

POLISH-NORWEGIAN RESEARCH PROGRAMME

GUIDE FOR APPLICANTS CORE 2012 CALL

These guidelines for applicants explain how to apply in the Core 2012 Call of the Polish-Norwegian Research Programme. The guidelines are based on the Regulation on the implementation of the EEA and Norwegian Financial Mechanisms 2009-2014 and especially Annex 12 to this Regulation.

1. TABLE OF CONTENTS

1.	Introduction	2
1.1.	Legal basis	2
1.2.	Glossary	2
1.3.	Project Promoter and Principal Investigator	3
1.4.	Eligibility of project partners and the Project Promoter	3
1.5.	Eligibility of project proposals	3
1.6.	Ethical issues	4
1.6.1.	Ethical Issues Table	5
2.	Applying in core call of the Polish-Norwegian Research Programme	6
2.1.	The Core Call Peer Review Process	6
3.	Proposal Application	7
4.	Finance and Budget	14
4.1.	The currency used for the project proposal's budget and settlement of the project costs	14
4.2.	Preparatory costs	15
4.3.	general rules	15
4.4.	Eligibility of Expenditures	15
4.5.	Budgetary Flexibility	16
4.6.	Direct Cost	16
4.6.1.	Personnel Costs	17
4.6.2.	Travel Cost	17
4.6.3.	Equipment	17
4.6.4.	Purchase of land and real estate	18
4.6.5.	Consumables and supplies	19
4.6.6.	Other Costs	19
4.7.	Indirect Cost (overheads)	19
4.8.	Proof of expenditure	20
4.9.	Period of eligibility of expenditures in projects	21
4.10.	Excluded costs	21
5.	Contracting	21
5.1.	Funding decision	21
5.2.	Partnership agreement	22
6.	Project implementation	22
6.1.	Negotiation and Grant Agreement	22
6.2.	Periodic Reporting	23
6.3.	Final Reporting	23
6.4.	Reporting on scientific publications	23
6.5.	Payments to the Project Promoter and project partners	24
7.	Gender balance	24
8.	Questions and queries to the Programme Operator	24

Further call information, forms and guidelines are available on the NCRB website:
www.ncbir.pl/en/norwaygrants.

1. INTRODUCTION

1.1. LEGAL BASIS

The Polish-Norwegian Research Programme is implemented on the basis of the following legal acts:

- Regulation on the implementation of the EEA and Norwegian Financial Mechanisms 2009-2014 hereinafter referred to as 'Regulation';
- Annex 12 to the above mentioned Regulation – Rules for the establishment and implementation of donor partnership programmes falling under the Programme Areas "Research within priority sectors" and "Bilateral Research Cooperation";
- Programme Agreement between the Norwegian Ministry of Foreign Affairs and the Ministry of Regional Development of the Republic of Poland for the financing of the Programme "Polish-Norwegian Research Programme";
- Act of 30 April 2010 on the National Centre for Research and Development (Journal of Laws No 96 item 616);
- Regulation of the Minister of Science and Higher Education of 17 September 2010 on the detailed mode of performance of tasks of the National Centre for Research and Development (Journal of Laws No 178 item 1200);
- Agreement between the Ministry of Regional Development of the Republic of Poland and the National Centre for Research and Development on the implementation of the Programme "Polish-Norwegian Research Programme" under the Norwegian Financial Mechanism 2009-2014.

1.2. GLOSSARY

Project Promoter (PP) – an entity formally responsible for submitting the proposal under the Polish-Norwegian Research Programme;

Principal Investigator (PI) – researcher having a scientific lead of a project submitted under the Polish-Norwegian Research Programme, coming from one of the Polish institutions constituting a project consortium;

Programme Operator (PO) – the National Centre for Research and Development, agency responsible for the management and implementation of the Polish-Norwegian Research Programme in Poland;

Programme Committee (PC) - an advisory body to the Polish-Norwegian Research Programme.

1.3. PROJECT PROMOTER AND PRINCIPAL INVESTIGATOR

For each proposal, project partners designate a leading entity, called ‘**Project Promoter**’ (PP). The PP is formally responsible for submitting the proposal, signing the cooperation agreement with the project partners and submitting periodic reports to the Programme Operator.

In the Core Call of the Polish-Norwegian Research Programme, **the Project Promoter may only be a Polish entity eligible according to the Programme**. The appropriateness of the PP to be formally responsible for the administration of the project and successfully lead the project is an element of the evaluation procedure. PPs are advised to submit proposals which are appropriate to their track record and experience.

The ‘**Principal Investigator**’ is the researcher having the scientific lead of the project on a daily basis. She/he is responsible for controlling the technical direction and academic quality of the project, and will ensure that the project is carried out in compliance with the terms, conditions of the call as well as those specified in Regulation on the implementation of the Norwegian Financial Mechanism 2009-2014, and especially Annex 12 to this Regulation.

For each funded proposals the NCBR will start contract negotiations as soon as possible after the funding decision has been issued. Before the contract signature, a partnership agreement needs to be signed by the Project Promoter and project partners in order to clarify all important issues such as roles and responsibilities, intellectual property rights, etc.

The Project Promoter will provide annual reports of the project presenting the financial and content-related advancement of the project, within 60 days of the end of each calendar year.

The Project Promoter will provide a final report within 60 days of the project end. The NCBR will send the final report for evaluation to 2 experts involved in the selection process.

The reports are transmitted by the Project Promoter to the Programme Operator by electronic means.

1.4. ELIGIBILITY OF PROJECT PARTNERS AND THE PROJECT PROMOTER

The eligibility of projects promoters and project partners is defined in point 1.2 of Annex II to the Programme Agreement between the Norwegian Ministry of Foreign Affairs and the Ministry of Regional Development of the Republic of Poland.

According to this agreement **Research Organisations** as defined in the Community Framework for State Aid for Research and Development and Innovation (2006/C323/01) are sole entities eligible for funding under the Programme.

