundamental research, industrial research or experimental development and/or public dissemination of results of these activities in form of learning, publications and/or in form of transfer of knowledge, i.e. activities defined in paragraph 19 of the Framework. The main distinguishing feature is the fact that a workplace (for example department, laboratory, authorization for performance of certain activities or otherwise defined organizational unit), which is separable part of research organization in term of organisation, has a possibility of effective handling and use of property, material, human resources and other resources and it can relatively independently perform primary activity and/or transfer of knowledge pursuant to paragraph 19 of the Framework. The beneficiary is obliged to always define the relevant entity for the project purposes.

In case, when there are economic activities made on the relevant entity level, it is necessary to ensure separate reporting of accounting costs and incomes associated with economic and non-economic activities. The usage of resources (material, devices, workforce and fix assets) for economic activities must be purely secondary, i.e. It must be such activity that is directly associated with the relevant entity operation and is necessary for its operation or is inseparably connected with its main non-economic usage and its scope is limited

### **Separation of economic and non-economic activities**

If the given entity carries out activities both economic and non-economic, the Article. 107, paragraph. 1 of the Treaty on the Functioning of the EU will not affect the public financing of non-economic activities. If it can prevent cross-subsidization of economic activities by clearly separating both types of activities and their costs, finance and income. Annual financial statements of the relevant entity may prove the proper allocation of costs, financing and income.

The beneficiary is required to clearly identify their economic activities, e.g. specific orders of contract research, through a special identification feature. This identification mark must be for particular contract/economic activity used in all types of reports (i.e. especially instrumental diaries, statements of work) and the accounting documents (e.g. pricing, invoices, etc.). Clear identification of an identification mark must also be present at non-economic activities documents. The aim of this monitoring is to provide clear evidence of the rate of economic recovery and to avoid the possible presence of public aid.

The beneficiary is obliged to register and, at the request of the Managing Authority of OP RDE, demonstrate that any economic activities are purely collateral in accordance with par. 20 of the Framework. The beneficiary is obliged to keep to the terms of non-economic utilization, respectively strictly secondary economic use (in accordance with par. 20 of the Framework), during the entire project implementation, for infrastructure throughout its life (i.e. during the time it is depreciated). The capacity of the use of the economic sources is therefore stated each year separately (it is impossible to average several years). In case that some of the criteria are not met, there is a risk that the awarded grant, and payment for these expenditures, could constitute state aid. There would be a call for review of the provided financing option with a potential impact on grant reduction. Detailed definition of relevant entities, the calculation of their capacity

and reporting its use, may be further specified by the Managing Authority of OP RDE depending on the interpretation and decision-making practice of the European Commission.

**Collaboration with enterprises** Collaboration with the enterprises must be in accordance with art 2.2.2. Of the Framework as to not provide indirect state aid to the collaborating company.

**Procurement procedure** Beneficiaries are required to procure goods and services (or other similar transaction) in accordance with the rules for the selection of suppliers and the rules for public procurement procedures, so as to prevent any transfer of state aid to the supplier.

## **15.2. PUBLIC FINANCING IN THE AREA OF RESEARCH AND DEVELOPMENT NOT ESTABLISHING STATE AID**

Applicant/partner must satisfy these conditions:

- a) It satisfies the definition of organization for research and dissemination of knowledge (i.e. Its main objective is perform independently fundamental research, industrial development or experimental development or disseminate in public results of these activities in form of learning, publications or transfer of knowledge).
- b) Enterprises (i.e. entities performing economic activities), which can enforce controlling power on the applicant/beneficiary, for example as shareholders or members, must not have preferential access to results, of which the applicant/partner achieved.
- c) In case when an applicant/beneficiary performs economic activity and also non-economic activity, then costs and financing of economic and non-economic activities must be clearly separated.
- d) Obligations stated under points a) - c) must be stipulated by the applicant/partner in his internal regulations (for example charter, deed of foundation), specifically as of the date of submission of the grant application at the latest.
- e) Applicant/partner does not implement project for profit and it will use acquired assets for performance of non-economic activities. Economic use of acquired assets must have only supplementary character (pursuant to provisions in paragraph 20 of the Framework).

