

Methodology for the Drawing Up and Submission of the Project Proposal, Mid-term Scientific Report
of the Project, Final Scientific Report of the Project and Financial Statement of the Project

Table of Contents

Introduction	1
1. Terminology	2
2. Drawing Up and Submission of the Project Proposal	2
2.1. Completion of Part A of the Project Proposal	3
2.1.1. Chapter One “General Information”	3
2.1.2. Chapter Two “Scientific Team”	4
2.1.3. Chapter Three “Project Results”	5
2.1.4. Chapter Four “Project Budget”	6
2.2. Completion of Part B “Description of the Project” of the Project Proposal	7
2.3. Completion of Part C “Curriculum Vitae” of the Project Proposal	11
3. Drawing Up and Submission of the Administrative Parts of the Project Proposal	12
3.1. Part D “Certification of the Submitter of the Project Proposal” of the Project Proposal	12
3.2. Part E “Certification of the Cooperation Partner of the Project” of the Project Proposal	12
3.3. Part F “Form for the Financial Turnover Statement (for 2018, 2019 and 2020)” of the Project Proposal	13
4. Drawing Up and Completion of the Mid-term Scientific Report of the Project and Final Scientific Report of the Project	13
5. Drawing Up and Submission of the Financial Statement of the Project	17

Introduction

The Methodology for the Drawing Up and Submission of the Project Proposal, Mid-term Scientific Report of the Project, Final Scientific Report of the Project and Financial Statement of the Project (hereinafter – the Methodology) has been developed for the Open Call for 2021 Fundamental and Applied Research Projects (with the implementation period of 3 years (36 months)) for drawing up the necessary documentation.

The Methodology has been developed for the submitters of the project proposal who draw up and submit the project proposal, mid-term scientific report of the project, final scientific report of the project and financial statement of the project.

The Methodology has been developed in compliance with Cabinet Regulation No. 725 of 12 December 2017, Procedures for Evaluating Fundamental and Applied Research Projects and Administering the Financing Thereof, (hereinafter – Cabinet Regulation No. 725) and the Regulations for the Open Call for 2021 Fundamental and Applied Research Projects approved by the Latvian Council of Science (hereinafter – the Council) on 30 April 2021 (hereinafter – the Regulations).

1. Terminology

1.	Scientific team	Scientific staff and research technical staff which participates in the project implementation. A scientific team shall be composed of a principal investigator, lead participants of the project, and participants of the project.
2.	Submitter of the project proposal	A scientific institution registered in the register of scientific institutions (hereinafter – the 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 the activity thereof (articles of association, by-law or constitution) performs principal activities of non-economic nature and which complies with the definition of a research organisation defined 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.	Principal investigator	A scientist who submits the project proposal, manages the project, ensures the implementation thereof – plans and supervises the fulfilment of the project tasks, is responsible for his or her activity and the activity of other persons involved in the project in conformity with the tasks defined for the project and rules of scientific ethics, for timely drafting and submission of the documentation characterising the progress of the project implementation in accordance with the procedures laid down in Cabinet Regulation No. 725.
4.	Lead participant of the project	A scientist who implements the project and is responsible for the implementation of the parts thereof.
5.	Participant of the project	A member of a scientific team who fulfils separate scientific tasks in the project implementation (hereinafter – the participant of the project), including the student of a higher education institution and applicant for a scientific degree (hereinafter – the participant of the project – the student).
6.	Project contact person	A natural person who has registered in the National Research Information System (hereinafter – the Information System) completes information on the project, uploads annexes thereto and reports and also, if necessary, maintains contacts with the staff of the Council (the principal investigator may also be the project contact person). The submitter of the project proposal shall specify the project contract person in Part D “Certification of the Submitter of the Project Proposal” of Annex 1 to the Regulations “Project Proposal”.
7.	Project secretary	A specialist who organises the selection of experts for the purpose of evaluating a project proposal, mid-term scientific report and final scientific report, ensures circulation of documents and information relating to the project implementation and supervision, and also drawing up of draft decisions and communication.

2. Drawing Up and Submitting of the Project Application

1 The submitter of the project proposal shall complete Part A of Annex 1 to the Regulations “Project Proposal” (hereinafter – the project proposal) in the Information System, whereas Part B “Description of the Project” of the project proposal (hereinafter also – the description of the project),

¹ In accordance with Section 44, Paragraph one of the Law on Higher Education Institutions.