1.5. ELIGIBILITY OF PROJECT PROPOSALS

The proposal must include at least one Polish and one Norwegian entity eligible according to the Programme. Other than eligible partners are allowed to participate in the project on their

own funding. The Project Promoter must be a Polish entity eligible for funding according to the Programme. The project may last up to 3 years.

Proposals must fulfill all of the eligibility criteria if they are to be retained for evaluation.

The following eligibility criteria apply to all proposals submitted under the call:

- receipt of proposal by the Programme Operator before the deadline date and time established in the call;
- minimum conditions concerning the number of participants (at least one Polish and one Norwegian entity eligible according to the Programme);
- completeness of the proposal, i.e. the presence of all requested administrative forms, annexes and the proposal description (the completeness of the information contained in the proposal will be for the experts to evaluate; the eligibility checks only apply to the presence of the appropriate parts of the proposal);
- scope of the call: the content of the proposal must relate to the topics and funding scheme set out in the call. A proposal will only be deemed ineligible on grounds of 'scope' in clear-cut cases;
- proposals need to be submitted in English to the online submission system.

If it becomes clear before, during or after the evaluation phase that one or more of the eligibility criteria have not been fulfilled, the proposal is declared ineligible by the Programme Operator.

The Project Promoters of proposals found to be ineligible may file in a protest against the decision of the NCBR within 14 days from the receipt of the information on the proposal rejection. The NCBR (the Committee for Protests) has 60 days to proceed the protest and issue a decision.

Project Promoters of proposals found to be ineligible will be informed of the grounds for such a decision and advised on the protest procedure.

1.6. ETHICAL ISSUES

The present **Ethical Issues Table** from the European Research Council's grant proposals provides you with a guide to what are considered to be ethical issues. If the answer to any of the questions of the Ethical Issues Table is YES, you must provide a brief description of the ethical issue involved and how it will be dealt with appropriately. In particular, it should outline the benefit and burden of such research, the effects it may have and how the ethical issues will be managed. It is obvious that these ethical issues need to be considered for the whole project not only for the activities executed in Poland or Norway.

Please specify as well any authorisation or permission you already have for the proposed work. On this basis, a proper ethical screening is possible if the proposal is considered for possible funding.

If any authorisation or permission concerning ethical issues is required in order to carry out the project, it has to be delivered to the Programme Operator before the contract signature.

1.6.1. Ethical Issues Table

Research on Human Embryo/Foetus
Does the proposed research involve human Embryos?
Does the proposed research involve human Foetal Tissues/ Cells?
Does the proposed research involve human Embryonic Stem Cells (hESCs)?
Does the proposed research on human Embryonic Stem Cells involve cells in culture?
Does the proposed research on Human Embryonic Stem Cells involve the derivation of cells from Embryos?
DO ANY OF THE ABOVE ISSUES APPLY TO MY PROPOSAL?
Research on Humans
Does the proposed research involve children?
Does the proposed research involve patients?
Does the proposed research involve persons not able to give consent?
Does the proposed research involve adult healthy volunteers?
Does the proposed research involve Human genetic material?
Does the proposed research involve Human biological samples?
Does the proposed research involve Human data collection?
DO ANY OF THE ABOVE ISSUES APPLY TO MY PROPOSAL?
Privacy
Does the proposed research involve processing of genetic information or personal data (e.g. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)?
Does the proposed research involve tracking the location or observation of people?
DO ANY OF THE ABOVE ISSUES APPLY TO MY PROPOSAL?
Research on Animals
Does the proposed research involve research on animals?
Are those animals transgenic small laboratory animals?
Are those animals transgenic farm animals?
Are those animals non-human primates?
Are those animals cloned farm animals?
DO ANY OF THE ABOVE ISSUES APPLY TO MY PROPOSAL?
Research Involving Developing Countries
Does the proposed research involve the use of local resources (genetic, animal, plant, etc)?
Is the proposed research of benefit to local communities (e.g. capacity building, access to healthcare, education, etc)?
DO ANY OF THE ABOVE ISSUES APPLY TO MY PROPOSAL?
Dual Use
Research having direct military use
Research having the potential for terrorist abuse
DO ANY OF THE ABOVE ISSUES APPLY TO MY PROPOSAL?
Other Ethical Issues
Are there OTHER activities that may raise Ethical Issues?
If YES please specify:

The following special issues should be taken into account:

Informed consent: When describing issues relating to informed consent, it will be necessary to illustrate an appropriate level of ethical sensitivity, and consider issues of insurance, incidental findings and the consequences of leaving the study.

Data protection issues: Avoid the unnecessary collection and use of personal data. Identify the source of the data, describing whether it is collected as part of the research or is previously collected data being used. Consider issues of informed consent for any data being used. Describe how personal identify of the data is protected.

2. APPLYING IN CORE CALL OF THE POLISH-NORWEGIAN RESEARCH PROGRAMME

The application procedure consists of **one mandatory stage**, that is **PROPOSAL APPLICATION**.

Proposals are be submitted electronically to the on-line submission system - <https://osf.opi.org.pl>

Proposals shall be submitted no later than 16:00 (CET) before the relevant submission deadline.

Among the applicants in a proposed partnership, only the Project Promoter (identified by user id and password) is authorised to submit a proposal.

The proposals submitted via the on-line submission system are entered into databases after the call closure. The Programme Operator has no access to the proposal until the call deadline has passed.

Versions of proposals sent on paper, removable electronic storage medium (e.g. CD-ROM, diskette), by email or by fax will not be regarded as having been received by the Programme Operator.

If more than one copy of the same proposal is received, only the most recent eligible version is evaluated.

Proposals are archived under secure conditions at all times. After completion of the evaluation and any subsequent negotiation, all copies are destroyed other than those required for archiving and/or auditing purposes.

2.1. THE CORE CALL PEER REVIEW PROCESS

The Core Call Peer Review process guarantees the applicants an independent, state-of-the-art evaluation which has the objective to select those research projects that reflect scientific excellence and a high level. All proposals will be evaluated according to a set of selection criteria. The review process consists of a few stages:

- Each Proposal is **peer-reviewed** by three independent, international experts who prepare individual evaluations
- The three experts of each evaluated proposal prepare a consensus report

- **Programme Committee** approves a ranking list consisting of proposals evaluated by experts
- **NCBR** issues funding decisions for the proposals recommended for funding.