**Conditions of non-economic use of supported infrastructures (in compliance with provisions in paragraph 20 of the Framework) must be observed for the entire period of life cycle/or more precisely depreciation of assets.**

The applicant is obliged to provide access for the Managing Authority OP RDE for purposes of evaluation to all documents concerning its activities, internal structure etc., specifically anytime during the course of evaluation of grant application, as well as follow-up project implementation and the project sustainability for the purpose of evaluation, whether the applicant/partner satisfies the above stated conditions. In order to avoid any doubts it is stated that the Managing Authority OP RDE can verify for its evaluation of compliance with these conditions by the applicant/partner not only formal setting or formal information (for example in public registers), but also matter-of-fact functioning of the applicant/partner.

## **16. CHAPTER – HORIZONTAL PRINCIPLES (ACC. TO ART. 7 AND 8 OF THE GENERAL DIRECTIVE)**

Specified in the Rules for Applicants and Beneficiaries – General section.

## **17. CHAPTER – PUBLICITY RULES**

Specified in the Rules for Applicants and Beneficiaries – General section.

## **18. ANNEXES**

### **18.1. ANNEX 1: SAMPLE – UNIFORM FORM FOR PROCESSING OF REQUESTS FOR DECISION REVIEW**

Specified in the Rules for Applicants and Beneficiaries – General section.

### **18.2. ANNEX 2: SAMPLE – INTERIM/FINAL IMPLEMENTATION REPORT**

Specified in the Rules for Applicants and Beneficiaries – General section.

### **18.3. ANNEX 3: SAMPLE – FINAL REPORT FOR THE ENTIRE PERIOD OF THE PROJECT IMPLEMENTATION**

Specified in the Rules for Applicants and Beneficiaries – General section.

### **18.4. ANNEX 4: SAMPLE – INFORMATION ON PROJECT IMPLEMENTATION PROGRESS**

Specified in the Rules for Applicants and Beneficiaries – General section.

### **18.5. ANNEX 5: SAMPLE – REPORT ON SUSTAINABILITY**

Specified in the Rules for Applicants and Beneficiaries – General section.

### **18.6. ANNEX 6: CONTRACTUAL TERMS FOR CONSTRUCTION WORKS CONTRACTS**

Specified in the Rules for Applicants and Beneficiaries – General section.

### **18.7. ANNEX 7: OBJECTION TO THE IMPARTIALITY OF THE INSPECTOR**

Specified in the Rules for Applicants and Beneficiaries – General section.

### **18.8. ANNEX 8: OBJECTION AGAINST INSPECTION FINDINGS**

Specified in the Rules for Applicants and Beneficiaries – General section.

## 18.9. ANNEX 9: LIST OF ANNEXES TO THE GRANT APPLICATION AND METHOD OF THEIR DOCUMENTING

The summary of the relevant annexes to the grant application can be found in the table below.

Samples of the annexes to the grant application are available on the website of the MEYS (link to the electronic version: <http://www.msmt.cz/strukturalni-fondy-1/vzory-dokumentu-op-vvv>). Current wording of annex samples for the grant application are available in the IS KP14+ at the Call announcement. Updating of samples of annexes to the grant application does not represent amendment of the Call. The documents will be presented in the form of a copy (a scan) or electronic original (statements primarily made as electronic documents or documents created by authorized conversion from paper to electronic form in accordance with Act No. 300/2008 Coll.).

Documents will be submitted in copies (scanned copies) or in electronic originals (excerpt issued in the first place in electronic form or documents created by authorized conversion from documentary form to electronic form pursuant to the Act No. 300/2008 Coll.).

