



# **Rules for applicants and beneficiaries Specific Part**

## **Call: Pre-Application Research and Pre-Application Research for ITI**

Operational Programme

## **Research, Development and Education**

Programming period 2014 – 2020

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EVROPSKÁ UNIE  
Evropské strukturální a investiční fondy  
Operační program Výzkum, vývoj a vzdělávání



MINISTERSTVO ŠKOLSTVÍ,  
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## Record sheet

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## 1. CHAPTER – INTRODUCTION

The specific part of the Rules for Applicants and Beneficiaries for calls under Priority Axis 1 – Pre-Application Research and Pre-Application Research for ITI regulates/supplements the general part of the Rules for Applicants and Beneficiaries.

While the general part governs the rules for all applicants and beneficiaries of OP RDE, the specific part contains additional rules of the calls Pre-Application Research and Pre-Application Research for ITI in the relevant chapters. This specific part of the rules applies to both calls (i.e. Pre-Application Research, as well as Pre-Application Research for ITI). The parts which are relevant solely for the call Pre-Application Research for ITI are marked in the text.

The binding nature of the rules' versions for the preparation and subsequent implementation of the project is defined in Chapter 1 of the Rules for Applicants and Beneficiaries – General Part.

**Version 0** of the Rules for Applicants and Beneficiaries – Specific Part is an indicative version published by the Managing Authority of the OP RDE, along with a Call Advice, i.e. before the publication of the call in IS KP14+. Version 1 of the Rules for Applicants and Beneficiaries – Specific Part is binding upon all applicants and beneficiaries of the call, and will be published no later than on the day when the call is published in IS KP14+.

The Managing Authority has the power to issue other versions of the Rules containing additional conditions for applicants and beneficiaries. The applicants and beneficiaries are informed about the publication of these updates through the news on the website of the MEYS under Operational Programmes, or through internal dispatches in IS KP14+.

## 2. CHAPTER – DEFINITIONS

**Application sector** – Any organization where the results of R&D activities can be applied. These may involve industrial and development firms, other scientific and research facilities, healthcare and related fields, non-profit and public sectors, etc.

**Applicability** – it is the usability of research results in the application sector.

**Applied (targeted) research** – experimental and theoretical work to acquire new knowledge, but whose use is clearly focused on specific, predetermined objectives. Applied research can be divided into: general applied research, i.e. systematic research aiming to acquire new knowledge, which has yet to reach the stage with a clear specification of objectives for its application; specific applied research, i.e. also systematic research aiming to acquire new knowledge, but directed at a specific practical objective with a clear application of the results.

**Excellent worker** – A worker whose results are comparable internationally (a researcher whose H-index and publication activity are comparable internationally). The inclusion of this type of a worker in the professional project team is possible, but not required (mandatory).

**Integrated territorial strategy** – Under OP RDE, ITI will be used in accordance with Article 36 of Regulation (EU) No 1303/2013, and based on their definition in the Regional Development Strategy of the Czech Republic 2014–2020. Within the meaning of this call (and OP RDE), this concerns urban



development strategies requiring an integrated approach involving investments from the ERDF. ITI will be used in the largest metropolitan areas of national importance (for more details on ITI, see the text of OP RDE). The following integrated strategies were submitted under OP RDE: ITI Ústí-Chomutov agglomeration, ITI Pilsen agglomeration, ITI Hradec Králové-Pardubice agglomeration, ITI Ostrava agglomeration, ITI Olomouc agglomeration.

**Key worker** – A worker who is necessary for project implementation (e.g. research project leader, researcher or a lawyer preparing patent applications). The inclusion of this type of worker in the project team is possible, but not required (mandatory).

**Building alterations** – In the context of this call, building alterations exclusively involve alterations related to the acquisition and installation of equipment and material resources.

**Feasibility study** – A feasibility study means an evaluation and analysis of project potential which aim to support the decision-making process by objectively and rationally determining the strengths and weaknesses of the project, its opportunities and threats, and identifying the resources needed for its implementation, as well as its prospects for success.

**Upgrade** – replacement of technical equipment or its parts for newer/better version, which increases the quality or extends the functionality of the technical equipment.

**Research organisation** – research organisations are considered to include entities that meet the definition of a research and knowledge-dissemination organisation under the Framework for State aid for research and development and innovation (2014/C 198/01).

### 3. CHAPTER – LEGAL BASIS AND OTHER UNDERLYING DOCUMENTS

Specified in Rules for Applicants and Beneficiaries – General Part.

### 4. CHAPTER – CONTACTS AND COMMUNICATION WITH APPLICANTS AND BENEFICIARIES

Specified in Rules for Applicants and Beneficiaries – General Part.

### 5. CHAPTER – PROCESSES AND RULES FOR THE SUBMISSION OF AN APPLICATION FOR SUPPORT, EVALUATION AND SELECTION OF PROJECTS

#### 5.1. Announcement of calls

Calls for Pre-Application Research and Pre-Application Research for ITI are designated as round-based calls, using the single-round model of evaluation, i.e. the applicants submit their applications for support by the deadline specified in the Call. Before submitting the application, all applicants have the opportunity to discuss their questions concerning the Calls with the representatives of the MA – the contact person specified in the Call.



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## 5.2. Submitted applications for support

Beyond the rules specified in the Rules for Applicants and Beneficiaries – General Part, the following applies to applicants/beneficiaries:

The applicant must submit the application for support through IS KP14+ including the mandatory/optional annexes. An overview of the mandatory/elective annexes is shown in the table in Annex 18.10; the overview contains the form of individual annexes and the manner to submit them.

### 5.2.1. Eligibility of applicant/partner

Eligible applicants are defined in the text of the Call.

Eligible partners are defined in the text of the Call.

The applicant/partner or other entities which contribute to the eligible expenses of the project ("Partners") must always meet all the following conditions based on the definition of **Research and knowledge dissemination organisations, as defined by the Framework for State aid for research and development and innovation (2014/C 198/01)**, and is obliged to ensure that these conditions will be met throughout the project implementation and sustainability.

- a) The primary objective of an applicant/partner is to independently conduct fundamental research, industrial research or experimental development, or to widely disseminate the results of such activities by way of teaching, publication or knowledge transfer.
- b) Undertakings (i.e. entities engaged in economic activities) which can exert a decisive influence upon the applicant/partner, for example in the quality of shareholders or members, may not enjoy preferential access to the results generated by the applicant/partner.
- c) Where such entity also pursues economic activities, the financing, the costs and the revenues of those economic activities must be accounted for separately. Separate accounting must be kept so that the beneficiary can at any time provide credible, current and verifiable information on the management of the project funds.
- d) The obligations referred to in (a) to (c) must be incorporated in the internal guidelines of the applicant/partner (e.g. Articles of Association, formation deed) no later than on the date of submission of the application for support.

#### **Documents required to verify the eligibility of an applicant/partner:**

The documents confirming the formal setting to meet the requirements arising from the definition of an organization for research and dissemination of knowledge, which show that the internal setting of the operation of the competent entity (principal activities, division of economic and non-economic activities, prevention of influence of undertakings, etc.) meets the definition of the Research and knowledge dissemination organisation according to the Framework. These documents may include, for example: formation deed, articles of association, memorandum of association, formation charter, etc. These documents necessary to assess the fulfilment of the conditions following from the definition of research and knowledge dissemination organisations are to be submitted only by applicants that meet the definition of a research and knowledge dissemination organisation according to the Framework, but are not a public higher education institution, State higher education institution conducting research, or a public research institution.

**Eligible applicant/partner/beneficiary is also obliged to meet all the following criteria:**



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- **applicant/partner type** is included in the list of eligible applicants/partners in the Call;
- applicant/partner which is a legal person must demonstrate its **ownership structure**.

Assessment is made whether the applicant/partner has demonstrated its ownership structure in accordance with Section 14(3)(e) of Act No 218/2000 Sb., on budgetary rules, i.e. whether the applicant/partner has submitted the identification of:

- the persons acting in its name, stating whether they act as its governing bodies or under a power of attorney;
- persons with a share in this legal person;
- third persons in which the applicant/partner has a share, and the amount of that share.

Applicants provide this information in the application for support on the tab “Project Entities” and “Entity Persons”, and, in the annex to the application for support entitled “Demonstration of Ownership Structure”; partners with financial contribution provide this information through the annex to the application for support entitled “Demonstration of Ownership Structure” (see Chapter 18.10.). An applicant/partner that fails to demonstrate its ownership structure does not meet the conditions to become an eligible applicant/partner.

At the same time, an applicant other than a natural person or a legal person under public law<sup>1</sup> is obliged to accompany the application for support with a list of its beneficial owners in accordance with the provisions of Section 4(4) of Act No 253/2008 Sb., on certain measures against the legalization of proceeds from crime and financing of terrorism, as amended (hereinafter the “AML Act”). If such beneficial owners cannot be identified under the AML Act because a particular legal form of the beneficiary is not expressly provided in the AML Act, the applicant shall provide information on the natural person or persons working as the applicant’s top managers. This is also demonstrated by means of the annex “Demonstration of Ownership Structure” (see Chapter 18.10.).

In connection with the demonstration of the ownership structure and in order to avoid any potential conflict of interest, the applicant/partner must, at the request the OP RDE and/or other entities (PCA, AA, EC or ECA), submit documents proving the facts specified on the tab Project Entities / Entity Persons in the annex “Demonstration of Ownership Structure”.

- The applicant/partner is **not subject to insolvency proceedings, private enforcement proceedings, or liquidation**;
- The applicant/partner **meets the conditions of absence of debt** with State and self-government authorities, the tax office and health insurance companies;
- The applicant/partner has a **clean criminal record**;
- The applicant/partner is not an **undertaking in difficulty** within the meaning of Commission Regulation (EU) No 651/2014;

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<sup>1</sup> For the purposes of these Rules for Applicants and Beneficiaries, a legal person under public law especially means the Czech Republic, State organizational units, State co-funded organizations, State funds, territorial self-governing units and its publicly co-funded organizations, voluntary associations of municipalities, Regional Council of a cohesion region, European Grouping of Territorial Cooperation, public higher education institutions, public research institutions, professional associations established by law, State-owned and national enterprises, State organizations, VZP (the General Health Insurance Company of the Czech Republic), the Czech National Bank, the Czech Radio, the Czech Television, and the Czech News Agency.