The final ranking list of the proposals will be communicated on the NCBR webpage: www.ncbir.pl/en/norwaygrants.

After the funding decision has been issued, the Programme Operator sends electronically a letter, together with an evaluation summary report, to the Project Promoter of each of the evaluated proposals.

The description of the review process and the selection criteria can be found in '**Peer Review Guidelines – Core 2012 Call**' available on the NCBR webpage: www.ncbir.pl/en/norwaygrants.

3. PROPOSAL APPLICATION

The Core Call of the Polish-Norwegian Research Programme Proposal Application consists of 2 different steps:

Step 1: **Completing the Online Application Form**

Step 2: **Submitting the Online Application Form**

The Proposal Application for a project consists of **different elements**:

- I. The **Online Forms** contain general information about the project, details of the project promoter and project partners, time and payment schedule of the project and detailed project budget (PLN);
- II. The following **Word or Excel files** which you may download from the NCBR webpage to your own desktop and complete offline and which have to be converted to **PDF** before uploading to the system (Annexes 4 and 5 shall be completed online but also are downloadable for preparation offline):
 - Annex 1 – '**Project Proposal Form** '
 - Annex 2 – '**Work Packages (WPs) and tasks**'
 - Annex 3 – '**CVs of Principal Investigator and Work Packages leaders**'
 - Annex 4 – '**Time Schedule and Payment Schedule of the project (PLN)**'
 - Annex 5 – '**The Detailed Project Budget (PLN)**'
 - Annex 6 – '**The Project Promoter's Signature**'.
- III. **The Statement** automatically generated by the system after the successful submission of the application. It has to be signed by the Project Promoter and sent to the Program Operator in paper version within 7 days from the date of submission (see section 8 of the Guide for postal details).

In order to submit a complete application, you must fill in the online forms and upload all required and completed annexes.

Please note that Annexes 1-3 have to be completed with Arial font size 11 and spaces between lines have to be not less than 1,15.

ONLINE APPLICATION FORM

1. GENERAL INFORMATION	
1.1. Type of the Project: Select the 'Core' option	
I. Core	
II. Small grant scheme	
1.2. Area of the program/scientific field: Select one or more of the following	
environment/ climate change/ health/ social sciences/ mainstreaming gender equality and promoting work-life balance	
1.3. OECD classification The possibility of multiple-choice	
1.4. Project Acronym (up to 8 characters)	
The short title or acronym will be used to identify your proposal efficiently. Should not be longer than 8 characters.	
1.5. Title of the Project	
Should not be longer than 200 characters.	
1.6. Expected duration of the Project	
Expected commencement date of the Project	mm/yyyy
Expected end date of the Project	mm/yyyy (no later than 30 April 2016)
1.7. Project budget (total and eligible costs in EUR/PLN)	
Total project costs in PLN: <i>The full amount; do not use points or commas as decimal separators; insert the amount of total project costs as stated in 'the Detailed Project Budget'</i>	
Total eligible costs in PLN: <i>The full amount; do not use points or commas as decimal separators; insert the amount of total eligible costs as in 'the Detailed Project Budget'</i>	
Requested funding in PLN: <i>The full amount; do not use points or commas as decimal separators; insert the amount of funding you request from NCBR; the amount as stated in 'the Detailed Project Budget'</i>	
Exchange rate: <i>The system will calculate PLN to EUR using the ECB exchange rate from the date of the call launch</i>	
Total project costs in EUR: <i>will be generated automatically after filling in the amount in PLN</i>	
Total eligible costs in EUR: <i>will be generated automatically after filling in the amount in PLN</i>	
Requested funding in EUR: <i>will be generated automatically after filling in the amount in PLN</i>	
1.8. Preparatory cost YES/NO Select one of the following	
1.9. VAT reclaim YES/NO Select one of the following (see chapter. 4.5)	
1.10. Project Abstract (up to 2000 characters)	
Write a scientifically oriented executive summary. This abstract should provide a clear understanding of the prime objectives of the proposal and how they will be achieved. It may be used as the short description of the proposal during the evaluation process, i.e. by external scientific experts. Should not be longer than 2000 characters.	
1.11. Ethical issues (YES/NO) Select one of the following	
If you choose YES, need to describe it. Should not be longer than 1000 characters.	
2. DETAILS OF THE PROJECT PROMOTER AND PROJECT PARTNERS	

2.1. Project Promoter's full legal name
Name of institution (Polish) of Project Promoter
2.2. Type of Project Promoter: Select one of the following
Public higher education institution/Non-public higher education institution/Research institute/Non-governmental research organisation conducting scientific activity/Other entity running activities in the area of research and development.
2.3. Address of the seat of the Project Promoter
Street, number:
Postal code:
City:
Voivodship:
Country:
Phone:
Fax:
E-mail:
Web-site:
2.4. Head of the Institution (Project Promoter)
Title:
First name:
Last name:
E-mail:
2.5. Person responsible for scientific management of the project – Principal Investigator
Title:
First name:
Last name:
Phone:
Mobile phone:
Fax:
E-mail:
2.6. Person responsible for administrative and financial management of the project
Title:
First name:
Last name:
Phone:
Mobile phone:
Fax:
E-mail:
Title:
2.7. Contact person
Title:
First name:
Last name:
Phone:
Mobile phone:
Fax:
E-mail:
2.8. Details of the project partner (partner 1, partner 2)
Full legal name:
Abbreviation:(short name)
Address:
Phone:

Web site:

e-mail:

3. PROJECT PROPOSAL FORM (Annex 1) (max 15 pages - Arial font size 11, spaces between lines not less than 1,15)

3.1 Coherence with the call topic (max 0,5 page)

Explain how your proposal fits into the context of the thematic research priorities of the Polish-Norwegian Research Programme. Should not be longer than 0,5 page.

