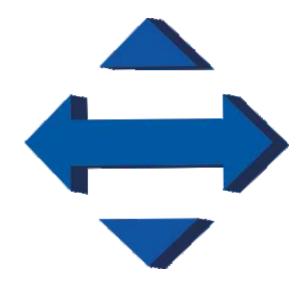


## Annual report on activities of Slovak Research and Development Agency in 2015







# Annual report on activities of Slovak Research and Development Agency in 2015

## **Foreword**



The year 2015 can be characterized as a year of efforts to change the system of financing of research, development and innovation in Slovakia. As part of these efforts, the Agency stood before an existential question, which was the dissolution, transformation and integration into the newly created structures. Agency management succeeded in justification of the existence of SRDA therefore throughout the year 2015 it sustained unchanged.

Moreover, after a relatively long period of stagnation, the Agency's activities, when due to the financial reasons it could not fully carry out its mission defined by its Statute and the Act. 172/2005 Coll., in 2015 there was a change gradient in the development of its finances. This enabled the Agency to fulfil their financial obligations from previous years and once again announce a general call and finance entirely the general calls from previous years. Despite positive finding of an increase in funding agencies it should also be clearly stated that funding for its operation, but mainly the support of research and development is close to the border of meaningful minimum.

In order to fulfil the letter of the law, but mainly to improve support for research and development in Slovakia the Presidium of the Agency made efforts to prepare and approve of programmes of the Agency that are in addition to the general calls the second main pillar of its activities. Three programs to support young scientists and their teams for cooperation of SMEs with academic institutions were prepared and submitted to the Government of the Slovak Republic for approval and finally, enhancement involvement of Slovak scientists into programs within the European Research Area. The Agency also endeavoured efforts to reflect strategic plans RIS3 in its programs, but so far, this effort has not brought any yields.

In the upcoming period it will be important for the Agency how it will be integrated into the system of state support for research and development and in view of the Structural Funds and vision in the field of research, development and innovation formulated in strategy RIS3. However crucial will not be the vision itself, but its application in practice, because only real and lasting change may reverse unflattering position of Slovak science in the European and international context. Well in this area the position of a strong national Agency is irreplaceable.

The medium-term outlook of the Agency to support research and development in its expanded capacity to support projects from domestic sources by increasing the budget for general calls and specific programs of the Agency. New and extremely important aspect is the support of international scientific and technological cooperation and the use of cohesion instruments of the European Union for the development of science and technology. Here we still see plenty of room for coordination of the processes for Research and Technology agency. A basic requirement for all Agency support schemes must be support of excellent research and development. One of the main tasks to achieve this goal is improvement of assessment of submitted applications especially at the level of opponents, project solutions monitoring as well as their outcomes and impacts.

Despite the mentioned lack of funds and continued efforts to improve the Agency's operation, this is the only comprehensive and most objective system for evaluating and monitoring research and development projects in the Slovak Republic. Given the fact that we may have Structural Funds for the last time, it is necessary to set the Agency to a qualitatively higher level and create room, so that the Agency gradually develops from a small player in the scientific and technical arena into a pillar of Slovak science to be an equal partner to partner agencies in EU countries and in the world.

prof. RNDr. Jozef Masarik, DrSc. SRDA chairperson

## **Contents**

1	About Slovak Research and Development Agency	
	1.1 Identification of the organization	
	1.2 3NDA WISSION	
2	Bodies of Slovak Research and Development Agency	
_	2.1 SRDA Bureau	
	2.2 SRDA Presidium	12
	2.3 SRDA Agency Councils	14
3	SRDA Activities in 2015	
Ĭ	3.1 Activities in 2015	15
	3.1.1. Announcement of a general call GC2015	17
	3.1.2. International cooperation	20 2
	3.3 Financing of ongoing projects	24
	3.4 Supplementary financing of 7th Framework Programme (7FP)	
	3.5 Projects completed in 2015	26
	ore memering of the projectic completed in provided year emining of the projectic	····· ∠ (
4	State aid	
	4.1 Evaluation of the aid granted from SRDA	29
	4.2 Further progress in the field of State aid from SRDA	30
5	SRDA Budget	
6	SRDA Human resources	
	6.1 SRDA Bureau	33
	6.2 SRDA Social policy	
	6.3 Education and training of employees	34
7	SRDA Controlling	
Ī	_	0.5
	7.1 External controlling activities	
	7.3 Controlling activities performed by external controlling bodies	36
	7.4 Complaints handling	36
8	SRDA annual conference	
9	Goals and review of their performance	
1	0 Evaluation of activities of the Organization in 2015	
•	o Evaluation of activities of the Organization in 2015	

page 7-10

2 page 11-14

3 page 15-28

4 page 29-30

**5** page 31-32

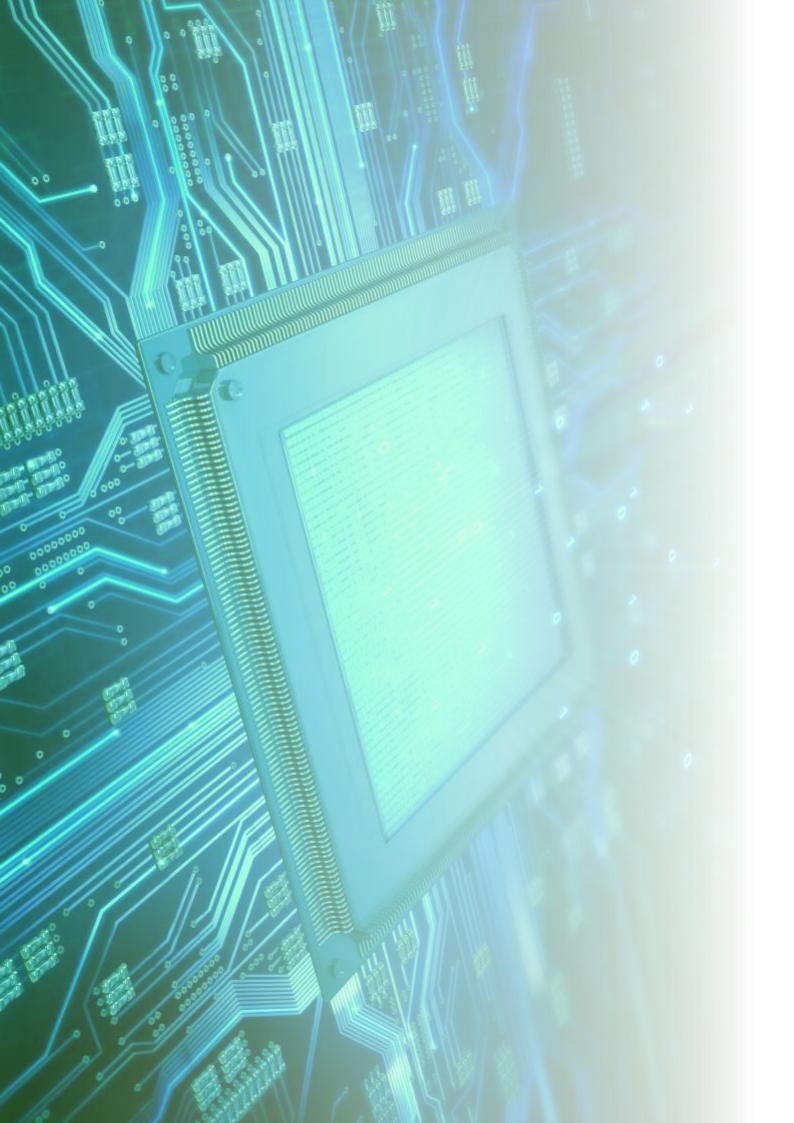
6 page 33-34

page 35-36

**8** page 37-38

9 page 39-40

**1**C page 41-41



# 1 About Slovak Research and Development Agency

Slovak Research and Development Agency (hereinafter referred to as "Agency") is the national grant agency the only dominant grant agency supporting research and development in Slovakia from the state budget in all fields of science and technology.

## 1.1 Identification of the organisation

Name: Slovak Research and Development Agency

Seat: Mýtna 23, 811 07 Bratislava

Postal address: Mýtna 23

P.O.BOX 839 04 839 04 Bratislava

Contact: tel: +421 2 57 20 45 01

fax: +421 2 57 20 45 99 e-mail: agentura@apvv.sk www: http://www.apvv.sk

Establishment: Act No.172/2005 Coll., on Organisation of State Support to Research and

Development and on Amendments to Act No. 575/2001 Coll., on Organisation of Activities and Organisation of Central State Administration, as amended

(hereinafter referred to as "Act No. 172/2005 Coll.).

Form of Management: The Agency is a state-budget organisation linked to the State Budget of the

Slovak Republic through the budgetary chapter of the Ministry of Education,

Science, Research and Sports of the Slovak Republic.

Ministry: Ministry of Education, Science, Research and Sports of the Slovak

Republic.

SRDA Bodies: Agency director

Agency presidency Agency council **1** page 7-10

2 page

11-14

page 15-28

4 page

29-30

page 31-32

page

page

8

page 37-38

page 39-40

> 10 page 41-41

#### 1.2 SRDA Mission

Main mission of the Agency is the promotion of high-end topmost fundamental and applied research and development in all aspects of science and technology including interdisciplinary and multidisciplinary research which is performed by university sector, state sector of research and development, commercial and non-profit sector of research and development and natural persons in accordance with Trade Licencing Act.

Research and development support is performed in the form of projects of research and development selected bodies of the Agency in open calls announced by the Agency. Research and development projects may be submitted by resident legal entities or resident natural persons. The main assumption for the promotion of research and development is the quality of submitted project proposals. Another mission of the Agency is to stimulate the participation of research and development entities from the Slovak Republic in international and European programmes and initiatives, as well as the support of bilateral and multilateral cooperation in the field of research and technology.