- The applicant/partner must submit authorization to carry out **scientific and research activities as primary or secondary activities**, which is to be proved by means of its articles of association or constitutive documents (no to be submitted by State and public higher education institutions and public research institutions). Each applicant/partner is also obliged to have been registered with the relevant register for at least 2 years preceding the date of filing the application in IS KP14+ (i.e. it is necessary to demonstrate **at least a 2-year history** of the company/institution);
- the applicant<sup>2</sup>/partner must, through an annex to the application for support, demonstrate that the **annual turnover of the organization/company of the applicant** is at least one half of the amount of the eligible project expenditure specified in the application for support. It is assessed whether the applicant entity's annual turnover reaches at least one half of the eligible project expenses. Where a partner/ partners are involved in the implementation of a project, the relevant part corresponding to share of the partner/ partners may be proven by the applicant through the partner/ partners. The condition for achieving the required turnover is met for the last two consecutive closed accounting periods<sup>3</sup> lasting 12 months (that exist)<sup>4</sup>, for which the applicant was to file a tax return, and which predate the filing of the application. The applicant demonstrates this by submitting the Profit and Loss Account for the above accounting periods.

Annual turnover is defined in Section 1d(2) of Act No 563/1991 Sb., on accounting, as amended: "For the purposes of this Act, annual aggregate net turnover means the amount of revenue net of sales discounts, divided by the number of months or parts thereof, for which the accounting period lasted, multiplied by twelve." Publicly beneficial payers as defined in Section 17a of Act No 586/1992 Sb., the Income Tax Act, as amended, (a payer that, in accordance with its constitutive juridical act, statute, articles of association, law or a decision of a public authority, performs, as its principal activity, an activity other than a business activity. A publicly beneficial taxpayer excludes (a) a business corporation, (b) the Czech Television, Czech Radio and Czech News Agency, (c) a professional association or a taxpayer founded for the purpose of protecting and defending the business interests of its members whose membership fees are not tax exempt, with the exception of employers' organizations, (d) health insurance companies, (e) association of unit owners, (f) foundations 1. which, according to their forming juridical act, serve to support close persons of the founder, or 2. which carry out activities towards supporting close persons of the founder.) shall indicate the annual net turnover from total activity, i.e. from the principal activity and economic activity. Taxpayers who keep tax records shall indicate the total of all revenues in the taxable period, or the period for which they filed the last income tax return.

The applicants referred to in Annexes 1 and 2 of Act No 111/1998 Sb., on higher education institutions, as amended, and in Annexes 1 and 2 to Act No 341/2005 Sb., on public research institutions, as amended, do not demonstrate turnover; their financial stability is assessed

<sup>2</sup> The obligation to demonstrate turnover / financial stability does not apply to applicants which are SOU and PCO SOU.

<sup>3</sup> That means that the applicant demonstrates compliance with the turnover conditions for each of the preceding two consecutive closed accounting periods separately.

<sup>4</sup> In the event that when filing the application for support, the last accounting period of the applicant is not closed, the applicant shall provide, as a mandatory annex to the application for support, a statutory declaration that the turnover for the last closed period will be demonstrated before issuing the legal act. The proof of sufficient annual turnover (i.e. at least one half of total eligible project expenses) is a mandatory condition for the legal act to be issued. If the applicant fails to demonstrate sufficient turnover no later than upon the submission of the documents needed to issue the legal act on granting/transferring the support, the applicant's application for support will be excluded from the approval process, i.e. not supported.



through an annual or other report on their economic management, which the applicant attaches to the application for support. The applicant must demonstrate that the economic result of all the activities of the applicant's entire organization/institution is at least zero. The financial stability condition must be met for the last two consecutive closed accounting periods lasting 12 months for which the organisation/institution was to file a tax return and which predate the submission of the application for support.

#### **Maximum number of project applications:**

The maximum number of project applications submitted by one applicant (i.e. one ID No) is limited. The limit of the maximum number of project applications is derived from the number of the applicant's points in the Information Register of R&D results (RIV) for 2014 as follows:

- |                                    |                       |
|------------------------------------|-----------------------|
| - less than 20,000 points:         | max. 1 application;   |
| - 20,000 to 34,999 points:         | max. 5 applications;  |
| - 35,000 points to 79,999 points:  | max. 10 applications; |
| - 80,000 points to 149,999 points: | max. 15 applications; |
| - More than 150,000 points:        | max. 20 applications. |

If the permitted number of project applications submitted by one applicant is exceeded, all project applications of the applicant will be excluded from the evaluation process.

The applicant must not submit an identical project application / identical research projects under a call intended for projects within and outside the ITI.

### **5.2.2. Territorial eligibility of OP RDE projects**

Projects under these calls can be implemented in the "less developed regions" programme area. In this call, it is possible to benefit from the exemption under Article 70(2) of the General Regulation, i.e. it is also possible to implement projects outside the programme area (territory of Prague and the EU).

#### **5.2.2.1. Permissible impact location of the project**

In the application for support, the applicant must define how the programme area will be impacted by the project. The applicant must define the territory where project activities benefitting the target group will be implemented.

If a project is implemented outside the programme area, i.e. in the territory of Prague/EU, and the beneficiary is unable to demonstrate impact only on less developed regions (13 regions outside Prague), the impact of such a project is always on the entire Czech Republic.

If the project is implemented within the "less developed regions" programme area (13 regions outside Prague), there is no need to further assess the impact of such a project on each category of regions, and the



impact of the project is always on a less developed region.

If a project is implemented outside the selected programme area, i.e. in the territory of Prague/EU, and the impact is only on less developed regions (13 regions outside Prague), the impact of such a project is always on a less developed region.

The ratio determining the breakdown of resources between less and more developed regions is given in Chapter 8.1.5.

Applicants must complete the breakdowns in section 8.1.5. in the application for support on the tab “Specific Objectives”.

During project implementation, the beneficiary does not demonstrate relation of the target group to the programme area.

#### **5.2.2.2. Permissible location of the project**

The project must be implemented in the European Union.

#### **5.2.3. Eligibility of target groups**

The Call defines the following target groups: research organization workers, higher education institution students.

#### **5.2.4. Eligibility of project activities**

The activities are divided into mandatory, compulsory optional, optional and excluded.

In IS KP14+ system, individual activities are pre-set. The applicant is required to select all the activities to be implemented in the project from a list.

The applicant is obliged to implement all of the following mandatory activities:

**a) Project management** – the content of this activity is described in the Rules for Applicants and Beneficiaries – General Part; for more details see Chapter 5.2.4.

**b) Realization of research intents with potential for future practical applicability.**

The project is to include the current research intents which will stand up to comparable high-quality international research. Simultaneously, the applicant must indicate the potential of these plans for future use in the application sector. It is expected that after the completion of the project, the project results will be further extended so that they can be applied in practice. Project implementation is not conditional on such applicability completion.

The project cannot include research projects that focus **only** on fundamental research. Concerning technological advancement, projects cannot include a product development.

The application must include at least one research intent. Individual research intents must be assigned to a single primary branch domain. Where relevant, intents may be further assigned to one or more secondary branch domains.



Domains are assembled according to the Professions Tree and OP RDE domains<sup>5</sup>. Primary domain(s) of research intents in one application must fall under one of the following domain groups. Please note splitting domain 1AB9 Industry to multiple groups. Admissible primary sector domain groups for this Call are defined as follows:

1AB1 – Social sciences

1AB2 – Mathematics and physics

1AB3 – Chemistry

1AB4 – Earth, atmosphere and environment sciences

1AB5 – Biology

1AB6 – Medicine

1AB7 – Agriculture

1AB8 – Informatics

1AB9.1 – 1AB9.4 – Industry: Electrical engineering and robotics

1AB9.5 – 1AB9.6 – Industry: Energy sector

1AB9.7 – 1AB9.12 – Industry: Materials

1AB9.13 – 1AB9.14 – Industry: Engineering and construction

1AB9.15 – Industry: Land transport systems and equipment

1AB9.16 – Industry: Industrial processes and processing

1AB9.17 – 1AB9.20 – Industry: Mechanical engineering

1AB9.21 – 1AB9.23 – Industry: Aviation and space technology

1AB9.24 – Industry: Military engineering

**The applicant has to assign the project to the primary domain group** identically in IS KP14+ and in the Feasibility Study. In the IS KP14+, the applicant has to select for the application only domains (one or several) that fall into only one of the above defined domain groups, thereby determining one primary domain group of the project. IS KP2014+ does not check whether the project has been correctly included in only one domain group. The correctness of assignment the project into only one domain group is checked by the applicant. IS KP2014+ does not allow secondary domains to be selected for the project.

**The applicant has to assign the project to secondary sectors or domain groups** in the Feasibility Study. Projects cannot be assigned under IS KP14+.

The application may include various research intents with various secondary domains.

The applicant must specify such a primary and secondary assignment in the Feasibility Study.

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<sup>5</sup> See link: [www.msmt.cz/uploads/OP\\_VVV/Priloha\\_1\\_Strom\\_OP\\_VVV.xlsx](http://www.msmt.cz/uploads/OP_VVV/Priloha_1_Strom_OP_VVV.xlsx).



An example of the domain structure of a project:

A project contains of two research intents:

Plan 1: Medical cannulas

Plan 2: Pacemakers

The primary domain of the project (i.e. of all research intents): 1AB6 – Medicine.

Secondary domain of research plan 1:

11AB9.7 – 1AB9.12 – Industry: Materials

Secondary domain of research plan 2:

1AB8 – Informatics

1AB9.1 – 1AB9.4 – Industry: Electrical engineering and robotics

The research intent will be implemented by an expert project team. Along with the grant application, the applicant must submit a CV (or requirements for expertise and experience for the position) of leading researchers, key and excellent workers, where the project application implements such classification for workers. In addition, the applicant must, at its sole discretion, select nominated members of the expert team who are relevant in terms of quality assessment of the expert team, and submit their CVs for the assessment.

A lead researcher is a researcher who leads and is responsible for the research intent.

### **Expected results and outputs:**

The monitored result includes the following monitoring indicators:

2 02 11 Publications created by supported entities (selected types of documents)

2 02 16 Publications in co-authorship with researchers from abroad created by the supported entities (selected types of documents)

2 04 00 Number of new researchers in supported entities

Other types of results can also be implemented; however, these do not reflect in the monitoring indicators.

Possible expected partial outcomes of implementing the activities are the results, which are defined according to the Definitions of types of research and experimental development results for the RIV database.

**c) Experimental verification of the research results practical applicability, including the intellectual**



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### **property treatment.<sup>6</sup>**

Expressed by TRL (Technology Readiness Level); experimental verification is possible within TRL 1 to TRL 3.<sup>7</sup>

Product development cannot be included in the project. The verification of practical application of results can therefore not be based on product or marketing requirements. It should be based on experimental verification of selected research parameters which could be applicable in practice.

