

SECTION F

Project Type: Project of investment for public RD institutions/universities

Action: 1.1.1. Large RD Infrastructures

Investment Priority P I 1a: Improving research and innovation infrastructures and capacities in order to develop excellence in RD & I and also promoting competence centres, particularly those of European interest

This type of project is addressed to public RD institutions and universities as beneficiaries of Action 1.1.1 – „Large RD Infrastructures” within Priority Axis 1 of Competitiveness Operational Programme.

Competition Code: POC-A1-A1.1.1-F-2015

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SPECIFIC CONDITIONS FOR THIS PROJECT TYPE

1. Overview - *"Investment for public RD institutions/universities"*

This type of project aims to support public research institutions to increase their research and development capacity and knowledge transfer by creating or modernizing centres / laboratories / research facilities which can foster the innovation requirements of existing or emerging structures with potential of cluster activating in competitive economic areas or areas with growth potential at national level or at the level of the communities where this research investment is developed.

Only public research institutes or public higher education institutions can be funded here. The public higher education institutions must be with high research institutional performance, justified by their grade obtained in the assessment process of certification ("A +" and "A" for research institutes, "B" for universities of education and scientific research and "C" for universities of advanced research and education).

Here will be supported those RD institutions / public universities that prove their connection with an economic structure such as cluster / technological park / pole of competitiveness / science park for the purpose of transfer and exploitation of research results obtained due to this investment by enterprises members of such a structure.

There will be financed only those projects whose research thematic areas focus on the following priority thematic areas, as detailed in Annex 3 to the Guide for Applicant:

➤ Smart Specialisation

- Bio-Economics
- Information Technology and Communications, Space and Security
- Energy, Environment and Climate Change
- Eco-Nano-Technologies and Advanced Materials

➤ Health - priority area of national interest.

Within the present call, financial assistance is granted for:

- Construction of new labs, research centres - mandatory together with procurement of equipment and research instruments;
- Modernization , expansion, consolidation and change of destination for labs, existent research centres - mandatory together with procurement of research equipment and instruments;
- Procurement of research equipment and instruments;

The applicant must prove that the proposed investment will increase its capacity of research - development and knowledge transfer in the research priority area / areas of interest for enterprises that are members of an existing or emerging structure, such as cluster of innovation / technological park / pole of competitiveness / science park that will use the research results of the applicant institution in order to develop new or improved products, processes or services.

The applicant must present the novelty and uniqueness of the proposed instruments or equipment which are to be procured during the implementation of the project, in a national context, compared to the international one.

The amount of non-reimbursed financial assistance per project is between RON 4,500,000 and RON 90,000,000.

The total value of the project (eligible and non-eligible costs) cannot be more than RON 225,000,000 (EUR 50 million).

2. Eligibility of applicants, projects, activities and expenditure

2.1 Eligibility of Applicants

The applicant is eligible if meeting all the requirements below. The eligibility conditions are met by submitting specific documents, as mentioned for each criterion in this chapter. All supplementary documents are listed in chapter 2.6. All supplementary documents attached to the application form are listed in paragraph 2.6 of section F of the present guide.

All documents that are not issued by Romanian institutions must be submitted together with a certified translation.

At the time of submission of the application form, the applicant must be registered in Romania **or** in an EU Member State.

2.1.1 Categories of Eligible Applicants

The applicant is eligible if meeting all the requirements below. The eligibility conditions are met by submitting specific documents, as mentioned for each criterion in this chapter. All supplementary documents attached to the application form are listed in paragraph 2.6 of section F of the present guide.

Eligible Applicants

- ✓ Eligible applicants are public institutions with legal personality, which are part of the national research and development system, in compliance with art. 7 of GO no. 57/2002 on scientific research and technological development and which follow the definition of a research organization from Community Framework for State aid for research, development and innovation (2014 / C 198/01)

⇒ *The applicant shall submit as documentary evidence a Statement of fulfilling the eligibility conditions for research organization (see Annex 2.8)*

Research and Knowledge Dissemination Organizations (research organization) – is an entity (such as university or research institute, agencies for technology transfer, third parties for innovation, entities for virtual or physical collaboration oriented towards research), irrespective of its legal personality (public or private) or of its way of financing, whose main purpose is to independently conduct fundamental research, industrial research or experimental development or to disseminate widely the results of such activities by teaching, publishing or transferring knowledge. If the entity carries out economic activities as well, the financing, costs and revenues of economic activities concerned shall be recorded separately. Undertakings that can exert a decisive influence upon such an entity, for example, shareholders or associates, shall enjoy no preferential access to the results generated by it.

The applicant must be registered in Register of Potential Contractors (RPC) and update its information at the moment of submitting the supplementary documents.

2.1.2 Eligibility for Applicants

a) The applicant carries out RD activities in Romania.

⇒ *The applicant shall submit the Statute /ROF, registered in the RPC.*

b) The applicant's institutional performance regarding its research activity was evaluated according to the provisions of the national legislation in force and the rating or classification category meets one of the following:

- "A+" or "A" for RD institutes, in compliance with GD no. 1062/2011 on the approval of methodological norms for assessment and classification of the units and institutions of the national RD system for the purposes of certifying them
- „universities of advanced research and education” or „universities of education and scientific research”, in compliance with the provisions of GD no. 789/2011 on the approval of the methodology of assessment and classification of universities and hierarchy of the curricula

⇒ *For universities – Minister's Ordinance no.526/2011 on the results of the classification of universities or other equivalent legal documents*

⇒ *For RD national institutes - The applicant shall submit the Report of Evaluation and the Classification Proposal or the copy of the Decision of Classification*

c) **The applicant must prove the property/administration/franchise right for the land and, where appropriate, the property/administration/franchise/rent for the building where the investment will take place, regardless the type of project** (see chapter 2.2.1).