Agency is established for the purposes of support of research and development providing funds for project solutions as follows:

- Support for a "bottom-up" a public call for proposals in the different groups of fields of science and technology (no thematic restrictions), while the aims, objectives and contents of the research and development project are determined by the applicant - law. 172/2005 Coll. § 12 para. 2 font. a),
- Purposeful form of support based on government-approved programs of the Agency ("top-down"), which reflect the requirements of meeting the goals and objectives selected in accordance with a long-term plan of state science and technology policy Act no. 172/2005 Coll. § 12 para. 2 font. b)
- Support on the basis of public calls within the framework of international agreements and in international programs and initiatives, including the cost of training - Law no. 172/2005 Coll. § 12 para. 2 font. c).

Recipients of funding are organizations:

- of public sector, public and private universities,
- · of public sector research and development,
- · of business sector research and development,
- · of non-profit sector research and development,
- of natural persons of research and development under the Trade Act.

From the **medium-term perspective**, the Agency fulfils tasks arising from Act No. 172/2005 Coll., on Organisation of State Support to Research and Development, as amended, and from the Statute of the Agency. The Agency also plays an important role as a tool for fulfilment of the Programme Declaration of the Slovak Government, because a few targets of Point 5 of the Programme Declaration of the Slovak Government and related tasks are directly concerning the Agency.

Slovak Research and Development Agency had in 2015 itemized binding indicators under 06K National Programme for the Development of Science and Technology and the subprogram "06K11 - Research and development tasks supported by the Slovak Research and Development Agency" (hereinafter "06K11").

**The intention of the sub-programme** is "effective system of research and development support by providing funds for project solutions and increase of the successfulness of Slovak entities in the international scientific and technological cooperation."

Given the broad scope and importance of the Agency at the sub programme level **6 following tasks** have been defined:

- 1) support projects of international scientific and technological cooperation solved in the framework of international programs / organizations / agreements co-financed by funding agencies,
- 2) to support projects co-financed from non-budgetary sources (e.g. Private and foreign),
- 3) support projects with the application outputs into practice,
- 4) support basic research projects whose results will be published in international scientific journals,
- 5) support projects aimed at promoting young scientists under 35,
- 6) support the interconnection of research and development to the market and economic utilisation of research and development through projects aimed at transferring the results of research and development institutions of higher education sector and the public sector to the business sector as well as through projects aimed at supporting research and development in SMEs companies.

#### Main tasks of the Agency under the Statute are mainly:

- support high-end fundamental research, applied research and development in all fields of science and technology, including interdisciplinary and multidisciplinary research
- ensure the development and implementation of new forms of support for research in the Slovak Republic with a view to increasing cooperation between basic and applied research and development and user application
- > in cooperation with the Ministry of Education, Science, Research and Sport of the Slovak Republic ensure the development and implementation of new programs and forms of support for international cooperation in research and development,
- > support the participation of research and development of SR in European programs and initiatives in research and development,
- > contribute to distribution of findings of research and development in Slovakia and promote the importance of research and development for meeting the needs of society,
- > cooperate with The Ministry of Education, Science, Research and Sport of the Slovak Republic in the creation and implementation of national science and technology policy.

Agency supports financial aid for the solution of:

- research and development projects in individual groups of fields of science and technology,
- > projects within the Agency programmes,
- > projects within the framework of international agreements on scientific and technological cooperation projects within the framework of international programs and initiatives in research and development including the cost of training.

In the medium and long term horizon, it is essential that the Agency continued its regular announcement of the so-called general calls. With these calls in supporting projects in individual groups of fields of science and technology (without thematic restrictions), while the aims, objectives and contents of the project are determined by the applicants themselves.

In November 2013, the Government adopted a strategy for research and innovation for smart specialization of the Slovak Republic (RIS3), whose objective is to link research and innovation with immediate practical needs. An important tool to implement the objectives of the strategy can be the Agency programmes, aimed at building and stabilization of human resources in all sectors of research and development, collaboration and research sector with economic reality and to promote wider involvement in European and international initiatives, particularly the new EU Framework Programme for Research and innovation program, Horizon 2020 strategy.

The Agency will continue to pay attention to supporting activities under intergovernmental bilateral or multilateral agreements on international science and technology cooperation, including supporting the mobility of researchers and encouraging the participation of research and development institutions in international projects, programs and initiatives.

The Agency will continue working on improving the system of evaluation and funding of projects in order to increase the objectivity and transparency of the evaluation process.

page 7-10

11-14

4

page 29-30

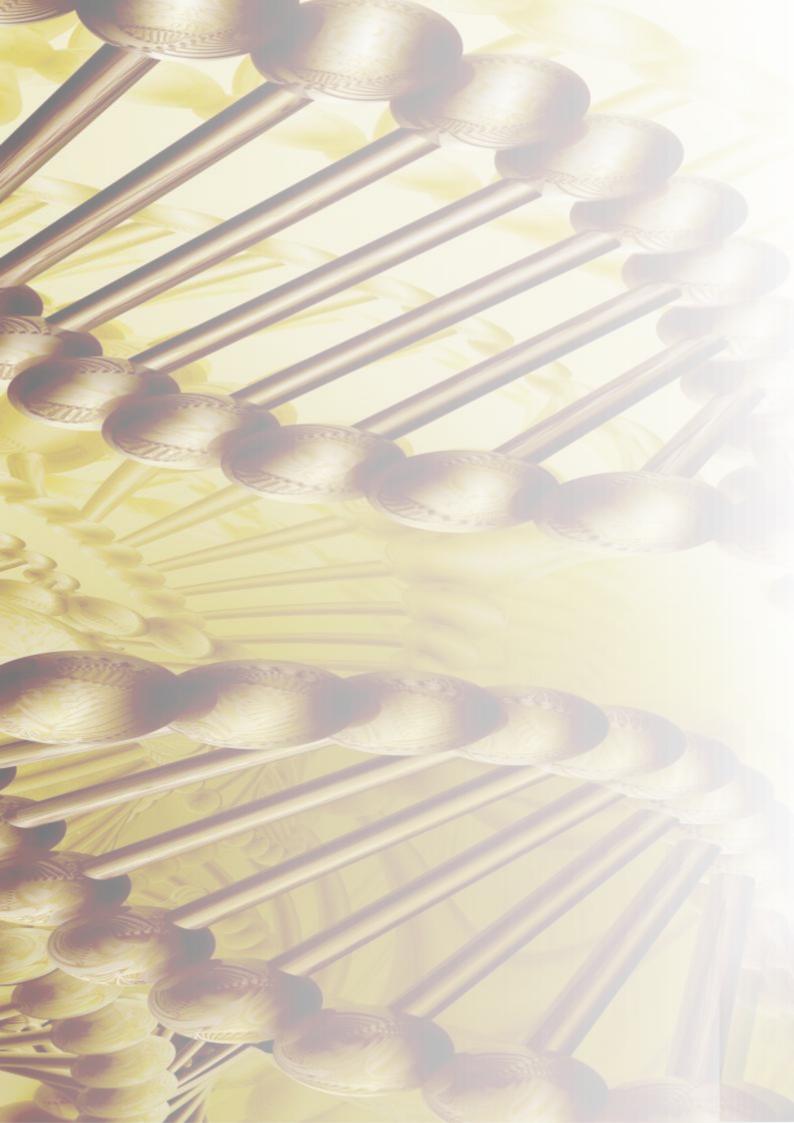
page 31-32

page

page 35-36

**O** page 37-38

9 page 39-40



# 2 Agency bodies to support research and development

## Presidium



Figure 1 SRDA bodies

## 2.1 SRDA bureau

Director: Ing. Bibiána Remiarová, PhD. (till 31.10.2015)

Bureau

Ing. Martina Hasayová, PhD. (since 01.11.2015)

Management: Ing. Bibiána Remiarová, PhD. - Head of the Department of projects of common

calls, (since 01.11.2015)

Ing. Stanislav Jursa - appointed Head of Department of projects of common calls

(till 31.10.2015)

RNDr. Soňa Ftáčniková, PhD. - Head of Department of International Cooperation

Ing. Jana Blahová, PhD. - Head of the Department of financial management and

control of projects

Ing. Viera Dojčárová - Head of the Department of Economics

Ing. Eva Kaiserová - Head of Department of Human Resources and wages

Ing. Peter Kovačič - Head of Department of Information Technology and Services

Ing. Alena Bokrošová - Head of the Office of Director

1 page

2

page

**o**age 5-28

4 page

5 page

page

page

35-36

page 37-38

9 page 39-40

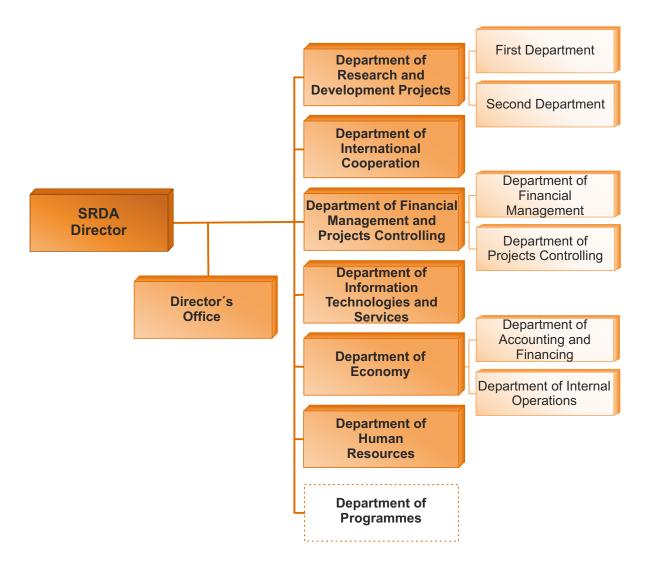


Figure 2 SRDA Bureau Structure

### 2.2 SRDA Presidium

Presidium of the Agency is the supreme professional body of SRDA. In fulfilling its mandate based on law no. 172/2005 Coll., by which the Agency was established. Presidium members are appointed and called off by the Government on the proposal of the Minister of Education. The term of office of presidium members is four years with the possibility of appointing more than two consecutive terms. Presidium of the Agency has 13 members of which 11 members are distinguished experts in the field of science and technology from all over Slovakia and two members are representatives of the Ministry of Education, Science, Research and Sport and the Ministry of Finance.

