



Implementation Guide

First Call for Proposals of the
KAPPA Programme

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01

Introduction

This guide is designed for Beneficiaries, i.e. Project Promoters and Project Partners of funding from the 1st call under the KAPPA programme for applied research and innovation.

The implementation guide lays down procedures for project implementation. All Beneficiaries are obliged to follow these procedures to the extent relevant to them.

The funding comes from the EEA and Norwegian Financial Mechanisms 2014–2021 (EEA and Norway Grants) under the CZ-RESEARCH programme.

The open call for proposals was announced by the Programme Operator – the Technology Agency of the Czech Republic (TA CR) - in cooperation with the Donor Programme Partner – the Research Council of Norway (RCN) - on 20 November 2019.

All information relating to projects and project results is considered non-public. An exception from this rule applies to information which TA CR is obliged to provide to other public authorities pursuant to applicable laws (e.g. to the register of contracts, to law enforcement authorities, etc.).

All documents and website references related to this call can be found at the following address kappa.tacr.cz.

This document can be subject to revisions, please make sure to always consult the updated document available at kappa.tacr.cz.

1.1 Legal framework

This chapter provides an overview of documents which are binding for the KAPPA programme. The Project Promoter and Project Partners shall follow the legal framework of the EEA and Norway Grants 2014 -2021. **In areas not regulated by these documents, donor state and third country Project Partners shall ensure compliance with their respective national laws and regulations. In case of conflict between KAPPA Terms and Conditions and national laws and regulations, the national laws and regulations take precedence.**

The programme is in accordance with the legal framework of the EEA and Norway Grants 2014 -2021 as provided by the following documents:

a) EEA and Norway Grants legislature:

- **Programme Agreement to the Research Programme** (in English) – signed by the Czech Republic and the donor countries.
- **Guideline for Research Programmes** (in English) - rules for the establishment and implementation of programmes falling under the "Research" programme area, issued by donor countries.
- **Regulation on the implementation of the European Economic Area (EEA) Financial Mechanism 2014-2021 (hereinafter “the Regulation”)** (in English) - adopted by the EEA Financial Mechanism Committee pursuant to Article 10.5 of Protocol 38c to the EEA Agreement on 8 September 2016 and confirmed by the Standing Committee of the EFTA States on 23 September 2016.
- **Regulation on the implementation of the Norwegian Financial Mechanism 2014-2021 (hereinafter “the Regulation”)** (in English) - adopted by the Norwegian Ministry of Foreign Affairs pursuant to Article 10.5 of the Agreement between the Kingdom of Norway and the European Union on a Norwegian Financial Mechanism for the period 2014-2021 on 23 September 2016.
- Documents are available at eeagrants.org (in English)

b) Documents adopted by the National Focal Point - Ministry of Finance of the Czech Republic:

- **Guideline of the National Focal Point for eligible expenditures under EEA/Norwegian FM 2014-2021** (in Czech/English)
- **Guideline of the National Focal Point for Programme Operators** (in Czech)
- **Documents** are available at eeagrants.cz (in Czech/English)

c) Czech national legislature::

- **Act No. 130/2002 Coll. of 14 March 2002 on the support of research, development and innovation from public funds (hereinafter "the Act")** (in Czech)
 - it defines research, development and innovation,
 - it lays down a method for project selection,
 - it defines the powers and obligations of the aid provider and of the Beneficiaries. It is available at zakonyprolidi.cz/cs/2002-130.
- **Innovation strategy of the Czech Republic 2019–2030** (in Czech)
- countryforfuture.com/wp-content/uploads/2019/09/Inovacni-strategie-CR-Country-for-Future.pdf
- Internal regulations laying down binding procedures of TA CR are available at: www.tacr.cz (in Czech)

d) EU legislature:

- **Commission Regulation (EU) No 651/2014 of 17 June 2014 declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty** (in Czech/English)
 - The Regulation defines conditions under which aid can be provided without notification. Pay attention especially to Section 4 - Aid for research and development and innovation.
 - eur-lex.europa.eu/legal-content/CS/TXT/?qid=1412338347983&uri=CELEX:32014R0651
- **Communication from the Commission – Framework for State Aid for research and development and innovation 2014/C 198/01** (hereinafter "the Framework") (in Czech/English)
 - the Communication lays down how certain cases will be assessed from the viewpoint as to whether they do or do not constitute state aid to research organisations
 - 1url.cz

For the sake of completeness, some other important documents are listed below:

- **Frascati manual** is a document intended for the evaluation of R&D activities. It defines the borders between research, development and other related activities.
 - oecd.org/sti/frascati-manual-2015-9789264239012-en.htm
 - The Czech version contains a translation of the second chapter: Concepts and definitions for identifying R&D: tacr.cz/dokums_raw/ck/FRASCATI_MANUAL.pdf
- **Oslo Manual 2018. Guidelines for Collecting, Reporting and Using Data on Innovation, 4th Edition** (in English) deals with innovation and is published in cooperation of two international organisations: OECD10 and EUROSTAT11.
 - 1url.cz/DM8Bw

1.2 Entry into force and changes of the Implementation Guide

The Implementation Guide enters into force on the day of its approval by the Programme Committee. If new changes that can affect project implementation procedures are approved in the course of the Programme implementation, or additional binding documents are approved, the Implementation Guide will be updated at the date of entry into force of these changes and will be amended with the documents.