When speaking about the building, please take in consideration also the legal terms in one of the following (i.e. floor, component of the building etc.):

- If the applicant has a franchise contract, the franchise contract must cover a period of **49 years** and be valid **at least 30 years** from the date of submitting the application form; also, it is mandatory for the applicant to submit a legal document in order to prove the right to invest on the respective land and/or building(s) for a period of **minimum 10 years** from the date of submitting the application form.

- If the applicant has a contract for renting a building, the renting contract must be registered at the Land Registry (if it is concluded with a person, not with a legal entity) for a period of at least **10 years** from the date of submitting the application form and must comprise a provision mentioning the right to invest in the rented building.
- If the applicant has a bailment agreement, the agreement must cover a period of least **10 years** from the date of submitting the application form. The agreement must comprise a provision mentioning the right to invest in the rented land and/or building(s).
- If the applicant intends to purchase land or a building, the applicant must submit a copy mentioning “in compliance with the original” of a real estate sale-purchase promissory agreement for the respective land/building, together with the supplementary documents. It is mandatory for the real estate sale-purchase promissory agreement to comprise the following information:
 - Cadastral information to identify the land/building
 - Saler’ s property right
 - The duration of the real estate sale-purchase promissory agreement (at least 12 months from the date of submitting the application form)
- If the applicant has a real estate sale-purchase promissory agreement and the project proposal is granted for financing assistance, the applicant must submit in the contracting period the Extract from the Land Registry and a certified copy of a sale-purchase contract for the building (land and/or building) in order to prove the property right.
- If the project proposal requires only the purchase of equipment, without construction works involved, the applicant shall submit only a legal document proving the property right or the right of using the location the respective equipment is going to be installed and used (sale-purchase contract or renting/franchise/administration contract).
 - ⇒ *The applicant shall submit a certified copy of the legal document proving the property/franchise/rental/bailment right OR a certified copy of the real estate sale-purchase promissory agreement*
 - ⇒ *The applicant shall submit the Statement on own responsibility that the land / estate is not subject to any litigation (see Annex 2.5)*

The applicant must take into account the provisions of the updated Law no. 50/1991 on the certification of construction works regarding construction and/or building right which gives the owner the right to obtain from the competent authority the authorization for construction/demolition, in compliance with the legislation.

ATTENTION!	<p>For the projects selected for funding, during the contracting period, the applicants must submit a copy mentioning “in compliance with the original” for the Extract from the Land Registry which prove that the building the investment will take place in is free of any tasks and not subject to any litigations pending before the Court of Law, nor to claims under special laws or common law matters.</p> <p><i>The above provision does not apply to projects that involve only purchase of equipment.</i></p>
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d) The applicant has a **connection with an existent or emerging economic structure**, such as cluster / technological park / pole of competitiveness / science park.

- ⇒ **CASE A:** *If the applicant is a member of an existent economic structure, such as cluster / technological park / pole of competitiveness / science park*, then the applicant shall submit as supplementary document the **Partnership Agreement** with the enterprises within the cluster / technological park / pole of competitiveness / science park. The Partnership Agreement shall present the themes of interest requested by the enterprises inside the economic structure, in the research direction identified by the applicant in his application form and also the way the research results will be used by the enterprise(s) and turned into economic outputs.
- ⇒ **CASE B:** *If the applicant is going to be a member of an economic structure or identified an economic structure, such as cluster / technological park / pole of competitiveness / science park*, then the applicant shall submit as supplementary document a **Commitment Document** of the future members of the structure to establish such a group and also a **Partnership Agreement** between the members of such structure and the applicant research institution. The research institution shall the themes of interest requested by the enterprises inside the economic structure, in the research direction identified by the applicant in his application form and also the way the research results will be used by the enterprise(s) and turned into economic outputs. If the financial assistance is granted for the project, at the date of concluding the financial contract, the applicant shall submit the proof of establishing the economic structure of the type presented above.

NOTE:

For the projects selected for funding, in the contracting period, the applicant must submit documents which will be supplementary documents to the contract, aiming at certifying the eligibility of the applicants (certificates, endorsements, authorizations issued by third institutions).

2.2 Eligibility of Projects

2.2.1 Types of projects

This Guide is addressed to those applicants who will develop the following types of projects:

- **Projects for constructions** in order to create new RD departments (centres, research labs within the applicant institutions) mandatory together with purchasing new instruments and equipment for the expansion of their activity or for the development of new directions in research

It is mandatory for the project to have a Feasibility Study and Financial Forecasts (see Annex 5.6) – written in Romanian and English.

In the Feasibility Study, the Cost-Benefit Analysis shall be done according to the guidelines in Annex 5.1 – Model for Feasibility Study/EDIW

- **Projects for modernization, expansion, consolidation and change of destination** of an existent RD department, mandatory together with purchasing new instruments and equipment for the expansion of their activity or for the development of new directions in research

It is mandatory for the project to have the Endorsement Documentation for the Intervention Works (EDIW) and Financial Forecasts (see Annex 5.6) – written in Romanian and English.

- **Projects for procurement** of research instruments and equipment – for this type of projects there can be accepted **works excepted from authorization (where appropriate)**. The types of works excepted from authorization are the ones mentioned at art. 11 from Law no. 50/1991 regarding the authorization of construction works, with further modifications and amendments and art. 18 from the Order of the Ministry of Regional Development and Housing no. 839/2009 regarding the approval of methodology for applying the provisions of Law no. 50/1991 regarding the authorization of construction works.

It is mandatory for the project to have a Technical Report (see Annex 5.5) and Financial Forecasts (see Annex 5.6) – written in Romanian and English.

ATTENTION!	<i>The activity of procurement of research instruments and equipment is mandatory for each type of project.</i>
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The applicant must justify the way the infrastructure is useful for the development of new activities and / or directions of research, as well as its contribution to the added value from scientific and economic point of view. In this respect, it is important to write which new / improved research services may be provided to enterprises and also the number of potential users of these services.

