Annex 2

To Regulations for the Open Tender for 2023 Fundamental and Applied Research Projects

(17.03.2023)

Methodology for the preparation and submission of the project application, mid-term scientific report of the project, final scientific report of the project and financial statement of the project

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# Introduction

The Methodology for the Preparation and Submission of the Project Application, Mid-term Scientific Report of the Project, Final Scientific Report of the Project and Financial Statement of the Project (‘methodology’) was developed for preparing the necessary documentation for the Open Tender for 2023 Fundamental and Applied Research Projects (with a project period of 3 years (36 months)).

The methodology was developed for project applicants, who prepare and submit the project application, the mid-term and final scientific report of the project, and the financial statement of the project.

The methodology was developed in accordance with Cabinet Regulation 725 ‘Procedures for Evaluating Fundamental and Applied Research Projects and Managing their Financing’ of 12 December 2017 (‘Cabinet Regulation 725’).

# 1. Definitions of terms

|  |  |  |
| --- | --- | --- |
| **1.** | **Scientific team** | Scientific staff and research technical staff which participate in the project. A scientific team is composed of the project leader, lead project participants, and project participants, including project participants who are students. |
| **2.** | **Project applicant** | A scientific institution registered in the register of scientific institutions (‘scientific institution’) which regardless of its legal status (entity governed by public or private law) or type of financing in conformity with the laws and regulations governing its activity (articles of association, statute or constitution) performs its main activities of non-economic nature and which complies with the definition of a research organisation stated in Article 2(83) of Commission Regulation (EU) No 651/2014 of 17 June 2014 declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty. |
| **3.** | **Project leader** | The scientist who submits the project proposal, manages the project, ensures its implementation: plans and supervises the fulfilment of the project tasks, is responsible for their own activities and the activities of other persons involved in the project in conformity with the tasks set for the project and rules of scientific ethics, ensures timely drafting and submission of the documentation reporting on the progress of the project in accordance with the procedures laid down in Cabinet Regulation 725. |
| **4.** | **Lead project participant** | A scientist who implements the project and is responsible for the implementation of its parts. |
| **5.** | **Project participant** | A member of the scientific team who fulfils individual scientific tasks in the project, including the student of a higher education institution [[1]](#footnote-2)and candidate for a doctoral degree (‘student project participant’) |
| **6.** | **Student project participant** | A member of the scientific team who is a university student and a doctoral candidate (‘student’) who carries out individual scientific tasks as part of the implementation of the project |
| **7.** | **Project contact person** | A natural person who has registered in the National Research Information System (Information System) completes information about the project, uploads annexes thereto and reports and, if necessary, maintains contacts with the staff of the Council (the project leader may also be the project contact person). The project applicant specifies the project agreement contact person in Part D ‘Certification by the Project Applicant’ of Annex 1 ‘Project Proposal’ to the Regulations. |
| **8.** | **Project secretary** | A specialist who organises the selection of independent foreign experts for the purpose of evaluating the project proposal, mid-term scientific report, and final scientific report, who manages the supervision and circulation of documents and information relating to the project, and the preparation of draft decisions and communications of the Council. |

# 2. Preparation and submission of the project application

1. The applicant completes the form provided in Annex 1 to the Regulations. Annex 1 Part A ‘Project Application’ (‘Project Application’) is uploaded to the information system, while Part B ‘Description of the Project’ (‘Description of the Project’), Part C ‘Curriculum Vitae’ (‘Curriculum Vitae’), Part D ‘Certification by the Project Applicant’ (‘Certification by the Project Applicant’) and Part E ‘Certification by the Project Partner’ (‘Certification by the Project Partner’, if applicable) are uploaded to the information system. Part F ‘Form for the Financial Turnover Statement (for 2019, 2020, and 2021, or for 2020, 2021, and 2022)’ of the project application (also further: ‘financial turnover statement’) is completed by the project applicant and the project partner, if any.

2. Project application:

2.1. Part A and its chapters are completed in Latvian and English;

2.2. Part B ‘Description of the Project’ and Part C ‘Curriculum Vitae’ are completed in English (may additionally be submitted in Latvian);

2.3. Part D ‘Certification by the Project Applicant’, Part E ‘Certification by the Project Partner”, if applicable, and Part F ‘Form for the Financial Turnover Statement (for 2019, 2020, and 2021, or for 2020, 2021, and 2022)’ are completed in Latvian only.

3. The units of the documentation pertaining to the project application can be separately uploaded to the information system; however, everything must be uploaded to and completed in the information system within the project application submission deadlines specified in the Regulations. Prior to the submission of the project application, the project applicant and the project leader must both approve it.

## 2.1. Completing Part A of the project application

4. The project applicant completes Part A of the project application in Latvian and in English, in the information system.