The intellectual property treatment (IP) – means taking steps to identify and assure intellectual property in relation to the nature of the research project results. This includes activities in the entire process of working with IP, from IP identification, planning of its treatment, implementing the plan to assure and protect IP in relevant cases, to maintaining IP. This concerns IP directly related to the implementation of the respective project research plan, or created under a project plan.

Examples of steps to regulate IP: create IP treatment plan (the decision to publish the results or protecting the IP from publication, and specific steps), creating a licence, filing a patent application, protection by means of an industrial design, etc.

### **Expected results and outputs:**

Monitored result has the form of a patent application (see indicator No 2 20 11 – International patent applications (PCT) created by supported entities). Other types of results can also be implemented; however, these do not reflect in the monitoring indicators.

Possible expected partial outcomes of implementing the activities are the results, which are defined according to the Definitions of types of research and experimental development results for the RIV database.

### **Compulsory optional activities**

In the case of a partnership in the project, the applicant must choose the following activity:

#### **d) Implementation of partners' joint activities, leading to strengthening of the research results applicability in the long term.**

The project partners jointly implement research intents of the project and related activities. This is a two-way knowledge transfer, creating wider research scope, and increasing possibility of the project results applicability.

Project partners must cooperate on the research intents and related activities; research intents should not be organized as independent research areas of each partner.

### **Expected results and outputs:**

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<sup>6</sup> The R&D results that will be a part of the project implementation must be in 100 % ownership of the applicant or, where relevant, the projects partners.

<sup>7</sup> [https://ec.europa.eu/research/participants/data/ref/h2020/wp/2014\\_2015/annexes/h2020-wp1415-annex-g-trl\\_en.pdf](https://ec.europa.eu/research/participants/data/ref/h2020/wp/2014_2015/annexes/h2020-wp1415-annex-g-trl_en.pdf)





2 02 11 Publications created by supported entities (selected types of documents)

2 04 00 Number of new researchers in supported entities

2 20 11 International patent applications (PCT) created by supported entities

2 02 16 Publications in co-authorship with researchers from abroad created by the supported entities (selected types of documents)

The applicant must choose at least one compulsory optional activity:

**e) Establishing and developing cooperation between research teams and application sector (including foreign entities) in order to obtain suggestions for further development, and experimental verification of research intents.**

The establishment and development of cooperation with the application sector, which is realized by the project team as part of project activities, and mainly serves to analyse the applicability of research results and transfer of practical knowledge and experience from the application sector to the research sector, and vice versa. Transfer of knowledge and experience should be beneficial to both parties. Collaboration with an application sector entity is based on a partnership outside of the project scope.

The benefits and development of cooperation **for a research organization** include, in particular, obtaining practical data and feedback to validate the applicability of their research results and to set further direction of pre-application and subsequent applied research.

The benefits and development of cooperation **for an application sector entity** include, in particular, obtaining information for possible applicability of research results, obtaining information about current technological possibilities of research results for innovation and about future direction of research, and thus the possible direction of innovation in the application sector.

#### **Expected results and outputs:**

Cooperation may be declared, for example, through a Memorandum of Understanding (the “MoU”), or another appropriate contractual relationship. Such a declaration of a relationship must contain the plan which is related to the research activities of the project, and the expected form of possible cooperation beneficial to the parties involved. Further cooperation may develop based on the transfer of research knowledge to the application sector and vice versa (feedback on the research results from the application sector), and may take any form based on the research results created within the project.

The output takes form of a Memorandum of Understanding or another contractual relationship used as a basis for research cooperation or a two-way transfer of knowledge and experience. Commercial cooperation may not be part of the project.

Cooperation may also involve outputs such as the organization of joint seminars with the representatives of the application sector, visits to the application sector entities, participation in trade



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fairs, twinning with application sector entities (including foreign entities), publication of research results together with application sector, etc.

**f) Preparation of international project applications related to project activities and intents.**

As part of the activity, project applications will be prepared for international grant projects which are related to the project being implemented. This requires such applications (at least one) to be submitted during the project implementation. An application must be submitted to a provider from outside the Czech Republic rather than to a provider from the Czech Republic; no other constraint is defined. Contractual cooperation with a company is not considered as a grant application, such as contract research, or other forms which do not constitute a grant title.

**Expected results and outputs:**

The monitored result takes the form of the number of participations of research teams from the Czech Republic in foreign international cooperation programs. This includes the participation in international cooperation projects for which funding was approved after the date of project approval in OP RDE (see indicator No 2 03 12 – Number of participations of supported research teams in international cooperation programs).

Minimal expected output, which is not reflected in the monitoring indicators, is the confirmation of the submission of a project application during the implementation of the pre-application project. The form depends on the nature of the grant title. It may be, for example, a confirmation from a filing system. If there is no adequate confirmation available, the applicant must provide a statutory declaration that the application has been submitted, together with a list of the organizations involved and a brief description stating the relation of the application to the project being implemented.

**g) Analysis of the potential of practical application of the research results.**

The activity focuses on analysing the applicability of relevant research result parameters, i.e. determining the timeframe, the intellectual property form or collaboration with application sector and the technological readiness which are required for the results to be applied in practice, what further application completion is required, etc. However, such an analysis must be focused solely on the technological parameters of the research results, not on product specifications.

In this case, this does not include a marketing study or product analysis, which must not be part of the project. The analysis may include market research. The analysis may lead to seeking partners from the application sector; such a partnership is to be developed outside the project scope.

Activities under this activity cannot be outsourced.

**Expected results and outputs:**

They are not reflected in any monitoring indicators. The most common form is the actual analysis,



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which may include, for example, an expression of interest in the form of a “Letter of Interest”.

### **Optional activities**

The applicant may choose from the following optional activities:

#### **h) Purchase of infrastructure necessary for the project research intents and their experimental verification, including constructions works related to the infrastructure installation.**

The instruments/equipment acquired under the activity must be properly justified and the purchase must be essential for the implementation of the described research intent.

Construction works constitute a permitted activity only if they are directly related to the installation of acquired infrastructure.

#### **Expected results and outputs:**

The activity is related to the following monitoring indicators:

- 2 41 01 Number of expanded or modernized research centres
- 2 05 00 Number of researchers working in modernized research infrastructures

The output takes the form of acquired instruments/equipment.

#### **i) Professional training necessary for implementation of the project's research activities.**

Support is provided to education in the form of specialized courses, seminars and similar educational activities that have a direct relation to the research activities of the project. This does not include long-term and lifelong education or education aimed at developing soft skills.

This activity is relevant in connection with the following supported activities: (b), (c), (g).

#### **Expected results and outputs:**

Completed specialized courses, training and similar educational activities.

#### **j) Activities leading to the dissemination of the results of joint research and its outputs.**

Activities related to the dissemination of results must have a direct relation to the research activities of the project. These include e.g. conferences, workshops, seminars, fairs – organisation, active participation, presentation of the results to potential clients (presentation in the application sector, research sector and to interest organizations).

#### **Expected results and outputs:**



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Implemented promotional activities.

The activity is related to the following monitoring indicator:

- 5 10 17 Number of organised one-off events

Activities that are eligible for the implementation by a foreign project partner: (b), (c), (d), (e), (f), (g), (j).

#### **Excluded activities:**

Construction, building alterations not related to the installation of acquired infrastructure (except for activities defined within the supported activities), activities related to the finalization and marketing of a product, outsourcing of supported project activities (the implementation of a supported activity as a whole cannot be entrusted to another entity), performing contract research or research services by the beneficiary or partner as part of project activities.

#### **5.2.5. Setting of the project budget and financial plan**

Specified in the Rules for Applicants and Beneficiaries – General Part. Furthermore, the following applies to projects under this Call:

Projects under this call are subject to the following budget chapter/item limits:

- Budget item Outsourced services – the limit for this budget item is max. 35% of the total eligible project expenditure.
- Budget chapter Direct Activity Expenditure – investment – the limit for this budget chapter is max. 30 % of the total eligible project expenditure.
- Budget chapter Local Office – the limit for this budget chapter is max. 15% of the total eligible project expenditure.

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

Regulated in the Methodical Letter No 1 to the Rules for Applicants and Beneficiaries – General Part, version 4.

#### **5.2.6. Cost-benefit analysis (CBA)**

The submission of a CBA for projects where the amount of investment expenditure does not exceed 50% of the total eligible project expenditure is not required. A CBA is not required for this call (for more information, see rules Rules for Applicants and Beneficiaries – General Part).



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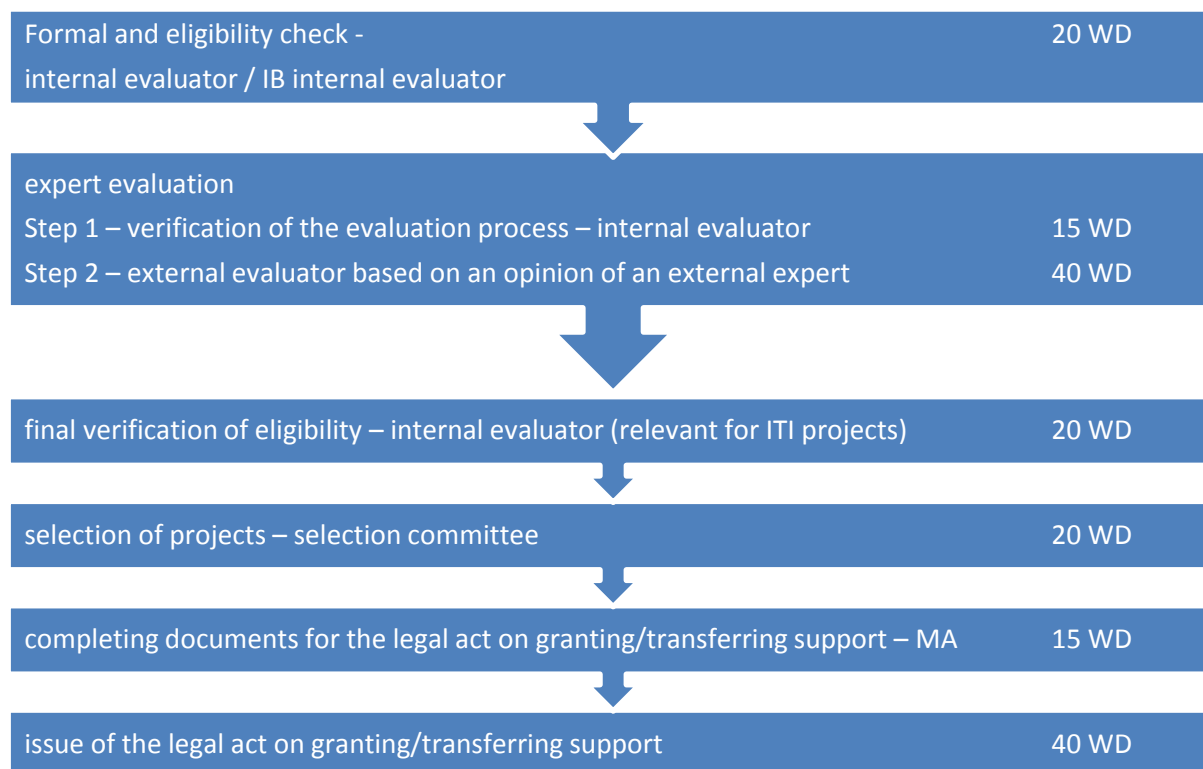
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### 5.3. Receipt of applications for support

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

### 5.4. Approval phase

Phases of the approval process, incl. partial time limits<sup>8</sup> (WD – working day):



#### 5.4.1. Eligibility and formal check

The phase of checking eligibility and formalities will be ensured by MA internal evaluators / internal evaluators of intermediate bodies (IB) in CSSF14+. For calls outside the ITI, this is checked by an internal evaluator. For ITI calls, this is checked by the IB evaluator. The eligibility and formal check is to be completed within 20 working days from the end of receipt of applications for support. The result of the evaluation phase is notified to the applicant by an internal dispatch.

