

Methodology for the Drawing Up and Submission of the Project Proposal, Project Interim Scientific Report, Project Final Scientific Report

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Introduction

Methodology for the Drawing Up and Submission of the Project Proposal, Project Interim Scientific Report, Project Final Scientific Report (hereinafter — the Methodology) is developed in accordance with the Cabinet Regulation No 560 of 4 September 2018 “Procedure for the Implementation of the Project of the State Research Programmes” (hereinafter — the Cabinet Regulation), the 10 August Cabinet Order No 537 “Regarding the State Research Programme “Defence Innovation Research Programme”” (hereinafter — the Cabinet Order) and the Procedure of the Open Call for Project Proposals in the State Research Programme “Defence Innovation Research Programme” (hereinafter — the Procedure) approved on October 29, 2021 by the Implementation and Supervision Commission of the State Research Programme “Defence Innovation Research Programme”.

According to Section 35(1) of the Law on Scientific Activity, State research programme is State commission for the performance of scientific research in a specific economic, educational, cultural, or other sector of priority to the State with the purpose of promoting the development of such sector.

The main objective of the Programme is development of new knowledge, skills and solutions in priority research and technology fields of the national defence sector.

The objective of the Programme is promoting technology transfer and development of innovative applied research solutions and products as part of the defence technology priorities defined in the policy planning documents of the national defence sector and the North Atlantic Treaty Organization (hereinafter – NATO).

The Programme is to result in the creation of a new or improved product, prototype or technological solution in any of the following fields:

1. cybersecurity and electronic warfare for secure communication and more economic solutions for cyberspace controls;

2. robotics, unmanned aerial vehicle systems and related autonomy solutions;

3. individual soldier systems, including personal gear, and textile technologies.

In implementing the project, one technical objective of the call for projects shall be completed, and all the objectives listed in Clause 7 of the Order and all the horizontal objectives listed in Clause 8 of the Order shall be completed.

1. Terms Used

No	Term	Explanation
1.	Scientific team	Scientific personnel and research technical staff which participates in the project implementation (persons who have the required technical knowledge and experience in one or several areas and who under the control of scientists participate in the scientific activity while completing technical objectives. Research technical staff consists of engineers, technicians, laboratory assistants, technologists, operators). A scientific team shall be composed of a principal investigator, lead participants of the project, and participants of the project.
2.	Scientific personnel	Leading researchers, researchers, scientific assistants, academic staff ¹ of an institution of higher education, and university students (including also researchers, students, candidates for doctoral degree and young scientists from abroad and diaspora).
3	Project applicant	The project applicant is a scientific institution registered in the Register of Scientific Institutions of the Republic of Latvia (a subject of public law or a subject of private law) or a higher education institution, as well as complies with the definition of a research and knowledge dissemination organization ² . The project applicant is responsible for the implementation of the project and achievement of the project results in general.
4.	Project cooperation partner - scientific institution	The project cooperation partner is a scientific institution registered in the Register of Scientific Institutions of the Republic of Latvia (a subject of public law or a subject of private law) or a higher education institution, as well as complies with the definition of a research organization. It participates in the implementation of the project with the property, intellectual property, funding or human resources in its possession or ownership. When making the contribution, the project applicant and cooperation partner shall not have the legal relations corresponding to the

¹ Section 27(1) of the Law on Higher Education

² Article 2(83) of the Regulation (EU) No 651/2014 of the European Commission of 17 June 2014 (Official Journal of the European Union, 26 June 2014, No L 187/1), declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty (<https://eur-lex.europa.eu/eli/reg/2014/651/oj/?locale=LV>)

		characteristics of the public procurement agreement according to the laws and regulation governing the public procurement.
5.	Project cooperation partner - public institution	A public institution to which the performance of scientific activity is determined by an external legal act, its regulations or articles of association, participates in the implementation of the project with the property, intellectual property, funding or human resources in its possession or ownership.
6.	Principal investigator	A scientist who manages the project and ensures the implementation thereof. The principal investigator manages and supervises the performance of the project, 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. The principal investigator is registered in the National Information System of Scientific Activity (hereinafter referred to as — the Information System).
7.	Lead participant of the project	A scientist who implements the project or sub-project and is responsible for the implementation of the parts thereof.
8.	Participant of the project	A member of the scientific team who completes some scientific objectives in the project implementation and is responsible for the performance of respective parts thereof.
9.	University student	A university student engaged in the scientific team of the project is a student of the bachelor degree study programmes, a student of the vocational study programmes, a student of the master degree study programmes (master's programme student); a resident in medicine and a doctoral student. ³ In this category, candidates for a doctorate degree are included within the call. University students and candidates for a doctorate degree shall be involved in the project according to the conditions specified in Paragraphs 21-24 and Sub-paragraph 10.6 of the Procedure.
10.	Responsible contact person of the project applicant in the project (hereinafter — the project contact person)	A natural person who has registered in the Information completes information on the project proposal, uploads annexes thereto and reports and also, if necessary, maintains contacts with the staff of the Latvian Council of Science (hereinafter referred to as — the Council) (the principal investigator may also be the project contact person) during the submission of projects. The project proposal shall indicate the project contact person in Section 1 "General information", Part A of the project proposal. If there are cooperation partners in the project, their contact persons shall also be indicated. The contact person and the principal investigator may be the same person.
11.	Project results	scientific results of the project according to Paragraph 12 of the Cabinet Regulation and achievable results according to Clause 7 of the Cabinet Order.