The Implementation Guide is applicable to all actions stated within, connected to the implementation of the EEA and Norway Grants. The binding version of the Implementation Guide is the one that is valid as of the date of the relevant act related to the implementation of the project.

1.3 Glossary

Donor states	Iceland, Liechtenstein and Norway in the case of EEA Grants, and Norway in the case of funding from Norway Grants.
Donor Programme Partner	Research Council of Norway advises TA CR on matters relating to bilateral relations and programme implementation. RCN also facilitates communication with Norwegian Project Partners.
Third Countries	in the context of EEA Grants any country other than Iceland, Liechtenstein, Norway and the Czech Republic; in the context of Norway Grants any country other than Norway and the Czech Republic
Programme Operator	Technology Agency of the Czech Republic (hereinafter "TA CR").
Project Promoter	By signing the Project Contract, Applicants become Project Promoters. The Czech Beneficiary who enters into a contractual relationship with TA CR and is responsible for fulfilling all obligations towards TA CR during the project on the basis of the Project Contract; both the Project Promoter's obligations and the obligations of the Project Partner.
Project Partner	a legal entity, organizational unit of the state or organizational unit of a ministry, engaged in research and development, whose participation in the project is defined in the project proposal and with which the Project Promoter has concluded a Partnership Agreement.
Beneficiary	refers to entities receiving a grant from the KAPPA programme, i.e. both the Project Promoter and Project Partner(s). The rights and obligations which apply to Beneficiaries apply jointly to the Project Promoter and Project Partners,
ISTA	TA CR information system for project administration, accessible at ista.tacr.cz .
ISTA Project Owner	the person responsible for the project's ISTA account who has the editing rights (usually the person who created the project proposal in ISTA). The ISTA Project Owner may assign authorisations to access the project in ISTA or to modify the project data (e.g. fill in the interim/final report) to other persons. The ISTA Project Owner is at the same time a contact person for communication with TA CR. This person submits interim and final reports, as well as other information.
Programme Committee	an expert advisory body with representatives from both Czech and Norwegian research community supporting TA CR in all matters related to the scientific quality and relevance of projects and activities funded under the Programme.
Rapporteur	external expert with expertise in relation to the subject of the project, provides advisory support to TA CR throughout the duration of projects and within relevant control processes, administrative and financial checks and project changes.
TA CR Project Officer	person who ensures the administration of projects on the part of TA CR (among others amendment procedures, monitoring controls) and communication with the Beneficiaries.



02

Signature of the Project Contract

Before the signature of the Project Contract

Prior to the signing of the Project Contract, **negotiations** regarding the specific conditions for the provision of funding will be conducted with the Project Promoter. TA CR may request some changes, including budget adjustments. TA CR will specify all required changes in the Decision on Result of Call for Proposals.

Prior to the signing of the Project Contract, the **Beneficiaries are obligated to fulfill all the requirements specified in the Decision on Result of Call for Proposals** until the deadline (no longer than 60 calendar days).

Prior to the signature of the Project Contract, the Project Promoters and the Project Partners are obligated to:

- submit the **information necessary for requesting an extract from the criminal register of the legal representatives** or submit the certified copy of the extract from the criminal register (certified copy of the extract can be sent in only by Project Promoters and Czech project partners, not by partners from Norway or Iceland);
- if the Project Promoter or a Project Partner is **a company (enterprise) younger than 18 months** and therefore does not have an accounting history, they shall submit a **financial plan**. The Project Promoter or Project Partner will prove to have the financial coverage of the submitted project and its activities secured. The financial plan for the duration of the project solution, in a simple form (years, resources, revenues, costs), and where relevant should include guarantees (bank, parent company, owners, shareholders, etc.);
- the Project Promoter shall submit the signed **Partnership Agreement¹** (Agreement on the Participation in Project Implementation) concluded with all Project Partners. The Partnership Agreement shall correspond to the description of cooperation in the project proposal. It shall be based on the template provided on the call website (link) and concluded in English, and should include budget, method of payments and financial flows;
- other information specified in the Decision on Result of Call for Proposals;

If any of the required documents are missing or if the Project Promoter or Project Partner has failed to provide information and clarifications to the specific questions raised in the Decision, the Project Contract will either: not be signed, or a Project Contract with a lower funding intensity will be concluded (if such an option is stipulated in the Decision on Result of Call for Proposals), or the Decision on Result of Call for Proposals will be revised to the detriment of the Project Promoter.

¹ Note: the Partnership Agreement template (link) has been updated with a correction in Article 9 (4) (3) on our website.

Following the successful submission/completion of all the documents/information necessary to draw up the Project Contract, the TA CR will prepare the draft Project Contract once all information is in place.

After the signature of the Project Contract

After signing the Project Contract, Project Promoters are obliged to send two documents to TA CR:

1. **Consent of Project Partner(s) to the Project Contract**, which confirms Project Partners' accession to the project. The Consent document becomes an integral part of the Project Contract.
The Project Promoter shall send to TA CR via a DataBox one signed copy of this document for each Project Partner, no later than 45 calendar days from the conclusion of the Project Contract.
Project Partners from Donor States shall send the signed document to the Project Promoter as a scan of the signed original (PDF file).
Template is available here ([link](#)).
2. **The Data Management Plan** constitutes a key element of good data management. It describes the management cycle for the data that Beneficiaries create, process, or generate within a project. To enable research data to be more findable, accessible, interoperable and reusable, the data management plan should include:
 - method of data handling during and after the project,
 - what data will be collected, processed or generated,
 - which methodologies and standards will be used,
 - whether the data will be shared or published under open access and how the data will be managed and shared (including the period after the end of the project).