The criteria of eligibility and formal check, incl. the description of the evaluation method, form a separate annex to the Call. The criteria have an exclusionary function, they are evaluated as a YES/NO, i.e. pass/fail (or irrelevant for the project). The criteria for formal and eligibility checks are divided into correctable (i.e. the applicant may make additions during the approval process at the request of the MA OP RDE), and non-correctable (i.e. non-compliance always means exclusion from the approval process without the applicant being allowed to make any additions).

<sup>8</sup> Partial time limits are indicative.



If the applicant fails to comply with any of the correctable criteria as part of formal check, the applicant is requested once to add through IS KP14+ the missing information within a period of 10 working days from the date on which the request is delivered. If, at the request of the OP RDE to add data, the applicant fails to add the missing information/documents (sufficiently as required by the MA OP RDE and within the time limit), the application for support is excluded from the approval process.

Failure to meet any of the non-correctable criteria leads to the project being excluded from further approval process.

#### **5.4.2. Expert evaluation**

Expert evaluation is provided for by experts – external evaluators and experts selected from the Database of Evaluators of the MA with respect to the thematic/sectoral focus of the submitted application for support (the expert is from abroad). All evaluators and experts pass through a proper selection procedure, and subsequently a specialized training focused on the evaluation of applications for support in Priority Axis 1 and on the specificities of the Call. Step 1 of the expert evaluation phase will be completed no later than 15 working days after the completion of the previous approval phase. Step 2 of the expert evaluation phase will be completed no later than 40 working days after the completion of the previous expert evaluation step. In the case of ITI projects, final verification of eligibility forms a separate evaluation phase (see chapter 5.4.3.). The result of the expert evaluation will be notified to the applicant by an internal dispatch.

Expert evaluation of each application for support is carried out in step 1 by an internal evaluator in the evaluation table in CSSF14+. Criteria in step 1 are exclusion criteria. Criterion V1.2 Verification of the evaluation process is relevant only for ITI projects. In step 2, each application for support is always evaluated separately by two evaluators in the scoring table in IS KP14+; the final score is calculated as the average score assigned by both evaluators. In their assessment, the evaluators use the opinion of an external expert on selected evaluation criteria of the expert evaluation. The external expert will prepare his/her opinion on those criteria at the start of the evaluation process (no later than in step 1 of expert evaluation), so that the opinion is available to both evaluators. The evaluators will take the opinion into account and integrate it in their evaluation. Overall, expert evaluation results in two scoring tables of evaluators.

If at least one of the following conditions is met, another independent evaluator called arbitrator is assigned to the evaluation:

- individual evaluators differ in their opinion to recommend / not recommend the application for support for funding under any of the combined or exclusion criteria, or root criteria, i.e. one of the evaluators recommends the application for support within one of these criteria, the other does not;
- for at least one of the evaluation criteria or root criteria for which the annex to the call “Evaluation criteria” specifies a minimum score difference for the use of an arbitrator, the variance in the scores of evaluators is equivalent to at least the score difference;
- the overall scores of the evaluator differ significantly, i.e. the score difference is at least 20% of the total score;



- individual evaluators differ in their opinion to recommend / not recommend an application for support, i.e. one evaluator recommends the application and the other does not. The overall score of the project evaluation is the score awarded by the arbitrator, and the scoring table of the arbitrator.

**The arbitrator** carries out a complete evaluation of the application for support. In performing the evaluation, the arbitrator has the previous two evaluations produced by both evaluators and the expert opinion at his/her disposal. The arbitrator's score for individual evaluation criteria must fall within the score range awarded by the previous two evaluators. The overall score is defined by the arbitrator's scoring table. The arbitrator completes the table based on the scores of individual criteria and based on his/her own evaluation. The overall score of the project evaluation is the score awarded by the arbitrator, and the scoring table of the arbitrator.

Expert evaluation criteria incl. their function and description of the evaluation method form a separate annex to the Call. Expert evaluation criteria have evaluation, exclusion, or combined function:

- Evaluation criteria are those where compliance/non-compliance with the criterion is scored.
- Exclusionary criteria are those whose non-compliance implies the exclusion of the application for support from the approval process.
- Combined criteria are those where compliance/non-compliance with the criterion is scored; failure to reach the minimum score set by the Call means exclusion of the application for support from the approval process.

The evaluator/arbitrator records the evaluation in the scoring table, awarding scores to various criteria and providing a comment/justification for each evaluation. The maximum score that can be awarded in the expert evaluation by one evaluator is specified in the annex "Evaluation Criteria". At the end of the table, the evaluator fills out the overall comment. The score awarded by the evaluator/arbitrator determines whether or not a project advances to the next phase of the approval process:

**YES** – if a project receives at least the minimum score to advance to the next evaluation phase (see annex "Evaluation Criteria") and, at the same time, reaches the minimum score of all combined (sub-) criteria, and simultaneously fulfils all the exclusion criteria, the application for support advances to the next phase of the approval process;

**NO** – if the project receives less than the minimum score to advance to the next evaluation phase (see annex "Evaluation Criteria") and/or fails the minimum score limit of at least one of the combined (sub-) criteria and/or fails at least one exclusion criterion, the application for support is excluded from further approval process.

### 5.4.3. Final eligibility verification

This is a specific phase of the project evaluation process, relevant only to integrated ITI projects. Verification of compliance with the programme, meeting the eligibility rules and an overall verification of the



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evaluation process is carried out by an internal evaluator based on exclusion criteria. The evaluation phase will be completed no later than 20 working days after the completion of the previous phase. The rule of four eyes must be applied in the verification, i.e. one evaluator carries out independent evaluation, which is checked by an approver. The approver is also the second evaluator, i.e., the approver approves the evaluation and also verifies the accuracy of the evaluation of the first evaluator (i.e. also carries out evaluation).

Internal evaluators carry out the evaluation according to pre-defined criteria and fill in the form in MS2014+. For each criterion, they state a clear and understandable justification for the evaluation result (excluding criteria which are clear and objectively verifiable from the results of the verification).

The MA cannot change the sequence of the projects, it can only state that the project is or is not eligible for funding or is eligible with an objection (i.e. only if a certain condition is met, e.g. if the budget is modified, an ineligible item of expenditure is excluded, etc.).

If all uncorrectable criteria are met (or cannot be evaluated for lack of information in the application for support) and one or more correctable criteria are not fulfilled, the applicant must be requested (at least once) to complement the application for support via MS2014+ within no less than working days after the request is delivered. After the applicant provides the requested information, the evaluators verify again whether the application has been duly supplemented and evaluate again the originally unfulfilled criteria of the final eligibility verification.

#### **5.4.4. Selection of projects**

Projects are selected by a selection committee composed of experts – external national and/or foreign evaluators selected from a Database of Evaluators of the Managing Authority with respect to the thematic/sectoral focus of the application for support, and internal evaluators/representatives of the Managing Authority. All evaluators pass through a proper selection procedure, and subsequently a specialized training focused on the evaluation of applications for support in Priority Axis 1 and on the specificities of the call. The project selection phase will be completed no later than 20 working days after the completion of the previous approval phase.

The rules and criteria according to which the selection committee evaluates applications for support are determined by the Statute and Rules of Procedure of the selection committee, the model of which is available at <http://www.msmt.cz/strukturalni-fondy-1/vzory-dokumentu-op-vvv>.

The selection committee decides whether or not the application for support will be recommended for funding, or recommended with an objection. In the case of recommendations with an objection, the project receives support only once all the objections specified by the selection committee have been addressed.

In addition to objections, the selection committee may also formulate recommendations for successful applicants in the minutes of its meeting. Respecting the recommendation of the selection committee or the failure to do so by the applicant has no effect on the recommendation / non-recommendation of the application for support. It is up to the applicant to decide whether or not to reflect the recommendation in the application for support.

In the case of a call outside ITI:



After the discussion/formulation of any objections and (non-)recommendation of all the projects, the selection committee ranks the projects using an algorithm described below and, in the resulting ranking, sets a limit to be reached by recommended projects with regard to the financial allocation of the Call. If the threshold of the available allocation is set between projects with the same score, the MA must decide to increase the allocation so that all projects with the same score are supported, or to support none of the projects on the borderline of available allocation, i.e. the allocation of the call will not be fully disbursed.

In the case of an ITI Call:

After the discussion/formulation of any objections and (non-)recommendation of all the projects, the selection committee ranks the projects in each allocation for individual ITIs using an algorithm described below and, in each resulting ranking, sets a limit to be reached by recommended projects with regard to the financial allocation for individual ITIs. If the threshold of the available allocation is set between projects with the same score, the MA must decide to increase the allocation so that all projects with the same score are supported, or to support none of the projects on the borderline of available allocation, i.e. the allocation of the call will not be fully disbursed.

The list of (non-)recommended applications for support is signed by the Deputy Minister for the Management of the Operational Programmes Section.

Project selection concerning applications for support recommended with an objection/recommendation, is followed by negotiation, in which the applicant modifies the application for support in accordance with the objections/recommendations of the selection committee, and subsequently sends the supplemented/modified application for support to the MA.

### **Determining the final ranking of projects**

Concerning projects recommended for funding, the first step is the conversion of project ranking according to their classification in domain groups. The reason for taking into consideration project domain for the ranking assembly is based on domain differences in evaluators evaluation. The score of projects which are comparable in terms of quality varies depending on the project's domain classification<sup>9</sup>.