³ Section 44(1) of the Law on Higher Education

2. Drawing up and submission of the project proposal

1. For the project applicant to be able to submit the project proposal, all parts thereof shall be completed, taking into account the provisions of the Procedure and the Methodology, including the Cabinet Regulation.

2. Part A “General Information” of the project proposal and the sections thereof shall be completed in the Information System. Parts B, C, D, E, F, G and H of the project proposal shall be completed on the form and uploaded in the Information System in the file format indicated in the Methodology.

3. Project proposal’s:

3.1 Part A “General Information” and Sections thereof shall be completed in Latvian and English;

3.2 Part B “Project Description” and Part C “Curriculum Vitae” shall be compulsory completed in English (may also be attached as translation in Latvian);

3.3 Part D “Certification of the Project Applicant”, Part E “Certification of the Project Cooperation Partner - Scientific Institution”, Part F “Certification of the Project Cooperation Partner - Public Institution”, Part G “Form of the Financial Turnover Statement”, and Part H “Compliance with field-specific criteria” shall be filled in Latvian only;

4. Parts B, C, D, E, F and H of the project proposal may be uploaded in the Information System separately, however, everything shall be uploaded and completed in the Information System until the end of the submission period of project proposals set in the call announcement. 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 “General Information” of the project proposal

5. Part A “General Information” of the project proposal shall be completed by the project applicant in the Information System in Latvian and English.

2.1.1 Section One “General Information”

6. Section One “General Information” shall be completed regarding the project applicant and project cooperation partners (if applicable), as well as regarding the entire project in general.

Project Title	<i>One sentence which describes the goal of the project.</i>
1. Project applicant	<i>To specify the name of scientific institution, registration number, address, street, house No, region/city, postal code, e-mail address, website, project contact persons and his/her phone No and e-mail address.</i>
2. Head of the project application or his/her authorised 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 (phone number and e-mail).</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 (phone number and e-mail).</i>
4. Project cooperation partner - scientific	<i>To specify the name of scientific institution, registration number, registered address, street, house No, region/city, postal code, e-mail</i>

institution (if applicable)	<i>address, website, project contact person and his/her phone No and e-mail address.</i>
5. Project cooperation partner - public institution (if applicable)	<i>To specify the name of institution, registration number, address, street, house No, region/city, postal code, e-mail address, website, project contact person and his/her phone No and e-mail address.</i>
6. 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, contact details (phone number and e-mail).</i>
7. Field of science according to the Cabinet Regulation No 49 of 23 January 2018 “Regulations on the Latvian Fields and Sub-Fields of Science”⁴	<i>To select the field(-s) of science of the project according to the Cabinet Regulation No 49 of 23 January 2018 “Regarding the Latvian Fields and Sub-Fields of Science”.</i>
8. Priority direction(-s) in science according to the Cabinet Order No 746 of 13 December 2017 “Regarding the Priority Directions in Science for 2018–2021”⁵	<i>To select the priority direction(-s) specified in the Cabinet Order No 746 of 13 December 2017 “Regarding the Priority Directions in Science for 2018-2021” according to the selected programme objective.</i>
9. Field of smart specialisation	<i>To select the smart specialisation area.</i>
10. Goal of the project	<i>To specify the goal of the project in one sentence (maximum 250 characters) Goal of the project corresponds to the programme goal and the project objective.</i>
11. Project objective	<i>To select one of the objectives under Clause 6 of the Cabinet Order.</i>
12. Justification	<i>To specify the project objective in one sentence (maximum 250 characters).</i>
13. Type of research	<i>To specify whether fundamental or applied research will be carried out within the scope of the project.</i>
14 Total funding of the project	<i>To specify the total funding planned for the project (euro), taking into account Paragraph 5 of the Procedure.</i>
15. Summary of the project	<i>To provide a brief and explanatory summary illustrating the goal of the project and the progress of the research, including the planned project results and their impact, and is intended for provision of information about the project on the websites of the Ministry, Latvian Council of Science (hereinafter referred to as — the Council). Not more than 1500 characters (with spaces).</i>
16. Keywords	<i>Not more than 5 keywords.</i>
17. Project implementation period	<i>To specify the implementation period in months in compliance with Paragraph 4 of the Procedure regarding one period of the project funding which is 12 (twelve) months.</i>

⁴ <https://likumi.lv/doc.php?id=296661>

⁵ <https://likumi.lv/ta/id/295821-par-prioritarajiem-virzieniem-zinatne-2018-2021-gada>

2.1.2 Section Two “Scientific Team”

7. Section Two “Scientific Team” should be completed in the Information System, by indicating the following information about the scientific team involved in the project, covering all staff employed by the institutions which are engaged in the project (project applicant and all cooperation partners), as well as taking into account Sub-paragraph 10.6 and Chapter III of the Procedure:

	Represented institution	Given name, surname	Workload (FTE)	CV
Principal investigator	<i>To specify the represented institution.</i>	<i>To compulsory specify the given name and surname of the principal investigator</i>	<i>To specify the workload of the principal investigator in each project implementation year.</i>	<i>To enclose CV in accordance with Part C of the project proposal.</i>
Lead participants of the project	<i>To specify the represented institution.</i>	<i>To compulsory specify the given name and surname of the lead participant of the project.</i>	<i>To specify the workload of the lead participant of the project in each project implementation year.</i>	<i>To enclose CV in accordance with Part C of the project proposal.</i>
Participants of the project	<i>To specify the represented institution.</i>	<i>May choose to specify the given name and surname.</i>	<i>To specify the workload of the participant of the project in each project implementation year.</i>	<i>CV of the participant of the project should not be enclosed.</i>
Participants of the project - university students	<i>To specify the represented institution.</i>	<i>To specify the information about each planned university student. May choose to specify the given name and surname.</i>	<i>To specify the workload of the university students in each project implementation year according to Paragraph 21.-24 of the Procedure.</i>	<i>CV of the participants of the project - university students should not be enclosed.</i>

