



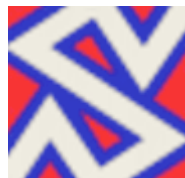
Slovak Republic

Call for submitting proposals

to provide a non-returnable financial contribution
for sub-project within the Block grant *“Support of
research in the selected research areas important for the
Slovak Republic and EU „*
financed from the
EEA Financial Mechanism and from the state budget of
the Slovak Republic

launched

on 08.04.2008



Slovenská akadémia vied

**Slovak Academy of Sciences – Intermediary of Block grant
“Support of research in the selected research areas important for the Slovak Republic
and EU „**

1. Introduction

The Block Grant (BG) "Support of research in the selected research areas important for the Slovak Republic and EU" is a block grant for support of science and research in the Slovak Republic intermediated by the Slovak Academy of Science. It is a part implementation of the Financial mechanism of the European economic area (FM EEA) of which the donors are Island, Liechtenstein and Norway (www.eeagrants.sk). BG is financed from the resources of European Economic Area and co-financed from the state budget of the Slovak Republic (in ratio 85%: 15%). The Slovak Academy of Sciences (further only „Intermediary“ or „SAS“) is the Intermediary of the BG, i.e. SAS is responsible for the implementation and realisation of the BG.

2. The objectives of the Block grant

The BG provides an **outstanding** opportunity to concentrate the financial sources and research capacities to targeted research for research organisations in the Slovak Republic from public sector, non-governmental sector and private sector.

Support for one sub-project can be in a range value from 50 000 EUR (1 662 000,- SKK) to 150 000 EUR (4 986 000,- SKK) (rate 1 EUR = 33,24 SKK). This exchange rate is not valid for the whole sub-project realisation period – during reporting and accounting, the ECB exchange rate of the second last working day of the month preceding the date of disbursement by the final beneficiary/aid recipient.

The subject content of the sub-project is proposed by the applicant for non-returnable financial contribution (further only „NFC“) in his application. The period of project duration is assumed from 09. 2008, maximally to October 2010 (maximally 26 months, minimally 24 months). The sub-project has to be realised within the territory of the Slovak Republic by an organisation established in the Slovak Republic.

Time plan:

- Publishing the call **on 08. 04. 2008,**
- Termination of the call on **07. 07. 2008 at 13:00 hour (three months after publishing the call),**
- Selection and evaluation of sub-projects: within 2 months since call termination,
- August 2008 – control of the accounting and material-technical facilities of the applicant and signing the contract on NFC.
- The applicant will be informed of the result of the evaluation of application within 10 calendar days after approval of the sub-project by the Intermediary. Subsequently, the Intermediary shall deliver a contract proposal on providing NFC.
- The start date of expenses eligibility and realisation of sub-projects is the day after signing of the contract on NFC for the sub-project,
- The time period for sub-project realisation is minimally 24 months and maximally 26 months, up to 31.10. 2010.

3. The supported areas

In the frame of this call for submission of applications for providing non-returnable financial contribution for sub-project in the frame of the Block Grant financed from the EEA Financial Mechanism and the State budget of the Slovak Republic, the following four supported areas have been determined

- No. 1 Nanotechnologies
- No. 2 Biotechnology and food
- No. 3 Sustainable development
- No. 4 Renewable energy sources

Detailed information on support areas and priorities can be found in the Guide for applicant on providing non-returnable financial contribution for sub-project in the frame of the Block grant financed from EEA Financial Mechanism and the state budget of the Slovak Republic – further only „Guide for applicant“, which is published on the web (www.sav.sk, the web-site of the EEA FM Block Grant).

4. Eligibility conditions

4.1 Eligible applicants

The BG is designed for legal entities (further only “organisation”), which have in their activity objectives also research. An organisation can apply for providing NFC if it fulfils the following basic conditions (further criteria are given in article 7):

- It is established in the Slovak Republic
- It is from the public, private or non-governmental organisations sector,
- has to have registered activities in the given area for at least two years,
- it has to participate on sub-project financing:
 - minimally 5% of the project costs from own sources, if the applicant for providing NFC is from a public or non-governmental organisations sector,
 - minimally 40% of the project costs from own sources, if the applicant for NFC is from the private sector,
- the applicant for providing NFC has to implement the sub-project by its own research capacities, can have co-partners from other organisations, but can not act as intermediary,
- it can submit application for NFC only individually, not in partnership,
- has to show sufficient own resources,
- is responsible for the preparation of the sub-project and other required documents,
- applicant for NFP from a private sector is governed by rules for *de minimis* aid.

