

SUPPLEMENT TO COMPETITION DOCUMENTATION FOR MEASURE 4.4 OF THE SMART GROWTH OPERATIONAL PROGRAMME INVOLVING PROJECT MODIFICATIONS

I. Introduction

This document constitutes a supplement to the Competition Documentation of the Foundation for Polish Science (FNP) setting out the rules for conducting competitions and implementing projects under the Smart Growth Operational Programme 2014–2020 (SG OP), Axis IV: Increasing research potential, Measure 4.4: Increasing human potential in the R&D sector, i.e. the programmes TEAM, TEAM TECH including core-facility competitions, FIRST TEAM, HOMING and POWROTY/REINTEGRATION (the **Supplement**).

The aim of this Supplement is to enable the managers of projects implemented within these programmes to **introduce modifications to projects, rationalize their budgets, or obtain additional financing in connection with project modifications.**

Under the rules set forth in this Supplement, applications may be filed only by project managers, after signing of a grant agreement, subject to point 2.2.

Grant recipients applying the rules and procedures set forth in the Supplement are subject to the Competition Documentation under which they obtained funding for their projects. In the event of any inconsistency between this Supplement and the Competition Documentation, this Supplement shall take priority.

II. General information

2.1 Possibilities for modifications declared under this Supplement

2.1.1. An application may involve:

- a) Modifications in the substantive scope of the project, without extending the project implementation period, where implementation of the modifications requires an increase in the project budget by no more than 10% of its existing value, in particular connected with changes in the composition of the team implementing the project. The proposed changes should strengthen the implementation potential of the R&D results of the project.
- b) Modifications introducing an additional task into the project connected with elaboration of the results of the project to date for verification of their possibilities for commercialization (**proof of concept**). Such changes, if substantively justified, may be connected with extension of the project implementation period by a maximum of 12 months and appropriate increase in the funding for the project.
- c) Modifications connected with plans for **extension of the project implementation period by a maximum of 12 months** for HOMING, POWROTY/REINTEGRATION, FIRST TEAM and TEAM project managers who during the course of project



implementation have filed an application in a competition conducted by the European Research Council (ERC) or other international competition of a similar nature (e.g. HFSP), and for TEAM TECH project managers who during the course of project implementation have filed an application in the Horizon 2020 framework programme or other international grant competition of a similar nature. Such modifications, if substantively justified, may be connected with an appropriate increase in funding for the project.

- d) Modifications connected with plans for **extension of the project implementation period by a maximum of 24 months** for FIRST TEAM and TEAM project managers who during the course of project implementation have filed an application in a competition conducted by the European Research Council (ERC) or other international competition of a similar nature (e.g. HFSP) and have won the competition or have been qualified to the second stage of evaluation, as well as for TEAM TECH project managers who during the course of project implementation have filed an application in the Horizon 2020 framework programme or other international grant competition of a similar nature and have won the competition or received the status of “Seal of Excellence” within the SME Instrument issued by the European Commission. Such modifications, if substantively justified, may be connected with an appropriate increase in funding for the project.
- e) Modifications introducing an additional task into the project implemented **in cooperation** with at least one other leader of a team funded under SG OP Measure 4.3 (International Research Agendas) or manager of a project funded under SG OP Measure 4.4 (Increasing human potential in the R&D sector). The cooperation between teams from different scientific fields will be preferred. Such modifications, if substantively justified, may be connected with extension of the project implementation period by a maximum of 24 months as well as an appropriate increase in funding. The proposed changes should strengthen the implementation potential of the R&D results of the project.

NOTE: in case of options indicated in points 2.1.1. (a), (b) and (e) the changes to be introduced should be directly related to knowledge transfer and future commercialisation of the developed results, therefore the VAT tax might not be 100% eligible within the project.