### 2.1.1. Chapter 1 ‘General Information’

5. Chapter 1 ‘General Information’ is filled in entering information about the project applicant and project partners (if any).

|  |  |
| --- | --- |
| **1. Project name** | *purpose of the project in one sentence.* |
| **2. Project applicant** | *Specify the name of the scientific institution, its registration number in the register of scientific institutions, registration number in the Register of Enterprises, registered address (street, building, municipality/city, PO box), e-mail address, internet address.* |
| **3. Project contact person** | *Name, surname (the name and surname is indicated in the form that is specified in the personal identification documents), personal identity number, contact details (phone number and e-mail).* |
| **4. Project partner (if applicable)** | *Specify the name of the scientific institution, its registration number in the register of scientific institutions, registration number in the Register of Enterprises, registered address (street, building, municipality/city, PO box), e-mail address, internet address* |
| **5. Project leader** | *Name, surname (the name and surname is indicated in the form that is specified in the personal identification documents), personal identity number, contact details (phone number and e-mail).* |
| **6. Scientific sector of the project** | *The science sector of the project is selected in accordance with Sections 20 and 21 of the Regulations.*  *Up to three science sectors may be specified in total.* |
| **7. Type of research** | *Specify whether fundamental or applied research will be carried out within the project.* |
| **8. Smart specialisation field** | *Select the field of smart specialisation (if applicable)[[2]](#footnote-3)* |
| **9. Total funding of the project** | *Indicate the total funding required for the project (in euros), taking into account Section 8 of the Regulations* |
| **10. Summary of the project** | *No more than 1500 characters (including spaces).*  *Provide a brief and explanatory summary illustrating the aim of the project and the progress of the research, including the expected results and their impact (*in accordance with Section [21](https://likumi.lv/ta/id/295784#p21) of the Cabinet Regulation)*.* |
| **11. Keywords** | *No more than 7 keywords.* |
| **12. Project period** | *36 months* |

### 2.1.2. Chapter Two ‘Scientific Team’

6. Chapter Two ‘Scientific Team’ is filled in via the information system, indicating the following information about the scientific team involved in the project:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Institution represented | Name, surname | Workload (FTE) | CV |
| Project leader | *Indicates the represented scientific institution* | *The name and surname of the project leader must be indicated* | *Indicates the workload of the project manager* | *Adds CV in accordance with Part C of the project proposal* |
| Lead project participants | *Indicates the represented scientific institution* | *The names of the main participants of the project must be indicated* | *Indicate the workload of the lead project participants* | *Adds CV in accordance with Part C of the project proposal* |
| Project participants | *Indicates the represented scientific institution* | *Indicate the name and surname of the project participant, if known* | *Indicate the workload of the project participant* | *Do not enclose the CVs of project participants* |
| Project participants who are students | *Indicates the represented scientific institution* | *Indicate information about every planned project participant who is a student. One can select whether to specify the name and surname* | *Indicate the FTE workload of the project’s participants*. *The total workload of the project participant students must not be less than 3.0 of the full-time equivalent (FTE) in each round of the project (0.25 FTE in total during the project), considering that each student is employed in the project for at least 0.25 FTE in the respective round of the project.* | *CVs of the student project participants are not enclosed* |

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### 2.1.3. Chapter Three ‘Project Results’

7. Chapter Three ‘Project Results’ is filled in via the information system, taking into account the provisions laid down in Section 17 of the Regulations pertaining to the project results to be achieved. Multiple results must be indicated for the project.