Part C “Curriculum Vitae” of the project proposal (hereinafter also – Curriculum Vitae), Part D “Certification of the Submitter of the Project Proposal” of the project proposal (hereinafter also – the certification of the submitter of the project proposal) and Part E “Certification of the Cooperation Partner of the Project” of the project proposal (hereinafter also – the certification of the cooperation partner of the project), if applicable, shall be uploaded to the Information System. Part F “Form for the Financial Turnover Statement (for 2018, 2019 and 2020)” of the project proposal (hereinafter also – the financial turnover statement) shall be completed by the submitter of the project proposal and the cooperation partner of the project, if applicable.

2 The project proposal shall be completed in the following languages:

2.1. Part A and Chapters thereof shall be completed in Latvian and English;

2.2. Part B “Description of the Project” and Part C “Curriculum Vitae” must be completed in English (may be attached also in Latvian);

2.3. Part D “Certification of the Submitter of the Project Proposal”, Part E “Certification of the Cooperation Partner of the Project”, if applicable, and Part F “Form for the Financial Turnover Statement (for 2018, 2019 and 2020)” shall be completed in Latvian only.

3 The units of the documentation related to the project proposal may be uploaded in the Information System separately but everything must be uploaded to and also completed in the Information System within the time limit for the submission of the project proposals specified in the Regulations. Prior to the submission of the project proposal, the submitter of the project proposal and the principal investigator shall mutually agree thereon.

2.1. Completion of Part A of the Project Proposal

4 Part A of the project proposal shall be completed by the submitter of the project proposal in the Information System in Latvian and in English.

2.1.1. Chapter One “General Information”

5 Chapter One “General Information” shall be completed regarding the submitter of the project proposal and cooperation partners of the project (if applicable).

1. Title of the project	<i>One sentence which describes the objective of the project.</i>
2. Submitter of the project proposal	<i>Name of the scientific institution, registration number in the register of scientific institutions, registration number, registered office (street, building, municipality / city, postal code), e-mail address, website.</i>
3. Project contact person	<i>Given name, surname (the attached given name and surname shall be indicated in the form that is specified in personal identification documents), personal identity number, contact details (telephone number and e-mail).</i>
4. Cooperation partner of the project (if applicable)	<i>[Name of the scientific institution, registration number, registered office (street, building, municipality / city, postal code), e-mail address, website.]</i>
5. Principal investigator	<i>Given name, surname (the attached given name and surname shall be indicated in the form that is specified in personal identification documents), personal identity number.</i>
6. Science sector of the project and other science sectors	<i>The science sector of the project shall be selected in accordance with Clauses 21 and 22 of the Regulations.</i>

	<i>In total, up to three science sectors may be specified.</i>
7. Priority direction / directions in science	<i>Priority direction / directions in science shall be selected as specified in Cabinet Order No. 746 of 13 December 2017, Regarding Priority Directions in Science for 2018–2021.</i>
8. Justification for the selection of the priority direction / directions in science	<i>Not more than 1000 characters (including spaces). Completed only in Latvian. Justify the connection of the project with the specified priority direction in science.</i>
9. Type of research	<i>Specify whether fundamental or applied research will be carried out within the scope of the project.</i>
10. Field of smart specialisation	<i>Select the field of smart specialisation (if applicable)²</i>
11. Total funding of the project	<i>Specify the total funding required for the project (euros), taking into account Clause 8 of the Regulations</i>
12. Summary of the project	<i>Not more than 1500 characters (including spaces). A short and explanatory summary which illustrates the objective of the project and progress of research, including the expected results and impact thereof.</i>
13. Keywords	<i>Not more than 7 keywords.</i>
14. Project implementation period	<i>36 months</i>

2.1.2. Chapter Two “Scientific Team”

6 Chapter Two “Scientific Team” shall be completed in the Information System, indicating the following information on the scientific team involved in the project:

	Represented institution	Given name, surname	Workload (FTE)	CV
Principal investigator	<i>Indicate the represented scientific institution</i>	<i>Compulsory indication of the given name and surname of the principal investigator</i>	<i>Indicate the workload of the principal investigator</i>	<i>Attach CV in accordance with Part C of the project proposal</i>
Lead participants of the project	<i>Indicate the represented scientific institution</i>	<i>Compulsory indication of the given name and surname of the lead participants of the project</i>	<i>Indicate the workload of the lead participants of the project</i>	<i>Attach CV in accordance with Part C of the project proposal</i>
Participants of the project	<i>Indicate the represented scientific institution</i>	<i>Optional indication of given name and surname</i>	<i>Indicate the workload of the participant of the project</i>	<i>CV of the participants of the project is not attached</i>

Participants of the project – students	<i>Indicate the represented scientific institution</i>	<i>Indicate information on each planned participant of the project – student. Optional indication of given name and surname</i>	<i>Indicate the FTE workload of the participants of the project – students. In total participants of the project – students must be employed at least 1.00 FTE in each</i>	<i>CV of the participants of the project – students is not attached</i>
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² <http://tap.mk.gov.lv/mk/tap/?pid=40291636>

			<i>project implementation stage and each with at least 0.25 FTE</i>	
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2.1.3. Chapter Three “Project Results”

7 Chapter Three “Project Results” shall be completed in the Information System, taking into account the provisions laid down in Clause 17 of the Regulations in relation to project results to be achieved. Several results must be indicated within the scope of the project.

No.	Type of result	Number up to the mid-term stage of the project	Number at the conclusion of the project (in total with the mid-term stage of the project)
1.	original scientific articles (at least one is a mandatory requirement):		
1.1.	original scientific articles the quoting index whereof reaches at least 50 per cent of the average quoting index of the sector which have been 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 submitted or accepted for publication in the magazines or conference symposia included in Web of Science Core Collection or SCOPUS databases		
1.3.	original scientific articles which have been submitted or accepted for publication in the scientific publications or conference symposia included in ERIH PLUS database		
1.4.	other anonymously reviewed scientific articles in international magazines and collections of articles, except for conference materials		
1.5.	other anonymously reviewed scientific articles in the magazines and collections of articles of Latvia, except for conference materials		
2.	conference materials (except for SCOPUS and Web of Science Core Collection indexed):		
2.1.	conference materials – full text		
2.2.	conference materials – summaries up to 1 page		
3.	reviewed scientific monographs or manuscripts thereof		
4.	manuscripts 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 – patents and other intangible assets		
6.1.	prototype of a new product or new technology, including techniques		

6.2.	new non-commercial treatment and diagnostic techniques		
7.	intellectual property licences or transfer agreements:		
7.1.	registered in international institutions (for example, WIPO, EPO)		
7.2.	registered in Latvia		
8.	reports on action policy recommendations and on the impact of action policy		
9.	project proposal submitted in an international or national call for research and development projects		
10.	successfully defended master's thesis within the thematic focus of the project		
11.	doctoral thesis successfully defended according to certain procedures within the thematic focus of the project		
12.	other project results according to the specific nature of scientific research complementary to those listed above	Free input time up to 3 various project results	Free input time up to 3 various project results

2.1.4. Chapter Four "Project Budget"

8 Chapter Four "Project Budget" shall be completed in the Information System, indicating the project implementation costs in accordance with Clause 18 of the Regulations in compliance with Sub-paragraph 2.9 of Cabinet Regulation No. 725. The costs of the submitter of the project proposal and each cooperation partner of the project shall be specified as follows:

No.	EKK	Type of costs	Amount of costs			
			Year 1	Year 2	Year 3	Total
1.	1000	Remuneration in accordance with Sub-clause 18.1.1 of the Regulations	<i>Costs in relation to remuneration for the scientific team of the project, including mandatory social insurance contributions of the employer, shall be specified in accordance with Sub-clause 18.1.1 of the Regulations</i>			
		Scientific team of the project – total workload (FTE)	<i>Indicate the total workload of the members of the scientific team involved in the project expressed as a full-time equivalent</i>			
		Students of higher education institutions and applicants for a scientific degree involved in the project – total workload (FTE)	<i>Indicate the total workload of the students of higher education institutions and applicants for a scientific degree involved in the project expressed as a full-time equivalent</i>			
2.	2100	Expenses of official travels in accordance with Sub-clause 18.1.2 of the Regulations				