3.2 Description of the Proposed Research Project (max 5 pages)

3.2.1 Current state of the art including your relevant previous work

Please describe the current scientific state of the art and ongoing developments in fields relevant to your proposal including your own previous work. Provide an assessment of further research needs (what are the main ideas that led you to propose this work?).

3.2.2 Project objectives

Outline your project's contribution to the research needs identified above. State your hypotheses. Clearly define the objectives to be achieved by the project in a realistic and, as far as possible, measurable form.

3.2.3 Methods and approach

Describe the methods and procedures you will use in order to reach the objectives defined above. Summarize/analyse the underlying theory/theories.

3.3 Description of the Project Plan (max 1,5 page)

Present a detailed work plan, broken down into work packages. The number of work packages used should be appropriate to the complexity of the project. The work plan has to follow the logical phases of the implementation of the project. It is proposed to start with filling in the Annex 2 Work Packages (WPs) and tasks which forms part of the application documents, and then to present a narrative description in this chapter. Should not be longer than 1 page.

3.4 Project participants and Management (max 2,5 pages)

3.4.1 Description of the Project Promoter (structure/conducted activities/institutional capability to implement project/experience in implementing similar projects)

Provide a brief description of the Project Promoter (structure/conducted activities/institutional capability to implement project/experience in implementing similar projects).

3.4.2 Description of the consortium

For each participating organisation in the proposed project, provide a brief description of the organisation, the responsibilities within the proposed project, as well as the previous experiences qualifying participants for the task at hand. Describe how the participants collectively constitute a consortium capable of achieving the project objectives, amongst others, by highlighting the complementarities between them.

3.4.3 Management of the project

Provide short description of how the project will be managed on daily basis, how you will make sure that the tasks proposed will be executed and results delivered. Provide

description of how you will make sure that the work of consortium is running smoothly and project participants constitute one team with clear vision and ambitions.
If new staff needs to be hired for the project, please explain how you will make sure that these people are in place at the start of the tasks foreseen to be undertaken by them..

3.4.4 Communication and decision-making

As the projects under the core will be conducted by Polish-Norwegian consortia, describe how communication (channels, methods etc.) between all partners will be organised and how decisions will be taken.

3.4.5 Intellectual Property Rights (IPR) management

Describe briefly how issues regarding intellectual property rights will be managed within a consortium.

Note that issues regarding intellectual property rights should be dealt with in the Partnership Agreement which should be signed and delivered to the Programme Operator after the funding decision has been issued (see chapter 5.1).

3.5 Project outputs (max 2 pages)

3.5.1 Intended short-term outcomes

Describe how your project intends to contribute in the short term to the objectives.

3.5.2 Intended long-term application of outcomes

Describe how your project intends to contribute (indirectly) in the medium to long term to the objectives. You should describe the steps that are necessary and foreseen in the project (and outside of the project) to bring about these impacts (e.g. dissemination and exploitation of project results, stakeholder involvement).

3.6 Risk management and quality assurance (max 1 page)

Describe how you intend to ensure the quality of your work (e.g. definition of milestones for measuring project progress, regular joint progress evaluation, cross-checking of intermediate reports or results, etc.). Review the risks identified and describe how you will monitor and mitigate them. Mention any significant external factor (assumptions = positively phrased, risks = negatively phrased) that are not under the control of the project and may determine whether the intended project 1) may start as planned, 2) may be implemented as planned and/or 3) may achieve its intended objectives. (Example for an assumption: "Delayed equipment delivery.") Should not be longer than 1 page.

Please note: If serious risks exist (i.e. risks that could cause strong negative impacts and whose probability of occurrence is high), the project design should be reconsidered. In this point you should go beyond the description of how you want to tackle risks emerging in the project, e.g. regular consortium meetings.

3.7 Bibliography / References (max 1 page)

Each reference must include the names of all authors, the article and journal title, book title, volume number, page numbers, and year of publication. If the document is available electronically, the website address should be mentioned, too. Please note that only internationally impacted publications should be included.

3.8 Information and promotion (max 1 page)

Describe how you intend to promote and inform about the project, its objectives, activities, results etc.

Should not be longer than 1 page.

3.9 Gender balance issues (max 0,5 page)

Describe how you intend to provide for a gender balance in the project implementation.

Should not be longer than 0,5 page.

4. Work Packages (WPs) and tasks (up to 10 WPs) (Annex 2) (max 15 pages - Arial font size 11, spaces between lines not less than 1,15)	
4.1 Work Packages (WPs)	
Present the work packages in detail, using the table provided below. Use one table per work package (please copy the table as many times as you need it). The explanations included in the table have to be sufficient for justifying the proposed effort and allow for progress monitoring.	
WP number	1
WP title	
WP leader (name/title)	Only 1 person
Start date	
End date	
Objective	Provide a general description of the work to be undertaken (including methods to be applied where appropriate), identify the partners involved and specify their contributions.
Task	Break the work package down into major tasks. Explain the sequence of tasks and explain interdependencies between tasks where necessary.
Deliverable	A deliverable represents a verifiable output of the work package. Normally, each work package will produce one or more deliverables during its lifetime. List, specify and quantify deliverables (e.g. prototype, survey results). State the project month of delivery (measured in months from the first month the project started).
Milestone	Milestones represent a scheduled event signifying the completion of a major deliverable or a set of related deliverables (e.g. prototype tested, patient cohort established). State the project month of delivery (measured in months from the first month the project started).
WP number	1
Interdependence with other work packages (up to 1000 characters)	
Provide a narrative description or/and a graphical presentation of interdependencies between the present work package with other work packages. Should not be longer than 1000 characters.	
Person*months	
4.2 Justification of project budget and requested funding	
Structure and justify the project's costs. Relate them to the planned outputs and impacts of the project. Details have to be provided here.	

4.3. Gantt Chart

Below you will find is an example of a completed Gantt Chart. Fill it in according to your project plan.