|  |  |  |  |
| --- | --- | --- | --- |
| No | Type of result | Number up to the mid-term stage of the project | Number at the end of the project (in total with the mid-term stage of the project) |
| 1. | original scientific articles (at least one is mandatory): |  |  |
| 1.1. | original scientific articles whose quoting index is at least 50 per cent of the average quoting index in the classification sector using these databases which have been published, submitted, or accepted for publication in the magazines or conference symposia included in Web of Science Core Collection or SCOPUS databases |  |  |
| 1.2. | original scientific articles which have been published, submitted, or accepted for publication in magazines or conference symposia included in Web of Science Core Collection or SCOPUS databases; |  |  |
| 1.3. | original scientific articles which have been published, submitted, or accepted for publication in the scientific publications or conference symposia included in ERIH PLUS database; |  |  |
| 1.4. | other peer-reviewed scientific articles, which have been published in, submitted for, or accepted by international magazines and collections of articles, except for conference materials |  |  |
| 1.5. | other peer-reviewed scientific articles in Latvian magazines and collections of articles, except for conference materials |  |  |
| 2. | conference materials (except for those indexed in SCOPUS and Web of Science Core Collection): |  |  |
| 2.1. | conference materials: full text |  |  |
| 2.2. | conference materials: summaries, up to 1 page |  |  |
| 3. | reviewed scientific monographs or their manuscripts |  |  |
| 4. | manuscripts of scientific articles included in manuscript databases (preprints) and other publications published under the responsibility of the authors (non-reviewed) |  |  |
| 5. | scientific databases and data sets developed within the scope of the project |  |  |
| 6. | technology rights: the know-how and the following rights or their combination, including applications or registrations for those rights |  |  |
| 6.1. 6.2.  6.3.  6.4.  6.5.  6.6.  6.7. | patents;  functional models;  design rights;  topographies for semiconductor products;  supplementary protection certificates for medical products, or for other products, for which such supplementary protection certificates can be obtained  plant breeder certificates;  software copyright. |  |  |
| 7. | intellectual property licences or transfer agreements |  |  |
| 8. | new non-commercial treatment and diagnostic techniques; |  |  |
| 9. | reports on action policy recommendations and on the impact of action policy |  |  |
| 10. | project proposal submitted in an international or national call for research and development projects |  |  |
| 11. | successfully defended master’s thesis within the thematic focus of the project; |  |  |
| 12. | doctoral thesis successfully defended according to certain procedures within the thematic focus of the project |  |  |
| 13. | other project results according to the specific nature of scientific research complementary to those listed above |  |  |
| 14. | free input time for up to 3 different project deliverables |  |  |
|  |  |  |  |

### 2.1.4. Chapter Four ‘Project Budget’

8. Chapter Four ‘Project Budget’ is filled in via the information system, indicating the project costs in accordance with Section 18 of the Regulations, and Section 2.9 of Cabinet Regulation 725. The costs of the project applicant and each project partner (if any) is specified as follows:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| No | EKK | Type of expenses | Amount of expenses | | | |
| Year 1 | Year 2 | Year 3 | Total |
| 1. | 1000 | Remuneration in accordance with Section 18.1.1 of the Regulations | *Costs pertaining to the remuneration for the scientific team of the project, including the employer mandatory social insurance contributions, are specified in accordance with Section 18.1.1 of the Regulations* | | | |
|  | Total workload of the project team, in FTE | *Specify the total workload of the members of the scientific team involved in the project expressed as a full-time equivalent* | | | |
|  | Total FTE workload of university students and doctoral candidates involved in the project | *Indicate the total workload of the university students and doctoral candidates involved in the project, expressed as a full-time equivalent* | | | |
| 2. | 2100 | Official trip expenses in accordance with Section 18.1.2 of the Regulations |  |  |  |  |
| 3. | 5000 | Depreciation expenses in accordance with Section 18.1.3 |  |  |  |  |
| 4. | 2300 | Costs of purchasing and supplying equipment, tools and materials in accordance with Section 18.1.4 of the Regulations |  |  |  |  |
| 5. | 2200 | Costs of external services in accordance with Section 18.1.5 of the Regulations |  |  |  |  |
| 6. | 2200 | Costs of information and publicity (including costs of publishing scientific studies) in accordance with Section 18.1.6 of the Regulations |  |  |  |  |
| 7. | Direct eligible costs | |  |  |  |  |
| **Indirect** eligible costs (15% of the remuneration of the members of the scientific team), in accordance with Section 18.3 of the Regulations | |  |  |  |  |
| **TOTAL:** (direct (1, 2, 3, 4, 5, 6) + indirect (7) eligible costs) | |  |  |  |  |

## 2.2. Completing Part B ‘Description of the Project’ of the project proposal

9. The project applicant must fill in the description form in English and Latvian or in English only. The completed form of the description of the project is saved as a PDF file and uploaded to the information system.

10. All chapters and sub-chapters of the form of the description of the project are completed by entering the information in the relevant fields, taking into account the following conditions and guidelines:

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Part B ‘Description of the Project’**  Provisions for preparing the description of the project:   * the size does not exceed 12 pages; * font size: no less than 11; * single line spacing; * page margins: 2 cm on the sides, 1.5 cm top and bottom; * all tables, charts, references/list of references and other elements must be included in the description of the project, not exceeding 12 pages.   Project title: indicate the project title  **1. Scientific excellence**  [The project applicant specifies the research objective and hypothesis (if any), and the tasks enabling the achievement of the objective. *The objective demonstrates a link with the contribution to the knowledge base of the science sector or several science sectors by creating new knowledge or technological findings. The project objective must be in line with the plans for the project; it is not recommended to set out several parallel objectives, especially if achieving all of them is not described in the research plan. It is recommended to specify the indicators (for example, scientific results) with which one can measure progress towards the achievement of the objective. The objective is consistent with the capacity of the applicant (and project partner, if any) to achieve it (i.e. the resources available and the tasks identified are sufficient to achieve the objective within the timeframe of the project). The tasks are defined clearly; they are realistic and achievable, and consistent with the project objective, implementation plan and scientific results.*  *A description of the current situation or expertise in the scientific field of the research, highlighting the role of the research in sectoral context, the main challenges and priorities, the necessity of the project, the originality and novel characteristics of the project within the context of the research field (other aspects, such as interdisciplinarity or multidisciplinarity).*  *The description of the expertise must cover the information showing the overall development of the research field, the achievements of the project applicant and the scientific team in the relevant area, and the new contribution of the project.*  *Provide a detailed description of the research methodology and research approach for the achievement of the objectives set. It is recommended to highlight what innovative methodological solutions would be applied within the scope of the project.* If the project provides for experiments or studies involving humans and animals, the project applicant must also describe the ethical aspects of the research.]  **2. Impact**  2.1. Scientific results and technological findings of the project, the plan for their distribution  [The project applicant describes the expected scientific results and technological findings in accordance with the objective and tasks of the project (in accordance with Chapter 1 ‘Scientific excellence’ of Part B ‘Description of the Project’ of the project proposal) and their impact on the knowledge base in the relevant and/or other science sectors.  *A description of the plan for the effective distribution of the scientific results and technological findings of the project, and achieving an impact on a broader scientific community, building scientific cooperation, ensuring the sustainability of the knowledge acquired (including compliance with Open Access, FAIR principles, ability to publish research results in pre-publication archives before the publication of the articles in magazines, mechanisms for accessing the research data obtained, depositing of data in repositories of the current European and global e-infrastructure, etc.).*  *In order to describe the preparation of new project applications (for example, Horizon Europe project tenders) using the results obtained in this project, it is recommended to specify the open tender, in which it is planned to submit the new project applications, as well as what forms of cooperation have been established, the scope of topics covered by the new project application, and other information.*  *Provide a list of specific plans for publishing scientific publications, data, for registering intellectual property rights, or for participating in scientific activities and organising them, in accordance with the breakdown in the result indicator table (see below). It is recommended to describe the topic of the publication, scientific journals where the publishing is to take place, and the association of the publication with the subject field of the project. The number of the submitted and approved scientific publications must be appropriate to the scope of the project, and the experience of its researchers.*  *The quantitative indicators for achieving the publicity of the project are specified in Chapter 3 ‘Project Results’ of Part A of the project application, if the project is to include such indicators. Experts evaluate the compliance and proportionality of the plan in the context of the overall project results.* The outcome specified is binding if the project funding is awarded.]  2.2. Socio-economic impact and publicity of results  *[In this section, the project applicant describes the use of the results of the research (also after the end of the project) in cooperation with national and local authorities (e.g. policy planning or drafting of regulations based on the results), businesses (e.g. new technologies, technological manuals), NGOs (e.g. recommendations) and other potential users of the project results, based on measurable parameters.*  *If the project is distinctly fundamental, it is necessary to predict its impact in the more distant future, identifying the parties involved, and the sectors where the project results could potentially be used. It is recommended to describe the approaches/types of cooperation through which the potential users of the project results would be reached.*  *If applicable, potential measures for the transfer of knowledge and technologies are specified in the projects. If it is planned to patent the project results, one must indicate the patent strategy.*  *Provide a description of the approach to effective public information procedures using the project results (including the promotion of the respective science sector and science in general), the target group identified for publicity measures, planned publicity measures (for example, popular science articles, information campaigns, public discussions, etc.), potential communication channels and tools for more successfully informing of the public.*  *The description is binding, and the corresponding progress is described in the mid-term/final scientific reports of the project.* Experts evaluate the compliance and proportionality of the plan in the context of the overall project results.]  