3.	5000	Acquisition costs in accordance with Sub-clause 18.1.3 of the Regulations				
4.	2300	Purchase costs and supply costs of the inventory, instruments and materials in accordance with Sub-clause 18.1.4 of the Regulations				
5.	2200	Costs of external services in accordance with Sub-clause 18.1.5 of the Regulations				
6.	2200	Costs of information and publicity (including costs of publishing scientific studies) according in accordance with Sub-clause 18.1.6 of the Regulations				
7.	Direct eligible costs					
	Indirect eligible costs (10 per cent of the total amount of direct eligible costs) in accordance with Sub-clause 18.2 of the Regulations					
	TOTAL: (direct (1, 2, 3, 4, 5, 6) + indirect (7) eligible costs)					

2.2. Completion of Part B “Description of the Project” of the Project Proposal

9 The submitter of the project proposal shall complete the description form in English and Latvian or in English only. The completed form of the description of the project shall be saved in the form of a PDF file and uploaded to the Information System.

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

Part B “Description of the Project”

Conditions for drawing up the description of the project:

- volume of the text should not exceed 12 pages;
- font size – not less than 11;
- single line spacing;
- page setup – 2 cm from each side, 1.5 cm top and bottom;
- all tables, charts, references / list of references and other elements should be included in the description of the project, not exceeding 12 pages.

Project title: *indicate the project title*

1. Scientific Excellence

[The submitter of the project proposal shall specify the research objective and hypothesis (if any) and also the tasks for the achievement of the objective. The objective shall demonstrate 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 comply with the intended plans, it is not recommended to set out several parallel objectives, especially if the achievement thereof has not been described in the research plan. It is recommended to specify indicators (for example, scientific results) from which it is possible to measure progress towards the achievement of the objective. The objective shall correspond to the capabilities of the submitter of the project proposal (and of the cooperation partner of the project, if applicable) to achieve the objective (i.e. available resources and the tasks defined are sufficient to achieve the relevant objective during the project implementation). The tasks are defined clearly, realistic and achievable and also consistent with the project objective, implementation plan and scientific results.]

A description of the current situation in the scientific area of the research or expertise, highlighting the role of the research in sectoral context, the main challenges and priorities, the necessity of the project, originality and the novel characteristics of the project within the context of the research area (other aspects, for example, interdisciplinarity or multidisciplinary).

The description of the know-how shall cover the information showing the overall development of the research area, the achievements of the submitter of the project proposal and the scientific team in the relevant area and also new contribution of the relevant project.

A detailed description of the research methodology and research approach for the achievement of the objectives pursued. 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 submitter of the project proposal shall also describe the ethical aspects of the research.]

2. Impact

2.1. The scientific results and technological findings of the project, the plan for the dissemination thereof

[The submitter of the project proposal shall describe 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 the impact thereof on knowledge base in the relevant and/or other science sectors.]

A description of the plan for effective dissemination of the scientific results and technological findings of the project and ensuring the impact on a broader scientific community, establishment of scientific cooperation, ensuring of sustainability of the acquired knowledge (including compliance with Open Access, Open Data, FAIR principles, possibilities to publish research results in the pre-publication archives before publication of articles in magazines, mechanisms for access to the acquired research data, depositing of data in repositories which are part of the current European and global e-infrastructures etc.).

In order to describe the drawing up of new project proposals (for example, Horizon Europe calls for project proposals) through the use of the results obtained in this project, it is recommended to specify the open call where it is planned to submit the new project proposals, what forms of cooperation have been established, the thematic framework of the new project proposal and other information.

A list of specific plans for publishing scientific publications, publishing of data, reinforcement of intellectual property rights or participation in scientific activities and organisation thereof in accordance with the division in the table with the score of results (see below). It is recommended to describe the topic of the publication, scientific tasks where the publication thereof is planned and also relation thereof with the thematic focus of the project. The number of the submitted and approved scientific publications must correspond to the scope of the project and experience of researchers.

The quantitative indicators for ensuring the publicity of the project shall be indicated in Chapter 3 “Project Results” of Part A of the project proposal if during the project it is intended to implement the given indicators. Experts shall evaluate the compliance and proportionality of plans with the overall project results. The given outcome is binding in the case of the project funding.]