Months 1-...(36)

WP (no: 1)		1	2	3	4	5	6	7	8	9	10	11	12...
No	Tasks/Months												
1.1	Task												
1.2	Task												
1.3	Task												
No	Deliverables (D) / Milestones (M)												
M1.1.1	Milestone	X											
M1.1.2	Milestone			X									
D1.1.1	Deliverable				X								
M1.2.1	Milestone					X							
D1.2.1	Deliverable						X						
M1.3.1	Milestone									X			
D1.3.1	Deliverable											X	

5. CVs OF PRINCIPAL INVESTIGATOR AND WORK PACKAGES LEADERS (Annex 3) (max 10 pages - Arial font size 11, spaces between lines not less than 1,15)

Name of researcher	<i>Name and surname</i>
Phone, fax, e-mail	<i>Contact details (phone and fax nos, -e-mail address)</i>
Place of employment//Position	<i>Address of the institution in which the person is employed</i>
Qualification level	<i>M.A., M. Sc, PhD, Prof., etc.</i>
Professional experience and achievements	<i>key experience and achievements relevant to the proposed project (most recent five publications, most recent projects and results of these projects)</i>

6. TIME SCHEDULE AND PAYMENT SCHEDULE OF THE PROJECT (Annex 4)

'Time Schedule'

All WPs provided in point 4.1 have to be included. Columns from 1 to 9 shall be filled in (PLN) according to the information in point 4.1. of the Application Form and be compatible with values in point 7 'The Detailed Project Budget' of the Application Form.

'Payment schedule'

Fill in with values of advance amounts in PLN for each year of project implementation.

Downloadable Excel sheets with the same functionality as this part of On-line Application Form are available as Annex 4.

7. The Detailed Project Budget (Annex 5)

'The Detailed Project Budget' contains formats for an indicative breakdown of estimated expenditure (in PLN) for each partner and calendar year and the requested funding. Please also refer to the financial guidelines for specific rules concerning each budget heading.

The budget sheet is subdivided into direct costs and indirect costs. Direct and indirect costs designate all estimated expenditures that are needed for the implementation of the project. Direct and indirect costs are described in chapter 4. Finance and budget.

The budget form must be completed for WPs of the project corresponding to the Project Promoter and each partner, giving an estimate of the eligible expenditure required and the amount of funding expected from the Programme Operator.

Fill in the form by completing all the cells even if a value is '0'.

Rows with total and subtotal costs fill in automatically. In column 11 system verifies if values were inscribed correctly. If not the form cannot be saved. The number of partners both Polish and Norwegian is automatically determined by information inserted in point 2.8. WPs will be automatically transferred from point 6. 'Time schedule and payment schedule of the project' (Annex 4). Total cost of a project = Project Promoter's contribution + Partners' contribution + requested funding from the Programme Operator.

Please remember that value in column 15 shall not exceed 40% of the total eligible costs of the project.

Please note the 'the Detailed Budget Form' is completed in PLN. Downloadable Excel sheet with the same functionality as this part of On-line Application Form is available as Annex 5.

8. PROJECT PROMOTER'S SIGNATURE (Annex 6)

It should be signed by an authorized person (person having legal authorisation e.g. rector, vice-rector, director of institution), scanned and uploaded as a PDF file.

4. FINANCE AND BUDGET

4.1. THE CURRENCY USED FOR THE PROJECT PROPOSAL'S BUDGET AND SETTLEMENT OF THE PROJECT COSTS

Please note that the currency used for completing the 'Detailed Project Budget' (section 7 of Online Application Form), payments from the Programme Operator and settlements between the Project Promoter and Project Partner(s) will be the Polish zloty (PLN). The ECB's exchange rate from the date of the call launch will be used for calculating all cost related to the project application and implementation.

4.2. PREPARATORY COSTS

The Programme foresees the possibility to apply for the reimbursement of the project proposal's preparatory costs both for the Project Promoter and as well as Norwegian and Polish partners. These are the costs related to the search for partners prior to or during the preparation of a project application, the development of such partnerships and preparation of an application for a partnership project proposal.

Project Promoters can apply for the reimbursement of such costs while applying for a project to be funded under the Core Call. The lump sum of EUR 5,000 will be reimbursed in the case of the proposals recommended for financing. The lump sum of EUR 2,500 will be reimbursed for the proposals that have not been selected for financing but have received a score above a certain threshold (number of points received in the evaluation procedure). This threshold is to be approved by the Programme Committee. Please see point 1.8 of the Application Form.

The lump sums will be reimbursed in PLN equivalent calculated using the ECB's exchange rate from the date of the call launch.

4.3. GENERAL RULES

The minimum amount of grant assistance applied for is EUR 150,000; the maximum amount is EUR 1,000,000.

Grants from the programme may be up to 100% of total eligible project costs. The remaining costs of the project shall be provided or obtained by the Project Promoter and the project partners, according to their respective shares of the project budget.

The budgetary allocation to partners should reflect the actual contribution made by each party and should be the subject of negotiation between the Project Promoter and the project partner. It is expected that the eligible costs claimed by the Norwegian entities participating in the project shall normally not exceed 40% of the total eligible costs of the project (Programme agreement Annex II p. 1.3).

4.4. ELIGIBILITY OF EXPENDITURES

Eligible expenditures of projects are those actually incurred by the Project Promoter or Project Partner, which meet the following criteria:

- they are incurred between the first and final dates of eligibility of a project as specified in the project contract;
- they are connected with the subject of the project contract and they are indicated in the estimated overall budget of the project;
- they are proportionate and necessary for the implementation of the project;
- they must be used for the sole purpose of achieving the objectives of the project and its expected outcomes, in a manner consistent with the principles of economy, efficiency and effectiveness;
- they are identifiable and verifiable, in particular through being recorded in the accounting records of the Project Promoter and determined according to the applicable accounting standards of the country and according to generally accepted accounting principles;

- they comply with the requirements of applicable tax and social legislation.

