The Eurostars™ Programme

Funding excellence in innovation

Guidelines for declaration of changes

Version 1.2

HISTORY OF CHANGES		
Version		**Changes**
Version 1		Original version
Version 1.1		Addition of redress request procedure process for RMC on p. 9-10
Version 1.2		Addition on agreement to request for change on p. 6

The Eurostars Programme is a joint initiative of EUREKA and the European Community

This document provides participants with guidelines on the declaration of any change made in Approved Eurostars projects.

Further information on the Eurostars Programme is available from the Programme website at ***http://www.eurostars-eureka.eu***

Contents

1. Important points to know before requesting a change for a project

> **Project changes will not be accepted for projects that have not started or projects that do not have a final, signed consortium agreement in the Eurostars database.**

> **Projects must continue to adhere to the Eurostars eligibility criteria subsequent to any change request. Major/minor changes which adversely affect the eligibility of a project will not be accepted and may lead to the project being withdrawn.**

Summary of the Eurostars eligibility criteria

These are the questions asked to ensure only eligible projects:

1. Does the project proposed meet the criteria set by EUREKA[1]
2. Is the main participant a research-performing SME, according to the Eurostars Programme criteria for main participants?
3. Do all the SME participants fulfil the European Union-adopted definition of an SME? see: https://single-market-economy.ec.europa.eu/smes/sme-definition_en
4. Is at least 50% of the total project costs related to R&D activities to be carried out by the R&D-performing SME participants? (This percentage can, however, include minor sub-contracting.)
5. Is there at least one other participant from another Eurostars member country in the consortium?
6. Is the project consortium well balanced? Is there no participant or country responsible for more than 75% of the declared project costs?
7. Is the planned duration of the project no more than 36 months?
8. Within two years of project completion, is it foreseen that the product of the research be ready for launch onto the market? In the case of biotechnology, medical or biomedical projects, will clinical trials start within two years of project completion?
9. Are all participants legal entities?

[1] According to EUREKA criteria, a Eurostars project can address any technological area, but must have a civilian purpose and be aimed at the development of a new product, process or service.

2. Type of changes and the process

There are two types of changes following the nature of the request:

- Major changes: changes in the legal basis
  - Change in the consortium (removal of a participant or exchange participants)
  - Change in the goal/ technical objective of the project
  - Prolongation that leads to a project duration larger than 36 months
  - Subcontracting of the participants or total budget change (larger than 5%)
  - Change in the legal status

- Minor change: any other change different from the major changes
  - Subcontracting of the participant or total budget change (smaller than 5%)
  - Change of contact details
  - Changes in milestones or deliverables (not the final product)
  - Delay in the start date (shift of dates)
  - Addition of a new participant
  - Prolongation that leads to a project duration smaller than 36 months

Who declares the type of the change?

The ESE decides if the change requested is a major or a minor change.

Which are the steps of the process?

- The ESE is informed about a change in the project
- Depending on the nature of the change, it will be declared as a major or minor change by the ESE
- Following the receipt of the Change Request Form and, when appropriate, of the supporting documents, the ESE informs the involved NPCs and NFBs

In case the supporting documents cannot be submitted at the same time with the Request for Changes Form, the participants will have maximum 6 months to plan the continuation of the project and deliver the requested documentation by the ESE.

- **When all the documentation is received**, the request for change will become official

Failure to deliver the required documentation to the ESE within the deadline will lead to the removal of the project's label and ultimately to the withdrawal of public funding.

- The ESE informs the leading SME, NPCs and NFB about the final decision.

The ESE alone takes the final decision on whether to approve or reject the changes, and consequently to keep or withdraw the project. The process will take between 30 and 40 working days once all the documentation is delivered.

3. How to declare a change to a project

The nature of research and development work is sometimes unpredictable, and occasionally it may be necessary to incorporate a change of strategy or direction in order to ensure the continued development of the project and its ultimate success.

Any change made to a Eurostars-approved project must be announced to the EUREKA Secretariat (ESE) in order to comply with project monitoring requirements. This must be done only using the Request for Changes Form found on the Eurostars website and which can be sent, when appropriate together with the supporting documents via e- mail or postal mail. The request will be processed by the ESE according to the impact the change has on the project. The ESE will announce whether or not the requested changes are approved.

The ESE must ensure that the quality of the project, as originally assessed, is not compromised by any changes requested by the participants. The request of changes which lead to a decrease in the assessed quality of the project will not be accepted.

While submitting and signing a request for change form, the Main partner has to attest that all the participants in the project have been made aware of and agreed on the changes proposed.

In case of disagreement within the consortium members, the ESE will set a deadline for participants to try to reach an agreement. In case no agreement is found by the set deadline, the ESE will proceed with the termination of the project by the removal of the Eureka label, which might lead to the withdrawal of public funding.

Changes must be submitted by the main participant of the consortium as soon as they are planned. Non-communication of changes will lead to the removal of the project's label and ultimately to the withdrawal of public funding.

How to fill in the Request for Changes Form?