Also, the applicant must present the novelty and uniqueness of the infrastructure or the equipment proposed to be purchased in the project, in the national context versus international one.

The scope and objectives of the proposal must comply with the specific objectives of the Priority Axis, as well as with the objectives of the Action 1.1.1, as described in chapter 1 of Section F.

For all types of project proposals, it is mandatory for the applicant to submit the City Planning Certificate and a copy mentioning “in compliance with the original” of the request for the issue of the City Planning Certificate. If the applicant intends to purchase **only** instruments and equipment for research, it is mandatory for the applicant to submit the City Planning Certificate for Informing and the copy mentioning “in compliance with the original” of the request for it.

The duration of the projects

- **Max. 24 months** – for projects for equipment and works excepted from authorization (where appropriate)
- **Max. 36 months** – for the other two types of projects mentioned at 2.2.1

The period of the implementation of the project includes the duration of the project, as well as a period of max. 45 calendar days until the beneficiary will finish the full payment related to the activities of the project.

2.2.2 Eligibility criteria for projects

a) The investment of the project was not financed in the past and it is not currently financed from other public funds, except for the preliminary studies (i.e. prefeasibility study, geotechnical study, geological study, topographical study, feasibility study) – where appropriate

- ⇒ The applicant shall submit a statement for avoiding the double financing from public funds (see Annex 2.2)

b) The research area of the project is mentioned in the application form and is one of the priority areas (see Annex 3).

c) The project is carried out in Romania.

d) The activities of the project start after January 1st, 2014.

e) The value of the requested non-reimbursable assistance is ranged within the limits mentioned in the call for proposals (see 1 and 2.5).

f) The project includes at least the eligible activity of procurement of RD equipment.

g) The duration of the project is ranged within the limits mentioned in the call for proposals (see 2.2.1).

h) The project proposal must derive from the applicant’s strategy for institutional development.

- ⇒ The applicant shall submit its Strategy for Institutional Development and the Statement for Certifying the Application (see Annex 2.3) where it is confirmed that the submitted project proposal is in compliance with the priorities of its own strategy for institutional development.

2.3. Eligibility of Activities

The following types of activities are eligible for these projects:

- Purchasing land
- Construction/modernization/expansion/consolidation/modifying/change the destination of buildings for RD institutes/centres/labs
- Procurement of tangible assets for RD: buildings and/or spaces within buildings, machines, , equipment for research
- Procurement of intangible assets for RD
- Project management
- Information and publicity for the project

The project management shall be made only by people **hired** in the applicant institution (or who are going to be hired there).

It is mandatory for the project manager to be named in the application form.

The applicant must prove the necessity of the activities which are proposed in the application form so that the scope of the project could be reached, as well as the way they are necessary for the development of the RD activities.

ATTENTION!	It is not mandatory for a project to include all the activities listed above. The projects which include only activities for construction/modernization/expansion/consolidation/modifying/change the destination of buildings are not financed. This Action aims to equip the RD departments with and equipment for research that work in an appropriate environment.
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The following types of activities are not eligible, but they are mandatory for the implementation of the projects (they are financed from the applicant's funds, without being included in the value of the non-reimbursable financial assistance):

- Final audit for the project.

2.4 Eligibility of Expenditure

The following types of expenditure are eligible:

1. **Expenditure for land purchase** - for the construction of a building for RD activities is eligible within the limit of 10% of the total eligible expenditure of the project, providing the price of the land was certified by an authorized independent expert who can confirm that the value did not exceed the market price. This rule of eligibility is also applied for the building purchase in order to be demolished and use the land.
2. **Expenditure for works of construction / modernization / expansion / consolidation / modifying /change the destination of buildings** – eligible within the limit of **max. 50%** of total eligible expenditure of the project, if a new RD construction is made within the enterprise and if the total value of the investment exceeds RON 20 million.

For all the other cases, this expenditure is eligible within the limit of **max. 40%** of total eligible expenditure of the project.

The types of expenditure from this category must be in compliance with the provisions of GD no. 28/2008 regarding the approval of the framework of the technical-economic documentation related to public investment, as well as the structure and methodology for the elaboration of general budget for investment and intervention works.

All types of expenditure are eligible, in compliance with the structure of the general budget described in GD no. 28/2008, except the following:

- Chapter 1.2 – expenditure for land arrangements, which involve deviations of water strings or moving towns or historical monuments
- Chapter 2 - expenditure for ensuring utilities necessary for the objective, except costs for industrial railway
- Chapter 5.2 - expenditure for commissions and fees: commission of funding bank, commissions and interest related to credits, the amount of insurance premiums from the contracting authority (the beneficiary), fees for agreements, permits and authorization to build/demolish, and other costs such as fees or commissions)

The expenditure for elaborating the feasibility study is eligible and it can be mentioned at this budgetary chapter unless it was financed from public funds and was made after January, the 1st, 2014.

3. **Expenditure for works excepted from authorization** (where appropriate)
4. **Procurement of tangible assets**
 - 4.1 IT and communication equipment
 - 4.2 Installations, independent equipment and for researchNote: until the end of the project implementation, the beneficiaries must prove that the tangible depreciated assets purchased in the project were installed (where appropriate) and received..
5. **Procurement of intangible assets (max. 10% of the total eligible expenditure of the project)**
 - 5.1 Informatic applications
 - 5.2 Licenses

6. Procurement of buildings – eligible within the limit of max. 40% of the total eligible expenditure of the project.

If there are also works of modernization/ expansion/consolidation/change of destination for the buildings, then this expenditure together with the expenditure for purchasing the building are eligible within the limit of 40% of the total eligible expenditure of the project.

If the building is purchased together with a wider land than the one under it, the report of the authorized independent expert must comprise distinctively the price of the land and the one of the building. If on the land purchased together with the building, the applicant does not build buildings for RD&I activities, the expenditure for the land is not eligible. If the applicant builds buildings for RD&I activities, the expenditure for the land is eligible within the limit of 10% of the total eligible expenditure of the project.