Expenditures are considered to have been incurred when the cost has been invoiced, paid and the subject matter delivered (in case of goods) or performed (in case of services and works). Exceptionally, costs in respect of which an invoice has been issued in the final month of eligibility are also deemed to be incurred within the dates of eligibility if the costs are paid within 30 days of the final date for eligibility. Overheads and depreciation of equipment are considered to have been incurred when they are recorded on the accounts of the Project Promoter.

The Project Promoter's internal accounting and auditing procedures must permit direct reconciliation of the expenditures and revenue declared in respect of the project with the corresponding accounting statements and supporting documents.

The Programme Operator distinguishes between direct costs and indirect costs (see below).

4.5. BUDGETARY FLEXIBILITY

Applicants should note that during the course of the project, budgetary flexibility is given in order to allow for appropriate project management. A reallocation of funds within a budget heading does not require the prior approval of the Programme Operator and does not result in an addendum to the contract, provided the specific rules of the various budget headings are adhered to (a budget heading is defined as one of the main titles of the budget – e.g.: Consumables and supplies, Travel costs etc.).

A reallocation of funds between budget headings is not subject to the prior approval of the Programme Operator provided that it satisfies the following criterion:

- The reallocation does not modify the budget heading from which it is taken or transferred to by more than 15% (concerns budget headings of the project not particular WPs).

The 15% rule is NOT applicable to the following budget headings: Personnel and Indirect costs .

In case of reallocation between WPs it cannot be more than 20%.

In cases involving a variation greater than 15% concerning budget headings for project or 20% for WPs, a request for a modification has to be sent to the Programme Operator at least 30 calendar days before the date the modification should take place. This request has to be fully substantiated and justified. After approval by the Programme Operator, an addendum to the contract will be prepared if necessary. This addendum will be signed by both parties and will become an integral part of the contract. If the request is deemed unfunded by the Programme Operator, the Project Promoter will be advised in writing. The basis for the calculations is the Programme Operator funded budget.

4.6. DIRECT COST

The eligible direct expenditures for a project are those expenditures which are identified by the Project Promoter and/or the project partner, in accordance with their accounting

principles and usual internal rules, as specific expenditures directly linked to the implementation of the project and which can therefore be booked to it directly.

VAT is not an eligible cost in case the entity can reclaim VAT from the national tax authorities in conformity with national indirect tax regulations.

4.6.1. Personnel Costs

The cost of staff assigned to the project, comprising actual salaries plus social security charges and other statutory costs included in the remuneration, provided that this corresponds to the Project Promoter's and project partners' usual policy on remuneration.

The concerned staff will have to have a work contract with the eligible institution. The need for such staff should be justified in the application form.

The project may involve researchers who still need to be hired by the institutions but the respective responsible persons in the institutions need to make sure that the project is able to start at the latest 6 months after formal approval by Programme Operator. The applicant should state how he/she will make sure that the new personnel are in place for the start of the work foreseen for them in the project.

The Programme Operator expects project staff to use timesheets so that their actual time is recorded against a project to form the basis of the costs charged. **If a person is contracted to work 100% of their time on a single project (whether they are working full-time or part-time), timesheets are not necessary as their costs can only be charged to that activity.** In all other cases, timesheets or project time records are required. This includes those who may be contracted to work on two or more projects, since it is essential when charging to have a means of recording and verifying the actual time applied to each activity.

Please indicate information on Principal Investigator and key staff in point 5 of the 'Application Form'.

4.6.2. Travel Cost

Travel and subsistence allowances for staff taking part in the project, provided that they are in line with the Project Promoter's and project partners' usual practices on travel costs and do not exceed the relevant national scales.

The Programme Operator will cover the real expenses for travel, subsistence and conference fees. Expenditures should be in accordance with an institution's own regulations.

4.6.3. Equipment

Cost of new or second hand equipment, provided that it is depreciated in accordance with generally accepted accounting principles applicable to the Project Promoter and project partners, and generally accepted for items of the same kind. Only the portion of the depreciation corresponding to the duration of the project and the rate of actual use for the purposes of the project may be taken into account by the Programme Operator.

This includes, but is not limited to, laboratory/workshop equipment (including computers and servers), software and installation costs.

Please indicate in application form respectively:

- the precise nature of equipment with specific technical requirements;
- its unit cost and number of units;
- its relevance to the project;
- the necessity of the equipment taking into account the equipment currently available in the institution;
- its expected useful life (technical and financial) and its use beyond the project;
- its use by other national or international research groups/institutions (if applicable).

4.6.4. Purchase of land and real estate

The cost of purchase of real estate, meaning buildings constructed or under development and the appropriate rights to the land on which they are built, and land not built on may be eligible under the following conditions, without prejudice to the application of stricter national rules:

- there shall be a direct link between the purchase and the objectives of the project;
- purchase of real estate and/or land may not represent more than 10% of the total eligible expenditure of the project;
- a certificate shall be obtained prior to the purchase from an independent qualified evaluator or duly authorised official entity confirming that the purchase price does not exceed the market value and that it is free of all obligations in terms of mortgage and other liabilities, particularly in respect of damage related to pollution. In case of purchase of real estate the certificate must either confirm that the building in question is in conformity with national regulations, or specify what is not in conformity with national regulations but which is to be rectified by the Project Promoter under the project;
- the real estate and/or the land shall be used for the purpose and for the period specified in the decision to award the project grant. The ownership must be transferred to the Project Promoter, or those explicitly designated by the Project Promoter in the project application as recipients of the real estate and/or the land, prior to the completion of the project. The real estate and/or the land cannot be sold, rented, or mortgaged within five years of the completion of the project, or longer if stipulated in the project contract.
- the real estate and/or land may only be used in conformity with the objectives of the project. In particular, buildings may be used to accommodate public administration services only where such use is in conformity with the objective of the project;
- the purchase of real estate and/or land shall be explicitly approved by the Programme Operator prior to the purchase, either in the project contract or by a later decision.

Expenditure on site preparation and construction which is essential for the implementation of the project may be eligible.

The cost of real estate and/or land already owned, directly or indirectly, by the Project Promoter, or purchase of real estate and/or land owned, directly or indirectly, by the project

partner, shall not be eligible. Under no circumstances shall real estate and/or land be purchased for speculative purposes. The real estate and/or the land shall not have received a national or external donor grant in the last 10 years which would give rise to a duplication of funding.