4.2 General conditions for support

Providing non-returnable financial contribution

4.2.1 Non-returnable financial contribution for financing sub-project is composed of

- contributions from the EEA Financial Mechanism in amount of 85% of the total NFC for applicants from public sector
- contributions from the state budget of the Slovak Republic in amount of 15% of total NFC for applicants from public sector

- contribution from EEA Financial mechanism in amount of 90% of the total NFC for applicants from non-governmental organisations
- contribution from the state budget of the Slovak Republic in amount of 10% of total NFC for applicants from non-governmental organisations

- contribution from EEA Financial mechanism in amount of 100% of the total NFC for applicants from private sector. The NFC represents at most 60% of the total eligible expenses in the case of applicant from private sector.

4.2.2 In the case an applicant is from public or non-governmental sector, the provided NFC is maximally 95% of total eligible costs for sub-project, minimally 5% of resources are the own sources of the applicant.

4.2.3 In the case an applicant is from private sector, the provided NFC is maximally 60% of total eligible costs for sub-project (in accordance with rules given for providing *de minimis* aid), minimally 40% of resources are the own sources of the applicant from private sector.

The applicant has to show already at the time of application's submission, that he has guaranteed sources for continuous co-financing of the sub- project, minimally 5% of the total eligible costs for the sub-project in the case of applicant from public sector or from non-governmental organizations sector, or, minimally 40% of the total eligible costs for the sub-project in the case of applicant from private sector.

The NFC for one sub-project is min. 50 000 EUR (1 662 000,- SKK), max. 150 000 EUR (4 986 000,- SKK) (the exchange rate at the date of call publishing is 1 EUR = 33,24 SKK). This rate is not valid for the entire sub-project realisation period – at accounting and reporting the current ECB exchange rate of the second last working day of the month preceding the date of disbursement by the final beneficiary/aid recipient.

The budget of the application is prepared simultaneously in SKK and in EUR.

4.3 Eligibility of the costs

As eligible costs are accepted: adequate costs spent by final beneficiary/aid recipient, which simultaneously are:

- essential and are directly connected with sub-project implementation,
- in accordance with the approved sub-project budget
- occurred in the period of eligibility,
- are documented with relevant accounting records.

The period of eligibility will be specified in the Contract on providing NFC and starts on the day after its signing.

Detailed provisions on eligibility of cost are given in Guide for applicant on NFC for sub-project in the frame of the Block grant financed from EEA Financial Mechanism and the state budget of the Slovak Republic, Article 8, published by the Intermediary.

5. Time frame

Publishing of the call: on **08. April 2008**.

Deadline for submission of applications is 3 months from publishing of the call, i.e. on **07. July 2008**.

Publishing of the result of sub-project selection: two months following the call end, i.e. till **07. September 2008**.

Final date for completion of the supported sub-projects: **30 October 2010**.

The maximal duration of the sub-project implementation is **26 months**, minimally **24 months**.

6. Basic financial data

The total amount of the provided resources given for sub-project financing in the frame of this BG call is **903 742 EUR, i.e. 30 040 384,08 SKK**. The reference exchange rate for the purpose of this call is 1 EUR = 33,24 SKK.

7. Application for providing NFC for sub-project and its evaluation

The application and the corresponding annexes have to be elaborated on prescribed forms, which are annexes to the call for submitting application for NFC for sub-project in the frame of BG financed from EEA Financial Mechanism and from the state budget of the Slovak Republic.

The list of documents, which has to be submitted in Slovak as part of the application for providing NFC:

Forms:

1. The filled **Form I** – Application for providing NFC for sub-project in the frame of BG financed from the EEA FM and from the state budget of the Slovak Republic (1x original and 10 copies),
2. The filled **Form II** – Proposal of the sub-project financed from the Research Block grant by the EEA FM and the state budget of the Slovak Republic (1x original and 10 copies),
3. The filled **Form III** – Budget of the sub-project financed from the Research Block grant by the EEA FM and the state budget of the Slovak Republic (1x original and 10 copies),
4. The filled **Form IV** – Logistic planning matrix of the sub-project (1x original and 10 copies),
5. The filled **Form V** – Registration card – Reply slip (1x original and 1 copy),

Mandatory annexes:

- a) confirmation (by officially certified copy of establishing document) of the fact that the applicant is a legal person engaged also in research and development, having the seat in the Slovak Republic. The confirmation is proved by an excerpt from the Commercial Registry in the case of commercial subjects or by other relevant record in the case of a subject from public administration or non-governmental organisations by certificate on registration. The certificate can not be older then three months to the date of the application submission,
- b) officially certified copy of statutes or the foundation document,
- c) annual reports for last two years,
- d) original (or officially certified) certification of the court on the fact that the applicant is not in bankruptcy, or that the bankruptcy is rejected due to lack of property, or that the applicant is not in liquidation. The certificate can not be older then three months to the date of application submission,
- e) original (or officially certified) evidence that the applicant has no tax debt - by a confirmation from the relevant tax office. The certificate can not be older then three months to the date of application submission.
- f) original (or officially certified) evidence of the fact that the applicant does not have debt on health insurance (separate confirmation from all six health insurance companies), on medical insurance and on social security insurance and does not have a debt for unemployment insurance (confirmation from the Social Insurance Company). None of the confirmations can be older then three months to the date of application submission,
- g) original (or officially certified) evidence from Labour Inspectorate of the fact that the applicant does not break the labour law and labour security rules. It should be proved by a document not older then three months to the date of application submission,
- h) in the case that it is assumed a research on animals in the sub-project, it is necessary to provide original (or officially certified) permission from the State Veterinary and Food Authority,
- i) statement of the statutory representative of the applicant on the fact that if the applicant is selected, he will enable the intermediary to control the accounting management and the technical facilities which are mentioned in the application,
- j) sworn affidavit of the applicant on the fact that in the case the applicant will be selected for providing NFC, he will establish a separate bank account exclusively for the needs of the sub-project implementation,
- k) sworn affidavit of the statutory representative of the applicant from private sector, that in two last years and in year 2008, including the application for NFC, he did not receive aid over 200 000 EUR in the frame of *de minimis* support, break-down of all resources from *de minimis* aid is part of the sworn affidavit,
- l) the statutory representative of the applicant and the head of the project present excerpts from Criminal Register which is not older then three months to the date of application submission,
- m) the applicant has to show an expert qualification for implementation of the sub-project by overviews (every overview has to be signed by statutory representative and stamped by the stamp of the organisation) by:
 - list of implemented projects with activities in the given field of research and development in last four years, the results and in practice applied realisation outputs,

n) the applicant declares that he is financially capable. This capability has to be shown by:

- bank declaration on the applicant's ability to fulfil financial obligations (account statement of the applicant's account for last 3 months which shows his balance of payments – submits an original or officially certified copy), it does not relate to the organisations of SAS because the Intermediary the access to these information through the State Treasury (Bank),
- by the economic results (balance sheet) of the book-closing compiled to last day of the former accounting period – submits an original signed by the statutory representative and stamped by the organisation's stamp or officially certified copy,
- financial statements for previous year approved by auditor (original signed by statutory representative and with the organisation's stamp or its officially certified copy),
- organisations of SAS and public schools of higher education are submitting only account book-closing (original signed by statutory representative and with the stamp of organisation or its officially certified copy),
- in the case of distributive financing, the applicant submits a written promise on co-financing of the sub-project from own financial resources or from other financial resources as are the resources from state budget (original signed by statutory representative and with the organisation's stamp).

Notice for applicant: After the approval of the application on providing NFC, applicant submits sworn affidavit on the fact that he has not applied to another agency for financial support and have not have financed a project from other financial sources of EU and from the state budget for the theme described in the sub-project . Furthermore, at submission of the application, he submits sworn affidavit that the original application, including annexes, corresponds with the copies and with the electronic version.

An applicant from the private sector has to follow these conditions, and the conditions given in the Guide for applicant, published by Intermediary, as well as general *de minimis* aid rules.

It is necessary to submit the filled forms I to IV in printed form in **1 original and 10 copies**. **The mandatory annexes are submitted only in 1 sample as an attachment** to the original application for NFC. At the same time the applicant submits in electronic form on one CD carrier all forms and other records, which were created by the applicant, and which he approves by their submission. Documents in electronic form are submitted in one of the following formats: xls, doc, rtf, pdf, jpg. The form V needs to be submitted in **1 original and 1 copy**.

The statutory representative of the applicant has to sign every page of the submitted application and documents created by him, as well as of other presented annexes. All forms and mandatory annexes have to be signed by the statutory representative of the applicant with blue ink pen and stamped by the stamp of the organisation at the place where marked for it.

All forms and mandatory annexes have to be submitted in Slovak language. If some of the supplementary documents are in other than Slovak language, it is necessary to attach also its accurate translation into Slovak language.

Further conditions of the Intermediary:

- the application can not be withdrawn after it was submitted,
- the applicant does not have the right to compensate the costs connected with his participation in the public call.

Recommendation of the Intermediary - If the proposed research theme of the sub-project allows it, it is recommended to establish a contact with research organisations from the donor countries. International cooperation is not a subject of evaluation. The foreign organisation can not be financed from resources of NFC.

The applicants have to deliver the applications in a sealed and undamaged envelope by surface mail, delivery service or in person in such a way that all applications are delivered to the registry room of Office of SAS by **07. July 2008 until 13:00 hour**.