2.1. Socio-economic Impact and Publicity of Results

[The submitter of the project proposal shall describe the use of the research results (also after the end date of the project) in cooperation with State and local government institutions (for example, policy planning or drafting of laws and regulations on the basis of the results), entrepreneurs (for example, new technologies, technical instructions), NGOs (for example, recommendations) and other potential users of the project results on the basis of measurable parameters.

If the project is distinctly fundamental, it is necessary to foresee the impact thereof in the more distant future, identifying the parties involved and sectors where the project results would be used potentially. It is recommended describe the approaches / types of cooperation by which the potential users of the project results would be reached.

If applicable, potential measures for the transfer of knowledge and technologies must be foreseen in projects. If it is planned to apply the project results for a patent, it is necessary to indicate the patent strategy.

A description of the approach for effective public information procedures, using the project results (including the promotion of the respective science sector and science in general), publicity measures of the identified target group, intended publicity measures (for example, popular science articles, informative campaigns, public discussions etc.), potential communication channels and also tools for more successful informing of the public.

The description is binding, the progress thereof must be described in the mid-term/ final scientific reports of the project. Experts shall evaluate the compliance and proportionality of plans with the overall project results.]

2.2. Contribution to the capacity building of the scientific team of the project, including students, and also to the improvement of the study environment

[The submitter of the project proposal shall describe the intended contribution in terms of the capacity / skills enhancement of the students and applicants for a scientific degree involved in the project and other scientific staff of the project, including mutual complementarity of the submitter of the project proposal and cooperation partner of the project for increasing the scientific capacity. A description of how during the project implementation students and new researchers would acquire the skills and knowledge necessary for a research career (for example, a description of tasks within the scope of the project that would complement their experience).

If the submitter of the project proposal intends to use the project results for improving the study environment, a description of the respective idea is provided here.

A description of the planned doctoral and master's theses which within the scope of the project would be supervised or consulted by the principal investigator or lead participants of the project.

Experts shall evaluate the compliance and proportionality of the mentioned measures with the overall project results.]

3. Implementation

3.1. Submitter of the project proposal and scientific team

[A brief description of the submitter of the project proposal, an explanation why the respective scientific institution is appropriate for achieving the objective assigned to the project (including the available research infrastructure, provision of premises, previous experience and other aspects according to the project). If a cooperation partner of the project is attracted for the project, provide justification for the attraction of the cooperation partner of the project in the project implementation, the expected contribution and the capacity thereof. The cooperation partner of the project shall be attracted if the submitter of the project proposal has no research infrastructure or the required scientific capacity for the implementation of the respective project or certain aspects thereof. If necessary, it is also possible to describe cooperation with foreign organisations which within the meaning of this open call do not qualify as the cooperation partners of the project (in accordance with Clause 11 of the Regulations). A description of the possibilities 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 principal investigator and lead participants of the project and experience thereof in project management, ensuring of scientific quality and dissemination of results (with reference to Curriculum Vitae). It is recommended to provide justification for the inclusion of scientists, researchers and specialists in the composition of the scientific team who will be able to comply with all aspects of the research. The distribution of tasks throughout the entire project and qualification of the members of the scientific team in accordance with the project objective.

Justification for the use of the funding requested for the project implementation and remuneration of the members of the scientific team.]

3.2. Work Plan

[The submitter of the project proposal must specify the work plan in accordance with the research objective and performance of tasks, highlighting the work stages.

A description of the work stage must include the title thereof, the start and end month of the project implementation (the project implementation schedule must be depicted by using Gantt and PERT charts), the person who is responsible for implementing the work stage, a description of the methodology applied, the equipment and research infrastructure used, official travels planned (if any) and also the distribution of tasks among the members of the scientific team (if a cooperation partner of the project has been attracted for the project, it is necessary to specify the tasks for the cooperation partner of the project), the achieved results and outcome (in accordance with Chapter 2 “Impact” of Part B “Description of the Project” of the project proposal).

Upon drafting the work plan, it is necessary to take into account both thematic and chronological consideration while avoiding the overlapping of the work stages. 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 implementation time.

It is recommended to justify the division of the project funding (in accordance with the information provided in Chapter 4 of Part A of the project proposal). 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, remuneration).]