Nr.	Annex to the grant application	Method of documenting	Form (original / copies)	Language	Valid for applicant/partner	Link to the evaluation criterion
1	Affidavit on the eligibility of the applicant/partner	Applicant – affidavit in the grant application (ISKP14+) Partner – annex to the grant application	Original	CZ	Applicant and partner submit independently	P4, PS
2	Final declaration	Applicant – affidavit in the grant application (ISKP14+) Partner - annex to the grant application	Original	CZ	Applicant and partner submit independently	
3	Documents on eligibility of applicant and partner			CZ		
a)	Affidavit on compliance with the definition of organization for research and dissemination of knowledge under Art. 1.3 letter (ee) of the Framework for State aid for research and development and innovation (Communication from the Commission (EU) 2014/C 198/01)	Applicant – affidavit in the grant application (ISKP14+) Partner - annex to the grant application	Original	CZ	Applicant and partner submit independently	P4, PS
b)	Documents confirming formal setting for fulfilment of requirements resulting from the definition of organization for research and dissemination of knowledge according to Framework for State aid for research and development and innovation (Communication from the Commission 2014/C 198/01) – main scope of activities, department of economic and non-economic activities, prevention against effect of enterprises (it concerns all applicants/beneficiaries, which are not a public university or public research institution)	charter, articles of association, deed of foundation	Copies (pdf)	CZ	Applicant and partner submit independently	F3, P4, PS

c)	Affidavit on fulfilment of provisions in paragraph 20 of the Framework for support to research acquired assets to be used for non-economic activities or economic activities only limited in scope with the obligation that it will comply during the entire life cycle of supported infrastructures.	Annex to the grant application - for example deed of incorporation. Applicant - affidavit in the grant application (ISKP14+) Partner - annex to the grant application	Original	CZ	Applicant and partner submit independently	P4, PS
Nr.	Annex to the grant application	Method of documenting	Form (original / copies)	Language	Valid for applicant/partner	Link to the evaluation criterion
4	<b>Document of non-indebtedness with state administration authorities and health insurance companies</b>	Annex to the grant application - confirmation issued by relevant authorities - financial office, social security administration, health insurance companies or with affidavit, which is a part of the grant application.	Original or officially verified copies	CZ	Applicant and partner submit independently (except for a partner without financial contribution)	P4, PS
5	<b>Principles of partnership and declaration on partnership</b>	Annex to the grant application (sample)	Original	CZ	Applicant and partner submit independently	P6
6	<b>Document on legal subjectivity of the applicant/partner</b>	Annex to the grant application - excerpt from the Companies Register (or possibly its analogue abroad, if a partner is a foreign entity), not older than 90 days. If an applicant or possibly partner is not recorded in the Companies Register, he will replace annex with affidavit concerning this fact and he will attach its registration.	Original	CZ	Applicant and partner submit independently	F3, P3, P4
7	<b>Clean criminal record of the applicant/partner</b>	Annex to the grant application - excerpt from the criminal records of the applicant's statutory body or partner's statutory body, not older than 90 days as of the date of submission application (to be documented by persons acting on behalf of authorized applicant or partner) affidavit	Original or officially verified copy of excerpt from criminal records and affidavit	CZ	Applicant and each of partners submit independently	F3, P3, P4
8	<b>Connection of the project activities with strategic objectives of the National RIS3 strategy</b>	Annex to the grant application - the applicant will state here, how he contributed to production of scientific outputs in the given knowledge domain and in what manner these outputs were applied in solutions for external contracting authorities, joint projects with companies or state administration, IP commercialization, established spin-off).	Original	CZ/EN	Applicant and partner submit independently	F3, V6.2