The cost for purchasing a building which is already built is eligible if it is certified by an authorized independent expert who can confirm that its value does not exceed the market price and is in compliance with the national legislation, from the technical point of view.

7. Expenditure for information and publicity for the project

8. General administration costs

The general administration costs are eligible by applying a flat rate of 15% of total eligible cost for personnel for project management.

9. Expenditure for project management

The expenditure for project management is eligible up to 10% of the total eligible expenditure of the project, but not more than RON 5 million. Personnel costs may be covered from public funds for **maximum 5 full-time positions per month**.

Besides these eligible costs, the project may involve a series of other expenditure, which is not eligible, but necessary for the proper implementation of the project. **These non-eligible costs are made by the applicant, without being added to the value of the non-reimbursable financial assistance.**

All expenditure made for the tangible assets is registered in the accounts in compliance with OMFP no. 1802/2014 on the accountancy regulations regarding financial annual/individual records and the financial annual/consolidated records; they will represent the total value of the asset. The same rule is applicable for the intangible assets, too.

The VAT is eligible if it is not deductible, in compliance with the provisions of art. 69, paragraph (3) from EU Regulation no. 1303/2013. In order for the VAT to be eligible, it must be related to eligible expenditure within the projects financed from structural funds.

After calculating the project budget, the applicant shall sign a **Statement for VAT Eligibility / Non-Deductibility of Eligible Expenditure in the project budget proposed for financing from structural funds (see Annex 2.4)**.

If the applicant submits a statement for the non-deductibility of VAT, then the eligible expenditure in the application form is calculated with VAT.

General criteria for the eligibility of expenditure

- a) to be made and paid by the applicant between 1st of January, 2014 and 31st of December, 2023;
- b) to be supported by invoices or other accounting documents of equivalent probative value, so that the expenditure could be audited and identified, in compliance with the provisions of the national legislation;
- c) to be in compliance with the provisions of the programme;
- d) to be included in the Financial Contract / Decision / Ordinance concluded by the Managing Authority or Intermediate Body in order to approve the Action, in compliance with art. 65, paragraph (11), art. 70 and art.125 of EU Regulation no. 1303/2013;
- e) to be in compliance with the provisions laid down in the Community and national legislation;
- f) not to be subject to other public financings, in compliance with the national legislation;
- g) to be made after the date of submitting the application form, except for the expenditure for land purchase.

Other criteria for the eligibility of expenditure

- a) When purchasing a building in order to demolish it and re-use the land to reach the objectives of this Action, only the cost of land purchase is eligible, within the limit of 10% of the total eligible costs of the Action in terms of art. 69 paragraph (3) b) of (EU) Regulation no. 1303/2013;
- b) The expenditure for purchasing a building which is already built together with its related land under it, except the case provided in paragraph a) above, is eligible if the provisions of art. 2 and the following specific conditions are met:
 - The Action does not benefit from funding from the European Social Fund in application of art. 13 paragraph (4) of (EU) Regulation nr.1304 / 2013, except where the provisions of art. 98, paragraph (2) of (EU) Regulation no. 1303/2013 and art. 2, paragraph (2);
 - The building was not purchased / built by means of a non-reimbursable financial assistance in the past 10 years;
 - The building is vital for the implementation of the Action;
 - The expenditure for the purchase of the building is certified by an authorized independent expert, confirming that the amount does not exceed the market price, taking into account the technical conditions of the building.
- c) The diverse and unpredicted expenditure for the projects for constructions / interventions on existent constructions must not exceed 10% of the amount of the following types of expenditure related to the investment: land arrangements; land arrangements for the protection of the environment; utilities necessary to reach the objective; project design; organizing public procurement; consultancy; technical assistance; constructions and installations, assemblage of technological machines; procurement of installations and machines; endowments (fixed assets or working inventory).
- d) The expenditure for the project management is eligible up to **10%** of the eligible value of the project, but not more than RON 5,000,000. Personnel costs may be covered from public funds for **maximum 5 full-time positions per month**.

ATTENTION!	The project salary costs shall not exceed the ceilings stipulated in Annex 3 of the Government Decision no. 475/2007 regarding the approval of the National Plan for Research, Development and Innovation II for the period 2007-2013. The salary costs are reimbursed according to the labour contract and/or proportionally to the percentage in the job description/the attendance sheet related to the specific duties assigned for the project implementation.
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- e) The general administration expenditure (overheads) is eligible **in the limit of 15%** of the eligible personnel costs for project management.
- f) The expenditure for the final audit is not eligible, but **mandatory** for the project.
- g) The expenditure incurred by the beneficiary involved in the design, monitoring and project management is eligible if they meet the general eligibility criteria and one of the following categories:
 - it is provided or derived from the application of the national legislation to obtain approvals, agreements and authorizations required for the implementation of the eligible activities of the project or it is resulted from the application of Community legislation specific to structural ;
 - it is related to studies and / or analysis requested by the Managing Authority or Intermediate Body, on behalf and for the Managing Authority for the purpose of providing financial support;
 - It is needed in the public procurement process for the eligible activities of the project;
 - It is made for the management and / or monitoring the project during its implementation and it is related to coordination and supervision of activities of execution and reception work.

2.5. Financing the Project

Under this Action, the project funding is non-reimbursable and consists of reimbursement of eligible expenditure made for the project with the amount and under the conditions established in the Financing Contract (FC).

The non-reimbursable financial assistance is 100% of total eligible costs.

The value of the non-reimbursable financial assistance for one project is between RON 4,500,000 and RON 90,000,000.

The total value of the project (eligible and non-eligible expenditure) cannot exceed RON 225,000,000 (EUR 50 million).