3.3. Project Management and Risk Plan

[The submitter of the project proposal shall describe the management organisation procedures, decision-making process, quality management, staff-related matters, monitoring of the project implementation, ensuring of cooperation with the cooperation partner of the project (if applicable), administration capacity (resources available to the submitter of the project proposal), issues related to intellectual property management (if applicable) within the scope of the project. The project management mechanisms may be formed in accordance with the practices established by the institution of the submitter of the project proposal, while also planning a description of specific management aspects for the project.

The submitter of the project proposal shall develop a plan for the prevention of potential risks or minimising the negative impact (see Table 3). A description of multiple risks, for example, financial risks, implementation risks, risks related to the achievement of results, scientific risks etc. The probability of risks can be high, medium or low and also the impact can be high, medium or low. The measures intended to minimise the probability of risks or impact thereof on the project shall be included under the section on the measures to prevent and minimise risks.]

Table 1

No.	Risk	Risk description	Evaluation		Risk prevention / minimisation measures
			Probability	Impact	
1.	<i>risk name</i>	<i>brief description of the risk</i>	e.g. high	e.g. low	<i>specific measures to prevent or reduce the risk</i>
2.					
3.					
n					

³ <https://www.gantt.com/>

⁴ <https://www.visme.co/pert-chart-generator/>

2.3. Completion of Part C “Curriculum Vitae” of the Project Proposal

11. Curriculum Vitae shall be completed by the principal investigator and the lead participants of the project in accordance with the content of the project.

12. The completed form of Curriculum Vitae shall be saved in the form of a PDF file and uploaded to the Information System. Curriculum Vitae shall be completed in accordance with the following conditions:

Part C “Curriculum Vitae”

Conditions for the completion of Curriculum Vitae:

- volume of the text should not exceed 2 pages;
- font size – not less than 11;
- single line spacing;
- page setup – 2 cm from each side, 1.5 cm top and bottom;

Given name, surname:

additional versions of the given name and surname used for the identification of the author in publications may be also indicated

Researcher identification code / codes, if any (ORCID, Research ID, Scopus Author ID etc.):

EDUCATION

Date title of the scientific degree, the date of acquisition thereof, science sector, institution, country

WORK EXPERIENCE

current and previous positions and related duties / tasks in the past five years of relevance in the context of the present project

Date [current position] [institution, country]

Date [position] [institution, country]

SCIENTIFIC PROJECTS

projects and project proposals of relevance in the context of the present project

SCIENTIFIC PUBLICATIONS

up to five scientific publications or proof of the reinforcement of intellectual property rights of relevance in the context of the present 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

3. Drawing Up and Submission of the Administrative Parts of the Project Proposal

13. Part D “Certification of the Submitter of the Project Proposal”, Part E “Certification of the Cooperation Partner of the Project” and Part F “Form for the Financial Turnover Statement” of the administrative part of the project proposal. The aforementioned parts shall be completed in Latvian only.

3.1. Part D “Certification of the Submitter of the Project Proposal” of the Project Proposal

14. The head of the submitter of the project proposal or the authorised person thereof (with signatory rights) shall complete the certification of the submitter of the project proposal by completing the relevant parts of the form and observing the formatting requirements specified in the form.

15. The head of the submitter of the project proposal or the authorised person thereof shall sign the certification of the submitter of the project proposal with a secure electronic signature and shall upload it to the Information System at a designated place.

16. If it is not possible to provide a safe electronic signature, the head of the submitter of the project proposal or the authorised person thereof shall sign the certification and upload the scanned version thereof to the Information System in the form of a PDF file, deliver the original copy with the signature in person or by post to the premises of the Council until expiry of the time limit for the submission of the project proposals. The address of the Council: Zigfrīda Annas Meierovica bulvāris 14, Riga, LV-1050, working hours of the Council: each working day from 08:30 to 17:00.

17. The submitter of the project proposal shall attach the following documents to the certification of the submitter of the project proposal:

17.1. financial management and accounting policy of the submitter of the project proposal (PDF or WORD file);

17.2. financial turnover statement of the submitter of the project proposal (Part F of the project proposal) drawn up in accordance with the last approved annual report of the institution (at the time of submission of the project proposal);

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

17.4. financial management and accounting policy (WORD or PDF file), financial turnover statement (EXCEL file) and the certification of the submitter of the project proposal in relation to the investor (PDF file) shall be submitted in the Information System under section “Documents of the Projects of the Scientific Institution”.