The main activities include managing the Agency's presidium as a professional body representing the Agency and agencies outside the home and on foreign soil in areas directly related to the Agency's activities, but also in other areas related to research and development in Slovakia. It regularly attends meetings of the International Organization of Science Europe, which is a member of the agency since 2012.

Presidium activities are governed by the Agency's work plan being developed by the Agency's director based on the concept of the Agency's activities for the period concerned and approved by the presidium.

Chairperson: prof. RNDr. Jozef Masarik, DrSc.

Faculty of Mathematics, Physics and Informatics, Comenius University in

Bratislava

Vice-chairperson: RNDr. Eva Majková, DrSc.

Slovak Academy of Sciences, Bratislava

Members: prof. Ing. Anetta Čaplánová, PhD.

Department of Economic Theory, Faculty of National University of Economics in

Bratislava

prof. RNDr. Anatolij Dvurečenskij, DrSc. (do 21.06.2015)

Mathematical Institute, Slovak Academy of Sciences, Bratislava

Ing. Rastislav Havrila, PhD.

Electro technical Research and Design Institute, Nová Dubnica

prof. Ing. Jan Kudrna, Csc. (do 21.06.2015)

Faculty of Civil Engineering, Technical University in Brno, Czech Republic

Ing. Anton Marcinčin, PhD. *Ministry of Finance, Bratislava* 

prof. Ing. Štefan Mihina, PhD.

Department of Production Engineering, Faculty of Engineering, Slovak

University of Agriculture in Nitra

PhDr. Slavomír Michálek, DrSc. (od 01.07.2015)

Historical Institute, Bratislava

JUDr. Anton Ondrej, MBA

Slovak Chamber of Commerce, Bratislava

prof. Ing. Ľudovít Parilák, Csc.

Podbrezová Iron Works, Inc., Podbrezová

MVDr. Ján Rosocha, Csc.

Ministry of Health, Bratislava

prof. Ing. Viktor Smieško, PhD.

Faculty of Electrical Engineering and Information Technology, Slovak

Technical University, Bratislava

Ing. Róbert Szabó, PhD.

The Ministry of Education, Science, Research and Sport SR, Section of

Higher Education, Science and Research, Bratislava

prof. RNDr. Jan Zima, DrSc. (od 01.07.2015)

Institute of Vertebrate Biology AS CR, Brno, Czech Republic

Secretary: Ing. Bibiána Remiarová, PhD.

#### 2 Agency bodies to support research and development

Presidium at its meetings in 2015 devoted conceptually to - strategic points resulting from the Statute of the Agency, meeting incentive of Trade Union Councils, as well as ad hoc matters concerning the implementation and control of projects.

The most discussed and negotiated topics were:

- Plan of main tasks of SRDA
- The issue of public procurement in implementation of research activities.
- obedience of ethical principles in the evaluation and implementation of SRDA projects,
- · issues and problems of the evaluation process of general call,
- approval of the general call in GC 2015 as well as the calls of bilateral cooperation,
- proposals for new plans call for bilateral cooperation
- The current utilisation of the budget during the year,
- Activities of a chairperson related to the increase of the SRDA budget for the new programs for RIS3 priorities for 2016 and so on.

## 2.3 Odborové rady APVV

Agency Council is the expert body established by the agency for a specific area for the assessment and approval of raising funds to address research and development projects and development projects via the Agency and on control of the project solution for the resolution of the Agency provided funding.

The Council has at least seven members who are specialists in the field of competence. Member of the board is at least one foreign expert.

In 2015 these coucils operated in SRDA:

Council for Natural Sciences: Chairperson of the Council

prof. RNDr. Peter Samuely, DrSc.

Institute of Experimental Physics, Slovak Academy of Sciences,

Košice

Rada pre technické vedy: Chairperson of the Council

prof. Ing. Jaroslav Kováč, CSc.

Faculty of Electrical Engineering and Information Technology,

Slovak University of Technology in Bratislava

Rada pre lekárske vedy: Chairperson of the Council

**prof. MUDr. Ján Danko, Csc.** (until 31.10.2015)

Jessenius Faculty of Medicine in Martin University

Comenius University in Bratislava

prof. RNDr. Silvia Pastoreková, DrSc. (from 08.12.2015)

Institute of Virology, Bratislava

Rada pre pôdohospodárske vedy: Chairperson of the Council

doc. RNDr. Ján Rafay, Csc. (until 01.11.2015)

Animal Production Research Centre, Slovak University of Agriculture

prof. RNDr. Ján Kraic, PhD. (from 09.12.2015) University of St. Cyril and Methodius in Trnava

Rada pre spoločenské vedy: Chairperson of the Council

prof. PhDr. Darina Malová, Csc.

Faculty of Arts, Comenius University in Bratislava

Rada pre humanitné vedy: Chairperson of the Council

PhDr. Matej Rutkay, Csc.

Archaeological Institute of the Slovak Academy of Sciences, Nitra

Rada pre medzinárodnú vedecko – Chairperson of the Council

technickú spoluprácu (MVTS): prof. lng. Stanislav Marchevský, Csc.

Technical University of Kosice

# 3 SRDA Activity in 2015

### 3.1 Activities in 2015

The extent of the Agency's activities in 2015 was determined by a budget totalling € 26.16 million.

On the basis of the plan of the main tasks of the Agency and within the given financial assumptions the following calls were opened, respectively. declared in 2015:

- Open public call for applications for additional financing of 7FP projects (DO7RP)
- public call for applications to deal with research and development projects in individual groups of fields of science and technology - GC 2015
- international calls to promote bilateral science and technology cooperation

Agency in its activities during 2015 ensured the fulfilment of other tasks:

- monitoring of project results after the end of their solutions in order to obtain relevant data on the impact of projects on solutions to social and economic practice,
- funding of ongoing projects, i.e. projects whose funding and therefore the solution has already begun in previous years continued in 2015, including financing their projects and GC 2011 GC 2012 not granted contracted funds due to insufficient SRDA budget in 2014
- announcement of new calls and evaluating applications submitted for funding of these calls,
- financing of projects supported by the open public call for applications for additional financing of 7FP projects (DO7RP).

Scope of the Agency's activities for the year 2015 is shown in Tab. 1.

Tab. 1 Project Financing in 2015

Call	Amount of projects in year 2015	Support amount in EUR in year 2015
GC 2011	166	8 500 296
GC 2012	172	10 422 334
GC 2014	148	4 814 540
Bilateral call	98	303 252
Activities ENV*	1	2 500
CO7FP	50	884 518
CO7FP*	3	48 429
Total	638	24 975 869

<sup>\*</sup> Covered from non-budgetary sources

page 7-10

2 page 11-14

3 page 15-28

**4** page 29-30

29-30

page 31-32

page 33-34

page 35-36

**8** page 37-38

9 page 39-40

> 10 page 41-41

Fig. 3 shows the amount of the funding and Fig. 4 the total number of projects funded by type of grant for 2015.

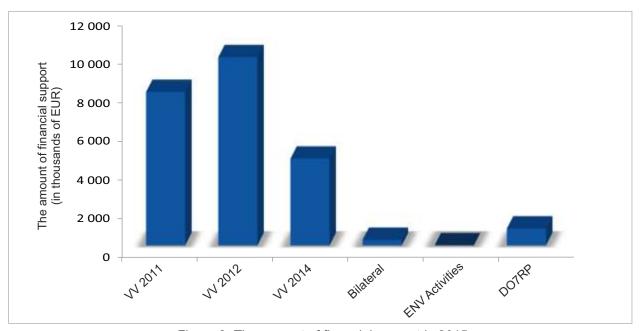


Figure 3 The amount of financial support in 2015

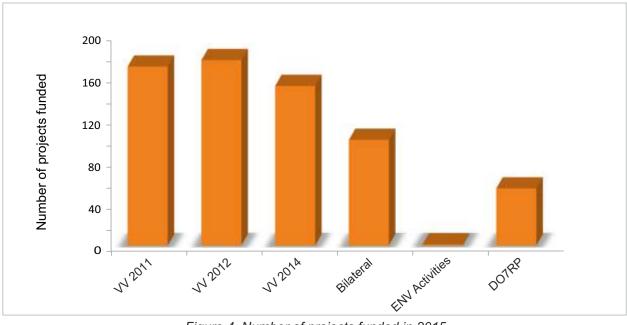


Figure 4 Number of projects funded in 2015

## 3.1.1. Announcement of a general call GC 2015



The Agency's activities were related to the application submitted within of the general calls labelled GC 2015, announced in 2015, with funding of selected successful projects will begin in 2016. Duration of the project is maximum 48 months.

#### Characteristics of GC 2015

General Call GC 2015has no limitations on the substantive focus of the projects. Specific focus, objectives and contents of the research and development are determined by the applicants themselves. Applications may have been submitted by legal entities and individuals – entrepreneurs without limitation belonging to sector research and development.