2.6. List of supplementary documents

Documents	Model in Annex	Requirements
Statement for Avoiding Double-Financing from Public Funds	Annex 2.2	signed by the legal representative* of the institution - 2 originals
Statement for Certifying the Application	Annex 2.3	signed by the legal representative* of the institution
Statement for VAT Eligibility / Non-Deductibility of Eligible Expenditure in the project budget proposed for financing from structural funds (where appropriate)	Annex 2.4	signed by the legal representative* of the institution
Statement that the land / estate is not subject to any litigation	Annex 2.5	signed by the owner - 2 originals and 1 copy**
Applicant' statement of fulfilling the definition of research organization	Annex 2.8	signed by the legal representative* of the institution - 2 originals
Note justifying the amounts written in the budgets in the application form	Annex 4	signed by the legal representative* of the institution - 2 originals; The offers are submitted only on a CD together with the feasibility study/EDIW and the business plan
Feasibility study made in compliance with GD no. 28/2008 – where appropriate*** (Romanian and English versions)	Annex 5.1.1	3 CDs
Endorsement Documentation for the Intervention Works (EDIW) made in compliance with GD no. 28/2008 – where appropriate*** (Romanian and English versions)	Annex 5.1.2	3 CDs
Technical Report for the project of endowment an existent infrastructure by purchasing new and equipment and works excepted from authorization – where appropriate*** (Romanian and English versions)	Annex 5.5	3 CDs
Financial forecasts – for types of projects (Romanian and English versions)	Annex 5.6	3 CDs
Strategy for Institutional Development – which includes the investment project (Romanian and English versions)		2 copies**
Note certifying the cost of purchasing the land / estate – made by an authorized independent expert, who confirms that the value does not exceed the market price – where appropriate	Annex 4	2 copies**
Real estate sale-purchase promissory agreement for the land/building the investment is going to take place price – where appropriate		2 copies**

Ownership Title for land/building, sale-purchase contract/ franchise contract/ rental contract/bailment agreement /document proving the administration right		2 copies**
The Decision of the County Council/ Local Council/Senate/GSA/AC for approving the project to be submitted at the call for proposal POC-A.1-A.1.1.1- F- 2015-1 , as well as approving the financial contribution of the applicant in the project		signed by the legal representative* of the institution - 2 originals
The Evaluation Report and the Classification Proposal or copy of the Classification Decision – for national RD institutes		2 copies**
Minister's Ordinance no.526/2011 on the results of the classification of universities or other equivalent legal documents - for universities		2 copies**
Applicant's Statute /ROF		2 copies**
City Planning Certificate and the request for the issue of the City Planning Certificate. If the applicant intends to purchase only instruments and equipment for research, it is mandatory to submit the City Planning Certificate for Informing and the copy of the request for it.		1 original and 1 copy**
Partnership Agreement between the applicant and enterprises within a cluster / technological park / pole of competitiveness / science park (Romanian and English versions)		2 copies**
Commitment for establishing a cluster – for emerging clusters (Romanian and English versions)		2 copies**
Statute and legal document attesting the establishment of the institution		RPC
Official balances for the last 3 years		RPC

*) The required documents may be also signed by an authorized legal representative of the institution, but in this case, the applicant shall also submit the legal document of delegation for the signature.

***) The copy shall be inscribed with "in compliance with the original", signed and stamped by the legal representative of the institution.

****) Where **construction works are proposed for new investment, including expansions as well as construction works for the realization of interventions in existing buildings:**

Economic and technical documentation for the complex investment project, which includes both construction works for new investment objectives, **including expansions** and construction works for the realization of interventions in existing buildings, including associated installations for the investment objectives, the following steps are to be made:

- a) technical expertise / energy audit to existing buildings, including related facilities, subject to intervention works, as defined in the Decision, art. 3 paragraph d);

- b) **feasibility study for the entire complex investment project**, including specific elements from the approval documentation for the intervention works on existing buildings, including associated installations, **without its distinctive description**;
- c) general budget for the entire complex investment project, highlighting distinctive chapters and subchapters of expenditure related to the value of investment and intervention works on existing buildings, including related facilities.

3. Appraisal and Selection

The submitted application forms will be in a process of check, appraisal and selection in order to establish the projects approved for financing. The appraisal and selection process consists of the following steps:

- Formal Check and Eligibility Check of the applicant and of the project
- Technical and Financial Evaluation of projects
- Selection of projects

The Formal Check and Eligibility Check of the applicant and of the project shall be made by the IB Research personnel, who have implementation tasks in all regional offices.

The Technical and Financial Evaluation of projects and their selection is organized by the central Implementation Unit. For this purpose, evaluation panels will be established, according to the projects' areas. Each evaluation panel consists of 3 experts, out of whom, 2 are scientific experts. A representative of IB Research shall be the secretary of the evaluation panel, without having the right to evaluate.

The results of the two stages shall be communicated to the applicant in writing.

3.1. Formal and Eligibility Check

The following conditions should be met as regards the **formal check** of the project proposals:

- the application form was electronically registered after the call for proposals was published and within the deadline mentioned in the call for proposals;

ATTENTION!: if the application form was not electronically registered, the project proposal shall be neither received nor registered by the IB Research personnel at the moment of submitting the supplementary documents.

- the applicants are registered in RPC and their documents and data are updated;
- the supplementary documents were received and registered at the IB Regional Offices.

Rules for formal check:

- The formal check of project proposals is organized by the IB Regional Offices.
- The formal check entails the filling in of the Formal Check-list (see the Annex to the Application Form). The answers to the questions related to the formal check may be “Yes” or “No”.
- If the proposal is incomplete, namely if some supplementary documents are missing or one or several of these documents were not signed and stamped according to requirements, the applicant shall receive a letter/fax of notification from IB Research to complete its proposal. If within 5 days since receiving the letter/fax, the applicant does not comply with the requirements, the proposal is rejected.
- In order to be admitted, the proposal should obtain a positive answer to all the questions in the Formal Check-list.