2.3. Contribution to the capacity building of the scientific team of the project, including students, and to the improvement of the study environment  [The project applicant must describe the planned contribution in terms of the improvement of capacity/skills of the students and doctoral candidates, and other scientific staff of the project, including mutual complementarity of the project applicant and project partner in increasing scientific capacity. *Provide a description of how students and young researchers would acquire the skills and knowledge necessary for their research careers during the project (for example, a description of tasks within the scope of the project that could expand their experience).*  *If the project applicant intends to use the project results for improving the learning environment, a description of the idea is provided here.*  *Provide a description of the planned doctoral and master theses which would be supervised or consulted by the project leader or lead project participants within the scope of the project.*  The experts evaluate the compliance and proportionality of the measures specified with the overall project results.]  **3. Implementation**  3.1. Submitter of the project proposal and scientific team  [A brief description of the project applicant, an explanation why the respective scientific institution is appropriate for achieving the objective set for the project (including the available research infrastructure, premises, previous experience, and other aspects according to the project). *If a project partner is involved in the project, provide an explanation for involving the project partner in the project, their expected contribution and capacity. The project partner is involved if the project applicant has no research infrastructure or the required scientific capacity for the implementation of the project or its certain aspects. If necessary, one can also describe cooperation with foreign organisations which within the meaning of this open tender do not qualify as project partners (in accordance with Section 11 of the Regulations). Provide a description of opportunities for attracting additional funding or further development of the project idea.*  *A description of the scientific team of the project, including the significance of the project leader and lead project participants, and their experience in project management and achieving scientific quality and dissemination of results (with reference to their CVs). It is recommended to include an explanation supporting the fact that the scientific team is composed of scientists, researchers and specialists who will be able to handle all the aspects of the research. The assignment of tasks throughout the entire project, and the qualifications of the members of the scientific team in accordance with the project objective.*  *Provide information about the creation, maintenance, and management of a research data management plan for the research carried out as part of the project, and the management and availability of the data obtained, linking them to the results and outcomes, in accordance with Chapter 2 ‘Effect’ of Part B ‘Project description’ of the project application.*  Explain the use of the funding requested for the project and remuneration of the members of the scientific team.]  3.2. Activity plan  [In this section, the project applicant specifies the work plan in accordance with the research objective and performance of tasks, highlighting the work stages.  The description of the work stage must include its title, the start and end month of the project (the project schedule must be shown using Gantt and PERT charts[[3]](#footnote-4) [[4]](#footnote-5)), the person responsible for implementing the work stage, a description of the methodology used, equipment and research infrastructure used, official trips planned (if any) and the assignment of tasks among the members of the scientific team (if a project partner is involved for the project, one must specify the tasks for the project partner), the results and outcomes to be achieved (in accordance with Chapter 2 ‘Impact’ of Part B ‘Description of the Project’ of the project application).  *In drafting the work plan, one must take into account both the thematic and chronological considerations while avoiding the overlapping of the work stages. Provide a description of the connection of the indicated work package with the achievement of the research project objective. It is also recommended to include in the work plan the measures for the dissemination of results and project management measures which take a considerable amount of the project time.*  *It is recommended to explain the allocation of the project funding (in accordance with the information provided in Chapter 4 of Part A of the project application).* The funding must be planned in accordance with the needs of the project, preventing non-proportional allocation of the funding for one specific measure (for example, wages).]  3.3. Project management and risk plan  [The project applicant describes the management organisation procedures, decision-making process, quality management, staff-related matters, monitoring of the project, management of cooperation with the project partner (if applicable), administrative capacity (resources available to the project applicant), issues related to intellectual property management (if applicable) within the scope of the project. *The project management mechanisms may be arranged in accordance with the practices established by the institution of the project applicant, also including a description of specific management aspects for the project.*  *The project applicant develops a plan for the prevention of potential risks, or minimising their negative impact (see Table 3). Indicate several types of risks, e.g. financial risks, implementation risks, result achievement risks, scientific risks, etc. The likelihood of the risks can be high, medium or low, and the impact can be high, medium or low.* The measures intended to minimise the likelihood of the risks or their impact on the project is included in the section on the measures to prevent and minimise risks.]  Table 1   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | No | Risks*: name and type (implementation, achievement of outcome, financial,* etc.) | Description of the risk*: causes, consequences, impact, including the target of the impact (intended result/target group)* | Assessment | | Causes and/or prevention/mitigation measures | | Likelihood (likely not to happen — 1, improbable — 2, very probable — 3, likely to happen — 4) | Impact (low — 1, medium — 2, high — 3) | | 1. | *name and type of risk* | *brief description of the risk* | *Coefficient for 1-4* | *Coefficient for 1-3* | *specific measures to prevent or reduce the likelihood of the causes or consequences of the risks* | | 2. |  |  |  |  |  | | 3. |  |  |  |  |  | | n |  |  |  |  |  | |