Each project application is currently classified under one primary domain, as defined in Chapter 5.2.4. According to this primary domain, each project application then falls under one of the following domain groups:

- Group 1:      1AB1 – Social sciences
  
- Group 2:      1AB2.1 - 1AB2.4 – Mathematics  
                         1AB8 – Informatics

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<sup>9</sup> Doing Hirsch proud; shaping H-index in engineering sciences: L. Czarnecki, M.P. Kaźmierkowski, A. Rogalski3, Bulletin of the Polish Academy of Sciences: Technical Sciences. Volume 61, Issue 1, Pages 5–21, ISSN (Print) 0239-7528, May 2013.





1AB9.1 – 1AB9.4 – Industry: Electrical engineering and robotics

- Group 3: 1AB3 – Chemistry  
1AB4 – Earth, atmosphere and environment sciences  
1AB2.5 - 1AB2.15 – Physics
- Group 4: 1AB5 – Biology
- Group 5: 1AB6 – Medicine
- Group 6: 1AB7 – Agriculture
- Group 7: 1AB9.13 – 1AB9.14 – Industry: Engineering and construction  
1AB9.15 – Industry: Land transport systems and equipment  
1AB9.16 – Industry: Industrial processes and processing  
1AB9.21 – 1AB9.23 – Industry: Aviation and space technology  
1AB9.24 – Industry: Military engineering
- Group 8: 1AB9.5 – 1AB9.6 – Industry: Energy sector  
1AB9.17 – 1AB9.20 – Industry: Mechanical engineering
- Group 9: 1AB9.7 – 1AB9.12 – Industry: Materials

The final ranking of projects taking account of the best projects in domain groups is created as follows (see also the figure below):

**(A) Preparation of domain groups:**

- A.1 Projects are ranked in each domain group by score, in descending order from the project with the highest score.

**(B) Selection step 1 (the best projects from domain groups):**

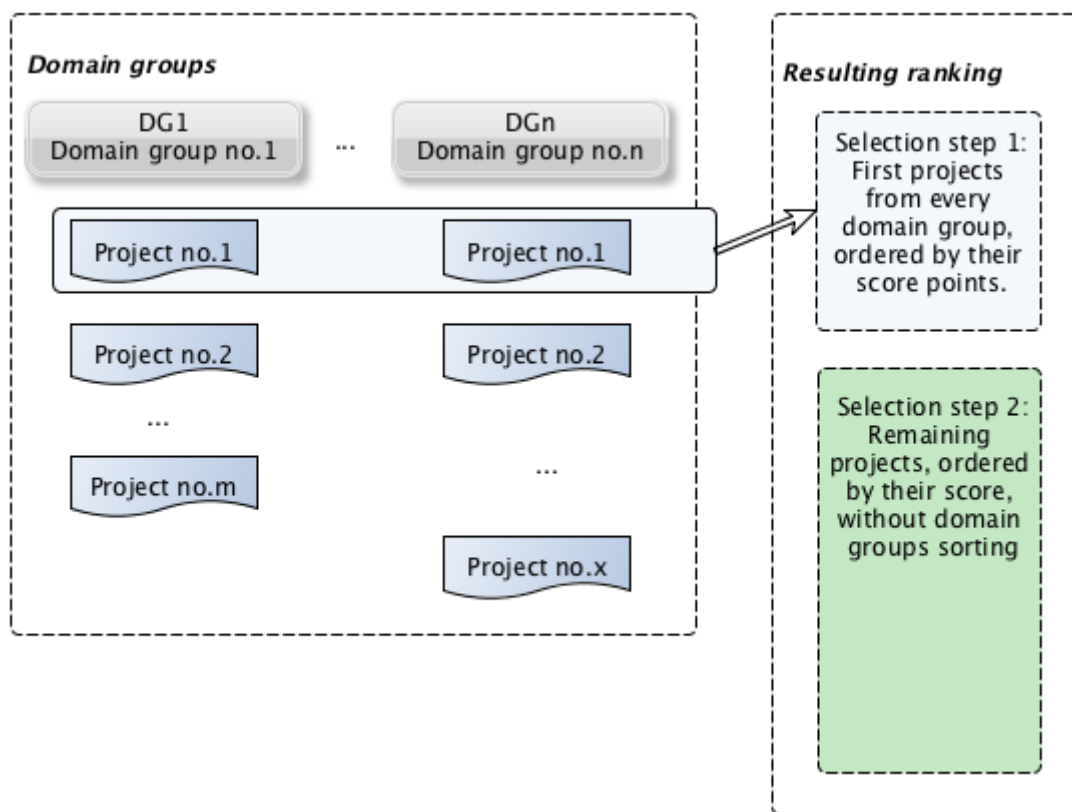
- B.1 The final ranking includes projects which placed first in domain groups; they are ranked depending on their scores in descending order from the project with the highest score.

Where the domain group is empty, no project from that group will be included in the final ranking.



### (C) Selection step 2 (projects not taking account of domain groups):

- C.1 Projects remaining after selection – step 1 are included in the final ranking according to their scores in descending order from the project with the highest score, regardless of the sector group.



### 5.5. Manner to announce the results of the approval process to the applicant

Covered in the Rules for Applicants and Beneficiaries – General Part.

## 6. CHAPTER – PROCESSES AND RULES FOR THE ISSUE OF A LEGAL ACT ON GRANTING/TRANSFERRING SUPPORT

### 6.1. Provision of financial support to the applicant

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

### 6.2. Forms of allocation of funds

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



### 6.3. Notification of approval of application for support from OP RDE

Successful applicants are contacted by the MA OP RDE through an internal dispatch with a request to present documents needed to issue the legal act on granting/transferring support. The applicant is obliged to submit the necessary documents within 15 working days from the receipt of the dispatch. If the applicant fails to meet the determined conditions, he/she will be excluded from the approval process.

After the delivery of the required documents by the applicant, the MA OP RDE begins compiling and preparing the documents for the issue of the legal act on granting/transferring support. The legal act on granting/transferring support is issued within 40 working days from the date on which the applicant submits all the documents required by the provider of support to issue the legal act on granting/transferring support. There is no legal entitlement to the support.

### 6.4. Documents needed to issue a legal act on granting/transferring support

The documents required to issue the legal act, including the delivery method, are described in detail in the Rules for Applicants and Beneficiaries – General Part.

The list of documents before the issue of a legal act is as follows:

- 1a) Proof of absence of debt with authorities** – where applicable<sup>10</sup>
- 1b) Statutory declaration of absence of debt with authorities** – where applicable
- 2) Power of attorney / mandate to represent** – where applicable
- 3) Statutory declaration of active data box** – where applicable
- 4) Partnership agreement** – if a partner is involved, where applicable
- 4a) Clause certifying the founder's approval of the conclusion of the partnership agreement** – where applicable
- 5) Statutory declaration of the partner** – where a partner is engaged
- 6) Proof of annual turnover** / relevant document, unless already submitted together with the application for support
- 9) Proof of bank account / sub-account**
- 11) Changes since the submission of the application for support**

When making changes before issuing the legal act, the applicant is obliged to act in accordance with chapter 7.2 by analogy.

- 12) Building annexes<sup>11</sup>** – Relevant only for projects containing activities of building nature

The list may be further specified in the request for documents needed to issue the legal act. The applicant is required to demonstrate a modified application for support in IS KP14+ as instructed by the MA OP RDE administrator, including an updated pre-financing and accounting financial plan (if necessary to make

<sup>10</sup> not to be demonstrated by SOU and PCO SOU

<sup>11</sup> For more information on building annexes, see Rules for Applicants and Beneficiaries – General Part, Annex 10.



budget cuts based on the evaluation/selection), which will serve to set binding interim financial indicators of the project and to determine the amount of the first advance payment to be specified in the legal act on granting/transferring support.

## **6.5. Allocation of financial support**

Covered in the Rules for Applicants and Beneficiaries – General Part.

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

## **7.1. Monitoring**

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

### **7.1.1. Interim Project Implementation Report**

Specified in the Rules for Applicants and Beneficiaries – General Part Furthermore, the following applies to projects under this Call:

The beneficiary is obliged to submit the first interim Project Implementation Report / Payment Application within 20 working days after the expiry of three months from the date on which the legal act on granting/transferring support was issued. The beneficiary must submit the next interim Project Implementation Report / Payment Application within 20 working days after the expiry of six months from the end of the previous reporting (monitoring) period.

The procedure for the administration, returning for revision and approval of the Project Implementation Report / Payment Application is described in the Rules for Applicants and Beneficiaries of OP RDE – General Part, Chapter 7.1.

If the beneficiary incurred the eligible expenditure on the project before the legal act on granting/transferring support was issued, the beneficiary may submit its first interim Project Implementation Report / Payment Application earlier in accordance with Chapter 7.1.1 of the Rules for Applicants and Beneficiaries of the OP RDE – General Part (to be found under Earlier submission of the Project Implementation Report / Payment Application).

### **7.1.2. Information on progress towards project implementation**

Specified in Rules for Applicants and Beneficiaries – General Part.

### **7.1.3. Final Project Implementation Report**

The beneficiary is obliged to submit to the MA OP RDE the final Project Implementation Report / Payment Application within 40 working days after the completion of physical implementation of the project.



#### **7.1.4. Final project report for the entire project implementation period (hereinafter “Final IR for the entire implementation period”)**

The beneficiary must submit this type of the Final Report if the project meets one of the conditions specified in the Rules for Applicants and Beneficiaries of OP RDE – General Part. The beneficiary submits the Final Report within 40 working days after the completion of the physical implementation of the project. If the beneficiary is required to submit this type of the Final Report, the beneficiary does not submit the final Project Implementation Report (mentioned in the previous Chapter 7.1.3.).

#### **7.1.5. Interim Project Sustainability Report**

The beneficiary must submit the interim Project Sustainability Report for a period of five years from the date when the project acquired the status “Project financially terminated by the MA” for each completed year in accordance with the Rules for Applicants and Beneficiaries of the OP RDE – General Part. The fulfilment of the conditions during the project's sustainability period is based on Article 71 of the General Regulation 1303/2013.

#### **7.1.6. Final Project Sustainability Report**

The beneficiary must submit the final Project Sustainability Report within 10 calendar days after the end of the sustainability period for 5 years, in accordance with the Rules for Applicants and Beneficiaries – General Part.

### **7.2. Changes and additions to the project**

Specified in Rules for Applicants and Beneficiaries – General Part Furthermore, the following applies to projects under this Call:

If there is a change in the position of a key/excellent worker, it is necessary for the new worker to have a similar qualification as the worker being replaced. The required qualification will be evaluated according to the worker's CV.