The Project Promoter shall submit this document via a data box. TA CR recommends the use of the Horizon 2020 template ([link](#)) for this document. The Project Promoter is obliged² to submit the data management plan within six months from the start date of the project.

² pursuant to Article 4 (2) (l) of the KAPPA Terms and Conditions



03

Financial flows

The Technology Agency of the Czech Republic provides funding to the **Project Promoter** on the basis of a concluded Project Contract. The Project Promoter then distributes the funding to Project Partners on the basis of a concluded Partnership Agreement.

3.1 Provision of funding

The Technology Agency of the Czech Republic provides funding through advance and interim payments. It sends them to the account of the Project Promoter as specified in the Project Contract. The Project Promoter shall then transfer the relevant parts of the funding from the Project Promoter's bank account to the Project Partners' bank accounts according to the Key Project Parameters (Annex of the Project Contract) within 15 calendar days after the Project Promoter has received payment from the Programme Operator.

Risks of exchange rate losses are borne by the Project Promoter. TA CR is not responsible for losses from exchange rate fluctuations.

The first advance payment is made by TA CR within 30 calendar days from the signature of the Project Contract.

TA CR will make interim annual payments for each year of the project on the basis of the schedule in the Project Contract or of valid Key Project Parameters after the interim report is closed, no later than 60 calendar days from the beginning of the calendar year. In the event that the Project Promoter or other Project Partner does not fulfil all the obligations (such as submitting an interim report by 30 January), TA CR may suspend the payment until the Project Promoter fulfils its obligations.

Unspent funding during project implementation

If a Project Promoter or a Project Partner does not spend the entire advanced or interim payment budgeted for a given year, two situations can arise, which are governed by Article 3 (13) of the KAPPA Terms and Conditions:

- If a Beneficiary knows that they will use the remaining part of the funding in the following years of the project:
- Project Partners or Project Promoter may keep it on their accounts until it is needed. The Beneficiary will record the actual use of the funding in their reports. Project Promoters do not have to request pre-approval from TA CR for transfers of costs and funding between individual

years of the project, as long as it is in accordance with internal regulations of the partner entity. The project will keep TA CR informed about any changes and delays through interim reports.

- It is good practice to keep the Project Promoter and all Project Partners informed about changes in budgets and plans which could affect the timeline and results of the project.
- If a Beneficiary finds that they will not use an unspent part of the funding, the Project Partner is obliged to return it to the Project Promoter. The Project Promoter shall then return the funding from the account of the Project Promoter to the TA CR expenditure account number 3125001/0710. The Project Promoter shall carry out this refund no later than 14 calendar days from the moment the Project Promoter decides that this part of the grant will not be spent by the project, or from a request of TA CR.

Funding left unspent at the end of the project

At the end of a project, if any funds remain unspent, the Project Promoter shall return them to TACR's account no later than the date of the submission of the final report.

For projects ending in December, the Project Promoter is obliged to return the unspent part of the funding no later than 31 December of the calendar year in which the project implementation ended to TA CR expenditure account number 3125001/0710.

If, for justified reasons, the Project Promoter is unable to return unused funds by 31 December of the calendar year in which the project was completed, the Project Promoter shall do so no later than by 15 February of the calendar year following the end of the project. However, this exception applies only to a **maximum of 5% of the unspent funds from the funding provided in the last calendar year** of the project. In this case, the Project Promoter shall send the unused funds from the account of the Project Promoter to the TA CR account of external funds number 6015-3125001/0710. An example of such a justified reason is the payment of December wages under a project that ends in December.

By 15 February of the year following the completion of the project³, the Project Promoter is also obliged to financially settle the project with the Czech state budget. If relevant, TA CR will send the financial settlement with the state budget to the Project Promoter within two months since the date of the end of the project implementation stated in the Key Project Parameters.

3.2 Public procurement in projects

Beneficiaries from the Czech Republic

If a Beneficiary procures tangible or intangible assets or services for the purposes of the project and at the same time it is not possible to apply the exception pursuant to § 8 (4) of the Act on support of research and development, because the project proposal does not specify in detail the service or tangible or intangible assets to be procured, including the price and exchange rate valid at the time of submitting the project proposal, and the supplier, the Beneficiary is obliged to proceed in accordance with the relevant provisions of the Czech Public Procurement Act.

Small-scale public procurement in the Czech Republic

³ the deadline is set by Decree No. 367/2015 Coll., on financial settlement

TA CR does not establish any additional procedure for awarding small-scale public contracts for Beneficiaries. When awarding small-scale public contracts, Czech Beneficiaries are obliged to comply with the principles of public procurement as laid down in § 6 of the Czech Public Procurement Act. If the Beneficiaries have an internal regulation governing the procedure for selecting a supplier for small-scale public contracts, they are obliged to follow it.

Partners from outside of the Czech Republic

If a Beneficiary is a Partner from a donor country or a third country, they shall comply with the public procurement rules according to the legislation of the country in which they are located and any internal regulations of their organisation governing the procedure for selecting a supplier.

3.3 Eligibility of costs

Eligible costs⁴ are directly related to the project and are incurred between the start date and end date (no later than 30 April 2024) of the project.

The date of the start of the project implementation and the date of completion of the project implementation are stated in the Key Project Parameters which are the Annex of the Project Contract.