## 2.3. Completing Part C ‘Curriculum Vitae’ of the project proposal

11. The curriculum vitae is completed by the project leader and the lead project participants in accordance with the content of the project. The project leader and the main participants enclose a copy of the document certifying the award of the doctoral degree to their CV.

12. The completed CV form and the document copy that confirms the award of the doctoral degree is saved as a PDF file and uploaded to the information system. The curriculum vitae is completed in accordance with the following:

|  |
| --- |
| **Part C ‘Curriculum Vitae’**  Conditions for the completion of the curriculum vitae:   * the size does not exceed 2 pages; * font size: no less than 11; * single line spacing; * page margins: 2 cm on the sides, 1.5 cm top and bottom;   **Name, surname:**  *additional versions of the name and surname used for the identification of the author in publications may also be provided*  **Researcher identification code/codes,** if any (ORCID, Research ID, Scopus Author ID, etc.):  **EDUCATION**  Date *specify the title of the scientific doctoral degree, the date it was awarded, the science sector, institution, country*    **WORK EXPERIENCE**  *describe the current and previous positions and related duties/tasks in the past five years significant in the context of the project*  Date [current employment]  [institution, country]  Date [position]  [institution, country]  **SCIENTIFIC PROJECTS**  *projects and project applications of relevance in the context of the project*  **SCIENTIFIC PUBLICATIONS**  *specify up to five scientific publications or proof of the reinforcement of intellectual property rights of relevance in the context of the project, in addition specifying the total number of publications, total number of quotes, quoting index, including the source, for example, Scopus or Web of Science Core Collection*  **OTHER INFORMATION**  *other information not exceeding 2 pages, for example, the number of supervised doctoral or master’s theses, duties in editorial boards of scientific publications, international scientific work experience, pedagogical experience, etc.* |

# 3. Preparation and submission of the administrative parts of the project application

13. Part D ‘Certification by the Project Applicant’, Part E ‘Certification by the Project Partner’ and Part F ‘Form for the Financial Turnover Statement’ of the administrative part of the project application. These parts are completed in Latvian only.

## 3.1. Part D ‘Certification by the Project Applicant’ of the Project Application

14. The head of the project applicant or their authorised person (with signature powers) fills in the project applicant statement by completing the relevant parts of the form and observing the formatting requirements specified in the form.

15. The head of the project applicant or their authorised representative signs the certification of the project applicant with a secure electronic signature and uploads it in the specified location in the information system.

16. If it is not possible to provide a secure electronic signature, the head of the project applicant or their authorised person must sign a statement and upload its scanned version to the Information System in the form of a PDF file, delivering the original copy with the signature to the premises of the Council in person or by post before the deadline for the submission of the project applications expires. The address of the Council is Smilšu iela 8, Riga, LV-1050; its working hours are: 8:30 to 17:00 every weekday.

For in-person applications, please book an appointment in advance by calling (00371) 62801521. Visitors of the Council must carry proof of identity (passport, ID card, or driving licence) and must comply with all national epidemiological safety measures.

17. The project applicant must attach the following documents to the project applicant statement:

17.1. the applicant’s financial management and accounting policies;

17.2. financial turnover statement of the project applicant (Part F of the project proposal) prepared in accordance with the last approved annual accounts of the institution (at the time of the submission of the project proposal);

17.3. if the project applicant has private investors, an acknowledgement of the project applicant is required with regard to non-commercial use of the research results created in the project;

17.4. the financial management and accounting policy (in WORD or PDF file format), the financial turnover statement (in EXCEL file format), and the project applicant investor statement (in PDF file format) are submitted in the ‘Scientific Institution Project Documents’ section of the National Scientific Activity Information System.

## 3.2. Part E ‘Certification of the project partner’ of the Project Application

18. The head of the project partner or their authorised person (with signature powers) fills in the project partner certification by completing the relevant parts of the form and observing the formatting requirements specified in the form.

19. The head of the project partner or their authorised representative signs the project partner certification with a secure electronic signature and uploads it in the specified location in the information system.

20. If it is not possible to provide a secure electronic signature, the head of the project partner or their authorised person must sign a statement and upload its scanned version to the Information System in the form of a PDF file, delivering the original copy with the signature to the premises of the Council in person or by post before the deadline for the submission of the project applications expires.

21. The following documents are attached to the project partner certification:

21.1. financial management and accounting policy of the project partner (PDF or WORD file);

21.2. financial turnover statement of the project partner (Part F of the project application) drawn up in accordance with the last approved annual accounts of the institution (at the time of submission of the project application);

21.3. if the project partner has private investors, a statement by the scientific institution must be submitted to confirm the non-commercial use of the research results created in the project;

21.4. the financial management and accounting policy (in WORD or PDF file format), the financial turnover statement (in EXCEL file format), and the project applicant investor statement (in PDF file format) are submitted in the ‘Scientific Institution Project Documents’ section of the National Scientific Activity Information System.

## 3.3. Project application Part F: ‘Form for the Financial Turnover Statement (for 2019, 2020, and 2021, or for 2020, 2021, and 2022)’

22. The project applicant and project partners, if any, complete the financial turnover statement (for 2019, 2020 and 2021, or for 2020, 2021, and 2022 (if available)) in accordance with Section 2.9 of Cabinet Regulation 725, which defines activities of non-economic nature: these must be the principal activities of the institution.

23. The financial turnover statement must specify how financial flows are separated from the principal activities of non-economic nature in the accounting records of the project applicant and partners of the project, if any.