The project may be subject to a change in progress towards the research plan, which is considered an insignificant change; however, the expected outputs/indicators must remain unchanged. A change in a Research Objective constitutes a significant change not requiring a change in the legal act on granting/transferring support.

**The following also applies to projects submitted under ITI:**

The obligation to accompany a request for a significant change with an Opinion of the ITI Steering Committee on a Request for a Project Change. The changes concerned are described in the Guideline on Integrated Instruments; this document also contains a model “Opinion of the ITI Steering Committee on a Request for a Project Change”.

### **7.3. Project completion and sustainability**

Specified in Rules for Applicants and Beneficiaries – General Part.



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### **7.3.1. Timeframe for project completion**

Specified in Rules for Applicants and Beneficiaries – General Part.

### **7.3.2. Project completion in terms of formal aspects**

Specified in Rules for Applicants and Beneficiaries – General Part.

### **7.3.3. Project completion in terms of monitoring and financing**

Specified in Rules for Applicants and Beneficiaries – General Part.

### **7.3.4. Failure to achieve the purpose of the grant upon project completion**

Specified in Rules for Applicants and Beneficiaries – General Part.

### **7.3.5. Early termination of the project**

Specified in Rules for Applicants and Beneficiaries – General Part.

### **7.3.6. Project sustainability**

Sustainability of the project is 5 years from the date when the project acquired the central status “Project financially completed by the MA”. The fulfilment of the conditions during the project's sustainability period is based on Article 71 of the General Regulation.

Sustainability covers all infrastructure acquired and created as part of project implementation and from project funds. The acquired infrastructure is primarily used in accordance with its intended objective, and also in accordance with the conditions for aid provided under a scheme not constituting State aid, see chapter 15. Building alterations carried out in connection with the installation of the acquired infrastructure (instruments) are considered in terms of lifetime with regard to the equipment's design lifetime.

The beneficiary may not sell or otherwise alienate the tangible and intangible fixed assets whose acquisition expenses are included in the eligible expenses of the project throughout the implementation and sustainability of the project. This does not affect the simple replacement of assets, particularly in the context of technological development, where assets of the same type are replaced with technologically more advanced ones. Assets may be pledged or mortgaged, encumbered with easement, rented for the long term or otherwise legally encumbered only with the prior express written consent of the Managing Authority (Application for a material change, see chapter 7.2).

The expenditure associated with the financing of the sustainability of project outputs during project sustainability are not covered from the approved budget funds allocated for project implementation. These expenses may be paid either from the beneficiary's own resources, or the beneficiary may ensure the sustainability of project outputs by engaging in sustainability facilitating programmes.

## **7.4. Keeping of documents**

Specified in Rules for Applicants and Beneficiaries – General Part.



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

### **8.1. Project funding**

#### **8.1.1. Ex-post funding**

Specified in the Rules for Applicants and Beneficiaries – General Part Furthermore, concerning projects in this Call, this type of financing is relevant where the applicant/beneficiary is a State organisational unit (SOU) or a publicly co-funded organization of a State organisational unit (PCO SOU) whose founder is an SOU other than the MEYS.

#### **8.1.2. Ex-ante funding**

Specified in Rules for Applicants and Beneficiaries – General Part Furthermore, concerning projects in this Call, this method of financing is specified for all applicants/beneficiaries, except those who are mentioned in Chapter 8.1.1. The beneficiaries will receive the first advance payment in the amount calculated as the sum of the planned expenditure for the first two reference periods specified in the financial plan; however, the amount shall not exceed 25% of the estimated total eligible project costs. For the first advance payment to be sufficient and reasonable, it is essential that information on planned expenditure for each reference period is determined based on a real estimate of when the actual eligible expenditure will be incurred.

#### **8.1.3. Financing by combined payments**

For projects in this Call, this type of funding is irrelevant.

#### **8.1.4. Making payments of SOUs publicly co-funded organizations of SOUs (PCO SOU)**

Specified in Rules for Applicants and Beneficiaries – General Part.

#### **8.1.5. Co-financing in OP RDE projects**

Specified in the Rules for Applicants and Beneficiaries – General Part Furthermore, the following applies to projects under this Call:

The co-financing rate is set in accordance with the Rules for Applicants and Beneficiaries – General Part, Chapter 8.1.5.

If the beneficiary is obliged to co-finance the project, the beneficiary shall describe the method of co-financing in the application for support.

In order for an applicant/beneficiary to be able to be categorized as a “Public higher education institutions and research organizations” type to determine the co-financing rate, it is necessary for the applicant/beneficiary to meet the definition of a research and knowledge dissemination organisation according to Article 15(ee) of the Community Framework for State aid for research and development and innovation, as well as the conditions for the provision of institutional support in accordance with Act No 130/2002 Sb., on the support of research, experimental development and innovation, as amended. If the entity is not an SOU or PCO SOU, its co-financing rate is at least 5% of the total eligible project expenses.



If the applicant/beneficiary meets the above definition, and at the same time it is an **SOU or PCO SOU**, **its co-financing rate is 0 %**.

Each approved payment automatically breaks down in the monitoring system to public and private resources. The beneficiary receives to its account only funds in the amount of the public resources (EU and State budget share). The beneficiary contributes the funds in the amount of own resources to the project by itself.

In the final payment application, the MA OP RDE checks whether the beneficiary has provided the adequate share of own resources in relation to total accounted eligible project expenses.

Table: The distribution of funds between programme areas of the OP RDE (between less and more developed regions) is to be completed by the applicant in the application for support in the tab Specific Objectives.

Project location:	Project impact location:	Less developed region	More developed region
Less developed region	Less developed region	100%	0%
More developed region	Less developed region	100%	0%
More developed region and less developed region	Less developed region	100%	0%
More developed region	More developed region and less developed region	74%	26%
More developed region and less developed region	More developed region and less developed region	74%	26%

Table: The distribution of funds between programme areas of the OP RDE in ITI projects (between less and more developed regions) is to be completed by the applicant in an application for support in the tab Specific Objectives.

Project location:	Project impact location:	Less developed region	More developed region
Less developed region	Less developed region	100%	0%
More developed region and less developed region	Less developed region	100%	0%

The individual breakdowns of the financing sources depending on the beneficiary type are set out in the Rules for Applicants and Beneficiaries – General Part, Chapter 8.1.5, Table 1.

## 8.2. Accounting and documentation

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



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### 8.3. Bank account

Covered in Rules for Applicants and Beneficiaries – General Part.

### 8.4. Cash register

Specified in Rules for Applicants and Beneficiaries – General Part.

### 8.5. Value added tax

Specified in Rules for Applicants and Beneficiaries – General Part.

### 8.6. Expense reporting

Specified in Rules for Applicants and Beneficiaries – General Part .

#### 8.6.1. Full expense reporting

Specified in Rules for Applicants and Beneficiaries – General Part Furthermore, concerning projects under this Call, this method of expenditure reporting applies to all types of eligible applicants/beneficiaries under this Call.

#### 8.6.2. Simplified expenditure reporting

Not relevant to projects under this Call.

### 8.7. Eligible expenditure

#### 8.7.1. General conditions for the eligibility of expenses

Specified in the Rules for Applicants and Beneficiaries – General Part Furthermore, the following applies to projects under this Call:

##### Temporal eligibility

Expenditure is eligible from the time of publication of the Call in IS KP14+.

#### 8.7.2. Eligible expenses by type

Specified in the Rules for Applicants and Beneficiaries – General Part Furthermore, the following applies to each type of expenditure:

##### Direct non-investment expenditure

##### Personnel expenditure:

In accordance with chapter 8 of the Rules for Applicants and Beneficiaries – General Part, projects under this Call use the below options to set the salaries, which are defined in Version 2 of the document List of salaries and possible methods to determine the salaries of employees/workers involved in the implementation of projects of Operational Programme Research, Development and Education, available at: <http://www.msmt.cz/strukturalni-fondy-1/zpusobilost-mezd-platu-op-vvv>:



- ad 1 – Determination of the salary using ISAE
- ad 2 – An alternative method to calculate the salary/remuneration (the method to determine the salary/remuneration can be used only for experts from international organizations);
- ad 3 – Determination of salary for key/excellent employees/workers (key and excellent workers are defined in Chapter 2)

### **8.7.3. In-kind contributions in OP RDE**

Not relevant to projects under these Calls.

### **8.7.4. Indirect costs**

Not relevant to projects under these Calls.

## **8.8. Ineligible expenses**

Specified in Rules for Applicants and Beneficiaries – General Part.

All expenses related to the excluded activities and not related to the implementation of the supported project are ineligible.

## **8.9. Project revenues**

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

## **8.10. Financial penalties (sanctions) for breach of duties of the beneficiary/partner**

Specified in Rules for Applicants and Beneficiaries – General Part.

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

Specified in Rules for Applicants and Beneficiaries – General Part.

## **10.CHAPTER – PROCESSES AND RULES OF APPEALS**

Covered in the Rules for Applicants and Beneficiaries – General Part, as specified in the Methodical Letter No 1 to the Rules for Applicants and Beneficiaries – General Part, version 4.

## **11.CHAPTER – OP RDE INDICATORS**

### **11.1. Definitions**

Specified in Rules for Applicants and Beneficiaries – General Part.



## 11.2. Guidelines for applicants

When preparing an application for support, the applicant is required to select **all** relevant output and result indicators.

“Overview of key outputs contributing to the ERDF project indicators” is attached as an annex to the application for support. In this annex, the applicant specifies partial key outputs of indicator 2 41 01 Number of expanded or modernised research centres (e.g. acquired instrumentation and necessary building alterations), which are necessary for the fulfilment of the indicator. This overview must financially quantify the partial indicator output, specify the link to the project budget and a clear link to the project schedule. These partial outputs should be determined per unit of the target indicator value.

For example, if the target value of the indicator 2 41 01 Number of expanded or modernized research centres is two, the applicant must clearly separate the partial indicator outputs, the purpose and link to the schedule per unit 1, unit 2, etc. if their content is different.

## 11.3. Instructions for beneficiaries

As part of the project, the annex “Overview of key outputs contributing to the ERDF project indicators” is attached to the Project Implementation Report (see Chapter 7.1) with a list of key outputs generated in the reporting (monitoring) period. Change of plans follows the procedures described in Chapter 7.2.2 of the Rules for Applicants and Beneficiaries – General Part, as a significant change not requiring a change in the legal act.