Eligibility check for the applicant and the proposal

Only the project proposals admitted following the formal check shall be evaluated from the eligibility point of view.

Rules for eligibility check:

- The eligibility check is organized by the IB Regional Offices.
- The eligibility check entails checking the eligibility of both the applicant and the proposal, according to the Eligibility Check-list (see the Annex to the Application Form).
- The answers to the questions related to the eligibility check may be “Yes” or “No”.
- In order to be admitted, the proposal should obtain a positive answer to all the questions in the Eligibility Check-list. Otherwise, the proposal is not eligible and shall not be appraised.

After the formal and eligibility check is over, an acceptance/ rejection letter is sent to each applicant.

3.2. Appraisal of Project Proposals

Only the project proposals admitted following the formal check and eligibility check are evaluated. The appraisal of project proposals is made in two stages:

- **Individual evaluation stage**

Each evaluator gives a score for each evaluation criterion and makes a comment justifying the score.

- **Panel evaluation stage**

The panel evaluators fill in the Panel Evaluation Fiche with scores, comments and recommendations regarding the proposal. The Panel Evaluation Fiche is written by one of the evaluators and signed by all members of the panel.

In case no consensus may be reached regarding the score, the proposal is submitted for evaluation to another panel and if, within that panel either, no consensus is reached regarding the score, the arithmetical average of the scores proposed by each member of the evaluation panels is considered as final score.

For the appraisal, the content of the application form is analysed, as well as the feasibility study/ EDIW of the Technical Report, where applicable. Each criterion of evaluation has sub-criteria with the following scores:

0 points - The proposal does not meet the sub-criterion or it vaguely does, without answering the requirements.

1 point – The proposal meets the sub-criterion, although some aspects could be improved.

2 points –The proposal fully addresses all the relevant aspects of the sub-criterion.

Each sub-criterion must be analysed and scored properly. Each point given must be justified with relevant comments for the applicant. No decimals are to be used when scoring.

ELIMINATORY CRITERIA

Eliminatory criteria	YES	NO
1. The project proposal is included in one of areas of Smart Specialization or Health, as defined in Annex 3 of the present guide (the evaluation of this criterion is made according to the information provided by the applicant in the application form and the relevant supplementary documents).		
2. The project requires non-reimbursable financial assistance (RRF/C<5%)* (the evaluation of this criterion is made according to the financial forecasts)		

ATTENTION! If the answer to any of these two criteria is **NO**, the project proposal is rejected and it is not evaluated.

Criterion1. Relevance and impact

CRITERION / SUB-CRITERION	Maximum Score	Weight Factor	Final Score
1. Relevance and socio-economic impact	10	4	40
<i>1.1 Applicant's institutional performance</i>	2	4	8
<i>1.2 The extent the project will contribute to the research results directly applicable in the economy</i>	2	4	8
<i>1.3 Novelty / uniqueness level of the proposed instruments and/or equipment in the national context versus international one</i>	2	4	8
<i>1.4 Relevance of the economic sector the project is addressed for sectoral and/or regional strategies</i>	2	4	8
<i>1.5 Number of new or maintained jobs, as a result of the project</i>	2	4	8

1. Relevance and socio-economic impact

For this criterion, the information in the application form is evaluated, particularly the following chapters:

- 3 - Non-reimbursable grants previously received from public funds
- 4 - Information about the project
- 5 - Indicators
- 7 - Compliance with EU policies and national legislation
- 8 - Project financing package

Also, the following shall be evaluated here: the CVs of the members in the management team and the implementation team; the feasibility study/EDIW/Technical Report, chapter 5 and 6; the Strategy of Institutional Development; the financial forecasts.

1.1 The institutional performance shall be evaluated as follows:

- The applicant is a unit or an institution of the national RD system, classified as "A+" level, in compliance with GD no. 1062/2011 *on the approval of methodological norms for assessment and classification of the units and institutions of the national RD system for the purposes of certifying them* or a high-education institution classified as a unit of advanced research and education, in compliance with Law of Education no. 1/2011, with further amendments and completions - 2 points
- The applicant is a unit or an institution of the national RD system, classified as "A" level, in compliance with GD no. 1062/2011 *on the approval of methodological norms for assessment and classification of the units and institutions of the national RD system for the purposes of certifying them* **OR** the applicant is a high-education institution classified as an university of education and scientific research, in compliance with Law of Education no. 1/2011, with further amendments and completions - 1 point

1.2 The RD results will be analysed, also their degree of applicability on the market and their novelty level. The way the proposed investment will contribute to the research results directly applicable in economy shall be assessed. It is considered that the economic impact is more important to proposals which generate net revenues from contracts with industry. The impact of investing in development area targeted by the project is also evaluated. The evaluator must analyse and compare the project proposal with the reality at the international level. The score depends on the applicant's degree of creating or strengthening its position in the economic group to which it belongs and its way of providing research services to the member of its group.

1.3 It is assessed whether the research infrastructure is endowed with modern advanced competitive equipment at international level, but which, in the same time, could serve directly the area targeted by the project. Also, it is assessed whether there is a correlation with the project indicators. The relevance of the infrastructure for the scientific area is evaluated and its uniqueness at national level.

1.4 The way the proposed infrastructure targets other sectoral strategies and industrial strategies and policies will be evaluated. It is considered that the economic impact is more important to proposals which generate net revenues from contracts with industry. The correlation between the net revenues realized (see Annex 5.3 – Financial Forecasts) and the applicant's

contribution in the project will be assessed. Also, the contribution of the project results, the indicators, the nature and impact upon direct/indirect target groups will be assessed.