24. The financial turnover statement must comply with the financial management and accounting policy of the project applicant and project partner, if any, and the respective policy must comply with the annual reports for 2019, 2020, and 2021, or 2020, 2021, and 2022 (if available) of the institution.

25. The financial turnover statement is completed as an EXCEL file and uploaded to the designated location.

# 4. Submission of information about the development of the data management plan, formatting and completing of the mid-term scientific and final scientific report of the project

26. No later than 3 months after the start of the implementation of the project, the project participant fills in the fields in the information system for the information platform on which the data management plan is created and maintained, the address for accessing the data management plan, indicating if the data created during the project implementation are planned to be accessible (in accordance with the FAIR data principles*), and, if open access to the data is planned, the date by which such access will be provided/started.*

27. The project participant must prepare the mid-term scientific report of the project one month after the end of the 18th month of the project, and upload it to the information system, while the final scientific report of the project is prepared within a month after the end of the project, and uploaded to the information system.

28. The form for the mid-term scientific report and final scientific report of the project is included in Annex 8 ‘Form for the Mid-term/Final Scientific Report of the Project’ of Annex 7 to the Regulations ‘Agreement for the Completion and Financing of a Fundamental and Applied Research Project’ (‘agreement’).

29. The mid-term scientific report and final scientific report of the project are prepared with references to the information specified in the project application. If the listed publications approved for publishing cannot be found online, then in addition to the above report, the project applicant must upload to the information system a publisher statement confirming the publication.

30. The mid-term scientific report and final scientific report of the project is completed in Latvian and English, or in English only; all chapters and sub-chapters of the report are filled in, entering the information in the relevant fields, and uploading the report to the information system as a PDF file.

31. The project participant prepares the mid-term scientific report and the final scientific report of the project in accordance with the following:

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Mid-term/final scientific report of the project  Text formatting requirements:   * the size does not exceed 12 pages; * font size: no less than 11; * single line spacing; * page margins: 2 cm on the sides, 1.5 cm top and bottom; * all tables, charts, references/list of references and other elements must be included in the mid-term/final scientific report of the project, not exceeding 12 pages.   Project title: indicate the project title  **1. Scientific excellence**  [The project leader describes the research methodology and the progress of research in accordance with Sub-chapter 2.1 ‘Scientific Results and Technological Findings of the Project, Plan for the Their Distribution’ of Chapter 1 ‘Scientific Excellence’ of Part B ‘Description of the Project’ of the project application, including the progress towards achieving the objective and the tasks.  Provide a description of the scientific results and technological findings of the project in accordance with the plans provided in the project application, in addition describing their methodological or theoretical originality, and the impact of the results on the respective science sector or other science sectors and knowledge base.]  **2. Impact**  2.1. Scientific results of the project  [The project leader describes the accomplishment of the plan for the dissemination of the project results provided for in Sub-chapter 2.1 ‘Scientific Results and Technological Findings of the Project, Plan for Their Distribution’ of Part B ‘Description of the Project’ of the project application, for ensuring the sustainability of the acquired knowledge, for changes in the plan and necessary adjustments.  *This includes a list of the prepared and submitted/approved publications (including Open Access and research results in pre-publication archives), participation in scientific conferences, and registration of intellectual property rights, publishing of data (including Open Data, FAIR data, depositing of data in repositories in the current European and global e-infrastructures).The information is listed in accordance with the breakdown provided for in Chapter 3 ‘Project Results’ of Part A of the project application, indicating the title, date, website or DOI.]*  2.2. Research development opportunities  *[Scientific collaboration of the project team with Latvian or foreign scientific organisations, types of collaboration (briefly described) and integration into the project as planned in Part B ‘Description of the Project’ of the project application, Sub-chapter 2.1 ‘Scientific Results and Technological Findings of the Project, Plan for Their Distribution’.*  *The opportunities to participate in the preparation of new project applications, including the EU Research and Innovation Framework Programme Horizon through the use of the results obtained in this project in accordance with the plans provided in Sub-chapter 2.1 ‘Scientific Results and Technological Findings of the Project, Plan for Their Distribution’ of Part B ‘Description of the Project’ of the project application.*  *A description is provided of whether additional funding has been found for the further development of the idea of the research project.*  The scientific cooperation activities within the scope of the project are listed in Table 1.]  Table 1   |  |  |  |  |  | | --- | --- | --- | --- | --- | | No | Cooperation institution/organisation, country | Form of cooperation | Result | Period | | 1. |  |  |  |  | | 2. |  |  |  |  | | 3. |  |  |  |  | | 4. |  |  |  |  | | n |  |  |  |  |   2.3. Socio-economic impact of results  [The use of the scientific results of the project in cooperation with institutions, businesses, and NGOs: for example, in the development of new technologies, technical manuals, laws and regulations, policy planning and other activities. *Project participant cooperation evaluation. Specific cases, if any, are described in Table 2.*  *Presentation of the contribution of the project to the field in science (as specified in Chapter 1 ‘General Information’ of Part A of the project application) during the implementation of the project.*  A description is added in the event of any obstacles in terms of achieving the impact of the project.]  Table 2   |  |  |  |  |  | | --- | --- | --- | --- | --- | | No | Cooperation with | Form of cooperation | Result | Period | | 1. |  |  |  |  | | 2. |  |  |  |  | | 3. |  |  |  |  | | 4. |  |  |  |  | | n |  |  |  |  |   2.4. Publicity and communication  [Provision of information to the public within the scope of the project through the use of results in accordance with the plans provided for in the project application and changes, including the results in terms of reaching the target audience specified in Sub-chapter 2.2 ‘Socio-economic Impact and Publicity of Results’ of Part B ‘Description of the Project’ of the project application.  A description of specific measures or activities for publicity and provision of information to the public is provided in Table 3.]  Table 3   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | No | Communication channel (for example, television, radio, social media, etc.) | Activity (for example, interview, popular science article, seminar, etc.) | Planned/reached target audience (a description of the target audience for the activity, and the amount of the audience reached) | Available at (provide a link to where the activity or information about the activity is available) | Date of publication/event | | 1. |  |  |  |  |  | | 2. |  |  |  |  |  | | 3. |  |  |  |  |  | | 4. |  |  |  |  |  | | n |  |  |  |  |  |   2.5. Contribution to the capacity building of the scientific team of the project, including students, and to the improvement of the study environment  [Progress in terms of building the capacity of the scientific team of the project (Sub-chapter 2.3 ‘Contribution to the Capacity Building of the Scientific Team of the Project, Including Students, and to the Improvement of the Study Environment’ of Part B ‘Description of the Project’ of the project application) with a particular focus on the students, doctoral candidates and young scientists involved in the project.  A list of activities for the improvement of the study environment carried out, if any, by using the results obtained in the project.]  Table 4   |  |  |  |  |  | | --- | --- | --- | --- | --- | | Doctoral and master theses supervised or advised by the project leader or project leaders within this project (if defended, indicate this in the last section of the table, accompanied by the date and the doctoral thesis board) | | | | | | No | Author of the thesis | Title of the thesis, level of studies, link to the database of doctoral/final theses | Supervisor and consultant | Thesis defence date | | 1. |  |  |  |  | | 2. |  |  |  |  | | 3. |  |  |  |  | | 4. |  |  |  |  | | n |  |  |  |  |   **3. Implementation**  [The progress in fulfilling the work plan of the project, and prevention of risks.  *Execution of project work plan taking into account Sub-chapter 3.2 of Part B ‘Description of the Project’ of the project application, and the risks faced by the scientific team of the project during the implementation of the project, the ways these risks are to be handled, and whether such risks were planned for in the risk plan of Sub-chapter 3.3 ‘Project Management and Risk Plan’ of Part B ‘Description of the Project’ of the project application. Information is added if new risks were identified in the project, describing the risks, their prevention and impact on further progress, results and budget of the project.*  *Provide information about the creation, maintenance, and management of a research data management plan (DMP) for the research carried out as part of the project, and the management and availability of the data obtained, linking them to the results and outcomes, in accordance with Chapter 2 ‘Effect’ of Part B ‘Project description’ of the project application.*  *Changes in the organisation of the project management and their impact on the completion of the project. This includes changes in the composition of the scientific team of the project, if any.* A description of how students and doctoral candidates are involved in the project.] |

# 5. Preparation and Submission of the Financial statement of the Project

32. The financial statement on the use of the funds allocated to the project (‘financial statement’) is completed and approved by the project participant using the financial reporting information system.

33. The financial statement is submitted within a month after the previous financial year (a financial year begins on 1 January and ends on 31 December).[[5]](#footnote-6)

34. Within a month after the completion of the project, a financial statement is submitted for the funding used in the last financial year and a surplus of the funds, if any.

35. In Section 1.1 ‘Remuneration’ of the financial statement specify the salary of every employee broken down by month. For projects with a partner (or partners), the financial statement must indicate the cost-creating institution for each expenditure item.

1. In accordance with Section 44, Paragraph 1 of the Law on Higher Education Institutions. [↑](#footnote-ref-2)
2. http://tap.mk.gov.lv/mk/tap/?pid=40291636 [↑](#footnote-ref-3)
3. https://www.gantt.com/ [↑](#footnote-ref-4)
4. https://www.visme.co/pert-chart-generator/ [↑](#footnote-ref-5)
5. Section 4 of the par Law on Budget and Financial Management [↑](#footnote-ref-6)