### Indicator system for the Call “Pre-Application Research”

Type	NCI code	Indicator	Monitoring and documentation
Output	2 04 00 (CO 24)	Number of new researchers in supported entities	<p>The indicator values are monitored regularly during the project.</p> <p>In each Project Implementation Report, the beneficiary must submit:</p> <p>“The list of researchers by category”, where the beneficiary must differentiate between newly created and existing jobs, see the model on the website of the MEYS.</p> <p>The values must be achieved by the date of project completion specified in the legal act on granting/transferring support.</p> <p>It is necessary to submit a copy of the employment contract of the employee (or agreement to perform work, agreement to complete a job, etc.). If submitted as part of documents for accounting, it is not necessary to submit it again, it is sufficient to make a reference.</p>



			The contract/agreement or another appropriate document (e.g. work sheet) must clearly define the FTE share in the professional team.
	2 04 02	Number of new researchers in supported entities – women	The indicator values are monitored regularly during the project.  Submitted only within indicator CO 24.
	2 05 00 (CO 25)	Number of researchers working in modernised research infrastructures	The indicator values are monitored regularly during the project.  In each Project Implementation Report, the beneficiary must submit: “The list of researchers by category”, where the beneficiary must differentiate between newly created and existing jobs, see the model on the website of the MEYS.  It is necessary to submit a copy of the employment contract of the employee (or agreement to perform work, agreement to complete a job, etc.). If submitted as part of documents for accounting, it is not necessary to submit it again, it is sufficient to make a reference.  The contract/agreement or another appropriate document (e.g. work sheet) must clearly define the FTE share in the professional team.  This indicator is mandatory and is fulfilled only when implementing activity h) Purchase of infrastructure necessary for project research plans and their experimental verification.
	2 05 02	Number of researchers working in improved research infrastructure facilities – women	The indicator values are monitored regularly during the project.  Submitted only under indicator CO 25.
	2 41 01	Number of expanded or modernised research centres	The applicant is required to specify this indicator in the annex to the application for support / Implementation Report – Overview of key outputs contributing to the ERDF project indicators.  It is necessary to specify the indicator value in the year when the target value is reached, i.e. in the year when expanded or modernised research centre is delivered for use / purchased equipment is commissioned (e.g. issuing the use permit, approval of test/pilot operation, etc.).  Project Implementation Report:  It is necessary to submit a copy of the use permit, delivery and/or acceptance certificate or another relevant document, as well as an accounting document – proof of purchase, document on the inclusion into



			<p>assets (e.g. inventory card) depending on the type of infrastructure.</p> <p>If such a document has already been submitted, e.g. as part of a submitted payment application, it is sufficient to make a reference to it.</p> <p>The applicant must choose the indicator when implementing activity (h) Purchase of infrastructure necessary for the project's research intents and their experimental verification.</p>
	5 10 17	Number of organised one-off events	<p>The indicator values are monitored regularly during the project.</p> <p>The beneficiary accompanies the Project Implementation Report with a list of organised one-off events supported from the OP RDE.</p> <p>The list shows the focus of the event, the number of attendees, and the date of the event.</p> <p>For an on-the-spot control of project documentation, the beneficiary shall keep attendance sheets, invitations, agenda, and presentation/minutes.</p> <p>The indicator is elective when implementing activity (j). Activities leading to the dissemination of the results of joint activity and its outputs.</p>
Result	2 02 11	Publications created by supported entities (selected types of documents)	<p>The reported value is the value since the start of the physical implementation of the project in the monitoring period. Specialised publications – must be related to the professional focus of the project.</p> <p>In the Annex to the Project Implementation Report, it is sufficient to submit a list of publications. The list must include the exact link to the online version of the publication or a DOI identifier, which allows unequivocal tracing of the inclusion of the publication in Thomson Reuters Web of Science or Scopus, ERIH PLUS. It is also necessary to specify the author (or co-author) and the institution for which he/she publishes. For selected items of the list, it is possible to request copies of documents proving e.g. the link to the supported entity and its staff (especially applies to timesheets of staff with and FTE with the beneficiary/partner) or the very existence of the printed publication. The originals of these documents may be randomly checked on site. If the same publication is presented in several projects approved under the OP RDE, it will be factored in proportionally in favour of each supported beneficiary, e.g. depending</p>



			on the prevailing number of authors of the result, or the number of chapters, etc. It is therefore necessary that when presenting jointly achieved results, the institutions supported from OP RDE always report only a proportion of the result based on mutual agreement.
	2 02 16	Publications in co-authorship with researchers from abroad created by the supported entities (selected types of documents)	<p>The reported value is the value since the start of the physical implementation of the project in the monitoring period. Specialised publications – must be related to the professional focus of the project.</p> <p>In the Annex to the Project Implementation Report, it is sufficient to submit a list of publications. The list must include the exact link to the online version of the publication or a DOI identifier, which allows unequivocal tracing of the inclusion of the publication in Thomson Reuters Web of Science or Scopus, ERIH PLUS. It is also necessary to specify the author (or co-author) and the institution for which he/she publishes. For selected items of the list, it is possible to request copies of documents proving e.g. the link to the supported entity and its workers (especially applies to timesheets of workers with and FTE with the beneficiary/partner) or the very existence of the printed publication. The originals of these documents may be randomly checked on site. If the same publication is presented in several projects approved under the OP RDE, it will be factored in proportionally in favour of each supported beneficiary, e.g. depending on the prevailing number of authors of the result, or the number of chapters, etc. It is therefore necessary that when presenting jointly achieved results, the institutions supported from OP RDE always report only a proportion of the result based on mutual agreement.</p>
	2 20 11	International patent applications (PCT) created by supported entities	<p>The reported value is the value since the start of the physical implementation of the project in the monitoring period.</p> <p>Included are patent applications in international phase of procedure which have successfully passed formal evaluation, depending on the year the application was filed.</p> <p>The data comes from the Office of Industrial Property (data acquired from WIPO). For more information see <a href="http://www.upv.cz/cs/prumyslova-prava/vynalezy-patenty/prihlasovani-do-zahranici/mezinarodni-prihlasky-pct.htm">http://www.upv.cz/cs/prumyslova-prava/vynalezy-patenty/prihlasovani-do-zahranici/mezinarodni-prihlasky-pct.htm</a>.</p> <p>Demonstrated by a link / copy of the International Search Report (ISR) performed for PCT Applications by the International Searching Authority (ISA), from which</p>



			<p>it will be possible to verify the existence of the application, the inventors, the name/text of the invention and information on the date of filing the patent application.</p> <p>For selected items, it is possible to request copies of documents proving e.g. the link to the R&amp;D centre workers. The originals of these documents may be randomly checked on site.</p>
	2 03 12	Number of participations of supported research teams carried out in international cooperation programmes	<p>The indicator values are monitored regularly during the project.</p> <p>International Cooperation Programmes are funds which the applicant obtains in international tenders, e.g. in Horizon 2020 (2014–2020), the EU's framework programme for research and innovation.</p> <p>This indicator will also include such participation of the supported research team, where the project financed by the international cooperation programme further develops/builds on the research of the supported OP RDE project from this Call, and where the project implementation also involves members of the OP RDE expert team (i.e. participation in project implementation by the beneficiary/partner).</p> <p>Attached to the Implementation Report is a copy of the valid Grant Agreement or a similar legal act which is concluded between the provider and the beneficiary / beneficiary group. If the research team supported from OP RDE (or the institution in which it operates) is not specifically mentioned in the Grant Agreement (e.g. because it is one of the consortium members, rather than the coordinator), it is also necessary to submit a copy of the Partnership Agreement of the consortium, or its equivalent.</p> <p>The originals are kept for on-the-spot control.</p> <p>The indicator relates to the implementation of activity (f).</p>

The definitions of OP RDE Indicator can be found on the MEYS website <http://www.msmt.cz/strukturalni-fondy-1/monitorovaci-indikatory-op-vvv>; the specifications for the particular Call are specified in the Call.

#### Method to measure jobs

The OP RDE uses the **Full Time Equivalent (FTE)**, which indicates the average registered number of R&D employees per FTE dedicated to R&D activities.



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One FTE equals one year of (full time) work of an employee involved in R&D.

For employees who are engaged in activities other than R&D, only the relevant part of their working capacity is included. **As part of the project, for the purposes of the monitoring of indicators 2 04 00 / CO 24 – Number of new researchers in supported entities, 2 05 00 / CO 25 – Number of researchers working in modernized research infrastructures, 2 04 02 – Number of new researchers in supported entities – women, 2 05 02 – Number of researchers working in modernized research infrastructures – women, it is not possible to report more than one FTE per individual.**

Employee of the beneficiary/partner means a person with links to the employer in the form of an employment contract or agreement to perform work (APW) or agreement to complete a job (ACJ). The maximum value reported for an employee working full-time is 1; for an employee working part time, it is the fraction of the full-time employment; and for external worker (working on APW or ACJ) it is the fraction of the working year that the worker actually worked.

#### 11.4. Penalties due to beneficiary irregularity

Specified in the Rules for Applicants and Beneficiaries – General Part, and in the legal act on granting/transfer of support.

### 12.CHAPTER – PROCUREMENT

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

### 13.CHAPTER – PARTNERSHIP

The applicants may submit the project independently, or in cooperation with one or more partners. One or more partners participate in the preparation and implementation of the project, and they are allowed to also implement a larger part of the project. The eligibility of a partner is defined in Chapter 5.2.1.

### 14.CHAPTER – SYNERGIES AND COMPLEMENTARITIES

Specified in the Rules for Applicants and Beneficiaries – General Part The following also applies to this Call:

This Call is announced as an initial synergistic call. Projects under this Call can be either synergistic or non-synergistic. However, even non-synergistic projects should exhibit a synergistic potential, i.e., the application for support must include information about further planned development / the expected application of the research results in the application phase.

Synergetic projects – these projects have the potential to ensure subsequent development or application of the results from pre-application research phase, where the related activities of such projects are / can be expected (an increase in the use of public research results and application or of the results from the pre-application research phase) to be implemented within the project supported from the subsequent synergistic call under OP EIC in Priority Axis 1, Specific Objective 1.2.

Non-synergistic projects – these projects have at least the potential to ensure subsequent development or implementation of the project results in the application sector. Such a project, even though not synergistic, has a synergistic potential.



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The applicant is required to specify in the application for support the synergies / synergistic potential of the project and specify in more detail whether the applicant plans to carry out follow-up activities as part of the synergistic project within the ESI Funds (or OP EIC, PA1, SO 1.2) and what should be implemented under the follow-up project, or whether the follow-up activities will be implemented and financed from other/own resources and why. The applicant shall indicate the information in the application for support under “Synergy” tab, and may also further elaborate it in the feasibility study. The synergistic potential of the project is subject to project evaluation.