2.1.3 Section Three “Project Budget”

8. Section Three “Project Budget” should be completed in the Information System, by indicated the project implementation costs according to Paragraph 14 of the Cabinet Regulation, in compliance with Paragraph 11 of the Cabinet Regulation regarding the eligible activities of the project without economic nature (according to Sub-paragraphs 2.1 and 2.2 of the Regulation). The costs of the submitter of the project proposal and each cooperation partner of the project shall be specified as follows:

No	Type of costs/Economic classification code	Amount of costs		
		Year 1	Year 2	Total
1. Direct eligible costs				
1.1	Remuneration, including compulsory social security	<i>Costs for each project implementation year for the remuneration to the personnel involved in the project should be indicated according to Sub-paragraphs 14.1.1 and 14.1.2 of the Cabinet Regulation.</i>		

1.2	contributions of the employer/1000	
1.3	Total workload of the personnel involved in the project (FTE)	<i>To specify the total workload of the personnel involved in the project in the form of full time equivalent for each project implementation year.</i>
	including the total workload of university students, FTE	<i>To specify the total workload of university students involved in the project according to Paragraphs 21-24 of the Procedure for each project implementation year.</i>
2.	Costs of business trips/2100	<i>Costs for each project implementation year for official trips and business trips to other countries within the project according to Sub-paragraph 14.1.3 of the Cabinet Regulation.</i>
3	Depreciation costs/5000	<i>Costs for each project implementation year required for project implementation attributing the purchased fixed assets within the project according to Sub-paragraph 14.1.4 of the Cabinet Regulation.</i>
4.	Purchase and delivery costs of inventory, instruments and materials/2300	<i>Costs for each project implementation year for the purchase of inventory, instruments and materials within the project according to Sub-paragraph 14.1.5 of the Cabinet Regulation.</i>
5.	Other costs required for the project implementation, incl.:	<i>According to Sub-paragraph 14.1.6 of the Cabinet Regulation.</i>
5.1	Outsourcing costs/2200	<i>Costs for each project implementation year, related to the provision of research services not performed by the project applicant or cooperation partners, including the performance of particular objectives under the company or royalty contract according to Sub-paragraph 14.1.6.1 of the Cabinet Regulation.</i>
5.2	Costs of information and publicity events/2200	<i>Costs for each project implementation year for publishing the scientific results, as well as for public information events, including the costs for organizing the mid-term scientific conference and project completion scientific conference, the project, programme and science according to Sub-paragraph 14.1.6.2 of the Cabinet Regulation.</i>
5.3	Financial service costs/2200	<i>Costs for each project implementation year according to Sub-paragraph 14.1.6.3 of the Cabinet Regulation.</i>
Indirect eligible costs		<i>To specify the indirect eligible costs of the project implementation which according to Sub-paragraph 14.2 of the Cabinet Regulation are 25 % of the total amount of direct eligible costs for each project implementation year.</i>
Total (1.1 + 1.2 +5.3)		<i>Corresponds to the total requested project funding.</i>
		<i>Corresponds to the total requested project funding.</i>
		<i>Corresponds to the total requested project funding.</i>

2.1.4 Section Four “Project Results”

9. Section Four “Project Results” should be completed in the Information System. This section should be completed in compliance with Paragraph 10 of the Procedure. The number of indicated results is binding in case of project funding.

No	Type of result according to the Cabinet Regulation	Number
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	<p><i>(Compulsory at least three of Paragraph 12 of the Cabinet Regulation)</i></p> <p><i>*indicating the results, their number should be coordinated with Clause 8 of the Cabinet Order in categories which overlap</i></p>	<p><i>The number should be indicated for the mid-term and end of the project (including the mid-term) according to the opportunities and scope of project</i></p>
1.	Original scientific articles which have been submitted or accepted for publication in the journals or collections of conference papers included in Web of Science Core Collection or SCOPUS databases;	<i>To specify the number</i>
1.1	Original scientific articles which have been submitted or accepted for publication in the journals or collections of conference papers included in Web of Science Core Collection or SCOPUS databases, the citation index of which reaches at least 50 % of the average citation index in the field. <i>according to Sub-paragraph 12.1.1 of the Cabinet Regulation</i>	<i>To specify the number</i>
1.2	original scientific articles in the journals or collections of conference papers included in Web of Science or SCOPUS (A or B) databases <i>according to Sub-paragraph 12.1.2 of the Cabinet Regulation</i>	<i>To specify the number</i>
1.3	original scientific articles which have been submitted or accepted for publication in the scientific publications or collections of conference papers included in ERIH PLUS database <i>according to Sub-paragraph 12.8 of the Cabinet Regulation</i>	<i>To specify the number</i>
1.4	other anonymously reviewed scientific articles in international journals and collections of articles, except for conference materials <i>according to Sub-paragraph 12.8 of the Cabinet Regulation</i>	<i>To specify the number</i>
1.5	other anonymously reviewed scientific articles in the journals and collections of articles of Latvia, except for conference materials <i>according to Sub-paragraph 12.8 of the Cabinet Regulation</i>	<i>To specify the number</i>
2.	Conference materials (except for SCOPUS and Web of Science Core Collection indexed): <i>according to Sub-paragraph 12.8 of the Cabinet Regulation</i>	<i>To specify the number</i>
2.1.	conference materials – full text	<i>To specify the number</i>
2.2	conference materials — summaries up to 1 page	<i>To specify the number</i>
3	Reviewed scientific monographs or manuscripts thereof* <i>according to Sub-paragraph 12.8 of the Cabinet Regulation</i>	<i>To specify the number</i>
4.	Manuscripts of scientific articles included in manuscript databases (preprints) and other scientific articles published under the responsibility of the authors (non-reviewed)	<i>To specify the number</i>