4.6.5. Consumables and supplies

The applicant needs to indicate the nature (chemicals, glassware, etc.) of the consumables and justify the estimation of the total costs and requested budget in the 'Application Form'. The consumables and supplies need to be assigned to the project.

4.6.6. Other Costs

Costs entailed by other contracts awarded by a Project Promoter for the purposes of carrying out the project, provided that the awarding complies with the applicable rules on public procurement and the Regulation.

Contracting partners may subcontract specific services (limited in time) which are essential for the project but do not represent core elements of the project work which cannot be directly assumed by one of the contracting partners and where this proves necessary for the performance of their work under the project. Thus subcontracting costs may not cover fees for experts (i.e. staff with no work contract with an institution eligible at the Programme Operator) which provide a substantial part of the workforce of the project.

In case the subcontracted service fulfils these criteria, please describe the service, indicate the price (market price) and specify the reason why you resort to a third service in the 'Application Form':

This heading provides also for direct costs that are not mentioned above. They include, but are not limited to:

- Documentation (not expected in institutional libraries)
- Initial submission costs for the protection of a patent, license, trademark etc.

The nature of the 'other costs' and their relevance to the project has to be explained in detail in the 'Application Form'.

4.7. INDIRECT COST (OVERHEADS)

Indirect costs are all eligible costs that cannot be identified by the Project Promoter and/or the project partner as being directly attributed to the project but which can be identified and justified by its accounting system as being incurred in direct relationship with the eligible direct costs attributed to the project. They may not include any eligible direct costs. Indirect costs of the project shall represent a fair apportionment of the overall overheads of the Project Promoter or the project partner. This heading may provide for ongoing expenses which cannot be attributed to any specific activity, but are still necessary for the action to be realised.

Overhead costs have to be reasonable and based on an auditable calculation in order to guarantee proper audit trail. Overheads must be identifiable and justified by the accounting

system of the participant as being incurred in direct relationship with the eligible direct costs attributed to the project. Indicate the method of calculation in relationship with the eligible direct costs (i.e. as a rate calculated with respect to total personnel costs).

They may be identified according to one of the following methods:

- based on actual indirect costs for those Project Promoters and project partners that have an analytical accounting system to identify their indirect costs as indicated above;
- a Project Promoter and project partners may opt for a flat rate of up to 20% of its total direct eligible costs, excluding its direct eligible costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the Project Promoter;
- in case of a project implemented within a research programme or within a research component within any programme, the Project Promoter and project partners that are non-profit public bodies, secondary and higher education establishments, research organisations and SMEs, which, due to the lack of analytical accounting, are unable to identify with certainty their real indirect costs for the project, may opt for a flat-rate of up to 60% of the total direct eligible costs, excluding its direct eligible costs for subcontracting and the costs of resources made available by third parties which are not used on the premises of the Project Promoter. If these Project Promoters or partners change their status during the life of the project, this flat rate shall be applicable up to the moment they lose their status.

Project Promoters that have based on actual indirect costs (referred to in the first bullet above) under the sixth or seventh Framework Programme of the European Commission, cannot use the other methods described above

The choice of calculating the indirect costs and its maximum amount will be stated in the project contract. The method of calculation of indirect costs of a project partner shall be stipulated in the partnership agreement between the Project Promoter and the project partner.

4.8. PROOF OF EXPENDITURE

Costs incurred by Project Promoters and project partners shall be supported by receipted invoices, or alternatively by accounting documents of equivalent probative value.

Where activities are implemented in the framework of competitive tendering procedures, payments by Project Promoters and project partners shall be supported by receipted invoices based on the signed contracts. In all other cases, payments by Project Promoters and project partners shall be justified by expenditure actually paid by the entities concerned in implementing the project.

A report by an independent and certified auditor, certifying that the claimed costs are incurred in accordance with the national law and accounting practices of the project partner's country, shall be seen as sufficient proof of costs incurred by a Project Promoter or a project partner. Overheads identified according to flat rate do not need to be supported by accounting documents.

Accounting documents (invoices etc.) shall be stored in the seat of Project Promoter and project partners and will be checked during the inspections at the projects site or on request in case of need of explanation (i.e. when verifying the annual reports, or at any time if

deemed necessary by the Programme Operator). The ordinary requirement for the Project Promoter will be to attach a list of invoices (accounting documents) for the period concerned to the annual reports submitted to the Program Operator.

4.9. PERIOD OF ELIGIBILITY OF EXPENDITURES IN PROJECTS

Expenditure incurred is eligible for assistance as of the date on which the Programme Operator decides to award the project grant. The Programme Operator will in the financing decision indicate the final date of eligibility which shall be no later than one year after the scheduled completion of the project.

The first and final dates of eligibility of each project will be stated in the project contract for that project.

Expenditures incurred after 30 April 2016 shall not be eligible.

4.10. EXCLUDED COSTS

The following costs shall not be considered eligible:

- interest on debt, debt service charges and late payment charges;
- charges for financial transactions and other purely financial costs, except costs related to accounts required by the NMFA, the National Focal Point, Program Operator or the applicable law and costs of financial services imposed by the project contract;
- provisions for losses or potential future liabilities;
- recoverable VAT;
- costs that are covered by other sources;
- fines, penalties and costs of litigation;
- excessive or reckless expenditure.

5. CONTRACTING

5.1. FUNDING DECISION

After the approval of the final ranking list by the Programme Committee and the selection of proposals for financing, the Director of the National Centre for Research and Development issues funding decisions, pursuant to Article 40.1 of the Act of the National Centre for Research and Development.

Funding decision specifying the amount awarded are issued for all proposals selected for financing. For the proposals which have not been recommended for financing, the Director of the NCBR issues rejection decisions, including an explanation of the reasons for rejection.