The **main** participant has to request the ESE agreement for any project changes as soon as the changes are planned by the consortium.
The request for changes approval must be done via the Request for Changes form which can be downloaded from Eurostars website:

- Request for Changes Form Eurostars-1 (2008-2013)
- Request for Changes Form Eurostars-2 (2014-2020)

The first section of the form (*Change requested*) is **mandatory** for any type of project change. However, depending on the type of change requested, Section 2 (*Explanation of proposed changes*) can be required by the ESE. In the latter case, the requirement is specified via the footnote (where appropriate).

Additional, supporting materials can be required by the ESE. In this case, the requirement is clearly stated in the Section 1 (at each type of change request), indicating which are the documents to be submitted together with the form.
The project participants should note that, if part of the required documentation cannot be provided to the ESE at the time of Request for Changes form submission, the consortium has **6 months** from the signature date to send the files.

If the proposed project changes cover more than one of the options listed, all the relevant boxes need to be checked.
As a last resort, an ‘Other (not in list)’ option is offered to the participants. The supporting documents for such a change will be requested on a project-by-project basis, while the entire Section 2 of the form needs to be duly filled-in.

In case of supplying a new consortium agreement to process the change, **it will be necessary to send a copy of the document signed by all partners after the result of the request of major change**. Note that the consortium agreement does not need to be signed to process the change.

All project change relevant documentation must be submitted at:
projects@eurostars-eureka.eu
using the following email title template:
E! ProjectNumber ProjectAcronym – Request for change[2]
Please note that failure to comply with this requirement will lead to a significant delay in processing the change request.

Which are the documents required according to the change?

Each change request will most likely have a different impact for a given project. As such, for each type of change request (except ‘Other (not in list)’) submitted to the ESE, a standards set of support documents is required.
For other types of changes not listed in the form, the ESE will contact the participant to inform him/ her of the relevant documents that need to be provided to ensure that the request is processed correctly.

The submission of the additional documentation is the obligation of the main participant. Only in the case where the leading R&D performing SME is leaving the consortium will the ESE accept documents (including the Request for Changes form) from other participants.

The following table shows the minimum documentation required for the processing of requests. The ESE reserves the right to request from the relevant parties any additional files.

[2] *Please replace ProjectNumber and ProjectAcronym with your own project number and acronym, respectively.*

	Eurostars Request for Changes form	Original application form	Revised application form	Commitment and signature form	Financial report of new participant	New consortium agreement
Shift of dates	x					
Prolongation	x					
Change of contact details	x					
Change in legal status (fusion-merge)	x	x[3]	x[3]	X[3]		x[3]
Change in milestones or deliverables	x	x	x			
Subcontracting	x	x	x			X[3]
Change in budget	x	x	x			X[3]
Addition of a new participant	x	x	x	x	x	x
Removal of a participant	x	x	x			x
Replacement an existing participant	x	x	x	x	x	x
Change of project's technical goals	x	x	x			

[3] Only if deemed necessary by the consortium

4. Monitoring redress request procedure

Redress requests

If your change request was rejected and you believe this was due to a procedural mistake during the evaluation of your request, the consortium can submit a redress request.

A redress request can only be based on procedural grounds, with clear evidence of the reasons for complaint.

“Procedural grounds” refers to a failing in the way the request for change was processed. You may submit a request for redress if you think that:

- there has been a failing in the procedure that may have affected the result of your request for change.

The redress procedure is not meant to call into question the judgment made by the National Funding Bodies or the technical judgment.

The redress request must relate to a specific project application and must be submitted within 15 days of receiving the results of the change request evaluation.

How to submit a redress request

Please inform us of your intention to send a redress request in advance by sending an email to projects@eurostars-eureka.eu. In the subject line, please write your project ID number, acronym and “we intend to send a redress request”.

Redress requests can only be submitted:

- By the leader of the consortium or;
- By the project partner directly concerned by the result of the request for change
- By **registered mail**.
- Within **15 days** from the communication of the results.

Your redress request must:
1. state your project ID number and acronym,
2. be written in English,
3. include a clear description and evidence of the procedural grounds for complaint,
4. be signed by a person who can act as legal representative of the organization submitting the redress request,
5. be sent to:

Eurostars Redress Committee
Eureka Association
Avenue de Tervueren 2
1040 Brussels
BELGIUM

We will only consider one redress request per change request. We will not consider redress requests that do not comply with the above requirements.

Review by the Redress Committee

All redress requests are treated confidentially.

The Redress Committee will review the case and will recommend an appropriate course of action.

The Redress Committee's role is to ensure a coherent legal interpretation of such requests, and equal treatment of participants.

The Redress Committee will not call into question the scientific or technical judgment or the assessment from the National Funding Bodies. It will verify that the procedures were followed correctly.

The Redress Committee may conclude that:

- There is not adequate evidence to support your complaint and no follow-up action is required.
- There is evidence to support your complaint, but no follow-up action is required.
- There is evidence to support your complaint and follow-up action is recommended.

You will receive the conclusions of the Redress Committee within 30 days of the request for redress deadline. If a definitive response cannot be given at that stage, this reply will indicate when a response will be provided.