	<i>according to Sub-paragraph 12.8 of the Cabinet Regulation</i>	
5.	Scientific databases and data sets developed within the scope of the project <i>according to Sub-paragraph 12.8 of the Cabinet Regulation</i>	<i>To specify the number</i>
6.	Technology rights and other intangible assets: <i>according to Sub-paragraph 12.2 of the Cabinet Regulation</i>	<i>To specify the number</i>
6.1	prototype of a new product or new technology, including techniques <i>according to Sub-paragraph 12.4 of the Cabinet Regulation</i>	<i>To specify the number</i>
6.2	new medical treatment and diagnostic methods (including non-commercialized method) which supplement the results referred to in Sub-paragraphs 12.1, 12.2, 12.3 and 12.4 of the Cabinet Regulation <i>according to Sub-paragraph 12.5 of the Cabinet Regulation</i>	<i>To specify the number</i>
7.	Intellectual property licence agreements: <i>according to Sub-paragraph 12.3 of the Cabinet Regulation</i>	<i>To specify the number</i>
7.1	registered in international institutions (e.g. WIPO, EPO)	<i>To specify the number</i>
7.2	registered in Latvia	<i>To specify the number</i>
8.	Reports on policy recommendations and policy impact <i>according to Sub-paragraph 12.6 of the Cabinet Regulation</i>	<i>To specify the number</i>
9.	Project proposal submitted in an international or national call for research and development projects <i>according to Sub-paragraph 12.8 of the Cabinet Regulation</i>	<i>To specify the number</i>
10.	Successfully passed master degree State (final) examination complying with the programme goal and objectives <i>according to Sub-paragraph 12.7 of the Cabinet Regulation</i>	<i>To specify the number</i>
11.	Thesis defended under the established procedure complying with the programme goal and objectives <i>according to Sub-paragraph 12.7 of the Cabinet Regulation</i>	<i>To specify the number</i>
12.	Other research specific project results (including the data) which supplement the above-mentioned results <i>according to Sub-paragraph 12.8 of the Cabinet Regulation</i>	<i>To specify the type and number of results</i>

2.1.5 Section Five “Project Time Schedule”

10. Section Five “Project Time Schedule” should be completed in the Information System following the project implementation term specified in Paragraph 4 of the Procedure.

11. To specify the institutions involved and months when they will participate in the implementation of the project.

No	Institution	Month of project implementation			
		1	2	...	n
1.	<i>To specify the project applicant</i>	<i>Months of project implementation for each institution should be specified according to Sub-section 3.2 “Work plan” of Part B “Project Description” of the project proposal</i>			
2.	<i>To specify cooperation partners (if applicable)</i>				
3					
n					

2.2 Completion and drawing up of Part B “Project Description” of the project proposal

12. The project description should be completed in English and translation in Latvian should be submitted or the project description should be completed in English only. The completed form of the project description should be saved in the form of a PDF file and uploaded to the Information System in the designated place.

13. All sections and sub-sections of the project description should be completed, the information should be entered in the relevant fields, taking into account the following conditions and guidelines:

Part B “Project Description”

Conditions for drawing up the project description:

- volume does not exceed 15 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 15 pages;
- In addition, the certification/recommendation letters, etc. on cooperation from social partners may be enclosed (by scanning at the end of the same PDF), at the same time not exceeding 3 additional pages together with the project description.

Project title: *indicate the project title*

The description is binding, its progress should be reflected in the project interim and final scientific report, thereby it is recommended to make the description by specifying the work to be done until the mid-term or end of the project, including the activities, to complete the results to be achieved specified in Clause 7 of the Cabinet Order and the horizontal objectives specified in Clause 8 of the Cabinet Order. Experts will evaluate the compliance and proportionality of project description with the overall project results.

1. Scientific excellence

1.1 Goal, objectives, current situation, methodology of the project, its plan for the development of a new or improved technology, innovative solution or product prototype

This section contains information based on one of the objectives set in Clause 6 of the Cabinet Order, as well as the considerations provided in Sections 27.1–3 of the Cabinet Regulation.

To describe the project goal and concept, linking it to the respective objective specified in Clause 6 of the Cabinet Order, clearly specifying the problem or priority in the field of defence and security that is to be solved as part of the project. To indicate the selected priority field of research and to describe the planned technology, innovative solution or product prototype that will be developed as a result.

To describe the current situation in the field and the current achievements within the scientific team. If a study is planned for the initial stage, to describe the methodology and the approach for achieving the proposed goal and results. It is recommended to highlight what innovative methodological solutions would be applied within the scope of the project.

To describe how the planned activities of the project are to result in a new or improved technology, innovative solution or product prototype, indicating the main activities. To describe the planned level of technological readiness pertaining to the technology, innovative solution or product prototype in question (TRL⁶).

To describe the functional or technical properties of the new or improved technology, innovative solution or product prototype, or a unique functional set of characteristics that jointly increase the competitiveness of the new product or technology, and to describe what distinguishes these from the technologies already developed in the field.