#### **Basic information GC 2015**

• Deadline for submission of applications: 9/9/2015 - 11/11/2015

#### Základné informácie o zaregistrovaných žiadostiach

•	Total amount of received applications		781
•	<ul> <li>out of which applications for projects of fundamental research</li> </ul>		483
•	out of which applications for projects of applied research		281
•	out of which applications for projects of development p	rojects	17
•	Amount of required funds	€172,081 tho	usands
•	Financial contribution of applicants	€15,433 the	ousands
•	Total volume of funds	€187,514 the	ousands

The percentage of registered applications according to the nature of research is shown in Fig. 5

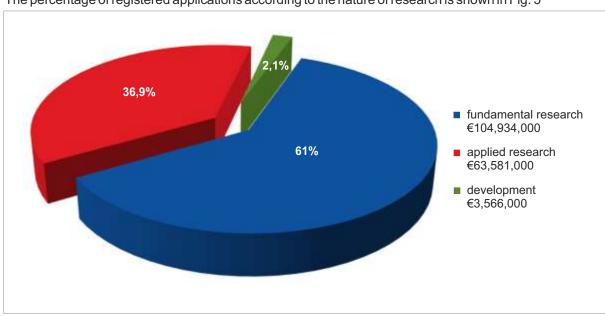


Figure 5 Breakdown of funds granted by the nature of research

7 page 7-10

2 page 11-14

**3** page 15-28

4 page 29-30

**)** page 31-32

**D** page 33-34

**7**page
35-36

**O** page 37-38

9 page 39-40

Tab. 2 Number of registered applications and financial demands of applicants broken by the nature of research (in thousands of EUR)

Nature of research	No. of applications submitted	Funds Claimed from Agency (in EUR)	Average financial requirement per application
Fundamental research	483	104 934	217,3
Applied research	281	63 581	226,3
Development	17	3 566	209,8
Total	781	172 081	

Tab. 3 Number of registered applications by scientific fields

Scientific field	Registered applications
Natural sciences	176
Technical sciences	264
Medical sciences	90
Agricultural sciences	105
Social sciences	100
Humanities	46
Total	781

Breakdown of funds required for the registered applications by scientific fields and nature of research is shown in Fig. 6.

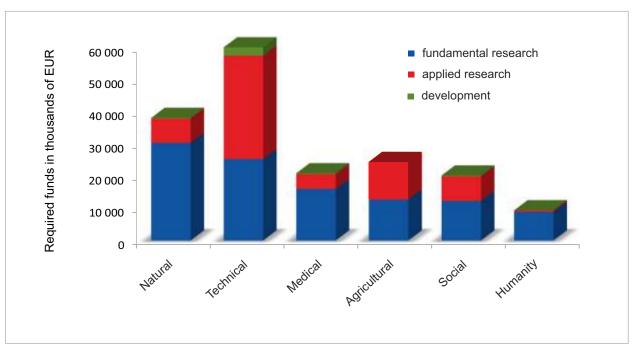


Figure 6 Breakdown of funds granted by the nature of research and by scientific field

#### Breakdown of requests for funds by region is shown in Figure. 7

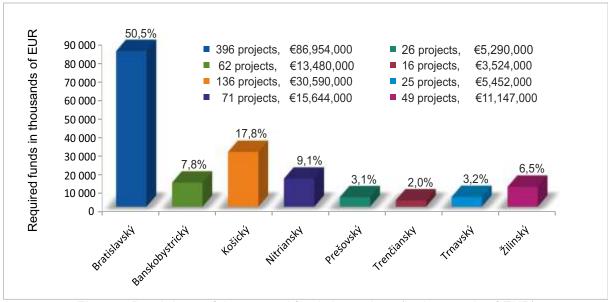


Figure 7 Breakdown of the granted funds by regions (in thousands of EUR)

Fig. 8 illustrates the share of funds required in the applications submitted under the GC 2014 of individual sectors.

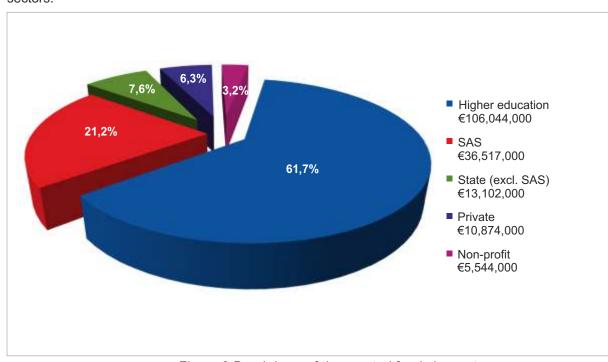


Figure 8 Breakdown of the granted funds by sector

**1** page 7-10

2 page 11-14

**3** page 15-28

**4** page 29-30

5 page

page 33-34

page 35-36

**8** page 37-38

9 page 39-40

#### 3.1.2. International cooperation

#### New calls of bilateral cooperation in 2015

The agency in 2015 launched 5 international scientific and technological cooperation calls with: China, Austria, Portugal, Poland and France. Amore detailed overview is in Tab. 4.

Project of bilateral calls are projects of international cooperation aimed at establishing new or intensifying existing scientific and technical cooperation, particularly through the use of these tools:

- Preparation of joint international projects.
- · preparation of joint publications and other outcomes,
- · active participation in conferences,
- · organization of joint scientific meetings,
- · mutual use of instrumentation and laboratory equipment.
- · collection of research materials,
- the involvement of PhD students and young scientists (under 35 years).

Projects of bilateral calls announced in 2015, will be settled in two years (2016-2017). Funding will be granted under the approved budget of The Ministry of Education, Science, Research and Sport of the Slovak Republic through the Agency while project lasts. The expenses in Slovak Republic will be distributed in accordance with approved budget for bilateral scientific and technological cooperation for 2016 and 2017.

Tab. 4 Number of submitted and evaluated bilateral projects in 2015

Call	Number of projects submitted	Number of projects selected for financing	Amount allocated for the call in €
Slovakia - China 2015	36	13	104 000
Slovakia - Austria 2015	31	16	66 000
Slovakia - Portugal 2015	37	12	66 000
Slovakia - Poland 2015	59	16	66 400
Slovakia - France 2015	28	15	86 000
Total	191	72	388 400

Furthermore, the Agency in appropriate amount supported also activities carried out by researchers and scientists in the programs of the European Science Foundation (ESF) (became a member in January 2006) in a total amount of € 2,500. European Science Foundation's European association of research organizations and grant agencies, at European level, through its activities promotes cooperation in basic research and organizes a uniform treatment for basic research project. SRDA essential contribution of the European Science Foundation in 2015 amounted to the sum of €5,868.03.

In January 2012, SRDA became a member of Science Europe, further international non-profit organization is an association of 52 organizations from 27 countries in support of research and development from public funds.

Science Europe was founded in October 2011 with an aim to promote the common interests of member organizations and to streamline the coordination of science policy at the international level. SRDA essential contribution in 2015 amounted to EUR € 4,472.20.

#### 3.2. General call GC 2014



The Agency's activity was related to evaluation of applications submitted within general call marked GC 2014, announced in 2014, while funding of selected successful projects started in 2015 with the period project completeion no later than till year 2019.

#### Characteristics of GC 2014

General Call GC 2014 had no limitations concerning the substantive focus of the projects. Specific focus, objectives and contents of the research and development were determined by the applicants themselves. Applications could be submitted by legal entities and natural persons - entrepreneurs without restrictions as to the sector of research and development.

#### Basic information on GC 2014

Deadline for submission of applications:
 2/9/2014 - 14/11/2014

#### Basic information on registered applications

•	The total number of applications received	905
•	of which application of basic research projects	534
•	of which application of applied research projects	346
•	of which applications for development projects	25
	amount of funding required	€ 203,034 thousands
	financial contribution of applicants	€16,582 thousands
•	total amount of funds	€219,616 thousands

#### Basic information on evaluation process:

•		
•	date of completion of the evaluation of applications:	May 2015
•	total number of applications	905
•	number of withdrawn applications (technical and formal cont	rol): 4
•	number of applications withdrawn by applicants	4
•	number of applications in technical evaluation	897
•	number of applications that have been granted financial supp	oort 148
•	of which project applications in fundamental research	90
•	of which project applications in applied research	53
•	of which project applications in development projects	5
•	average success rate of applications submitted	16.4%
•	approved financial support total €	32,974 thousand
•	granted financial support in 2015	€4.815 thousand

As part of a public call GC 2014 there was a total of 905 applications received and registered for funding to deal with research and development projects. After technical and formal controls 4 applications were withdrawn. 897 applications were passed for technical evaluation based on which 148 applications were funded. Start of the project was 1 July 2015. Latest date of completion of the project solution is 30.6. 2019.

**1** page 7-10

2 page 11-14

**3** page 15-28

4 page 29-30

**5** page 31-32

**D** page 33-34

page 35-36

**Ö** page 37-38

**9** page 39-40

Tab. 5 Number of supported applications according to the nature of research.

Nature of research	Number of projects funded	Approved financial support (in thousands of EUR)
Fundamental research	90	19 666
Applied research	53	12 166
Development	5	1 142
Total	148	32 974

Percentage share of registered applications by nature of research is shown in Fig. 9.

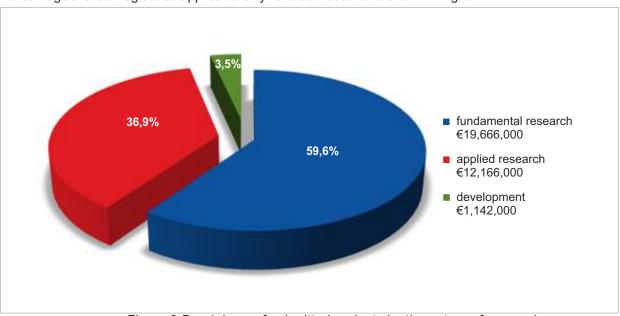


Figure 9 Breakdown of submitted projects by the nature of research

Breakdown of financial resources provided within call GC 2014 by scientific fields and nature of research as shown in Fig.10.