2.1.2. The project manager may exercise one or more of the options indicated in points 2.1.1(a)–(e), but the **total extension of the project implementation period** pursuant to this Supplement cannot be greater than **12 months** for HOMING and POWROTY/REINTEGRATION projects or **24 months** for FIRST TEAM, TEAM and TEAM TECH projects.

2.1.3. A project manager may file an application pursuant to the rules set forth in this Supplement more than once.



- 2.1.4. Grant recipients who receive approval for **extension of the project implementation period** under the rules set forth in this Supplement may also apply for modifications of the project implementation period, without the possibility of an increase in funding:
- a) If the project manager is a woman and during the implementation of the project she gives birth, or if the project manager adopts a child during the implementation of the project, the project implementation period may be extended by a maximum of an additional 6 months for each child born or adopted during the project implementation period.
 - b) If the project implementation period in the agreement is the maximum permissible project implementation period adopted in the Competition Documentation and this Supplement, an extension of the cost eligibility period is possible for a maximum of 3 months, a so-called technical extension.
- 2.1.5. Grant recipients implementing their projects under a state aid scheme must ensure compliance with the incentive effect in relation to the new task in the project at the stage of filing applications under this Supplement.
- 2.1.6. Project implementation indicators:
- a) Introduction of modifications of projects under implementation pursuant to this Supplement requires updating of the indicators via the electronic form for filing applications.
 - b) The new values of the indicators must be appropriate to the proposed modifications in the project and reflect the adopted aims. Such indicators shall be the subject of evaluation by experts during the course of the merits evaluation of the application, during implementation, and after project completion, and may be subject to changes suggested by the Foundation's experts.

2.2. Deadline for submitting applications

- 2.2.1. Applications for modifications in projects will be accepted on a rolling basis during the period from 6 June 2018 until the funds allocated for this purpose are exhausted.
- 2.2.2. An application may be submitted no earlier than the date of signing of the grant agreement and no later than 3 months before the deadline for completion of the project indicated in the agreement.
- 2.2.3. Grant recipients implementing their projects under a state aid scheme may file applications under the procedure covered by this Supplement on or before 30 June 2021, subject to points 2.2.1 and 2.2.2.

2.3. Requested amount

- 2.3.1. As a result of a procedure covered by this Supplement, a new project budget shall be adopted reflecting the costs necessary to perform the tasks provided for in the application.



- 2.3.2. The increase in the budget shall be made under the rules and within the cost categories set forth in the *Cost Eligibility Guide for SG OP Measure 4.4* in force for the Competition Documentation under which the project is funded.
- 2.3.2. When filing an application for funding, the project manager shall review the entire budget and estimate any potential savings, and may prepare a new project budget covering both the increase in funding and, if possible, the extension of project implementation.
- 2.3.3. In the event of an application for an increase in the project budget, the following values are suggested:
- a) In HOMING, POWROTY/REINTEGRATION, and Core Facility PLUS projects, up to PLN 400,000 per 12 months
 - b) In FIRST TEAM projects, up to PLN 600,000 per 12 months
 - c) In the case of an application for the modifications referred to in points **2.1.1 (b) and (c)**, in TEAM and TEAM TECH projects (including winners of the TEAM TECH Core-facility competition), up to PLN 800,000 per 12 months
 - d) In the case of an application for the modifications referred to in points **2.1.1 (d) and (e)**, in TEAM and TEAM TECH projects (including winners of the TEAM TECH Core-facility competition), up to PLN 1,000,000 per 12 months
 - e) In the case of an application for the modifications referred to in point **2.1.1(e)** involving an IRA team leader, the IRA project shall receive a potential increase in funding under the rules set forth in the grant agreement under the IRA programme.
- 2.3.4. The Foundation shall consider the justification for increasing the amount of funding taking into consideration the grounds influencing the selection of the project, the manner in which it has been implemented so far (in both substantive and financial respects), and the influence of the proposed modification on the anticipated results of the project.