If the project provides for experiments or studies involving humans and animals, the project applicant should also describe the ethical aspects of the research.

1.2 Role of cooperation partners in the achievement of goal and objectives of the project and mutual additionality (if applicable).

This section contains information in accordance with the consideration of Section 27.4 of the Cabinet Regulation.

To describe the role of partners (if applicable) in the achievement of the project goal, including the scientific capacity of the cooperation partner, sufficiency of available resources to achieve the goal and complete the objectives of the project at a specific time, and to participate in the development of the new or improved technology, innovative solution or product prototype. To justify the necessity of involvement of each cooperation partner.

2. Impact

In the section, to include the required plan for the completion of results to be achieved under Clause 7 of the Cabinet Order and horizontal objectives under Clause 8 of the Cabinet Order.

2.1. Plan for the use of the new or improved technology, innovative solution or product prototype

This section contains information based on the results set in Clause 7 of the Cabinet Order, as well as the considerations provided in Sections 28.1 and 28.3 of the Cabinet Regulation.

⁶ <https://www.rtu.lv/lv/valorizacija/petniekiem/tehnologiju-gatavibas-limeni>

To describe the influence of the new or improved technology, innovative solution or product prototype on defence, security and other sectors of economy relevant to the project, if the result can be used in defence and security, as well as in civil and commercial contexts (dual-use technology). To describe if the project results will constitute public, partially available, or restricted information; to assess the results in conjunction with the Ministry of Defence, taking into account the priority field of research.

To describe the intellectual property strategy for the new or improved technology, innovative solution or product prototype to be developed as part of the project, such as patenting (the level of secrecy for the result must be taken into account in conjunction with the Ministry of Defence, and so must be the legal and regulatory restrictions pertaining to the transfer of knowledge and technologies within state research programmes).

Plan for collaboration with the National Armed Forces and/or security contractors to enable the use of the new or improved technology, innovative solution or product prototype (if applicable). To demonstrate that the project results are not redundant with respect to other technologies developed or planned in the field of defence in Latvia and within NATO and the EU, if necessary explaining how the results of this project will be more competitive, also including information about the added value, cost efficiency and other aspects of the result.

To describe the future potential for the new or improved technology, innovative solution or product prototype to be developed as part of the project, such as spin-off opportunities for other sub-fields of defence.

The description is binding, the progress thereof must be described in the project interim/final scientific reports. Experts will evaluate the compliance and proportionality of description with the overall project results.

2.2 The effect of the project on the development of technical competence and research community in the field, and the plan for the provision of scientific advisory support to the development of military capability

This section contains information based on the results set in Clauses 8.1 and 8.2 of the Cabinet Order, as well as the considerations provided in Sections 28.2 and 28.5 of the Cabinet Regulation.

To describe the way of developing the project research areas and interdisciplinary competitive scientific teams which use the latest research methods and technologies in their scientific activity. To describe how the project and its results are to strengthen the international competitiveness of the scientific team.

To describe the offer detailing how the competence of the scientific team and research community is to be improved as part of the project, in order for the policy makers and implementers in the field to make proposals for developing a knowledge-based action policy, to assess its implementation during the project and after it. To describe how students and young researchers can obtain the skills and knowledge necessary for their careers as part of the project.

To describe how the needs of those involved would be identified in order to find out and analyse the opinion about the use and application of the project results in practice throughout the project implementation. At the same time, to describe how the interests of the field will be taken into account by conducting the research and developing the new or improved technology, innovative solution or product prototype.

To describe recommendations, guidelines and proposals for laws or regulations, if any are to be developed. To describe data obtained as part of the project that could help improve certain processes, if any are to be submitted. Consultations within the project's subject field must be planned, advising the stakeholders on specific actions and the expected consequences. If possible, expressing these through quantitative indicators (KPIs).

To describe the plan for preparation of project proposals in other calls for scientific projects (e.g. contribution to the preparation of new projects for submission thereof to the calls of the European Union research and innovation ⁷programmes and other research and innovation support programmes and technology proposals⁸), as well as the networking activities in international cooperation networks and consortiums aimed at getting new contacts, research partners, methods, as well as disseminating the results obtained in the own project. In order to describe the drawing up of new project through the use of the results obtained in this project, to describe the 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.

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

2.3 Impact of the project and its results on the society in general, providing the knowledge transfer and raising awareness about the role and benefit of research to the public

This section contains information in accordance with the consideration of Section 28.4 of the Cabinet Regulation.

To describe the approach for effective public information procedures, using the project findings or results (including the promotion of the respective field of science and science in general), publicity measures of the identified target group, intended publicity measures (e.g. popular science articles, informative campaigns, public discussions etc.).

To describe the activities planned as part of the project to ensure the transfer of knowledge created in the project, involving the public and raising its awareness about the role and benefit of the research to the public.

If the activities and results planned as part of the project are classified (this is to be assessed in conjunction with the Ministry of Defence), the public information activities must be planned to cover the aspects of the project that are not secret.

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

2.4 Scientific results of the project and provision of availability thereof

This section contains information in accordance with the consideration of Section 28.4 of the Cabinet Regulation.

⁷For example, calls for proposals by the European Defence Fund: https://ec.europa.eu/defence-industry-space/eu-defence-industry/european-defence-fund-edf_en

⁸For example, the NATO Science for Peace and Security Programme: https://www.nato.int/cps/en/natohq/topics_85373.htm

To describe the planned scientific results and technological findings according to the research goal and tasks (under Section 1 “Scientific Excellence” of the project description).