3.2. Part E “Certification of the Cooperation Partner of the Project” of the Project Proposal

18. The head of the cooperation partner of the project or the authorised person thereof (with signatory rights) shall complete the certification of the cooperation partner of the project by completing the parts specified in the form and observing the formatting requirements specified in the form.

19. The head of the cooperation partner of the project or the person authorised by the head shall sign the certification of the cooperation partner of the project with a secure electronic signature and shall upload it to the Information System at a designated place.

20. If it is not possible to provide a safe electronic signature, the head of the submitter of the project proposal or the authorised person thereof shall sign the certification and upload the scanned version thereof

to the Information System in the form of a PDF file, deliver the original copy with the signature in person or by post to the premises of the Council until expiry of the time limit for the submission of the project proposals. The address of the Council: Zigfrīda Annas Meierovica bulvāris 14, Riga, LV-1050, working hours of the Council: each working day from 08:30 to 17:00.

21. The following documents shall be attached to the certification of the cooperation partner of the project:

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

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

21.3. if the cooperation partner of the project has private investors, the certification of the cooperation partner of the project is required with regard to non-commercial use of the research results created in the project;

21.4. financial management and accounting policy (WORD or PDF file), financial turnover statement (EXCEL file) and the certification of the submitter of the project proposal in relation to the investor (PDF file) shall be submitted in the Information System under section "Documents of the Projects of the Scientific Institution".

3.3. Part F "Form for the Financial Turnover Statement (for 2018, 2019 and 2020)" of the Project Proposal

22. The submitter of the project proposal and cooperation partners of the project, if any, shall complete the financial turnover statement (for 2018, 2019 and 2020) in accordance with Sub-paragraph 2.9 of Cabinet Regulation No. 725 which defines activities of non-economic nature which ought to be the principal activities of the institution.

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

24. The financial turnover statement must comply with the financial management and accounting policy of the submitter of the project proposal and cooperation partner of the project, if any, and the respective policy shall comply with the annual reports for 2018, 2019 and 2020 of the relevant institution.

25. The financial turnover statement shall be completed in the form of an EXCEL file and uploaded at a designated place.

4. Drawing Up and Completion of the Mid-term Scientific Report of the Project and Final Scientific Report of the Project

26. The submitter of the project proposal shall prepare the mid-term scientific report of the project a month after expiry of the 18th month of the project implementation and shall upload it to the Information System, whereas the final scientific report of the project shall be prepared within a month after expiry of the project implementation and shall upload it to the Information System.

27. The form for the mid-term scientific report of the project and final scientific report of the project is included in Annex 7 "Form for the Mid-term / Final Scientific Report of the Project" to Annex 8 to the Regulations "Contract on Implementation and Funding of Fundamental and Applied Research Project" (hereinafter – the Contract).

28. The mid-term scientific report of the project and final scientific report of the project shall be prepared in conjunction with the information specified in the project proposal. If the listed publications which have been approved for publishing cannot be found on the Internet, in addition to the aforementioned report the submitter of the project proposal shall upload to the Information System the certification issued by the publisher regarding the publication.

29. The mid-term scientific report of the project and final scientific report of the project shall be completed in Latvian and English or in English only, all chapters and sub-chapters of the report shall be completed by indicating the information in the relevant fields and uploaded to the Information System in the form of a PDF file.

30. The submitter of the project proposal shall prepare the mid-term scientific report of the project and final scientific report of the project in accordance with the following conditions:

Mid-term / Final Scientific Report of the Project

Requirements for preparing the text:

- volume of the text should not exceed 12 pages;
- font size – not less than 11;
- single line spacing;
- page setup – 2 cm from each side, 1.5 cm top and bottom;
- all tables, charts, references / list of references and other elements should 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 principal investigator shall describe 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 Distribution Thereof” of Chapter 1 “Scientific Excellence” of Part B “Description of the Project” of the project proposal, including the progress towards achieving the objective and tasks.

A description of the scientific results and technological findings of the project in accordance with the plans provided for in the project proposal, in addition describing the methodological or theoretical originality thereof and also the impact of results on the respective science sector or other science sectors and knowledge base.]