Eligibility of project costs is governed by the provisions in Articles 16, 17, 18 of the KAPPA Terms and Conditions which are in line with the legal framework of the EEA and Norway Grants 2014-2021 and the Guidelines of the National Focal Point for Eligible Expenditures under the EEA and Norway Grants 2014 – 2021.

Donor Project Partners: Reporting of unit costs

Research Institutes from Norway (SINTEF, NIBIO, NIVA, IFE, NERSC, NILU, NORCE, SINTEF Energi) which have opted for the “unit costs” method for calculating the staff costs which includes indirect costs (ref. Article 17 (7) of the KAPPA Terms and Conditions and Art. 8.4. of the Regulation), shall report zero costs in the category indirect costs.

Pursuant to Article 17 (7) of the KAPPA Terms and Conditions, if the Beneficiary is a research institute located in Norway using the “unit costs” method, indirect costs are already included and reported under unit costs in the “Staff” cost category and are not reported in the category of indirect costs.

During the project monitoring, the Beneficiary shall demonstrate the use of the “unit costs” method in the interim and final project reports (Chapter 4.1 of this Guide) by presenting a certificate issued by the RCN confirming the given unit scales valid in the monitored period.

⁴ pursuant to Article 16 (2) of the KAPPA Terms and Conditions.



04

Project monitoring and reporting

Technology Agency of the Czech Republic monitors projects on the basis of:

- interim/final report (IR/FR),
- monitoring controls – interim project evaluation, final project evaluation, monitoring visit;
- public administration control.

These tools (control processes) are described in Article 19 of the KAPPA Terms and Conditions. TA CR will make at least one monitoring visit or public administration control for each project.

In the course of the project, external on-the-spot project monitoring may be arranged by the Financial Mechanism Committee, the Norwegian Ministry of Foreign Affairs, the Financial Mechanism Office or the National Focal Point (the Ministry of Finance of the Czech Republic). Beneficiaries are obliged to collaborate with these control bodies upon their request.⁵

Reporting on scientific publications

During and after the project, all Beneficiaries must provide references and an abstract of all scientific publications relating to the results of the project⁶ at the latest 60 days following publication to TA CR.

All publications shall include the following statement to indicate that the results of the project were generated with the assistance of financial support from the EEA/Norwegian Financial Mechanism: “The research leading to these results has received funding from the [EEA]/ [Norway] Grants 2014-2021 and the Technology Agency of the Czech Republic.” according to the Publicity Rules for Projects Funded by the EEA and Norway Grants in the KAPPA Programme.

4.1 Interim and final reports

Interim (i.e. annual) and final reports constitute one of the key instruments of project monitoring. In exceptional cases, TA CR may request a special report from the Project Promoter.

⁵ pursuant to Article 19 (7), (8), (9) of the KAPPA Terms and Conditions.

⁶ pursuant to Article 10.4 of the Guideline for Research Programmes.

Interim and final reports contain summarised structured information on the progress of the project in the past project period - usually a calendar year. **These reports serve to assess the project results and whether the project is fulfilling its objectives, and to monitor whether the funds provided have been used effectively.**

If a project starts in 2020, the Beneficiaries will report information for this year in the Interim Report for 2021. The last reporting period ends with the deadline for the completion of the project, so it could be shorter than a full calendar year.

The interim report describes both the implementation of the project as well as the spending of funds during the reporting period. The Project Promoter shall submit interim reports each year by 30 January of the year following the monitored period.

The final report describes the fulfilment of the project and the drawing of funds during the reporting period and for the entire project. The Project Promoter shall submit it within 30 calendar days from the date of completion of the project.

The annexes to the interim and final report result from the KAPPA Terms and conditions (Annex No. 2 to the Project Contract). They are inserted into ISTA when filling in the reports.

The annexes to the interim report include especially:

- technical report on the project,
- separate accounting records for individual project Beneficiaries,
- financial statement (Annex No. 1),
- RCN issued certificate of unit costs⁷,
- documents for achieved results,
- a summary for publication by TA CR,
- a summary of fulfilling the programme indicators⁸.

The annexes to the final report include especially:

- technical report on the project,
- separate accounting records for individual project Beneficiaries,
- financial statement (Annex No. 1),
- RCN issued certificate of unit costs,
- documents for achieved results,
- a summary for publication by TA CR,
- a summary of fulfilling the programme indicators,
- a signed agreement on utilisation of results,
- a full list of publications relating to the results of the project,
- audit report/certificate (template: Annex No. 2)⁹.

The Project Promoter shall submit interim and final reports through ISTA and send a confirmation of report submission through the data box.

There is no binding template for the technical report. When preparing the technical report, Beneficiaries should follow the document Methodological guidelines for the interim / final report and for the drafting of the technical report. It can be downloaded from the interim / final report section in ISTA. For more information on the technical report, see the Help for Interim / Final Report in ISTA. Click the question mark icon to see this Help. Beneficiaries can also use the technical report template for the European Programme Horizon 2020.

If TA CR asks the Project Promoter to amend a report and if the report is not completed or identified deficiencies are not corrected within a specified deadline, TA CR cannot consider the report as

⁷ for Beneficiaries, which are Norwegian research institutes, using the standard scales of unit costs method where indirect costs are included and claimed in the category staff costs.

⁸ list of programme indicators is available at kappa.tacr.cz/en

⁹ for Beneficiaries which have received funding exceeding EUR 325 000.

submitted. This applies until the Project Promoter sends a confirmation of the submission of the report via the data box.