To list specific plans for publishing scientific publications, publishing of data, reinforcement of intellectual property rights or participation in scientific activities and organisation thereof. 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.

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 (if possible, including compliance with Open Access, Open Data, FAIR principles, possibilities to publish research results in the pre-publication archives before publication of articles in journals, 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 assess the possibility of being published in scientific journals and freely accessible sources, one must evaluate the level of secrecy of the project results and research article in conjunction with the Ministry of Defence.

The quantitative indicators for ensuring the publicity of the project shall be indicated in Chapter 4 “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 plan with the overall project results. The given outcomes are binding in the case of the project funding.

3 Implementation

3.1 Project applicant and scientific team.

This section contains information in accordance with the considerations of Sections 29.2, 29.4 and 29.5 of the Cabinet Regulation.

A brief description of the project applicant, 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). To outline the justification for the involvement of project cooperation partners in the implementation of the project, the expected contribution and research capacity, including the research infrastructure or scientific capacity in the context of respective project or its individual aspects.

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 include the justification for the fact that the scientific team consists of scientists and specialists who would be able to fulfil all research aspects. The distribution of tasks throughout the entire project and qualification of the members of the scientific team in accordance with the project objective.

To justify the use of the funding requested for the project implementation and remuneration of the members of the scientific team.

3.2 Work plan of the project.

This section contains information in accordance with the consideration of Section 29.1 of the Cabinet Regulation.

The work plan should be divided in work packages according to the project goal and logical sequence of completion of objectives.

A description of the work package must include the title thereof, the start and end month of the project implementation (the project implementation schedule must be depicted by using Gantt⁹ and/or PERT¹⁰ charts), the person who is responsible for implementing the work package, 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 engaged in the project, it is necessary to specify the tasks for the cooperation partner of the project), the achieved results and outcomes (in accordance with Section 2 “Impact” of Part B “Project Description” of the project proposal, and Section 4 “Project Results” of Part A “General Information” of the project proposal).

Upon drafting the work plan of the project, it is necessary to take into account both thematic and chronological considerations while avoiding the overlapping of the work packages. It is also recommended to include in the work plan of the project the measures for the dissemination of results and project management which take a considerable amount of the project implementation time.

It is recommended to justify the allocation of the project funding (in accordance with the information provided for in Section 3 of Part A of the project proposal). The funding should be planned in accordance with the needs of the project, preventing non-proportional allocation of the funding for one specific measure (e.g. remuneration). The funding should be planned also for cooperation and communication activities which are related to the achievement of the goal of the project.

3.3 Project management and risk plan.

This section contains information in accordance with the consideration of Section 29.3 of the Cabinet Regulation.

The project applicant should describe the management organisation procedures, decision-making process, quality management, monitoring of the project implementation, ensuring of cooperation with the project cooperation partner (if applicable), administration 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 formed in accordance with the practices established by the institution of the project applicant, while also planning a description of specific management aspects for the project.

The project applicant shall develop a plan for the prevention of potential risks or minimising the negative impact (see the table below). To specify different types of risks, for example, financial risks, implementation risks, risks related to the achievement of results, industry risks, secrecy of information risks etc. The probability of the risks can be high, medium or low and their 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 mitigate risks.]

Risk assessment

⁹ <https://www.gantt.com/>

¹⁰ <https://www.visme.co/pert-chart-generator/>

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

2.3 Completion of Part C “Curriculum Vitae” of the project proposal

14 *Curriculum Vitae* should be completed by the principal investigator and each lead participant of the project in accordance with the respective theme of the project. *Curriculum Vitae* should be completed in English and translation in Latvian should be submitted or it should be completed in English only.

15. 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 does 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;

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

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

EDUCATION

Year *to specify the title of the scientific degree, field of science, institution, country*

WORK EXPERIENCE

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

Years of employment [current position]
[institution, country]

Years of employment [position]
[institution, country]

SCIENTIFIC PROJECTS

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

SCIENTIFIC PUBLICATIONS

To specify 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, e.g. Scopus or WoSCC

OTHER INFORMATION

To specify 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, cooperation with governmental, non-governmental organisations and industry representatives in the field of defence etc.

3. Drawing up and submission of the administrative parts of the project proposal

3.1 Part D “Certification of the Project Applicant” of the project proposal

16. The head of the project applicant or the authorised person thereof (with signatory rights) should complete the certification of the project applicant by completing the relevant sections of the form and observing the formatting requirements specified in the form.

17. The head of the project applicant or the authorised person thereof should sign the certification of the project applicant with a secure electronic signature and should upload it to the Information System at a designated place.

18. If it is not possible to provide a safe electronic signature, the head of the project applicant or the authorised person thereof should sign the certification and upload the scanned version thereof to the Information System in the form of a PDF file, delivering the original copy with the signature to the Council until expiry of the submission period of the project proposals. The address of the Council is Smilšu iela 8, Riga, LV-1050, the working hours of the Council are: 08:30 to 17:00, every weekday.

19. The project applicant should enclose the following documents to the certification of the project applicant:

19.1 financial management and accounting policy of the project applicant (in PDF or WORD file format);

19.2 financial turnover statement of the project applicant (Part G of the project proposal for 2018-2020) drawn up in accordance with the last approved annual report of the institution (as of the submission of the project proposal);

19.3 if institution has private investors, the certification of the scientific institution is required with regard to non-commercial use of the research results created in the project;

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

19.5 if the respective project applicant is recognised as corresponding to the definition of a research organization in the open call for the fundamental and applied research projects of 2021, the documentation referred to in this Clause should not be submitted.