- 1.5** The project proposal is evaluated taking into account how real the number of new jobs is created as a result of the implementation of the project, especially the RD jobs (including new jobs for PhDs and post-docs and for researchers from abroad). The way the project will contribute to maintaining the existent jobs in the RD department of the applicant institution will be evaluated, as well as the contribution of the project to the sustainable development and equal opportunities. Also, the way the project contributes to acquiring and/or using equipment, technologies which ensures environment protection and/or lead to reduction of raw materials, energy and fuel will be assessed. It will be evaluated here the way the project encourages the principle of equal opportunities in the project implementation and subsequent operation of the infrastructure and the way the infrastructure allows access to people with disabilities in compliance with the legislation.

Criterion2: Quality and Maturity

CRITERION / SUB-CRITERION	Maximum Score	Weight Factor	Final Score
2. Quality and maturity of the project	10	3	30
<i>2.1 Correlation between activities - required resources and scope of the project</i>	2	3	6
<i>2.2 Maturity level of the project</i>	2	3	6
<i>2.3 Structure and description of the proposed budget</i>	2	3	6
<i>2.4 Methodology of implementing the project</i>	2	3	6
<i>2.5 Capacity of project management team</i>	2	3	6

2. Quality and maturity of the project

For this criterion, the information provided in the application form are evaluated, particularly the following chapters:

- 4.7 - Description of the project
- 4.8 - Project Management and Human Resources
- 7.4 - Procurement
- 8 - Project financing package

CVs of the members of the project management team, feasibility study/EDIW/Technical Report, Note justifying the amounts written in the budgets in the application form, Annex 5.2 - financial forecasts.

- 2.1 It shall be appraised the extent to which the applicant has correctly identified the activities according to the scope and results of the project. The activities must have a logical sequence and lead to the proposed results and the human and financial resources must be properly estimated and distributed on types of activities. It shall be analysed whether the activity planning is realistic, in compliance with the technical studies and ensures the achievement of the project objectives. It will be evaluated whether the indicators are measurable so that they could be objectively monitored. It will be evaluated whether the information in the application form is correlated with the one in the technical studies. It will be evaluated the quality of the feasibility study/EDIW whether:

- The information is sufficient and properly justified based on specialized studies and official data,
- The estimated operating costs and revenue generated by the investment is realistic and coherent with the assumptions made in the application form,
- The estimated budgets (general and per objective) are clear, comprehensive, realistic and closely linked to the technical drawings (if applicable)
- The technical drawings are complete and comply with the written studies, the technical solution proposed by the project fully addresses the scope / objectives (if applicable).

It shall be analysed whether the financial forecasts comply with the analysis of the market targeted, of the economic sector and the marketing strategy and whether it is realistic and applicable.

It is very important that there should be a correlation between the activities carried out / which will be carried out in the labs / research centres endowed with instruments / equipment purchased during the project and modernized / newly created and

- the type and the relevance of the instruments / equipment requested
- the type and the relevance of the proposed works (constructions/modernization – where appropriate).

2.2 It will be assessed the readiness / maturity of the project in terms of the existence of all permits, authorizations, approvals needed to start the works and / or the stage of the procurement procedures, in relation with the project activities; also, the estimated duration of the activities (as provided in the application form) will be analysed.

It will be appreciated positively whether the project can start construction works in maximum 6 months from the date of signing the financing contract.

2.3 It will be analysed whether the budget is calculated properly and correlated with the project related activities. It will be analysed whether the general estimate (only in case of FS / EDIW) is correlated with the project budget taking into account the eligibility of expenditure described in the call for proposals / guide for applicants. It will be analysed whether the budget chapters are appropriate for the project, are in compliance with the provisions of the call for proposals / guide for applicants and are within the established limits.

Regarding the structure of the budget and the estimate, it will be evaluated the reasonableness of the estimate values in the application form based on the information provided in the note justifying the amounts written in the budgets and the offers submitted by the applicant. It is intended that the costs correspond to market prices. If the budget is not properly grounded, namely, that the values are not properly grounded by appropriate justification in terms of prices used, the evaluators will propose a corresponding decrease of the estimated budget.

2.4 It will be assessed the implementation methodology, namely the way the implementation of the project activities will be managed and also, the monitoring, evaluation and control mechanism required for the project implementation in relation with the ability of the implementation team and their responsibilities; the description of the activities envisaged and their duration.

It will be analysed the possible risks in the implementation of the project and the way the applicant identified such risks, as well as their feasible solutions to prevent the risks.

2.5 The applicant's proposal of organizing the management team will be evaluated, together with the CVs of this team, their tasks and responsibilities in relation with the activities scheduled to be performed; the correlation between skills and relevant experience of each member of this team and their job descriptions..

Criterion3: Sustainability and operational capacity

CRITERION / SUB-CRITERION	Maximum Score	Weight Factor	Final Score
3. Project Sustainability and Applicant's Operational Capacity	10	3	30
3.1 The net financial cash flow generated by RD activities while implementing the project is positive, when analysing the investment	2	3	6
3.2 Capacity of ensuring the maintenance and good functioning of the investment after the end of the project and after the financial assistance is reimbursed	2	3	6
3.3 Capacity of growing the international cooperation and performance in research	2	3	6
3.4 Ensuring technical and administrative support for the infrastructure, including the existence of an experienced team within the funded RD department	2	3	6
3.5 Contribution to promoting sustainable development and equal opportunities	2	3	6

For this criterion, the information in the application form is evaluated, particularly the following chapters:

4.7 - Description of the project

4.8 - Project Management and Human Resources

6 – Project Sustainability

8 - Project Funding Package

CVs of project management team, Strategy of Institutional Development, Annex 5.2 - financial forecasts.

3.1 The results of the financial analysis from the financial forecasts will be evaluated. These results must prove financial institution's ability to sustain investment during the investment analysis (15 years).

3.2 The applicant shall demonstrate the ability to ensure the preservation, maintenance and operation after the project ends considering the operational and maintenance costs, as well as the estimated revenues mentioned in the financial forecasts, which should be realistic feasible and justifiable.