Nr.	Annex to the grant application	Method of documenting	Form (original / copies)	Language	Valid for applicant/partner	Link to the evaluation criterion
9.	Grant application including all relevant annexes in the English language (grant application will be always translated to English, requirement of translation of individual annexes to the grant application to be determined in the call or in associated documentation)	Annex to the grant application - Documents created by the applicant	Original	EN	Applicant	F3, F4
10.	Declaration that applicant/partner is not at liquidation	((ISKP14+) Partner - annex to the grant application	Original	CZ	Applicant and partner submit	P3, P4
11.	List of key outputs for fulfilment of the project indicators - ERDF	Annex to the grant application (sample)	Original	CZ	Applicant	V3.1
12.	Grant agreement between the applicant and the European Commission for implementation of 1st project phase in the Call WIDESPREAD-2014-1 TEAMING from Horizon 2020 of the project in the Call WIDESPREAD-2014-1 TEAMING from Horizon 2020	applicant	Copies (pdf)	EN	Applicant	F3
13	Partnership Agreement between the applicant, possibly other subjects in Czech Republic, and a leading foreign research institution for implementation of the first stage of a project for the Call WIDESPREAD-2014-1 TEAMING from Horizon 2020 (EN version)	Applicant - affidavit in the grant application applicant	Copies (pdf)	EN	Applicant	F3
14.	Project application submitted into the call WIDESPREAD-2014-1 TEAMING in Horizon 2020 (EN version)	applicant	Copies (pdf)	EN	Applicant	F3

Nr.	Obligatory annex to the grant application	Method of documenting	Form (original / copies)	Language	Valid for applicant/partner	Link to the evaluation criterion
15.	Project application filed for the Call for support of the 2nd phase of the Teaming project in Horizon 2020 (in case of the approval process according to the variant A, see the chapter 5.4.) The applicant submits this annex before start of the 2nd step of objective evaluation. In case of the approval process according to the variant B (see the chapter 5.4) the annex will be documented to the grant application in OP RDE, in case when the grant application is submitted after the date of closing the call for support to the 2nd phase of the Teaming project in Horizon 2020. In case when the grant application in OP RDE is submitted before the closing date of the call to support 2nd phase of the Teaming project in Horizon 2020, this annex will be documented as soon as possible, however at the latest before start of objective evaluation.	Annex to the grant application - Documents created by the applicant	Copies (pdf)	EN	Applicant	F3
16.	Time schedule of key activities	Annex to the grant application (sample)	Original	CZ	Applicant and partner submit independently	F3, V2.1, V2.2, V5.1
17.	Evaluation 2020 results (Evaluation Summary Report)	Annex to the grant application - Documents created by the applicant	Officially verified copy	EN	applicant submits independently - variant A - before 2nd step, variant B - before start of objective evaluation	F3, V9.1
18.	Documents on proprietary relations of applicant/partner	Annex to the grant application (sample) - in cases, when it will not be possible by technical reasons to enter a particular entity to IS KP 14+, the applicant and partner will use a sample and will enter the document to IS KP14+ as an annex to the grant application.	Original	CZ	Applicant and partner submit	F3
19	Documents as per the Building Act (variants)	Annex to the grant application according to description	Original or copies	CZ	Applicant	F3, V5.2
20	Project documentation and the construction budget	Annex to the grant application according to description	Simple copy	CZ	Applicant	F3, V5.2
21	Assessment of environmental impact	Annex to the grant application according to description	Simple copy	CZ	Applicant	F3, V5.2
22	Documents related to ownership	Annex to the grant application according to description	Simple copy	CZ	Applicant	F3, V5.2
23	Other permits necessary for successful project implementation	Annex to the grant application according to description	Simple copy	CZ	Applicant	F3, V5.2

## Annex: Documents as per the Building Act

### Description of annexes to constructional projects

The applicant shall submit the required documents for all the buildings contained in the project, according to the overview table below and the specifying description of documentation within the scope of this annex, whereby, for each building, the applicant shall always choose the highest applicable variant:

Variant within the scope of the annex Documents as per the Building Act	Requirements for the construction-technical section of the project based on the Building Act and work procedure	Required	
		Minimum for the submission of a grant application	No later than before the issue of the Decision on Granting a Subsidy
<b>A</b>	<b><i>Building permit issued before submission of application is required</i></b>	Legitimate building permit or its equivalent (certificate issued by authorised inspector, public law contract)	-
<b>B</b>	<b><i>Approval of the Building Authority is sufficient and it is secured before submission of the application</i></b>	<ul style="list-style-type: none"> <li>- Approval of the Building Authority (acknowledgement of silent approval, or Affidavit)</li> <li>- Copy of Notification of construction</li> </ul>	-
<b>C</b>	<b><i>Building permit not issued before submission of application or approval of the Building Authority is sufficient and it is not secured before submission of the application</i></b>	<ul style="list-style-type: none"> <li>- copy of the notification of construction with appendices</li> <li>- copy of application for building permit, or copy of contract with authorized inspector</li> </ul>	Approval of the Building Authority (acknowledgement of silent approval, or Affidavit)

		– valid town and country planning approval (acknowledgement of silent approval or Affidavit)	– Legitimate building permit or its equivalent (certificate issued by authorised inspector, public law contract)
<i>D</i>	<i>construction for which neither building permit nor notification of construction is required by the Building Act</i>	– valid town and country planning approval (acknowledgement of silent approval or Affidavit) – notification of the intention, in order to receive town and country planning approval	-

*This table is for information only; you can find more detailed information about the required documents in the text below.*

All the documents are submitted via IS IP14+.

#### **Variant A**

**In constructions for which the building permit has already been issued, the following documents shall be submitted:**

- a) legitimate building permit issued in** compliance with s. 115 of Act no. 183/2006 Coll., on town and country planning and building code, as amended (the "Building Act"), or s. 66 of Act no. 50/1976 Coll., on town and country planning and building code, as amended (the "cancelled Building Act"), or
- b) certificate substituting the building permit, issued by authorised inspector** (pursuant to s. 117 of the Building Act) along with the contract with the authorised inspector and the notification of the construction evaluated by the authorised inspector, submitted to the Building Authority (in compliance with Annex no. 3 to Regulation no. 526/2006 Coll., implementing certain provisions of the Building Act), along with a document which will acknowledge when the notification was delivered to the Building Authority, or

c) **public law contract** substituting the building permit pursuant to Section 116 of the Building Act.

All documents as stated herein will be documented at the same time with the grant application.

### **Variant B**

**In the constructions with approval issued by the Building Authority for the notification of construction (constructions listed in s. 104 of the Building Act or pursuant to s. 57 of the cancelled Building Act), the following documents shall be submitted:**

- a) **valid approval by the Building Authority issued for the notification of the construction in writing**; or
- b) in case that the Building Authority has issued a silent approval, the Applicant shall submit, along with the copy of the Notification of the construction provided with the time stamp of the relevant office, also the **acknowledgement of the Building Authority in writing**, confirming that the silent approval had been issued and that it is valid; or
- c) only if the the Building Authority refused to issue the acknowledgement mentioned above, in clause (ii), while the reason is neither expired approval nor other fact affecting the feasibility of the construction, the applicant shall submit an **Affidavit (document created by the applicant itself)**, stating that, within the statute of limitation of 40 days, since the date of delivery of the application to the Building Authority, neither rejection nor approval for the said construction has been received, thus the approval has not ceased to be valid.

### **Option C**

**In case that, as to the date of submission of the grant application, the construction was neither approved on the base of any of the above-specified documents, the applicant shall submit:**

- a) legitimate town and country planning decision (pursuant to s. 92 or s. 95 of the Building Act , or pursuant to s. 39 of the cancelled Building Act), or the **town and country planning approval** (pursuant to s. 96 of the Building Act); or
- b) in case that, pursuant to the Building Act, neither the town and country decision or approval (pursuant to s. 79 of the Building Act) nor the decision on change in use of the land (pursuant to s. 80 of the Building Act) is required, the applicant shall submit the **Affidavit (document created by the applicant itself), identifying the concrete provision of the Building Act, according to which the above-mentioned is not required by the Building Act; if possible, the Applicant, along with the Affidavit, will submit additional supporting documents, namely the statements made by the Building Authority;**

as well as the following documents:

- c) **Application for building permit** pursuant to Annex 2 to Regulation no. 526/2006 Coll., implementing certain provisions of the Building Act, provided with the time stamp of the relevant office to acknowledge when the application was delivered to the Building Authority; or

- d) **Notification of the construction** provided with the time stamp of the relevant office to acknowledge when the notification was delivered to the Building Authority; or
- e) **Contract with authorised inspector** on inspection of the project documentation (pursuant to s. 117 of the Building Act) in case that the **authorised inspector has not issued the certificate.**

#### Option D

**In case of a construction for which neither building permit nor notification of construction is required by the Building Act (constructions listed under s. 103 of the Building Act), the following documents shall be submitted:**

- a) legitimate **town and country planning decision** (pursuant to s. 92 or s. 95 of the Building Act , or pursuant to s. 39 of the cancelled Building Act), or the **town and country planning approval** (pursuant to s. 96 of the Building Act); or

In case that, pursuant to the Building Act, neither the town and country decision or approval (pursuant to s. 79 of the Building Act) nor the decision on change in use of the land (pursuant to s. 80 of the Building Act) is required, the applicant shall submit the **Affidavit** (*document created by the applicant itself – sample is not available*), identifying the concrete provision of the Building Act, according to which the above-mentioned is not required by the Building Act; if possible, the Applicant, along with the Affidavit, will **submit additional supporting documents**, namely the statements made by the Building Authority.

#### **Annex – Project documentation and the construction budget**

The Applicant shall submit the **project documentation** pursuant to Act no. 183/2006 Coll. on town and country planning and building code (Building Act), as amended, at least in the scope as required for applications for town and country decision/ approval<sup>130</sup>, or for applications for building permit, or for notifications of work, produced in compliance with relevant provisions of this act and regulation no. 499/2006 Coll., on construction documentation.

Annex will be documented within the scope corresponding with documents submitted in framework of the annex “Documents pursuant to the Building Act, i.e. according to the selected variant for each construction.

This annex is documented in electronic form through IS KP14+.

In case of reconstructions or other alterations of the construction the submitted project documentation must clearly define (its graphic and description) the original state, which is not the subject-matter of the project (and also not of the budget) a new state, which is the subject-matter of the project and also the budget.

**Itemized budget** will be submitted in details corresponding with the stage of the prepared project documentation, within the scope of the calculation for the construction as minimum.

The applicant will submit this annex together with submission of the grant application.

This annex is not relevant for projects, which do not contain construction part, i.e. budget of the construction part is 0. This annex is relevant for the projects whose construction part is included in non-eligible expenditure.

### **Annex: Assessment of environmental impact**

This annex is not relevant for applicants who submitted a legally effective town and country planning decision or approval issued under Act no. 183/2006 Coll. within the scope of the annex "Documents as per the Building Act".

- Standpoint on the assessment of the environmental impact of the plan's implementation (Act no. 100/2001 Coll., on Environmental Impact Assessment and Amending Some Related Acts, as amended, hereinafter Act no. 100/2001 Coll.), if the nature of the plan which is the subject of the project application requires it.
- Standpoint of the nature protection body, from the perspective of the impact of the project on the Natura 2000 system territory (in relation to § 45 h and § 45i of Act no. 114/1992 Coll., on the Conservation of Nature and Landscape, as amended, hereinafter Act no. 114/1992 Coll.).

In the event that the relevant organ requires an assessment of the environmental impact of the plan's implementation, further documentation relating to it must be submitted no later than the issue of the Decision.

### **Annex: Documents related to ownership**

The annex consists of all documents necessary for review of the option to implement the project in the proposed locality. A part of this annex is represented by a list of real estate affected by the project (see sample). The Applicant shall attach at least one of the types of the documents proving the ownership for each of the real estates listed in the table "Overview of real estates affected by the project". They differ depending on relation of the applicant with the real estate given.