3.2 Part E “Certification of the Project Cooperation Partner” of the project proposal

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

21. The head of the project applicant or the authorised person thereof should sign the certification with a secure electronic signature and should upload it to the Information System at a designated place.

22. If it is not possible to provide a safe electronic signature, the head of the project cooperation partner or the authorised person thereof should sign the certification and upload the scanned version thereof to the Information System in PDF file format, delivering the original copy with the signature to the Council until expiry of the submission period of the project proposals. The address of the Council is Smilšu iela 8, Riga, LV-1050, the working hours of the Council are: 08:30 to 17:00, every weekday.

23. The following documents should be enclosed to the certification of the cooperation partner - scientific institution:

23.1 financial management and accounting policy of the cooperation partner (in PDF or WORD file format);

23.2 financial turnover statement of the cooperation partner (Part G of the project proposal for 2018 -2020) prepared in accordance with the last approved annual report of the institution (as of the submission of the project proposal);

23.3 if institution has private investors, the certification of the scientific institution is required with regard to non-commercial use of the research results created in the project;

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

23.5 if the respective partner is recognised as corresponding to the definition of a research organization in the open call for the fundamental and applied research projects of 2021, the documentation referred to in this Clause should not be submitted.

3.3 Part F “Certification of the Project Cooperation Partner - Public Institution”

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

25. The head of the project applicant or the authorised person thereof should sign the certification with a secure electronic signature and should upload it to the Information System at a designated place.

26. If it is not possible to provide a safe electronic signature, the head of the project cooperation partner or the authorised person thereof should sign the certification and upload the scanned version thereof to the Information System in PDF file format, delivering the original copy with the signature to the Council until expiry of the submission period of the project proposals. The address of the Council is Smilšu iela 8, Riga, LV-1050, the working hours of the Council are: 08:30 to 17:00, every weekday.

3.4 Part G “Form of the Financial Turnover Statement” of the project proposal

27. The project applicant and cooperation partners - scientific institution should complete the financial turnover statement in accordance with Sub-paragraphs 2.1 and 2.2 of Cabinet Regulation which defines activities of non-economic nature which shall be the principal activities of the respective institution.

28. The financial turnover statement should specify how financial flows are separated from principal activities of non-economic nature in the accounting records of the project applicant and cooperation partner - scientific institution according to Sub-paragraphs 2.1 and 2.2 of the Regulation.

29. The financial turnover statement should comply with the financial management and accountancy policy of the project applicant or cooperation partner - scientific institution.

30. The financial turnover statement should be completed in the EXCEL file format and uploaded to the designated place, taking into account the Clauses 19 and 23 of the Methodology regarding the cases when the financial turnover statement should not be submitted.

3.5 Project proposal Part H “Compliance with field-specific criteria”

34. The project applicant fills in Part H “Compliance with field-specific criteria” of the project proposal, taking into account Clause 7 of the Cabinet Order which provides for the common horizontal objectives of the programme, and Clause 8 of the Cabinet Order which provides for the results to be achieved.

35. Part H “Compliance with field-specific criteria” of the project proposal must be completed according to other parts of the project proposal (especially Part A “General Information” and Part B “Project Description” of the project proposal).

36. Part H “Compliance with field-specific criteria” of the project proposal should be completed in Latvian using the formatting conditions provided for in the form, as well as the following conditions:

No	Compliance with specific criteria	Description (up to 1000 characters for every result)	Result indicators	
			Unit	Number
1.	The project proposal contains at least one priority field of research, taking into account Annex 2 of these regulations, providing an appropriate work plan and result planning in the project application	<i>Describe the plan for the fulfilment of the respective criterion, if possible indicating the deadlines and main activities, as well as necessary resources</i>	<i>Specify the units</i>	<i>Specify the quantity</i>
2.	All horizontal objectives are to be accomplished as part of the project proposal			
2.1.	to develop technological competence and ensure advisory scientific support in the development of military capabilities in the fields referred to in Paragraph 6 of this Order and also in matters related			

	to provision and maintenance thereof;			
2.2	to develop and maintain a knowledge base on NATO and European Union national and multifunctional research initiatives in priority fields and to ensure collaboration and involvement of Latvian scientists in international projects, thus promoting the stay of skilled workers in Latvia;			
2.3	for the purpose of ensuring the Programme, the project implementers shall collaborate with each other in the implementation of joint activities (for example, original scientific articles, conferences and seminars).			
3.	the items planned in the project proposal are in line with the National Defence Concept approved on 24 September 2020 by the Parliament ¹¹			

4. Drawing up and completion of the project interim and final scientific report

37. The project applicant (hereinafter — the project implementer) should develop and submit to the Information System the project interim scientific report within one month of the day when a half of the project implementation period has passed, while the project final scientific report should be submitted to the Information System within one month after the end of the project implementation, using Annex 9 of the Procedure “Contract on the Implementation of the State research programme “Defence Innovation Research Programme” project (hereinafter — the project contract), Annex 10 “Form of the Project Interim/Final Scientific Report” (hereinafter jointly — the project interim and final scientific report).

38. The project interim and final scientific report should be prepared in conjunction with the information specified in the project proposal. If the listed scientific articles which have been approved for publishing cannot be found on the Internet, in addition to the aforementioned report the project applicant should upload to the Information System the certification issued by the publisher regarding the publication.

39. The project interim and final scientific report should be completed in Latvian and translated into English or completed in English only, all sections and sub-sections of the report should be completed by indicating the information in the relevant fields and uploaded to the Information System

¹¹ <https://likumi.lv/ta/id/317591-par-valsts-aizsardzibas-koncepcijas-apstiprinasanu>

in the form of a PDF file. Annex 11 “List of Results” to the project contract should be enclosed to the project interim and final scientific report in the Information System.