3.3 The contribution of the infrastructure to strengthen the capacity to participate in international projects, particularly in EU programs will be evaluated. The applicant proves this capacity by the large international projects where the applicant had a significant scientific contribution.

3.4 The quality of administrative and technical support available in the applicant institution will be assessed; also, the quality of the team that will operate the proposed infrastructure; the applicant's

proposal of organizing this team considering the activity of this team in laboratories of similar activity (in the country or abroad) and the competence of the team members to use the infrastructure in future research activities justified by publications, patents, projects etc. The team's ability to train young master, PhDs, post-docs in research labs / equipment will be scored.

3.5 It will be evaluated the project's contribution to promoting sustainable development and equal opportunities (the way the project provides equipment with low consumption of raw materials, energy, environmental friendly etc.; equal involvement of women, young people, people with disabilities are ensured both during project implementation and the operation phase of the project etc.)

The Intermediate Body sends the applicants a letter notifying them of the evaluation results together with the evaluation fiches and information about the way of submitting possible complaints/appeals. The evaluation results are published on www.poc.research.ro (the site for Call for proposals).

3.3 Submitting and Settling Appeals

The appeals shall be submitted or sent to IB Research within 5 days since the date the evaluation results were notified. The appeals are analysed by the Commission for Settling Appeals, who shall reply in writing to applicants submitting the appeals.

The appeals shall refer only to possible procedure vices that the applicant considers incongruous with the provisions in the "Call for proposals" and the "Guide for Applicants" regarding the methodology of project appraisal and selection. The appeals shall be signed by the project manager and the legal representative of the institution.

3.4 Specific Rules of Selection

After completing the process of appraisal and selection of projects, only those project proposals that meet the following conditions are admitted to funding:

- ✓ have a total score ≥ 60 points **AND**
- ✓ have a score ≥ 5 points (calculated without weighting factor) to any of the criteria of the grid.

The project proposals with the same final score shall be selected based on the score obtained at "**Relevance**" criterion.

The project proposals "admitted to funding" shall be ranked in the descending order of the total scores.

The project proposals shall be selected for funding in the descending order of the total scores within the limit of the competition budget announced in the Call for proposals. There may be some other conditions added in the Call for proposals.

The project proposals admitted to funding shall be published on www.poc.research.ro (the site for Call for proposals).

4. Specific Instructions for filling in the Application Form for this type of project

The Application Form shall be separately written and registered, both in Romanian and English.

1. Information about the applicant

The applicant fills in the information required at 1.8 and 1.8.1, as follows:

1.8 NACE Code	The NACE code the project is addressed to, no matter if it is the main or the secondary code
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1.8.1 Economic Sector	The economic sector(s) the results of project address to
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4.1 General Information

The applicant fills in the information required in the last row of the table, as follows:

Area and sub-area of the project	One or more sub-areas (name) is filled in here (see Annex 3)
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4.5 Rationale and Context of the project

Write here: national and international context in the area of the project the novelty level in national context versus international one; the new/improved (research) services which can be provided after the project implementation; the necessity of the activities proposed to be funded in order to reach the goal of the project (the way they are necessary for the development of RD&I capacity: by expanding existing activities, by addressing new thematic in the priority area/sub-area, by helping to increase the competitiveness of the project area, how applicable the results are on the market, the scientific relevance of the investment by means of which the applicant may go on or develop new project in international partnerships, for both research activities and product development etc.); whether the project is a component of another more complex project or the continuation of another project; the way the project promote excellence and smart specialization. The section shall have maximum 3 pages.

4.6 Direct beneficiaries

The applicant must indicate who the direct beneficiaries of the project are and describe the way the enterprises will benefit from the results of the project, as well as the number of potential users of services/products derived from the project. This chapter must be correlated with chapter 4.5 in the application form.

4.7 Description of the project

For the activities of construction / modernization / expansion etc., the applicant must indicate the new/ modernized research laboratories and the corresponding RD&I activities for which the investment is made. For the purchase of equipment, the applicant must describe the activity of the

lab where the equipment is going to be placed. This information is correlated with chapter 4.7.4 in the application form.

5 Indicators

Output Indicators (by choice)
✓ Number of researchers working in the research infrastructures with improved facilities (new and maintained jobs) - full-time equivalents
✓ Number of new researchers working in the applicant institution (newly created jobs)-full time equivalent
✓ New jobs (other than RD ones) in the applicant institution
✓ Upgraded RD labs, as a result of the project (number)
✓ Newly created RD labs, as a result of the project (number)
✓ RD equipment worth over EUR 100,000 purchased from the project (number)
✓ Total RD equipment purchased from the project (number)
✓ Value of private contribution in the project – eligible and non-eligible (RON)
Result Indicators
✓ Number of project proposals submitted at Horizon 2020
✓ Value of projects contracted at Horizon 2020 (euro)
✓ Scientific public-private co-publications (number)

The indicators written in bold are included in the indicators of the programme and it is mandatory for the applicant to choose one of these. The output indicators whose fulfilment is reported at the end of the sustainability period (but not later than 2023) are the following:

- Number of researchers working in the research infrastructures with improved facilities (new and maintained jobs)
- Number of new researchers working in the applicant institution (newly created jobs)

The other output indicators must be fulfilled at the end of the project implementation.

The value of the output indicators is calculated at the end of the sustainability period (5 years after the end of the project, but not later than 2023).

During the entire implementation period of the project, the beneficiary shall transmit to the IB Research trimestral technical progress reports, and for 5 years after the project ends, the beneficiary shall transmit annual reports on the sustainability of the investment.

The fulfilment of the indicators is monitored during the project implementation and it is mandatory for the applicant to reach the value of all indicators mentioned in the project.

In the financing contract (related to the Beneficiary's obligations) it is stated that if not all indicators are entirely fulfilled until the end of the project, the non-reimbursable financial assistance will be proportionally reduced, except for the legally justified cases.