A special report (submitted only upon TACR's request) contains summarised information on project progress during the past project period, filled in into an ISTA form. The objective is to assess the results and fulfilment of the project objectives set out in the Project Contract, and to check and monitor whether the funds provided have been used effectively. Technical report on project is an annex to the special report.

TA CR defines the scope, deadline for submission and annexes of this report.

Submission of reports

The method of controlling the project implementation by means of report submission is laid down in Article 19 of the KAPPA Terms and Conditions. The rights and obligations associated with the submission of reports are laid down in Article 11 of the KAPPA Terms and Conditions.

The Project Promoter (the principal investigator and the ISTA Project Owner) will receive by e-mail information about the activation of the application for report submission at least 30 calendar days before the set deadline for submitting the report in ISTA.

After logging in to ISTA, the ISTA Project Owner will be assigned a task called Report preparation and submission in his work activities. It can be used to fill in and submit the report.

All persons who have the "view and edit" authorizations to the given project can find and fill in the report. In ISTA, they can find the project in question under My Projects. After opening a specific project, it is possible in the Report overview tab to display a list of reports submitted so far, as well as the current report.

The Beneficiaries will fill in the report in the ISTA application and the ISTA Project Owner will submit it in ISTA and will generate a confirmation of report submission in PDF. The Project Promoter shall send the confirmation of report submission through the data box to TA CR.

The deadlines for submitting reports and confirming the report submission are as follows (unless TA CR stipulates otherwise):

Report type	Deadline
Interim report	30 January of the year following the monitored period
Final report	30 calendar days from the date of project completion
Special report	The deadline for the submission of a special report is set by TA CR

After the Project Promoter submits the interim or final report in ISTA, the report will be automatically displayed in ISTA to the project Rapporteur and he will be alerted to it at the same time by an e-mail.

The Rapporteur will assess in the report, or any supplement thereto, the consistency of the project progress with the approved project proposal. In ISTA, the Rapporteur prepares an opinion on the report, or asks the Project Promoter to supplement or revise the report.

After the project completion date, TA CR will also compare the provided and drawn funding for the entire period of the project. TA CR will check whether the Project Promoter has complied with any obligation to return funds.

TA CR will at the same time check the completeness and formal correctness of the rapporteur's opinion on the report and will close the report or, as the case may be, will return the report for revision where so requested by the Rapporteur. If the report needs to be supplemented, TA CR will request by e-mail that the Project Promoter does so. After receiving the supplement, TA CR will send it to the rapporteur for assessment.

As soon as the report is checked by TA CR and the Rapporteur completes his opinion on the report, Beneficiaries can find the opinion directly in the submitted report in the Documents and attachments ISTA section.

4.2 Monitoring control

Monitoring control may take the following form:

- a) monitoring visit (planned or non-scheduled),
- b) interim project evaluation (planned or non-scheduled),
- c) final project evaluation (common or individual).

The place of the monitoring control is determined depending on the nature and objectives of the control. It can take place in the TA CR office or at the project location. The final project evaluation can also take place online, through a videoconference.

Within the KAPPA programme, a monitoring control will be carried out for each supported project.

The monitoring visit serves to continuously verify the project, its results and the fulfilment of its objectives. TA CR uses the reports from monitoring visits as one of the bases for the final evaluation of the project. It usually does not take place where the Rapporteur anticipates more serious problems with the project.

Before the start of the monitoring visit, TA CR will send to the Project Promoter a notification about the monitoring visit via the data box at least 25 calendar days in advance.

The monitoring team usually consists of the project Rapporteur or a TA CR office employee, or other authorized persons.

After the end of the monitoring visit, the monitoring team will prepare a report describing the monitoring visit. It may contain recommendations for Beneficiaries. The report is then sent to the Project Promoter through the data box.

The interim project evaluation also serves to continuously verify the project implementation, its results and the fulfilment of its objectives. It takes place when the Rapporteur fears, on the basis of information in the report that the achievement of project objectives or results could be jeopardised.

Before the start of the interim project evaluation, TA CR will send to the Project Promoter a notification via the TA CR data box at least 25 calendar days in advance of the project evaluation committee meeting.

No later than seven working days before the project evaluation meeting, the Project Promoter shall send a list of persons participating in the meeting. The project evaluation committee usually consists of a project officer (chairing the project evaluation committee), a project Rapporteur and an expert who has prepared a report for the project evaluation meeting.

Representatives of the Beneficiary present the progress of work on the project, fulfilment of the work schedule, costs incurred, results achieved and answer questions from members of the project evaluation committee. If it is technically feasible, the members of the project evaluation committee may request a practical demonstration of the project.

The project evaluation committee shall draw up a report on the interim project evaluation. Representatives of the Beneficiaries may comment on the report, and will sign it together with the project evaluation committee.

One signed copy is handed over to the Beneficiary at the end of the project evaluation meeting. The report may contain recommendations for the Beneficiaries or obligations imposed on the Beneficiaries by the project evaluation committee.

The final project evaluation is a type of monitoring control¹⁰ which takes place after the end of the project, after TA CR has received the final report. It applies to projects for which the objectives can be clearly evaluated already after the completion of the project, or where it is in the interest of TA CR to evaluate the project results or outputs.

The type of final project evaluation is chosen on the basis of the Rapporteur's recommendation made in his opinion on the final report.

Representatives of the National Focal Point may participate in the project evaluation committee meetings as observers.