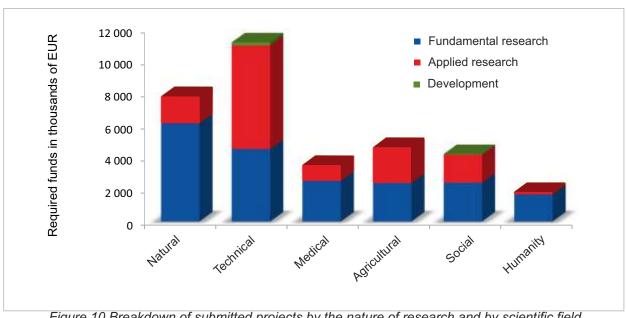


Figure 10 Breakdown of submitted projects by the nature of research and by scientific field

Breakdown of financial resources provided within call GC 2014 by regions is shown in Fig.11.

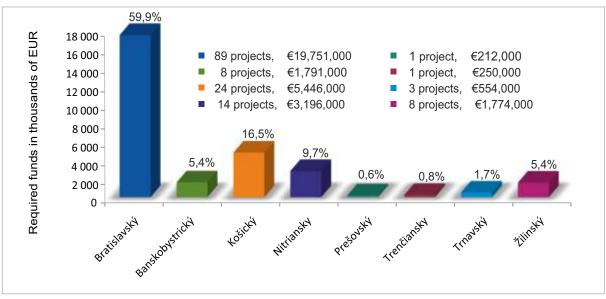


Figure 11 Breakdown of submitted projects by regions

 $Fig.\ 12\,shows\ share\ of\ financial\ resources\ provided\ to\ projects\ supported\ in\ call\ GC\ 2014\ by\ sectors.$ 

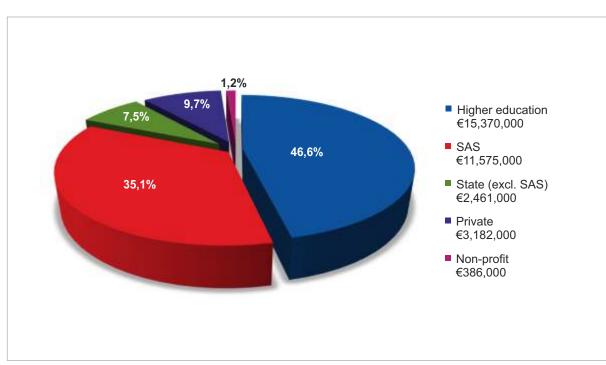


Figure 12 Breakdown of submitted projects by sector

**1** page 7-10

2 page 11-14

3 page 15-28

4 page 29-30

**5** page 31-32

**D** page 33-34

page 35-36

**8** page 37-38

9 page 39-40

## 3.3 Financing of ongoing projects

Very important but also a financially challenging task, was financing of ongoing projects, i.e. projects, that its financing and implementation started in the previous years and continued also in 2015. The financing of ongoing projects was implemented under the terms of the Act No.172 / 2005 Coll.

The funds broken down into current and capital expenditures for the project, the Agency may provide always up for one financial year. The Agency provides funding of ongoing projects of general call in the following year, based on amendments to contracts in two terms. The provision of the first portion of the funds is subject to the submission of an interim annual report elaborated in compliance with the methodological guidelines set for the preparation of interim reports. The provision of the second portion of the funds is subject to the approval of the interim annual report by the Specialist Council of the Agency. Part of the annual report is a special part presenting professional results in accordance with the schedule of the project and the financial section with a detailed picture of how the funds provided for that financial year. For the projects granted under bilateral grant schemes, the funds are granted in the form of a lump-sum grant in the budgetary year concerned following the evaluation of the interim annual reports by the specialist body. Resolution of the ongoing projects is assessed by the specialist bodies of the Agency and the evaluation report to the annual project report contains a recommendation for the Director of the Agency to continue with the financing of the projects.

In 2015 the Agency financed the ongoing projects submitted under the calls specified in Tab.6.

Tab. 6 Financing of ongoing projects

Call	Number of projects	Financing commencement
GC 2011	166	2012
GC 2012	172	2013

Due to the Agency's budget deficit in 2014 the funding of postponed funds from 2014 was provided in 2015 for projects of general calls GC 2011 and GC 2012 in February, 2015.

In April and May 2015 the first part of the funds was granted for year 2015 in the amount of 50% of the annual budget of the project upon receipt of annual reports to the Agency.

The second part of the funds for 2015 was provided after completion of the annual reports of the relevant specialist bodies of the Agency during the 2nd and 3rd quarter 2015.

Financial resources for projects were transferred to the beneficiary's account specified in the SRDA contract on the provision of funds.

The total support granted to resolve the ongoing projects in 2015 is shown in the Tab. 7.

Tab. 7 Financial support provided in 2015 for ongoing projects (in EUR)

Call	No. of projects	Cur. expenditures	Capital expenditures	Total
GC 2011	166	8 500 296	0	8 500 296
GC 2012	172	10 422 334	0	10 422 334
Total	338	18 922 630	0	18 922 630

#### **International Cooperation**

Tab. 8 SRDA support of ongoing activities in the field of international cooperation in 2015

Call/ Programme	No. of projects	Amount of support in EUR
ESF-RNP	1	2 500
ESF a SE financial contributions	-	10 340
Total	1	12 840

#### Information on bilateral project cooperation

#### Evaluated in 2013 and ongoing financing in 2015

The Agency continued in 2015 in the field of international cooperation funding bilateral projects submitted in response to calls from the international scientific and technological cooperation announced in 2013 by the French Republic in the number of 14 projects with a total amount of support for the particular year in the amount of € 36,837.

#### Evaluated in 2013 and ongoing financing in 2015

The agency started in 2015 (due to a deficit budget in 2014) in the field of international cooperation to fund bilateral projects submitted under the call international scientific and technological cooperation announced in 2013 with the Czech Republic in the amount of 50 projects, Serbia in the amount of 15 projects, Ukraine in amount 6 projects in Hungary and amount of 13 projects with a total amount of support €266,415. A more detailed overview may be found in Tab. 9.

Tab. 9 SRDA support provided to bilateral project, which were evaluated in 2013 and began financing in 2015

Call within bilateral scientific and technological cooperation	Number of projects	Support in EUR (Current expenditure)
Slovak - Czech 2013	50	198 210
Slovak – Serbian 2013	15	36 085
Slovak – Ukrainian 2013	6	13 730
Slovak – Hungarian 2013	13	18 390
Total	84	266 415

35-36

page 39-40

> 10 page 41-41

# 3.4 Supplementary financing of the 7th Framework Programme (7FP)

An open public call for applications for supplementary financing 7FP projects of the European Community (EC) for research, technological development and demonstration activities including the EC program Atomic Energy Community (Euratom) - 7FP.



The main objective of this call is to promote the active participation of Slovak top employees and teams of research and development in the 7th Framework Programme of the European Community for research, technological development and demonstration activities through supplemental financing of the expenditures of performing the proposals for 7FP research projects that received support from the European Commission.

Eligible applicants are public universities and state universities, organizations of Slovak Academy of Sciences, research and development organizations established by central government bodies of SR and non-profit research and development organizations.

Updated call regulations and conditions of the contract permit the Agency to provide funds to co-finance supplement funding of successful projects partners of 7FP research and development up to 25% of the total eligible costs provided by a decision of the European Commission, including the final contribution paid after the end of the project 7FP.

In the call 7FP in 2015 the Agency supported a total of 53 projects totalling € 932,947.

Tab. 10 SRDA support of projects 7FP in 2015 by sector

Sector	Number of projects	Amount of support in EUR
SAS	17	234 145
Higher education	19	534 212
Other	4	164 590
Total	53*	932 947*

<sup>\*</sup> Of which - 3 projects reimbursed from the account Donations and Grants - Other sector - in the amount of 48,429

## 3.5 Projects completed and evaluated in 2015

In 2015 the Agency conducted a final evaluation of a total of 246 projects with expired duration of the project by 31 December 2014. SRDA provided assigned financial support and applicants submitted their final reports by 31 January 2015. The Agency councils in particular scientific disciplines and Council of the Agency for International science and technology cooperation evaluated the project results based on predefined criteria and concluded the resolved projects.

#### Projects of general call GC2010

Agency councils evaluated 174 completed projects, of which 123 ended up getting excellent ranking of solution, 49 had a good standard and the two ended up as unsatisfactory.

Agency will inform about selected excellent projects from GC2010 evaluated in 2015, in the form of publications and will present the world of science and technology in Slovakia to the general public.

#### Bilateral cooperation projects

Agency council for International Science and Technology Cooperation evaluated 14 projects from bilateral call SK-FR 2013, all of which have achieved an excellent level and 50 projects of bilateral calls SK-CZ whose 45 ended on an excellent level and 5 projects reached a good level.

#### **Projects CO7FP**

Agency council for International Science and Technology Cooperation evaluated 8 projects, of which 6 had excellent level and 2 projects were done at a good level.

## 3.6 Follow-up project monitoring

Based on the contract conditions, each participant of SRDA project is in the form of a monitoring report obliged to inform the Agency in a three-year period after the completion of the project about social and economic benefits of the project. The report is submitted by filling in the form "Project Outcomes and Benefits".