## Overview of required documents:

Situation	Type of required documents:	Specification
Real estate in relation to the applicant recorded in the land registry.	Information from the land registry and section from the cadastral map with coloured marking of all real estate	
Constructions in the applicant's ownership not recorded in the Cadaster of Real Estate.	<ul style="list-style-type: none"> <li>– Document on acquisition of title to property</li> <li>– Information from the land registry and section from the cadastral map with coloured marking of all lands, on which the subject-matter construction is located</li> </ul>	
Real estate, which is not applicant's property	<ul style="list-style-type: none"> <li>– Document proving other titles to real estate (for example Contract for the future purchase contract, lease contract, contract on easement etc.)</li> <li>– Information from the land registry and section from the cadastral map with coloured marking of all real estate</li> <li>– Written approval from owner of relevant real estate with the project implementation (it can be also included into a relevant contract)</li> </ul>	Written contract of owner of real estate must not be documented, if documented already in framework of annex, in this case it is sufficient to state a reference to relevant document in this table.

Only simple printed copy from the web site will be sufficient [www.cuzk.cz](http://www.cuzk.cz).

If the real estates are not owned by the Applicant, the submitted documents should confirm the relationship to relevant real estates for at least 10 years from the date of issue of the Grant Award Decision in case that the real estates are to be used by the project permanently (typically, the land under the building, access road, etc.) A relevant document (for example approval with location of the construction, a short-term lease contract) including corresponding explanation/reasoning will be submitted for real estate affected one time or in short term, in particular at the course of construction works (for example with respect to relocation of networks, use of land of another for a necessary period for reconstruction of the building concerned etc.).

A document with binding effect corresponding at least of the letter of intent will be documented for each real estate, if it is relevant (see above) as of the date of filing application. Binding contracts should be already concluded and submitted before issuance of a grant award decision. The applicant must prove within 1 year from the date of issuance of the decision that all acquired real estate is recorded in the Cadaster of Real Estate in his name.

*Note: The extract from the cadastral map shall clearly indicate, in colours, the existing ownership of the particular real estates as well as the cross-section of the ground plan showing the planned and the existing buildings and constructions that would be affected by the work or reconstruction within the project to allow evaluation of the submitted documents for completeness (the extract from the map should indicate relevant details – yet it is not necessary to indicate "insignificant" constructions such as fencing or billboards).*

**Annex: Other permits necessary for the implementation of the project<sup>9</sup>**

The annex includes all other approvals or permissions necessary for project implementation that do not fall into the annexes "Documents required by the Building Act" or "Project documentation and budget". This annex is to be submitted at the latest before issuance of the grant award decision. However with submission of the project application it is necessary to attach at least information what permits are necessary and fact that it has been already applied for them or within what period it will be applied for them. This may include, for example, permission to experiment with animals, work with dangerous substances, installation or deployment of sources of radiation, deep wells etc. in case that such permissions are not included in the area management or building procedures if this is the case, they would be required in annexes "Documents required by the Building Act" or "Project documentation and budget" and "Assessment of environmental impact".

Owing to possible extensiveness of this annex, please state a list of submitted documents in the table below having this structure

Sequence number	Title of documents	Comment

*Form: decision/approval/permit for relevant activity, Affidavit*

<sup>9</sup> To avoid doubts, it is stipulated that the approvals or permits needed only in the project stage following after the Decision has been issued, will be submitted in compliance with conditions of the Grant Award Decision, after it has been issued (e.g. approval with putting specific technologies into operation etc.).

## 19. CHAPTER – LIST OF ABBREVIATIONS

BD	business day
CBA	Cost-Benefit Analysis
CSSF14+	Central system of structural funds for the programme period 2014–2020
ERDF	European Regional Development Fund
IS KP14+	End beneficiary information system
MA	Managing Authority
MS2014+	Monitoring system 2014+
OP RDE	Operational Programme Research, Development and Education
R&D	Research and Development
RIS3	Research and Innovation Strategy for Smart Specialisation