A collective final project evaluation meeting takes place for projects where TA CR did not identify a problem during their implementation.

For the collective final project evaluation, the project evaluation committee usually consists of the project officer, the project Rapporteur and the chair of the Programme Committee (chairing the project evaluation committee). In justified cases, any TA CR employee, or other experts selected from the database of experts may also be members of the project evaluation committee.

The meeting of the project evaluation committee takes place without the presence of the Beneficiary's representatives. The Rapporteur shall prepare a draft report for the collective final project evaluation procedure in advance in the ISTA. The meeting of the project evaluation committee, which finalizes the reports, will take place at the TA CR offices or online.

Consequently to the project evaluation committee meeting, the report from the collective final project evaluation is made available to the Beneficiaries. The report may contain recommendations or obligations imposed by the project evaluation committee.

Individual final project evaluation is planned by TA CR for projects where problems have been identified or suspected in the course of their implementation.

For the individual final project evaluation, the project evaluation committee usually consists of the project officer (chairing the project evaluation committee), the project Rapporteur and the experts who

¹⁰ Held pursuant to § 13 (4) of the Act on support of R&D.

drew up expert reports on the project. In justified cases, any TA CR employee, or other experts selected from the database of experts may also be members of the project evaluation committee.

In the case of the individual final project evaluation, TA CR will send to the Project Promoter a notification about the final project evaluation meeting via the data box well in advance of the date of the project evaluation meeting, but at least 25 calendar days in advance. No later than seven working days before the project evaluation meeting, the Project Promoter shall send a list of persons participating in the meeting.

Representatives of the Beneficiary present the progress of work on the project, fulfilment of the work schedule, costs incurred, results and outputs achieved and answer questions from members of the project evaluation committee. If it is technically feasible, the members of the project evaluation committee may request a practical demonstration of the project.

During the meeting, the project evaluation committee shall draw up a report on the individual final project evaluation. Representatives of the Beneficiaries may comment on the report, and will sign it together with the project evaluation committee.

One signed copy is handed over to the representatives of Beneficiaries at the end of the project evaluation meeting. The report may contain recommendations for the Beneficiaries or obligations imposed on the Beneficiaries by the project evaluation committee.

4.3 Monitoring of implementation of project results

The implementation of results means the use of the given results after they are achieved.

An implementation plan describing the use of project results should be submitted for each project result achieved (for individual results or for certain groups of results that are logically related to each other), it is part of the interim and final reports.

If some project results are related between each other, the Project Promoter can submit one implementation plan for all the related results. Always include results which the Beneficiaries do not intend to exploit commercially or research further in an implementation plan as well. The plan must include, in particular, all claims for rights to the project results and proposals for the use of project results, and other mandatory indications listed in ISTA.

The implementation plans are followed by implementation reports, which are submitted after the end of the project.

The implementation report contains information on the utilisation of project results and on the fulfilment of the implementation plan. It is submitted for an evaluation of how the indicators set by the given programme and other indicators of the effectiveness of the provided funding were met.

The implementation report is prepared once a year for a period of three calendar years from the year in which the project was completed¹¹. It is submitted in the form of an Excel file to ISTA and the

¹¹ E.g. if a project is completed in December 2023, the first implementation report is submitted by 31 July 2025, the second by 31 July 2026 and the last by 31 July 2027.

template for it can be downloaded directly from ISTA. It is not necessary to send a confirmation that the report has been submitted. The deadline for submitting the implementation report is 31 July of the year following the end of the monitored period.

The Project Promoter submits implementation reports for the results included in the given implementation plan. The results included in the implementation report should be linked to the previous implementation plan or plans. Before submitting the implementation report, the Project Promoter, will be able to modify the groups of reported results (however, always only within the implementation plans submitted in the same year). It will be possible to make similar necessary modifications also before the submission of the final implementation report.

The signed Agreement on the Utilisation of Results is one of the mandatory documents which must be submitted in the final report. Details of the **Agreement on utilisation of results** are specified in Article 13 of the KAPPA Terms and Conditions (Annex No. 2 to the Project Contract). **The Agreement on utilisation of results must be concluded in accordance with the legal framework of the EEA and Norway Grants, the Project Contract and the KAPPA Terms and Conditions.** The Beneficiaries can submit a scan (PDF file) of the Agreement on the Utilisation of Results.

The Agreement on utilisation of results may be concluded:

- between Beneficiaries (if there is no other user of the results),
- between Beneficiaries and another user,
- between the owner of the result and its user (if the rights to the results have already been resolved).

Where there is one owner of the result who will use the result himself, the Agreement on the utilisation of results is replaced by a sworn statement on the use of results.

4.4 Public administration control

Public administration control (PAC) ascertains the actual status of the project, checks compliance with the terms of the Project Contract and legal regulations, including verification of information from interim or final reports submitted by the Beneficiary. It checks their compliance with the actual situation, while checking the information from the financial point of view. The factual point of view (formal and factual correctness check) is checked only if the final project evaluation hasn't taken place yet. At the same time, within PAC, the Beneficiary is obliged to prove that the reported services or deliveries have been performed.

The members of the inspection group are usually TA CR employees, and at least one of them is an employee of the Project Controlling Department. TA CR can hire external assistance in performing on-the-spot inspections.

The Technology Agency of the Czech Republic is obliged to check the fulfilment of project objectives, including checking of the drawing and use of funding, and the effectiveness of incurred project costs according to the concluded Project Contract pursuant to § 13 of the Act on support of research and development. PAC will cover 100% of projects under the KAPPA programme.

