



The Eurostars™ Programme

Funding excellence in innovation

Guidelines for declaration of changes

Version 1.0

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 | 4 |
| 2. Type of changes and the process | 5 |
| Who declares the type of the change? | 5 |
| Which are the steps of the process? | 5 |
| 3. How to declare a change to a project | 7 |
| How to fill in the Request for Changes Form? | 7 |
| Which are the documents required according to the change? | 7 |

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changes which adversely affect the eligibility of a project will not be accepted and may lead to the project being withdrawn.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 EUREKA¹
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:
http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm
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?
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
 - o Change in the consortium (removal of a participant or exchange participants)
 - o Change in the goal/ technical objective of the project
 - o Prolongation that leads to a project duration larger than 36 months
 - o Subcontracting of the participants or total budget change (larger than 5%)
 - o Change in the legal status
- > Minor change: any other change different from the major changes
 - o Subcontracting of the participant or total budget change (smaller than 5%)
 - o Change of contact details
 - o Changes in milestones or deliverables (not the final product)
 - o Delay in the start date (shift of dates)
 - o Addition of a new participant
 - o 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.

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 change²

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