2.4. Manner of submitting applications

- 2.4.1. Applications shall be submitted via the electronic system made available by the Foundation at the website www.wnioski.fnp.org.pl. The electronic form shall be completed in English, and the attachments in the format and language indicated below.
- 2.4.2. The electronic form for filing applications for project modifications allows for editing of data, including editing attachments and information about the project implementation indicators, until the moment of “closing of data editing.” After completion of editing of data, the required *Statement of the unit* where the project is being implemented must be attached to the electronic form. Failure to upload such statement in the electronic system will mean that the application has not been filed.
- 2.4.3. A project manager filing an application for modifications referred to in point **2.1.1(a)** shall file the following attachments with the application:



- a) Report on the work undertaken to date and a description of the results obtained and their implementation potential (max. 3 pages),
 - b) Description of the modifications in the substantive scope of the project with the substantive basis therefor and an indication of any changes in the composition of the team implementing the project, a justification for the increase in the project expenditures must indicate how the proposed changes will strengthen the implementation potential of the R&D results of the project (max. 3 pages).
- 2.4.4. A project manager filing an application for modifications referred to in point **2.1.1(b)** shall file the following attachments with the application:
- a) Report on the work undertaken to date and a description of the results obtained and their potential for implementation (max. 3 pages),
 - b) Description of the new research task in the nature of “proof of concept,” as well as a justification for the increase in the project expenditures or project extension along with the information on how the proposed changes will strengthen the implementation potential of the R&D results of the project (max. 3 pages)
- 2.4.5. A project manager filing an application for modifications referred to in point **2.1.1(c)** shall file the following attachments with the application:
- a) Report on the work undertaken to date and a description of the results obtained and their potential for implementation (max. 3 pages)¹,
 - b) Description of the new research task in the project as well as a justification for the increase in the project expenditures or project extension (max. 3 pages),
 - c) An attachment confirming that the project manager meets the conditions referred to in point 2.1.1(c)²
 - d) Description of the project (in terms of planned R&D works) submitted within the competition referred to in point 2.1.1(c)³.
- 2.4.6. A project manager filing an application for modifications referred to in point **2.1.1(d)** shall file the following attachments with the application:
- a) Report on the work undertaken to date and a description of the results obtained and their potential for implementation (max. 3 pages)⁴,

¹ Does not apply in case of ERC Grants applicants.

² For ERC Grants applicants: electronically signed application with a time stamp consisting of parts A, B1 and B2 of the application, generated by the Participant Portal system.

³ Not required from ERC Grants applicants - it is part of the attachment above.

⁴ Does not apply in case of ERC Grants applicants.

- b) Description of the new research task in the project as well as a justification for the increase in the project expenditures or project extension (max. 3 pages)
 - c) An attachment confirming that the project manager meets the conditions referred to in point 2.1.1(d)⁵,
 - d) Description of the project (in terms of planned R&D works) submitted within the competition referred to in point 2.1.1(d)⁶,
 - e) Reviews and/or opinions of the reviewing panels that the abovementioned application has received⁷.
- 2.4.7. An application for modifications referred to in point **2.1.1(e)** shall be filed by each of the grant recipients intending to cooperate with one another, also indicating in the electronic system the project manager with whom the cooperation is to be carried out. Each of the project managers shall file the following attachments:
- a) Report on the work undertaken to date and a description of the results obtained and their potential for implementation (max. 3 pages),
 - b) Description of the reasons for undertaking the cooperation and the aim sought to be achieved, together with an indication of the added value arising out of the cooperation, in particular in terms of how it will strengthen the implementation potential of the R&D results of the project as well as a justification for the increase in the project expenditures or project extension (max. 3 pages),
 - c) Description of the new research task planned to be carried out within the cooperation, with particular attention to the new works carried out by the applicant's team (max. 3 pages),
 - d) In addition, one joint attachment shall be enclosed with each application, with the identical content for all grant recipients planning to take up cooperation, describing the rules for the cooperation and the rules for division of the intellectual property developed in the cooperation (this attachment shall be signed by all the project managers to be involved in the cooperation).