The administrative and financial inspection takes place on the basis of an annual inspection plan (risk analysis based) or on the basis of an approved proposal for a non-scheduled administrative and financial inspection.

The inspection may cover all costs incurred by the date of the inspection or only a randomly selected sample of costs from the checked period.

From each inspection, which is usually completed within three months of its commencement, a report is produced. Within an PAC, it is possible to also check the Beneficiary's public procurements related to the project.

The Project Promoter and Project Partners are obliged to allow TA CR and persons authorised by TA CR to perform a comprehensive inspection¹² and allow access to its accounting records related directly or indirectly to the project¹³ and provide the necessary cooperation therewith at any time during the project or within ten years after the Project Contract terminates. This provision is without prejudice to the rights of inspection and financial bodies of the Czech government.

¹² pursuant to the Article 19 of the KAPPA Terms and Conditions

¹³ in accordance with the provisions of Section 8(1) of Act on the Support of Research and Development



05

Changes in projects

A change is an adjustment of the project and/or of the Project Contract or the Key Project Parameters which reflects amended circumstances that occur during project implementation.

Amendments to the Project Contract are specified in Article 21 of the KAPPA Terms and Conditions.

The changes the Project Promoter can request, their categories, approvals and mandatory annexes are listed in Annex No. 3 **Typology of changes and list of mandatory annexes**.

Only the ISTA Project Owner can request a change via ISTA by means of a change request. Changes which do not constitute Key Project Parameters of the project are notified by the Beneficiaries in interim or final reports. Mandatory annexes to change requests are provided in Annexes No. 4 - 8 to this Guide.

Note: The project objective may not be changed and the ultimate deadline for the end of the project (April 30, 2024) cannot be exceeded.

If you are unsure whether you may request a change, or how to request a change, please contact the TA CR Project Officer.

Changes before signature of the Project Contract

Prior to signing of the Project Contract, the project proposal may be amended only if it is a change of an administrative nature or a change not caused by the Beneficiary, which is worthy of special attention. The Project Promoter will describe the change in the change request form, which is provided in Annex No. 9 to this Guide, and will submit it via the data box to the address of TA CR together with the consent of all Project Partners.

During project implementation period, the following changes can be requested:

- administrative, which generally do not affect the project, e.g. change of the name of an organization or the bank account number of the Project Promoter;
- changes in Beneficiaries' data, e.g. change of statutory body, ownership structure or type of organization;
- changes in Beneficiaries - transformations (e.g. mergers or divisions of a company), addition of a new Beneficiary
- change of Project Promoter;
- change in the implementation schedule if it is necessary to extend the project or to terminate it prematurely;
- change in the budget if there is a need to reduce or increase the total eligible costs and the related amount of funding;

- change in the project substance of the project, e.g. change of the name / type / description of a result.

During the project, some changes can be reported and justified only in reports and they do not need to be requested. These include:

- moving costs between individual cost categories within a calendar year;
- change in project team members (with the exception of the principal investigator of the project);
- addition of a new project result;
- change in the deadline for achieving a result.

Procedure for submitting a change request in the course of the project

The submitted change request must duly justify and comment on the impact of the change, especially on the project implementation, fulfilment of the project objective, achievement of the project result or results, their commercialisation and the project budget.

The Project Promoter must **submit a change request well before the requested change** is expected to take place so that it can be properly assessed by TA CR. A change should be implemented after the change request is approved by TA CR. Particular attention should be paid to the following changes:

- **Request for a budget change** must be submitted by 31 October in the year of the budget in question. TA CR will not be able to approve requests submitted after that date.
- **Change request concerning a project result**, submitted later than 60 calendar days before the end of the project, may not be approved by TA CR. The content of the change request will then be examined during the final project evaluation.
- In the case of a **merger, division or transfer of assets to a partner**, the Project Promoter shall submit an application for consent to the transfer of rights and obligations to another Beneficiary in connection with that transformation, no later than 60 days before the date of publication of the merger, division or transfer, in accordance with Budgetary Rules (§ 14a of Act No. 218/2000 Coll., on Budgetary Rules and on Amendments to Certain Related Acts).

Changes which are not subject to TA CR approval, for instance change of a statutory representative, change of the type and size of organisation, etc. must be notified by the Project Promoter to TA CR by a change request in ISTA (including delivery of the confirmation of change request submission via the data box) within seven days from the day on which he became aware of a change that has already taken place.

The Project Promoter will prepare and send the change request in ISTA and will prepare the mandatory annexes. The consent of all other Project Partners to the requested change is also a mandatory annex to each change request¹⁴. With the exception of changes for which the form Consent of all Project Partners to the project change (Annex No. 5 of this guide) is mandatory, this consent of persons representing other Project Partners according to the concluded Project Contract can be documented by e-mail communication about the change between Beneficiaries, or by scanned copies of the signed form. After submitting the change request in ISTA, the Project Promoter must generate a confirmation of its submission also from ISTA and then send the generated confirmation via the data box to TA CR.

If the request is not complete, TA CR cannot assess it and TA CR will invite the Project Promoter to complete the request. As a basis for assessing the change, TA CR can request the opinion of a professional assessor (usually the Rapporteur).

¹⁴ See Article 21 (5) of the KAPPA Terms and Conditions.