On the envelope containing the application it is necessary to quote the following information:

Full name of the applicant: Address of the applicant: Project title: Commission No.: Public call DO NOT OPEN	Slovenská akadémia vied Štefánikova 49 813 48 Bratislava 1
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The applicant will enclose in the sealed envelope another special envelope with a registration card – reply slip (Form V). The in-person delivery will be enabled at the registry room of the Slovak Academy of Sciences, Štefániková 49 at earliest 7 days prior to the deadline at time from 8:00 to 13:00 hour on every working day. The registry will confirm the receipt of the application for NFC (the date and time of receipt, state of the envelope/parcel) and assign a registration number to the application. To applications which will be sent by surface mail or delivered by delivery service, a registration card – reply slip (form V) must also be enclosed in a separate envelope, which will be sent to the applicant by surface mail after receipt of the application.

For technical reasons the applications and the annexes will not be returned to the applicants. The applications delivered only by electronic mail or by fax will not be accepted by Intermediary.

Consultations for applicants to preparation of applications will be provided from the date of the call publication up to 7 days prior to call termination date. Consultations will be provided in person, by phone and by electronic mail. Personal consultations need to be agreed upon with the person in charge of the Department of Science and Research at the Office of SAS:

Ing. Peter Hatala, tel.: 02/57510264, e-mail: hatala@up.upsav.sk

Ing. Dana Zegeřová tel: 02/ 52491519; 02/57510185, e-mail: zegeřova@up.upsav.sk

Ing. Ivan Zvara, tel: 02/ 52491519; 02/57510175, e-mail: zvara@up.upsav.sk

fax No.: 02/ 57510609

Telephone information is provided on Monday, Wednesday and Friday from 8:00 to 9:00 and from 13:00 to 14:00 hour.

The supposed date for signing of the Contract on providing NFC for sub-project or the informing on rejecting of the application is up to 9 weeks after close of the call.

8. **General criteria for evaluation of the applications**

The following general criteria will be applied during evaluation:

Basic selection criteria:

- Objective content of the research sub-project, mainly the integrity of the suggested solution, its novelty – contribution to the development of knowledge, realisation outputs. The number of points for a criterion is 6 – 45 points
- Compilation of the application according to the requirements given in the application form – e.g. controllable periods etc. The number of points for a criterion is 3 – 15 points

- Technical facilities of the applicant related to the research fields of interest. The number of points for a criterion is 1 – 5 points
- Financial plan of the sub-project. The number of points for a criterion is 4 – 25 points
- Personality of the project team to solve proposed problem. The number of points for a criterion is 2 – 10 points

The total sum of the points that is possible to receive during the appraisal process is 100. To proceed to final selection it is necessary to reach minimally 65% in every evaluation criterion. That means that every sub-project must reach minimally 65 points. The points are assigned as integer number. The resulting points are obtained as arithmetic average of the points assigned to the sub-project from the opponents and from the voting members of commission, which are not in conflict of interest. On the basis of obtained points the Commission compiles the waiting list and recommends to the chairman of the SAS the sub-projects for financing.

9. Forms of sub-project financing.

The system of advance payments can be used by end recipients from public sector and non-governmental organisations implementing sub-projects on non-investment character. That means that investment expenses cannot be more than 50% of the budget. The expenses are planned in the economic category 600 – Common expenses.

The system of reimbursement is used by end recipients from private sector. The expenses are planned in the economic category 600 – Common expenses.

Sub-projects are of non-investment character, i.e. the investment expenses cannot be more than 50% of the budget.

The detailed procedures of the sub-project financing are given in the Guide for applicant for providing NFC for sub-project within the BG in section 12 and 13, which is published by the Intermediary.

10 Contacts

Department for Science and Research
Office of the Slovak Academy of Sciences
Štefánikova 49
814 38 Bratislava

Tel: 02/52491519; 02/57510185, 02/57510175

Fax: 02/ 57510609

E-mail: zegerova@up.upsav.sk, zvara@up.upsav.sk, hatala@up.upsav.sk

All documents for the applicants, including application forms and the Guide for applicant for providing NFC for sub-project are available at www.sav.sk in the part EEA Financial Mechanism Block grant.

Additional information from the Financial Mechanism Office is available at www.eeagrants.sk and www.eeagrants.org.

11. The list of annexes to the call

1. **Guide for applicant**, published by the Intermediary, for providing NFC for sub-project within the BG financed from EEA FM and from the state budget of the Slovak Republic,

2. **Form I** - Application for providing NFC for sub-project within the BG financed from EEA FM and from the state budget of the Slovak Republic, (1x original and 10 copies)

3. **Form II** – Proposal of the sub-project financed from Research BG financed from EEA FM and from the state budget of the Slovak Republic, (1x original and 10 copies)
4. **Form III** - Budget of the sub-project financed from Research BG financed from EEA FM and from the state budget of the Slovak Republic, (1x original and 10 copies)
5. **Form IV** – Logistic planning matrix of the sub-project, (1x original and 10 copies)
6. **Form V** - Registration card – Reply slip, (1x original and 1 copie)