2. Impact

2.1. Scientific results of the project

[The principal investigator shall characterise the fulfilment 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 the Distribution Thereof” of Part B “Description of the Project” of the project proposal, ensuring the sustainability of the acquired knowledge, changes in the plan and necessary adjustments.

A list of the prepared and submitted / approved publications (including Open Access and publishing of research results in the pre-publication archives), participation in scientific conferences and reinforcement 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 shall be listed in accordance with the division provided for in Chapter 3 “Project Results” of Part A of the project proposal, indicating the title, date, website or DOI.]

2.2. Research development possibilities

[Scientific cooperation with the scientific group of the project with Latvian or foreign scientific organisations, types of cooperation (brief description) and inclusion in the project in accordance with the plans provided for in

Sub-chapter 2.1 “Scientific Results and Technological Findings of the Project, Plan for the Distribution Thereof” of Part B “Description of the Project” of the project proposal.

The possibilities to participate in the drawing up of new project proposals, including EU Research and Innovation Framework Programme Horizon 2020 through the use of the results obtained in this project in accordance with the plans provided for in Sub-chapter 2.1 “Scientific Results and Technological Findings of the Project, Plan for the Distribution Thereof” of Part B “Description of the Project” of the project proposal.

A description of whether additional funding has been attracted for further development of the idea of the research project.

The activities of scientific cooperation within the scope of the project implementation are listed in

Table 1.] Table 1

No.	Cooperation institution / organisation, country	Form of cooperation	Result	Time 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, entrepreneurs and NGOs, for example, development of new technologies, technical instructions, laws and regulations, policy planning and other activities. Evaluation on cooperation of the submitter of the project proposal. Specific cases, if applicable, shall be described in Table 2.

Presentation of the contribution to the priority direction in science (as specified in Chapter 1 “General Information” of Part A of the project proposal) during the implementation of the project.

A description is added in the event of any obstacles in terms of ensuring the impact of the project.]

Table 2

No.	Cooperation with	Form of cooperation	Result	Time 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 proposal 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 proposal.

A description of specific measures or activities for publicity and provision of information to the public is provided in Table 3.]

Table 3

No.	Communications channel (for example, television, radio, social networks etc.)	Activity (for example, interview, popular science article, seminar etc.)	Planned / reached target audience (a description of the target audience of the activity and the size of the audience reached)	Availability (hyperlink where the activity or information on 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 also to the improvement of the study environment

[Progress in terms of building the capacity of the scientific staff of the project (Sub-chapter 2.3 “Contribution to the Capacity Building of the Scientific Team of the Project, Including Students, and also to the Improvement of the Study Environment” of Part B “Description of the Project” of the project proposal) with a particular focus on the students, applicants for a scientific degree and young scientists involved in the project.]

A list of activities, if such have been carried out, for the improvement of the study environment carried out by using the results obtained in the project.]

Table 4

Doctoral and master’s theses supervised or consulted by the principal investigator or the lead participants of the project within the scope of the project (if the thesis has been defended, indicate this information in the last section of the table, adding the date and the relevant doctoral degree conferral council)				
No.	Author of the thesis	Title of the thesis, the level of studies, hyperlink to the database of doctoral theses / final papers	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.]

The course of fulfilling the work plan of the project, taking into account Sub-chapter 3.2 “Work Plan” of Part B “Description of the Project” of the project proposal and also the risks faced by the scientific team of the project during the implementation of the project, the solution thereof and whether such risks were already provided 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 proposal. Information is added if new risks were identified in the project, describing such risks and prevention thereof and also the impact thereof on further progress, results and also budget of the project.

Changes in the organisation of the project management and also the impact thereof on the completion of the project. Also, changes in the composition of the scientific team of the project, if any. A description of how students and applicants for a scientific degree are involved in the project implementation.]

5. Drawing Up and Submission of the Financial Statement of the Project

31. The financial statement on the use of the funding allocated to the project (hereinafter – the financial statement) shall be drawn up in the Information System.

32. The financial statement shall be submitted within a month for the previous financial year (a financial year shall begin on 1 January and end on 31 December).⁵

33. The financial statement shall be submitted within a month after completion of the project for the funding used in the last financial year and the surplus of the funds, if any.

34. The project implementer shall complete and approve the financial statement in the Information System.

⁵ Section 4 of the par law On Budget and Financial Management