2.5. Application evaluation system

The applications submitted will be evaluated in formal and substantive aspects. Decisions to grant funding will be taken on a rolling basis, and the Foundation will make every effort to ensure that correctly submitted applications are evaluated within three months from submission.

⁵ For ERC Grants applicants: electronically signed application with a time stamp consisting of parts A, B1 and B2 of the application, generated by the Participant Portal system.

⁶ Not required from ERC Grants applicants - it is part of the attachment above.

⁷ For ERC Grants applicants: Step 1 Evaluation Report and/or Step 2 Evaluation Report.



- a) 2.5.1. Formal evaluation: Where an electronic file attached to the online form is found to be defective or where any obvious errors are identified, or in case the required attachments have been prepared on inappropriate templates or they exceed the number of pages specified in this document, such application or the attachments will need to be corrected by the applicant within 14 days of notification to that effect.
- b) Where an electronic file uploaded to the online form is defective, or editing errors are identified, the programme officer may request that they be corrected, at any stage of the evaluation, within 14 days of notification to that effect.
- c) If the corrections referred to in points (a) and (b) are not submitted, an application not meeting the formal requirements will not be processed further.
- d) Applications meeting the formal requirements will be referred to substantive evaluation.
- e) Applicants whose applications do not meet the formal criteria will be informed (by e-mail or via the electronic system) that their applications will not be considered due to formal defects.

2.5.2. Merit-based evaluation:

- a) The substantive evaluation of applications referred to in point 2.1.1(a) shall include the opinion of the programme officer and an opinion prepared by an external expert.
- b) Applications referred to in points 2.1.1(b)–(e) shall be considered by a panel of experts, including at least three members with recognized scientific accomplishments or experience implementing innovative solutions in the R&D sector and one member of the FNP Executive Board (who will chair the meeting without the right to evaluate the application). The Foundation may appoint separate panels relevant to particular disciplines represented by the applications submitted.
- c) The applicant may be invited for an interview with the panel of experts, to be held at the offices of the Foundation or other location specified by the Foundation. In exceptional cases, interviews by phone or using online tools (such as Skype) may be held; each such case will be examined individually.
- d) At the recommendation of the panel of experts, the Foundation may refer the application for an opinion by an external expert, or re-evaluation by the panel.
- e) External experts and members of panels involved in evaluation of applications shall file a statement on confidentiality and avoidance of conflicts of interests.
- f) The Executive Board of the Foundation shall take the final decision on award of increased funding or project extension.
- g) Written notice of the result of the evaluation shall be sent to the applicant (via e-mail).

2.5.3. Experts evaluating applications shall take into consideration:



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- a) The manner of implementation of the project to date
 - b) The substantive consistency of the application with the project accepted for funding
 - c) The value added by the modification proposed in the application.
- 2.5.4. Experts evaluating applications may request that the applicant make corrections to the project necessary to ensure correct implementation of the project (e.g. concerning the project budget, planned expenditures, or indicators). They may also authorize FNP to conduct such negotiations at a later date, in particular prior to signing of the annex to the grant agreement.
- 2.5.5. The Foundation does not provide for any appeal procedure.

IV. Annex to grant agreement

- 6.1 Funding is awarded on the basis of an annex to the current grant agreement.
- 6.2 Before concluding the annex to the grant agreement, the Foundation reserves the right to negotiate with the grant recipient with the aim of introducing necessary adjustments to the application, including those involving project indicators or the project budget, particularly in terms of the correctness of the adopted financial assumptions.
- 6.3 The rules for disbursing, accounting for, and, where necessary, returning the funds, and the reporting rules connected with expenditure of the funds, shall remain the same as set forth in the grant agreement.

V. Contact

Additional information is available from each programme officer:

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