Instructions for preparing and submitting a request for change through ISTA in an ongoing project **are provided in Annex No. 10 Instructions for preparing and submitting a change request.**

The Project Promoter will receive notification of the result of the change processing procedure (notification) via the data box, or in another form depending on the specific needs and impacts of the change, within 60 days of delivery of the final version of the change request (with all the required documents and information). Where applicable, the Project Promoter will receive additional documents (for example, an addendum to the Project Contract, updated Key Project Parameters). After the eventual signing of the addendum to the Project Contract by both parties, the project administrator will send one signed copy together with a cover letter to the address of the Project Promoter.

The Programme Committee will obtain information about the changes.



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Reserved rights of TA CR

The Technology Agency of the Czech Republic reserves the right:

- **not to grant**¹⁵ aid within the set time limit¹⁶, if it has doubts as to whether all the obligations of the Project Promoter have been fulfilled, and a control process needs to be used for verification. The set time limit will be extended by the time of the process,
- **to suspend payments** and to demand reimbursement from the Project Promoter also if such a measure is decided by the Financial Mechanism Committee or the National Focal Point¹⁷; and in the case where the Project Promoter or a Project Partner has caused an irregularity or has been unable to remedy its causes and consequences within a time limit set by the control authority,
- **to verify with the Beneficiary** the fulfilment of the measures imposed to remedy deficiencies found during control processes¹⁸,
- **to insist that a project change request is submitted within the specified period** or to set an additional period based on the evaluation of the request or a statement that the time period could not be met due to force majeure or alleged breach of TA CR obligations¹⁹. In the event of approval of the change, TA CR is entitled to stipulate an obligation to the Project Promoter to return a relevant part of the funding (for instance where a request for a reduction of expected results is concerned).

¹⁵ pursuant to Article 3 (7) of the KAPPA Terms and Conditions

¹⁶ pursuant to Article 3 (5) of the KAPPA Terms and Conditions

¹⁷ pursuant to Article 3 (12) of the KAPPA Terms and Conditions

¹⁸ pursuant to Article 4 (7) of the KAPPA Terms and Conditions

¹⁹ pursuant to Article 5 (10) of the KAPPA Terms and Conditions

- **to negotiate with Project Partners on the continuation of project implementation²⁰**, if the Project Promoter violates or is likely to violate his obligations or where he ceases to meet the eligibility conditions pursuant to § 18 (2) of the Act on the support of research and development.
- **to provide relevant information to other providers, other public authorities or bodies of the EEA and Norway Grants for the purposes of an efficient performance of activities connected with the provision of support in research, development and innovation²¹.**
- **to monitor the fulfilment of the implementation plan for results for the entire period of its validity, at least, however, for a period of 3 years from the achievement of the result, if the result was achieved during the project, but no later than 3 years after the completion of the project, and to do so mainly on the basis of the implementation reports submitted by the Beneficiary²².**
- **to check the content of the Agreement on Utilisation of results and to check its completeness²³.**

²⁰ pursuant to Article 5 (12) of the KAPPA Terms and Conditions

²¹ pursuant to Article 10 (2) of the KAPPA Terms and Conditions

²² pursuant to Article 13 (2) of the KAPPA Terms and Conditions

²³ pursuant to Article 13 (7) of the KAPPA Terms and Conditions

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Contact details

Contact persons of the Programme Operator (TA CR)

TA CR Project Officer

- Stanislav Toman; +420 234 611 908 (stanislav.toman@tacr.cz)

Head of the EEA and Norway Grants Department

- Dominika Paclíková; +420 234 611 618 (paclikova@tacr.cz)

Contact person of the Research Council of Norway (Donor Programme Partner)

- Aleksandra Witczak Haugstad; +47 92 28 24 62 (awh@rcn.no)

TA CR Adress:

Technology Agency of the Czech Republic
Evropská 1692/37
160 00 Praha 6
Czech Republic

Data box ID: afth9xp

Help with questions

Questions in English can be submitted via the HELPDESK application available at <https://www.tacr.cz/hesk/>. The maximum response time during the period when the call is open is 10 working days.

To find answers to your questions, please, consult also frequently asked questions on calls for proposals available at www.tacr.cz/hesk..

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Annexes

Annex No.	Annex title	Type of document / usage	Who (and when) fills the document out
1	Financial statement	Template / Interim and Final reports	Each Beneficiary fills this out and adds it to the Interim/Final report
2	Certification of costs claimed	Template / Final reports	Each Beneficiary which has received funding exceeding EUR 325 000 adds the certification to the Final report.
3	Typology of changes and list of mandatory annexes	Instructions / change requests	-
4	Declaration of the type of organisation	Form / change requests	Only the Beneficiary involved in a change of status (see Annex No. 3 for the changes this form is needed for)
5	Evidence of ownership structure	Form / change requests	Only the Beneficiary involved in a change of status (see Annex No. 3 for the changes this form is needed for)
6	Consent to Extract from the Criminal Register	Form / change requests	The statutory members of the Beneficiary involved in the change (see Annex No. 3 for the changes this form is needed for)
7	Consent of all project partners with a project change	Form / change requests	Only the Beneficiary affected by the change (see Annex No. 3 for the changes this is needed for)
8	Structured curriculum vitae	Form / change requests	Only the new principal investigator (see Annex No. 3 for the change this is needed for)
9	Change request form	Form / change requests	Project Promoter (send to TA CR via data box) in case of a change request before the signature of the Project Contract
10	Instructions for preparing and submitting a change request	Instructions / change requests	-