The main categories of benefits and outcomes are as follows:

- 1. Category: Publications and citations
- 2. Category: Patents, inventions and utility models
- 3. Category: Practical applications with specific economic indicators
- 4. Category: Contributions to scientific education and popularization of science
- 5. Category: Other results
- 6. Category: Added value of the research and development project performed

The agency in 2015 secured the monitoring of outcomes of completed projects calls identified in Tab. 11. Most projects were monitored in the call LPP VMSP 2009 and 2009 under the call GC 2010 it is the first year of project monitoring shorter than the maximum period specified in the call.

Tab. 11 Projects Monitored after Completion

Call	Year of completion of funding of call	Number of projects monitored
GC 2007	2010	54
GC 2010	2014	8
LPP 2006	2010	5
LPP 2007	2010	38
LPP 2009	2012	79
VMSP 2009	2010	78
VMSP II 2009	2012	20
GCCE 2007	2012	6
SUSPP 2007	2012	2
SUSPP 2009	2013	5
EUROCORES 2007	2011	2
EUROCORES 2010	2015	2
CO7FP	Open call	54

In Tab. 12 there are outputs of projects after funding conclusion submitted by applicants by 31 March 2015 for the year 2014.

page 7-10

2 page 11-14

**3** page 15-28

**4** page 29-30

**)** page 31-32

**O** page 33-34

page 35-36

**8** page 37-38

page 39-40

> 10 page 41-41

## 3 SRDA Activity in 2015

Tab. 12 Benefits and outputs of concluded projects

Call	No. of projects with Internat. CC publications	Number of new SCI citations	Number of projects with application in practice	Number of application outputs
GC 2007	23	731	5	13
GC 20010	2	57	1	5
LPP 2006	1	31	0	0
LPP 2007	7	188	0	0
LPP 2009	38	480	4	5
VMSP 2009	3	71	47	1 196
VMSP II 2009	4	13	8	31
GCCE 2007	7	43	1	1
SUSPP 2007	0	6	1	6
SUSPP 2009	1	4	3	16
EUREKA 2006	0	0	1	1
EUROCORES 2006	2	11	0	0
EUROCORES 2007	2	27	0	0
CO7FP	3	613	5	6
Total	93	2 275	76	1 280



## 4 State aid

The provision of financial support from public funds to businesses entities (State aid) enables to promote the most effective process of utilisation of research, linking research with the market and the resulting economic and social development of the country. It contributes to increasing the competitiveness of enterprises, increasing their production and quality of products and services, creating new jobs and etc.

The funds provided by the Agency in 2015 to deal with projects approved in the various grant schemes and at different periods based on the state aid schemes listed below in the text.

On 16 June 2008, the European Commission approved the Research and Development Support Scheme of the Slovak Research and Development Agency (State Aid Scheme) N 702/2007 valid till 31 December 2013. This scheme applies to all types of enterprises – small, medium and also large-size enterprises. By Amendment No. 1 to Scheme N 702/2007, dated 20 January 2014, the Agency requested an extension of the Scheme. By its decision, dated 13 March 2014, the European Commission communicated the approval of the Research and Development Support Scheme of the Slovak Research and Development Agency (State Aid Scheme SA.38272 (2014/N)) which is the amended Research and Development Support Scheme of the Slovak Research and Development Agency SA.24634 (N 702/2007). The scheme entered into force ad effectiveness on the date of its publishing on the website of the provider with validity until 30 June 2014.

On 27 April 2009 the European Commission approved the Research and Development Support Scheme of the Slovak Research and Development Agency in the Field of Transport X 477/2009 (Block Exemption). The scheme was valid till 31 December 2013.

By Amendment No. 1 to Scheme X477/2009, dated 20 January 2014, the Scheme was extended to 31. December 2014.

On 03 July 2015, the European Commission registered a scheme of support for research and development of SRDA. The schema is recorded under SA.42450 (State aid scheme SA.42450 number). This scheme applies to all types of businesses - small, medium and large enterprises. The validity of the scheme expires on 31 December 2020.

## 4.1 Evaluation of state aid provided from SRDA

Under the current schemes and ad hoc minimal aid was the state aid granted to 24 businesses and total grant amounts to € 1,767,234.50.

Overall, in 2015 State aid was granted to 24 businesses and the amount of state aid amounted to  $\\ilde{\\em}1,767,234.50$  (share of EC funds is 0%). Compared to the year 2014 ( $\\ilde{\\em}1,784,690.50$ ) it is a decrease of 1%. Reduction of  $\\ilde{\\em}179,807.50$  in 2014 were supplemented at the beginning of 2015. The decrease compared to 2014 is due to the completion of the projects from 2010 call and shorter solutions projects call GC 2014 (since 01 July 2015) with a proportionately lower amount of funds required for 2015.

Out of the total amount of aid granted to the Agency formed the ad hoc aid minimal aid 0.2%.

State aid granted to regions eligible for aid under Article 87 (3) (a) of the EC Treaty (SK02 West Slovakia, SK03 Central Slovakia, SK04 Eastern Slovakia) makes up 39% of the total aid granted through schemes State aid granted through schemes for regions eligible for aid under Article 87 (3) (c) of the EC Treaty (SK01 Bratislava) constitutes 61% of total state aid.

page 7-10

2

page 11-14

**3** page 15-28

4 page 29-30

**)** page 31-32

**O** page 33-34

page 35-36

page 37-38

page 39-40

**1** C page 41-41

#### 4 State aid

Total state aid granted to regions eligible for aid under Article 87 (3) (a) of the EC Treaty (SK02 Western Slovakia, Central Slovakia SK03, SK04 Eastern Slovakia) makes up 34.5% of the total of state aid, total State aid granted for regions eligible for aid under Article 87 (3) (c) of the EC Treaty (SK01 Bratislava) constitutes 65.5% of the total state aid.

In 2015 projects focused primarily on small and medium-sized enterprises (SMEs) were funded. State aid granted to SMEs accounts for 83.7% of total state aid granted in 2015 by the Agency.

As per division by regions the aid was granted to 13 companies from Bratislava region, 2 companies from Košice region, 2 companies from Nitra region, 2 companies from Trenčín region and 5 companies from Žilina region.



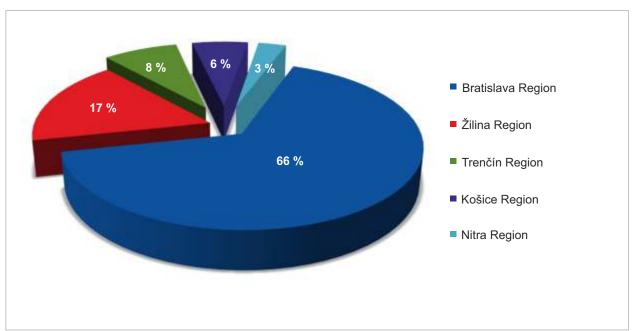


Figure 13 Breakdown of state aid granted by Agency in 2015 by regions in EUR

## 4.2 Further development of the state aid from SRDA

On 03 July 2015, the European Commission registered Scheme to support research and development via Slovak Research and Development Agency and the mentioned scheme is recorded under number SA.42450 (State aid scheme number SA.42450). This scheme applies to all types of businesses - small, medium and large enterprises and is applicable to the provision of funds to support solution of research projects. The validity of the scheme expires on 31 December 2020.

State aid provided to deal with bilateral cooperation projects not covered by the approved scheme of State aid will be granted in accordance with the rules on minimal aid.

# 5 SRDA Budget

Development of the Agency's budget in the period 2005 - 2015 is shown in Fig.14.

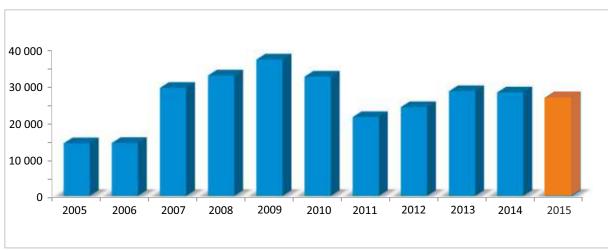


Figure 14 Development of the Agency's Budget in 2005-2015 (in thousands of EUR)

To perform activities determined to the Agency by Act. 172/2005 Coll., as for 2015 WAS by breakdown of the binding indicators by The Ministry of Education, Science, Research and Sport of the Slovak Republic approved a budget totalling €26,162,096 for the financing of the Agency's operation and project financing, i.e. supporting research and development.

Tab. 13 shows the breakdown of the approved budget, including the binding indicators of the state budget under the sub-06K11 as of 01 January 2015, i.e. for the operation of the Agency €1,198,365 and to support research and development of €24,963,731.

In the course of 2015, the budget of the Agency was additionally adjusted by the Ministry of Education, Science, Research and Sport of the Slovak Republic SR in 7 budget measures. Their purpose was to secure funding for research and development as well as operation of the Agency within the scope of the activities, due to the indexation of wages and salaries, increase in current expenditure of the agency, reclassification of capital expenditure to current expenditure reclassification of current expenditures on wages and reducing the prescribed income for the year 2015. Tab. 13 shows already edited the Agency's operation and project finance - support research and development in 2015.

For 2015 the Agency binding indicators were itemized of the state budget under the "06K" National Programme for the Development of Science and Technology and the sub-program - "06K11 Research and development tasks supported by the Agency for Research and Development" as shown in Table. 14.