The beneficiary then provides information on compliance/non-compliance with the synergies in the Project Implementation Report, final Project Implementation Report and the Project Sustainability Report.

In the event that during the implementation the beneficiary finds that it will be unable to implement the planned synergy project, or that it might not be possible to further develop the synergistic potential of the project in the application sector, it must inform of this fact and justify it in the Project Implementation Report / final Sustainability Report.

Unless the synergistic project is connected, linked and implemented in the future to a synergistic project supported from the ESI funds, its “synergistic” attribute will be removed in the project completion phase based on the evaluation of the information on synergy implementation in the final Project Implementation Report / Sustainability Report, and it will be further treated as an individual non-synergistic project.

## **15.CHAPTER – STATE AID**

Specified in the Rules for Applicants and Beneficiaries – General Part The following also applies to this Call:

Support will only be provided to projects that do not constitute State aid within the meaning of Article 107(1) of the Treaty on the Functioning of the European Union, i.e. projects where Support will be used to finance non-economic activities of research organizations, or its economic use must be purely secondary, in accordance with paragraph 20 of the Framework. Together with the application for support, the applicant is obliged to submit a declaration of the project’s compliance with State aid rules (see Chapter 18.10 Method to submit annexes).

### **15.1. Introduction to State aid**

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

### **15.2. Public funding for education and research and development not constituting State aid**

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

Further to this call, the education of research organization employees is limited to the acquisition of knowledge and skills that are necessary for the implementation of non-economic activities of the relevant research organization.



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### **15.3. Exemptions allowing State aid to be granted without notification to EC**

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

#### **15.3.1. Block exemptions**

Specified in the Rules for Applicants and Beneficiaries – General Part Irrelevant for this Call.

#### **15.3.2. De minimis aid**

Specified in the Rules for Applicants and Beneficiaries – General Part Irrelevant for this Call.

#### **15.3.3. Services of general economic interest**

Specified in the Rules for Applicants and Beneficiaries – General Part Irrelevant for this Call.

### **15.4. Identification of State aid within the supported activities**

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

### **15.5. Basic obligations of the applicant/beneficiary concerning State aid**

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

### **15.6. Keeping records of State aid in MS2014+**

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

### **15.7. Consequences of a breach of State aid rules**

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

## **16.CHAPTER – HORIZONTAL PRINCIPLES (PURSUANT TO ARTICLE 7 AND 8 OF THE GENERAL REGULATION)**

Specified in Rules for Applicants and Beneficiaries – General Part.

## **17.CHAPTER – PUBLICITY RULES**

Specified in Rules for Applicants and Beneficiaries – General Part.



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## **18.ANNEXES**

### **18.1. Annex 1: Model – Standard form for the processing of applications for the review of a decision**

Specified in the Rules for Applicants and Beneficiaries – General Part

### **18.2. Annex 2: Model – Interim/final implementation report**

Specified in the Rules for Applicants and Beneficiaries – General Part

### **18.3. Annex 3: Model – Final report for the entire project implementation period**

Specified in the Rules for Applicants and Beneficiaries – General Part

### **18.4. Annex 4: Model – Information on progress in implementation**

Specified in the Rules for Applicants and Beneficiaries – General Part

### **18.5. Annex 5: Model – Sustainability report**

Specified in the Rules for Applicants and Beneficiaries – General Part

### **18.6. Annex 6: Business conditions of works contracts**

Specified in the Rules for Applicants and Beneficiaries – General Part

### **18.7. Annex 7: Objected bias of an auditor**

Specified in the Rules for Applicants and Beneficiaries – General Part

### **18.8. Annex 8: Objection against audit findings**

Specified in the Rules for Applicants and Beneficiaries – General Part

### **18.9. Annex 9: Objection against the notice of partial non-payment of a grant**

Specified in the Rules for Applicants and Beneficiaries – General Part



## 18.10. Annex 10: Method to present annexes to the application for support

Overview of the relevant annexes to application for support can be found in the table below. The current text of model annexes to application for support is available in IS KP14+<sup>12</sup> under the announced Call. Updates of model annexes to application for support do not constitute a change in the Call. Documents that do not have a model must be created by the applicant.

Forms to submit annexes:

- “electronic original” (primarily electronic statements or documents with certified electronic signature); or
- a certified copy in electronic form – documents created by an authorized conversion of the printed original to electronic form; or
- simple copy (scan).

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<sup>12</sup> Or available at <http://www.msmt.cz/strukturalni-fondy-1/prehled-vzoru-prilohy-k-vyzvam>.



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Name of <u>mandatory</u> annex to the application for support	Manner to submit annex, description of the submission	Form of submission (original/copy)	Language	Link to evaluation criteria	Who makes submission
<b>Statutory declaration:</b> - initial - final	Applicant – a statutory declaration in application for support (in IS KP14+) partner – annex to application for support (template)	Applicant – the original Partner – simple copy (before the issue of the legal act – original or a certified copy)	Czech	F3, P3, P4, F11 (co-financing)	Each eligible applicant and partner
<b>Schedule of key activities</b>	Annex to application for support (template)	Original	Czech and English	F3, V3.4	Every eligible applicant
<b>Application for support, including all relevant annexes in English<sup>13</sup></b>	Annex to application for support – documents created by the applicant (templates are not available)	Original	English	F3	Every eligible applicant
<b>Feasibility study, including annexes</b>	Annex to application for support (template)	Original	Czech and English	F3, V1.1, V2.1., V2.3, V3, V4.1, V5.2, V5.3, V7.1, V8.1, V9.1	Every eligible applicant
<b>Compliance with RIS3</b>	Annex to application for support (template)	Original	Czech	F3, V7.1	Every eligible applicant
<b>CVs of the expert team members</b>	Annex to the application for support – document created by the applicant (template of the annex is unavailable)	Original	Czech and English	V2.2, V2.3	Every eligible applicant

<sup>13</sup> For an external expert's needs



<b>Documents proving compliance with the definition of eligible applicant Research and Knowledge Dissemination Organisation</b>	Documents confirming the formal setting to meet the requirements arising from the definition of a research and knowledge dissemination organisation according to the Framework (e.g. formation deed, articles of incorporation, memorandum of association)	simple copy	Czech	F3, P3, P4	Each eligible applicant and partner, excluding public and State higher education institutions and public research institutions
<b>Declaration of project compliance with State aid rules</b>	Annex to application for support (template)	Original	Czech	F3, P8	Every eligible applicant



Name of <u>elective annex</u> to the application for support	Manner to submit annex, description of the submission	Form of submission (original/copy)	Language	Link to evaluation criteria	Who makes submission
<b>Statutory declaration – eligibility:</b>  - own funds - founder's approval - private enforcement - absence of debt - no criminal record - <i>clean criminal record of natural and legal persons</i> - the entity is not an undertaking in difficulty	Applicant – a statutory declaration in the application for support (IS KP14+) partner – annex to the application for support (template)	Applicant – original Partner:  - simple copy (with application for support)  - original or certified copy (before the issue of the legal act)	Czech	F3, P3, P4, P7	Each eligible applicant and partner <u>Exceptions:</u> - <i>Ensuring own funds</i> – declared by the applicant/partner only in the case of financial participation (not declared by SOU, PCO SOU); - <i>Founder's approval</i> – declared only by PCO SOU; - <i>Absence of debt with authorities</i> – not declared by SOU, PCO SOU, territorial self-government unit, PCO of self-governing units, and a partner without financial contribution; - <i>No criminal record</i> – not declared by an SOU; - <i>No criminal record of legal persons</i> – not declared by SOU.
<b>Principles of partnership and a declaration of partnership (unless partnership agreement is concluded)</b>	Annex to application for support (template)	Original	Czech and English	F3, P4, P7	Every eligible partner
<b>Partnership agreement (if already concluded)</b>	Annex to application for support (template)	Original or certified copy	Czech and English	F3, P4, P7	Every eligible applicant (no later than before the issue of the legal act)



<b>Proof of ownership structure of the applicant/partner</b>	Annex to application for support (template)	Original or certified copy	Czech	F3, P3, P4	Every eligible applicant and partner with financial contribution (except SOU)
<b>Proof of turnover or financial stability of the applicant/partner</b>	Annex to the application for support – profit and loss statement or another report on economic management	Simple copy	Czech	F3, F12	Turnover: demonstrated by each eligible applicant (except SOU, PCO SOU, public/State higher education institutions and PRIs), or together with a partner with a financial contribution (see Chapter 5.2.1.) Financial stability: demonstrated by each eligible applicant who is a public/State higher education institution or PRI (see Chapter 5.2.1.)
<b>Documents to prove eligibility of applicant/partner</b>	Annex to application for support – e.g. formation deed, statute, memorandum of association, formation charter, etc.	Simple copy	Czech	F3, P3, P4	Each eligible applicant and partner (not demonstrated by SOU and territorial self-governing units)
<b>Proof of legal personality of the applicant/partner - not older than 90 days from the submission of application for support</b>	Annex to the application for support – an extract from the commercial, associational, educational or other similar register (foundation, etc.).	Original or certified copy  Simple copy	Original language (Original or certified copy) and Czech (Simple copy (Translation))	F3, P3, P4	Each entitled foreign applicant and foreign partner (not demonstrated by SOU, territorial self-governing units, public higher education institutions, public research institutions; PCO SOU, PCO of territorial self-governing units other than <i>Legal persons acting as schools and school facilities</i> )





<b>CVs of other nominated team members</b>	Annex to the application for support – document created by the applicant (template of the annex is unavailable)	Original	Czech and English	V2.2, V2.3	Every eligible applicant
<b>Overview of key outputs contributing to the ERDF project indicators</b>	Annex to application for support (template)	Original	Czech and English	F3, V3.1, V3.2, V4.1	Each eligible applicant (relevant indicators are reported)
<b>Annexes to ITI: Compliance of application for support with a project submitted by the SC ITI</b>	Annex to application for support (template)	Original	Czech	P3, P11	Each eligible applicant within individual calls of bodies responsible for the ITI strategy (relevant only for ITI calls)



## 19.LIST OF ABBREVIATIONS

CBA	Cost-benefit analysis
GBER	General Block Exemption Regulation / Commission Regulation No 651/2014 of 17 June 2014
IS KP14+	Information system of the final beneficiary
CV	Curriculum Vitae
EC	European Commission
EU	European Union
OP RDE	Operational Programme Research, Development and Education
SOU	State organisation unit
PCO SOU	Publicly co-funded organization established by a State organisational unit
MA OP RDE	Managing Authority of the Operational Programme Research, Development and Education
SB	State Budget
R&D	Research and development
IR	Implementation Report
PA	Payment application



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