The Decision of the Director may be appealed against to the Appeal Committee of the Council of the National Centre for Research and Development within 14 days of the decision's receipt date by the Project Promoter. The Appeal Committee of the Council will issue a decision to grant or to refuse granting of funds no later than within 3 months after the appeal date. The decision of the Council Appeal Committee may be appealed against at the administrative court.

5.2. PARTNERSHIP AGREEMENT

The Project Promoter signs a partnership agreement with the project partners. The partnership agreement should contain the following:

- provisions on the roles and responsibilities of the parties;
- provisions on the financial arrangements between parties, including, but not limited to, which expenditure the project partners can get reimbursed from the project budget;
- provisions on audits on project partners;
- detailed budget, with itemised costs and unit prices; and
- provisions on dispute resolutions;
- provisions on the method of calculating indirect cost and their maximum amount (if necessary).

The partnership agreement should also contain provisions on intellectual property rights, in compliance with Regulation (EC) No 1906/2006 of the European Parliament and of the Council of 18 December 2006.

The partnership agreement should be in English and should be submitted to the Programme Operator before the signing of the project contract. The Programme Operator verifies if the agreement complies with art 6.8 of the Regulation.

6. PROJECT IMPLEMENTATION

6.1. NEGOTIATION AND GRANT AGREEMENT

The Project Promoters of proposals for which funding decisions have been issued are invited to begin negotiations. The applicants may receive request for further administrative, legal, technical or financial information necessary for the preparation of a project contract. The Program operator may request changes, possibly including the modifications is the budget, in line with the funding decision. The contract includes time schedule of the project as well as the estimated budget breakdown and financial contribution per activity and per participant and the amount/rate of the advanced payment.

If it proves impossible to reach agreement with a Project Promoter within a reasonable deadline, the Programme Operator may terminate negotiations and reject proposal from funding. The Programme Operator may also terminate negotiations if the Project Promoter proposes to modify the project to the extent that it becomes significantly different form the proposal that has been evaluated.

Once the negotiations have been successfully finalised, the grant agreement is signed between the Programme Operator and the Project Promoter.

6.2. PERIODIC REPORTING

During the course of the project, the Project Promoter submits an annual periodic report within 60 days of the end of each reporting period set out in the project contract. The periodic report should comprise:

- an overview, including a publishable summary of the progress of work towards the objectives of the project, including achievements and attainment of any milestones and deliverables identified in the project contract. This report should include the differences between work expected to be carried out in accordance with the project contract and that actually carried out;
- an explanation of the use of the resources; and
- a financial statement from each project partner, together with a summary financial report consolidating the claimed contribution by the Project Promoter and the project partners in an aggregate form;
- an attachment containing a list of invoices of costs incurred for the period concerned.

6.3. FINAL REPORTING

At the end of the project the Project Promoter submits a final report, within 60 days after the project end. This final report should comprise:

- a final publishable summary report covering results, conclusions and socio-economic impact of the project,
- a report covering the wider societal implications of the project, in the form of a questionnaire, including gender equality actions, ethical issues, efforts to involve other actors and to spread awareness, as well as the plan for the use and dissemination of results;
- distribution of the financial contribution between the Project Promoter and project partners; and
- a full list of publications relating to the results of the project.

The reports submitted to the Programme Operator, in particular their publishable parts should be of suitable quality to enable direct publication without any additional editing.

6.4. REPORTING ON SCIENTIFIC PUBLICATIONS

During and after the project, the Project Promoter should provide references and an abstract of all scientific publications relating to foreground at the latest 60 days following the publication.

All publications should include the following statement to indicate that said foreground was generated with the assistance of financial support from the Norwegian Financial Mechanism:

“The research leading to these results has received funding from the Polish-Norwegian Research Programme operated by the National Centre for Research and

Development under the Norwegian Financial Mechanism 2009-2014 in the frame of Project Contract No xxx.”

6.5. PAYMENTS TO THE PROJECT PROMOTER AND PROJECT PARTNERS

The Programme Operator ensures timely transfer to the Project Promoter of an advance payment, interim payments on annual basis, and a payment of the final balance. The purpose of the advance payment and the annual interim payments is to ensure that the project partners have a positive cash flow during the project implementation.

Payments to the Project Promoter are made according to the time schedule of the project implementation included in the contract signed with the NCBR. The rate of the advanced payment is set out in the project contract. Subsequent advance payments are requested through interim periodic reports but only after 70% of the previously provided advance payment has been incurred.

Payments are made by the Programme Operator to the Project Promoter within 15 days after the Programme's Operator approval of reports and deliverables.

The Project Promoter should ensure that all appropriate payments to the project partners are made without delay, no later than 15 days after the receipt of the payment from the Programme Operator.

7. GENDER BALANCE

Projects implemented within the framework of the Polish-Norwegian Research Programme should aim at increasing the gender balance in the field of research in Poland and Norway and at providing for equal opportunities for both genders in terms of research activity. Projects proposals should therefore make clear how gender balance issues will be dealt with in the project implementation.

In order to attain sustainable economic and social development, it is important to make sure that women and men have equal rights and opportunities in all fields of economy and social life. To this end projects implemented under the Polish-Norwegian Research Programme should take into account equal opportunities of both genders as to access to management and implementation of the research project.

8. QUESTIONS AND QUERIES TO THE PROGRAMME OPERATOR

The Programme staff is available via telephone and e-mail on daily basis from 8.15 am to 4.15 pm (CET). The questions and queries concerning the Core 2012 Call should be directed to the following persons:

- Anna Fastyn – office: +48 22 39 07 324
- Krystyna Maciejko – office: +48 22 39 07 123
- Maciej Jędrzejek – office: +48 22 39 07 160
- Agnieszka Ratajczak - office: +48 22 39 07 147

The following e-mail address should be used when contacting the NCBR on the matters concerning the Polish-Norwegian Research Programme: norwaygrants@ncbr.gov.pl.

The postal address of the Programme Operator:

Narodowe Centrum Badań i Rozwoju
Dział Zarządzania Programami
ul. Nowogrodzka 47a
00-659 Warszawa

Ref.:

Polish-Norwegian Research Programme