Tab.13 Budgeted financial resources and the utilisation in 2015 v EUR

Programme 06 K 11	Original approved budget	Budget as of 31.12.2015	Utilisation 31.12.2015
Agency operation	1 198 365	1 253 884	1 253 884
Current	1 198 365	1 253 884	1 253 884
Capital	0	0	0
Support of R&D	24 963 731	25 044 052	25 040 528
Current	24 863 731	25 044 052	25 040 528
Capital	100 000	0	0
SRDA Budget total	26 162 096	26 297 936	26 294 412

page 7-10

2 page

**3** page 15-28

**4** page 29-30

**5** page 31-32

page

page 35-36

**O** page 37-38

page 39-40

10 page 41-41 Tab. 14 Financing of SRDA projects SRDA to support R&D in 2015 in EUR

Name of call/programme	Current expenditures	Capital expends	Total
General call - GC 2011	8 500 296	0	8 500 296
General call - GC 2012	10 422 334	0	10 422 334
General call - GC 2014	4 814 540	0	4 814 540
Bilateral projects	303 252	0	303 252
Supplementary funding of projects supported by 7FP	884 518	0	884 518
Supplementary funding of projects supported by 7FP*	48 429	0	48 429
International organization contribution	4 472	0	4 472
Activity ENV - EUROCORES, RNP *	8 368	0	8 368
Total	24 986 209	0	24 986 209

<sup>\*</sup> financed from non-budgetary sources

Funds provided to support research and development in 2015 were remitted to beneficiaries from the Agency's accounts.

The structure of financing provided to projects supported in 2015 by type of recipient is presented in Tab. 15.

As is clear from the structure overview beneficiaries of research and development, most subsidies were provided to public universities, followed by SAS and contributory organizations.

Tab.15 Funds provided to the projects supported in 2015 in EUR

Organisation type	Expenditures total
State organisations and SAS	9 189 599
Civil associations, foundations	43 665
Non-profit organizations	353 259
Private organizations	1 842 039
International organizations	12 840
Public universities	13 544 807
Total	24 986 209

## 6 SRDA Human Resources

### 6.1 SRDA Bureau

Average number of employees SRDA (SRDA Bureau) as of 31 December 2015 was 45.8, current headcount as of 31 December 2015 was 45.

It is essential to point out that the agency is not only comprised of permanent core employees but also 114 top representatives of Science and Technology of the Slovak Republic, who represent SRDA specialist authorities.

In terms of breakdown of binding indicators of the state budget for 2015 it was intended to limit the number of SRDA employees by The Ministry of Education, Science, Research and Sport of the Slovak Republic to 57. As of 31 December 2015 the Agency had 45 employees, i.e. showed a 22% shortage due to reduced limit for wage resources in the budget. Despite this the agency has extremely good team of people able to cooperate thoroughly. The average age of employees of the Agency in 2015 was 43 years.

Number of SRDA employees by individual organizational units within an organizational structure in 2015 is given in Tab. 16 and in Tab. 17 qualification structure of employees.

Tab. 16 Number of SRDA employees according to organisational structure as of 31 December 2015

Department	Number of employees
Director's Office	3
General Calls Department	14
Financial Management and Controlling Department	9
Economics Department	7
IT and Services Department	3
International Cooperation Department	7
HR and Wages Department	2
Total	45

Tab. 17 Qualitative employee structure SRDA in 2015 – as of 31 December 2015

Education degree	Number of employees
Secondary education	7
University degree Grade 1	0
University degree Grade 2	29
University degree Grade 3	9

**1** page 7-10

2

page 11-14

**3** page 15-28

4 page 29-30

**5** page 31-32

6 page 33-34

page 35-36

**O** page 37-38

9 page 39-40

## 6.2 SRDA Social policy

SRDA has contracts with three employers' supplementary pension companies AXA, ING DDS Tatra Sympatia AXA DDS and DDS Tatra banka. As of 31 December 2015 there were 37 employees involved in pension savings. The employer's contribution to supplementary pension insurance for employees in 2015 amounted to 4% of the gross wage.

Employees in 2015 received the allowance for meals in the amount of € 2.26 and a contribution from the social fund € 0.58. Catering staff was provided via means of lunch vouchers.

## 6.3 Education and training of employees

In order to increase and deepen the employees' specialist qualifications the Agency permits the staff to participate in training courses and seminars organized by professional educational institutions. Education of the Agency staff was implemented to the extent that represents the financial situation of the Agency.

During the year 2015, the Agency staff attended expert seminars on amendments to the law, for example in the areas of consolidation package for The Ministry of Education, Science, Research and Sport of the Slovak Republic for 2015, asset management in 2015, the protection of personal data, as an amendment, accounting and reporting of public administration, changes in the social and health insurance etc.

The staff of project monitoring performing financial controlling attended on 10 -11 December 2015 work and coordination meetings organized by the Control Department The Ministry of Education, Science, Research and Sport of the Slovak Republic in Trenčianske Teplice.

Vocational training in occupational health and safety, fire protection and mandatory retraining referent drivers were provided by the Agency via external company.

Courses and professional seminars were focused primarily on legislative changes generally applicable laws and regulations governing the areas of activity SRDA.



# 7 SRDA Controlling activities

## 7.1 External controlling activities

Employees carried out in 2015 under Law no. 502/2001 Coll. on Financial Control and Internal Audit and on amendments to certain laws as amended by subsequent legislation subsequent financial inspections.

The aim of the performance of financial controlling was to verify compliance with the conditions of use of funds and compliance of economy, efficiency, effectiveness and efficiency of the use of public funds at project resolution.

In terms of auditing activities – subsequent financial control, as per the valid amendments, it was the plan to 2015 execute 12 subsequent financial controls of projects listed in Tab. 18.

#### Summary of subsequent financial inspections in 2015

The number of planned inspections:
The number of inspection carried out:
The number of inspections completed by 31 December:
Detected errors - the number of checks:

Tab. 18 Subsequent financial controls performed by SRDA employees

Name of the subject checked	Total amount of funds checked by controlling authorities in EUR
Comenius University in Bratislava, Faculty of Social and Economic Sciences (project APVV-0484-10)	249 885
Institute of State and Law (project APVV-0340-10)	248 000
Slovak Technical University in Bratislava, Faculty of Chemical and Food Technology (project LPP-0258-09)	82 969
University of Prešov, Faculty of Arts (project APVV-0432-10)	160 486
Technical University of Kosice, Civil Engineering (project SUSPP-0007-09)	141 337
Slovak Technical University in Bratislava, Faculty of Electrical Engineering and Computer Science (project APVV-0258-12)	107 001
Institute of Physics SAS (project APVV-0096-11)	187 078
Matej Bel University in Banska Bystrica, Faculty of pedagogy (project APVV-0713-12)	74 590
Technical University in Zvolen, Faculty of Forestry (project APVV-0145-10)	194 170
Comenius University in Bratislava, Jessenius Faculty of Medicine (project APVV-0315-11)	160 000
University of St. Cyril and Methodius in Trnava, Faculty of Natural Sciences (project SK-CZ-0087-11)	3 894
University of Trnava, Law School (project LPP-0048-09)	128 491

4 page 29-30

**5** page 31-32

6 page 33-34

> 7 page 5-36

**8** page 37-38

9 page 39-40

#### 7 SRDA Controlling activities

In 2015 there was a check carried out as a subsequent financial control measure which checked the accuracy of expenditures totalling  $\in$  1,737,900.50. Violation of financial discipline was found in the amount of  $\in$  41,330.46 while performing subsequent financial controls. A total of 41 measures were adopted to remedy the deficiencies and their causes.

Breach of financial discipline was caused by:

- 1. unauthorized spending of public funds used in violation of the principles, conditions and current legislation, under which public funds were granted,
- 2. the use of public funds in excess of authorization, which caused higher spending of public funds,
- 3. application of higher expenses than actually incurred expenses / costs,
- 4. application of expenses / costs outside of the billing period.

### 7.2 Internal controlling activities

APVV Director's Office carried out in 2015, five internal controls, focusing on:

- 1. inspection of compliance procedures when concluding agreements on work performed outside employment,
- inspection of compliance with the directive on the circulation of accounting documents in SRDA conditions.
- 3. inspection of compliance with the directive Security Project of information systems,
- 4. inspection of compliance with the directive on the protection of personal data,
- 5. inspection as required by the Director Internal personal audit of SRDA.

Based on the audit findings measures to remedy any identified deficiencies were established.

# 7.3 Controlling activity carried out by external control authorities

In 2015 SRDA there were two inspections carried out by external control authorities.

Employees of the controlling department of the Ministry of Education, Science, Research and Sport carried out in the period from 11 December 2014 to 24 February 2015 with interruptions, under the authority of the Minister of Education, Science, Research and Sport no. 2014-20034 / 60256: 1-530B of 1.12 2014 SRDA subsequent financial control of efficient use of settlement of state budget funds provided from the budget of the Ministry in 2013. Subsequent financial control was focused on compliance with purposefulness, economy, efficiency and effectiveness of the use of the funds. Based on the findings stated in the Report on the results of subsequent financial control 9 measures were implemented to remedy the deficiencies that are of a permanent nature, with continuous performance and compliance checks carried out by the competent executive officer as part of its control activities.

Employees of the Ministry of Education, Science, Research and Sport carried out in the period from 26 May 2015 to 28 May 2015, under the authority of the Minister of Education, Science, Research and Sport no. 2015-9905 / 16788: 1-50BO dated 25 May 2015 in APVV control, focusing on compliance with laws of general application in the registry, registration registry records, imposition of records and registration stamps. The inspected periods were 2014 and 2015. At inspection carried out no violation of generally binding and internal regulations was found. When the registration stamp is a discrepancy between the registry and Regulations Directive No. 6/2012 - execution, registration, use and disposal of the stamps, which were recommended to remove an amendment after the adoption of proposed amendments to the Act 395/2002 Coll. on archives and registries.

### 7.4 Complaints handling

Control Department in 2015 did not record any submission marked as a complaint.

# 8 Annual SRDA conference

On 09 September 2015 Slovak Research and Development Agency held Annual Conference in Bratislava under the auspices of the Minister of Education, Science, Research and Sport Juraj Draxler, while presenting the results of its operations and activities over the past year. The conference was also attended by Government Commissioner for Research and Innovation Jaromir Pastorek.

Director of the Agency Bibiána Remiarová reflected on SRDA activity in the previous year 2014, the Chairperson of the Agency Jozef Masarik in his speech reviewed the general call announced in 2014 and Managing Director, Department of Higher Education, Science and Research of the Ministry of Education, Science, Research and Sport Peter Plavčan inaugurated the new general call GC2015.



page 7-10

2

page 11-14

**)** page 15-28

4 page 29-30

**5** page 31-32

**6** page 33-34

7 page 35-36

**8** page 37-38

**9** page 39-40



# 9 Goals and review of their performance

#### Monitoring of projects supported after the end of the project.

Projects with expired deadline for a resolution were monitored for outcomes on social and economic benefits (impact) of the results of the project over the next three years from its completion. They implemented all activities related to the administration process and evaluation of project results in the context: general notices issued in 2006 and 2007 calls programs LPP2006, LPP2007, LPP2009, VMSP 2009 VMSP II in 2009, the CE 2007 and SUSPP 2007 calls EUROCORES 2007 EUROCORES 2010 and DO7FP.

#### The annual and final evaluation of projects and funding ongoing projects

In 2015 the following calls were evaluated and funded: general calls GC2010, GC2011 and the GC2012 and GC2014. calls ENV - RNP, DO7FP and bilateral calls SK – Austria 2012 SK – China 2012, EN – Poland 2012 SK – Portugal 2012 SK – Romania 2012.

#### Financing of new projects

In 2015 calls were financed that were announced and evaluated in 2013: bilateral Call SK - SRB 2013, SK-CZ 2013, SK-HU 2013, SK-UA 2013, EN FR-2013 projects DO7FP of an open call.

#### Announced new calls and admission evaluation of submitted projects

In 2015 the Agency announced a general call GC2015. The date of the announcement of the call was 9 September 2015 and the date of its conclusion was set for 11 November 2015.

The agency in 2015 began to consider applications submitted under this call. Expected date of publication of the results will be in May 2016.

The agency in 2015 announced within the international scientific and technological cooperation 5 calls: with China, Austria, Portugal, Poland and France.

## Support for participation of Slovak entities in the 7th Framework Programme of the European Union

SRDA continued to support the participation of Slovakia in the 7th EU Framework Programme by means of Open public call for applications for supplementary financing of successful projects under the 7th Framework Programme of the European Community for research, technological development and demonstration activities. The aim of this call is to promote the active participation of Slovak top professionals and teams of research and development in 7FP. Supplementary financing is aimed at encouraging the participation of Slovak entities in two types of projects: Collaborative Projects and Networks of Excellence.

#### Specific tasks of the Agency aimed at ensuring the functioning of the Agency

Specific tasks of the Agency aimed at ensuring the functioning of the Agency:

- document preparation:
  - SRDA main tasks plan for 2015
  - Annual report on SRDA from year 2014
  - Annual report on SRDA managing in 2014
  - Report on granting of state aid in 2014
  - Agency's annual financial statements of year 2014
- preparation and announcement of first public calls of SRDA in the new information system for management and the submission of applications

page 7-10

7 10

page 11-14

**5** page 15-28

4 page

29-30

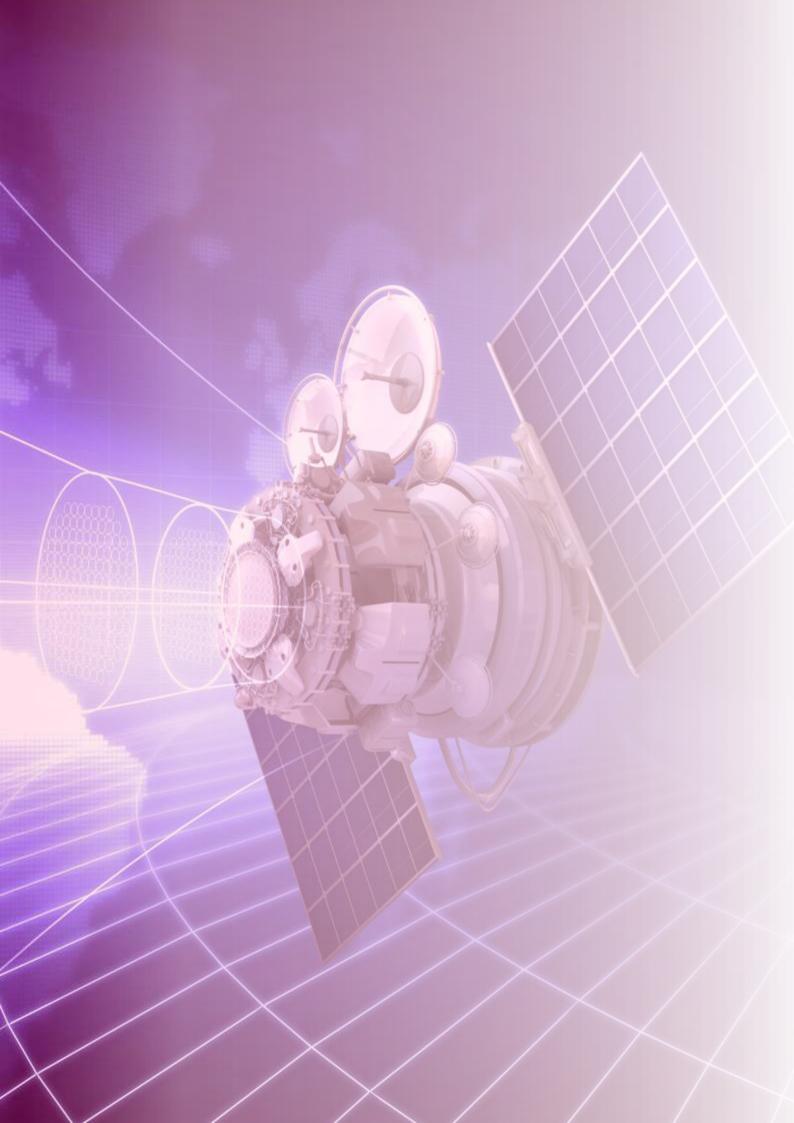
page 31-32

page 33-34

page 35-36

8 page

9 page



# 10 Evaluation of activities of the Organization in 2015

The Agency's activities in 2015 are related to the program's objectives 06K National programme of development of science and technology, 06K11 Research and development tasks supported by the Agency for research and development in order to meet the basic objectives defined routines and achieve defined measurable indicators. Sub programme task is to build an effective system of support for research and development through the provision of funds for project solutions and increasing the competitiveness of Slovak entities within the international scientific and technological cooperation.

While preparing the concept and determining the main activities and tasks the agency took into account tasks arising from the resolutions of the Government of the Slovak Republic and of the aims and objectives of the state science and technology policy. The Agency fulfilled its mission in accordance with law no. 172/2005 Coll. Section 12 by funding projects approved under global calls GC 2010, GC 2011, and GC2012 and GC2014 and calls in international cooperation (bilateral projects and projects of DO7RP).

While defining the tasks of the Agency for 2015 they were based on the volume of the allocated funds for 2015, which was a total of €26.29 million. The Agency managed to ensure fulfilment of the main tasks determined by law 172/2005 Coll. as amended, as well as the plan of main tasks for 2015, which assumed the re-announcement of the general calls in 2015 for year 2016, which was successfully announced on 09 September 2015.

By the end of 2015, however, the agency failed to accomplish its aim, and to submit to the Government of the Slovak Republic for approval drafts of three new programs which represent one of the basic tools of competitive funding for research and development in Slovakia. The agency in 2015 processed and submitted to the Minister of Education, Science Research and Sports designs of these programs:

- Support of research and development in enterprises and businesses to foster collaboration with research organizations in the period 2016-2019
- Support for building personnel infrastructure in all sectors of research and development in Slovakia for the period 2016-2019
- Assistance with project preparation of research and development of EU Framework Programme for Research and Innovation 2020 - Horizon 2020

Despite above stated problems, we must state that SRDA is the only national grant agency for research and development from national resources, with established standard processes of competitive funding for research and development comparable to EU countries. These processes entail in particular an objective and transparent system for evaluation of applications and functional system of managing projects.

4 page

29-30

page 31-32

b page

page 35-36

5-36

page 37-38

9 page 39-40

## Abbreviations and signs used

o6K11 sub programme of National Programme for Research and development tasks

supported by Slovak Research and Development Agency

**7.RP** 7th Framework programme

SRDA Slovak Research and Development Agency

**CC publications** publications in peer-reviewed journals (Current Contents)

**CO7FP** open call for submitting applications for supplementary financing of projects 7FP

**ENV (ESF)** European Science Foundation (ESF)

**ES** European Community

LPP promotion of human potential in research and development and popularization of

science

**SMEs** small and medium sized enterprises

MSVVaS SR The Ministry of Education, Science, Research and Sport of the Slovak Republic

**MVTS** international science and technology cooperation

RIS 3 research and innovation strategy for smart specialization of the Slovak Republic

**SCI citations** citations in international publications registered in the citation index

SE Science Europe – International non-profit organization

**SK-AT** bilateral calls Slovakia - Austria bilateral calls Slovakia - China SK-CN bilateral calls Slovakia - Czech SK-CZ SK-FR bilateral calls Slovakia - France SK-HU bilateral calls Slovakia - Hungary SK-PL bilateral calls Slovakia - Poland bilateral calls Slovakia - Portugal **SK-PT** bilateral calls Slovakia - Serbia **SK-SRB** bilateral calls Slovakia - Ukraine SK-UA

**SUSPP** support cooperation between universities and SAS with business community

**VMSP** support research and development in SMEs

GC general call

GCCE support for the establishment and operation of research and educational centres of

excellence