40. The project applicant should complete the project interim and final scientific report in accordance with the following conditions:

Project interim/final scientific report

Requirements for drawing up the text:

- volume does not exceed 15 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 project interim/final scientific report, not exceeding 15 pages accordingly.

Project title: *indicate the project title*

Summary: *maximum 2000 characters both in English and Latvian, briefly describe the course of the project implementation, the main results and impact on the defence and security field in Latvia, as well as scientific development in general and the impact on the public/development of the State. This summary will be used for the programme publicity.*

1. Scientific excellence

To describe the project contribution to the achievement of the programme overarching goal and goal, the project interim scientific report, specifying the achievements and work to be done until the end of the project, while in the project final scientific report specifying the achievements and plans after the end of project implementation.

The principal investigator should describe the research methodology and the progress of research in accordance with Section 1 “Scientific Excellence” and Sub-section 2.4 “Scientific Results and Provision of Availability Thereof” of the project proposal, including the progress towards achieving the goal and objectives. Description should include the information about the progress of performance of objectives and achievable results included in Clauses 6 and 7 of the Cabinet Order, taking into account the priority field of research selected in the project proposal.

To describe the results obtained during the implementation of the project in accordance with the plans provided for in the project proposal, in addition describing their originality and innovative potential, as well as the impact of the results on the technological and knowledge base of the respective or other fields of science.

2. Impact

This section must also include a description of the process to obtain the achievable results under Clause 7 of the Cabinet Order, and to accomplish the horizontal objectives specified in Clause 8 of the Cabinet Order, in case of preparation of the interim report the plan should be described for their achievement until the end of the project.

2.1. Progress on the use of the new or improved technology, innovative solution or product prototype

To describe the progress on the activities pertaining the new or improved technology, innovative solution or product prototype in defence and security, as well as in civil and commercial contexts (dual-use technology).

To describe the progress on the matters pertaining to the registration of intellectual property for the new or improved technology, innovative solution or product prototype.

To describe the results of the collaboration with the National Armed Forces and/or security contractors intended to enable the use of the new or improved technology, innovative solution or product prototype (if applicable). If applicable, to describe what collaboration has been established in conjunction with foreign or international bodies and organisations, and if there have been created opportunities for developing the project results after the end of the project.

To describe how the respective economic sectors are identified and addressed. Course of cooperation and its results. To describe particular cooperation examples and sustainability of cooperation in Table 1.

Table 1

No	In cooperation with	Form of cooperation	Result	Time period
1.				
2.				
3				
4.				
n				

2.2 The effect of the project on the development of technical competence and research community in the field, and the plan for the provision of scientific advisory support to the development of military capability

To specify the information about the fulfilment of the project (according to Section 2.2 of the project description) in preparing new projects in the European Union's and other international programmes for research and innovation support, indicating how the preparation of such projects was based on the project results and scientific findings.

To describe the execution of the plan for the preparation of project proposals in other calls for scientific projects (e.g. contribution to the preparation of new projects for submission thereof to the calls of the European Union research and innovation programmes¹² and other research and innovation support programmes and technology proposals¹³), as well as the networking activities in international cooperation networks and consortiums aimed at getting new contacts, research partners, methods, as well as disseminating the results obtained in the own project.

To describe how communication with research institutions and the research community in the project's fields is to take place as part of the project. Scientific cooperation of the project scientific team with foreign scientific organizations, types of cooperation (briefly describe) and their inclusion in the project, impact of cooperation on raising the international competitiveness of the Latvian research community in the field of defence.

The activities of scientific cooperation within the scope of the project implementation are listed in Table 2.

¹²For example, calls for proposals by the European Defence Fund: https://ec.europa.eu/defence-industry-space/eu-defence-industry/european-defence-fund-edf_en

¹³For example, the NATO Science for Peace and Security Programme: https://www.nato.int/cps/en/natohq/topics_85373.htm

Table 2

No	Cooperation institution/organization	Form of cooperation	Result	Time period
1.				
2.				
3				
4.				
n				

Progress of the increase of envisaged capacity of the project scientific personnel, paying a special attention to the university students, candidates for a doctorate degree and new scientists involved in the project. Final papers on the project theme defended by the university students involved in the project are listed in Table 3, if applicable.

Table 3

Doctoral and master papers supervised or consulted by the principal investigator or lead participants within the scope of this project (if the paper is defended, to specify it in the last section of the Table, adding the date and respective doctoral council).				
No	Author of the thesis	Title of the thesis, the level of studies, hyperlink to the database of doctoral/final papers	Supervisor and consultant	Thesis defence date
1.				
2.				
3				
4.				
n				

2.3 Impact of the project and its results on the society in general, providing the knowledge transfer and raising awareness about the role and benefit of research to the public

Within the scope of the public information project, using the results according to the project proposal, and changes, including the results on providing information to the general public, raising its awareness about the research and its benefit to the public.

To describe the performed activities to ensure the transfer of knowledge created in the project, involving the public and raising its awareness about the role and benefit of the research to the public, facilitating the involvement in the research.

A description of specific measures or activities for publicity and provision of information to the public is provided in Table 4.

Table 4

No	Communication channel (e.g. radio, TV, social networks, etc.)	Activity (e.g. interview, popular scientific article, seminar, etc.)	Planned/reached target audience (to describe the target audience and its reached amount)	Available (hyperlink)	Date of publication/event
1.					

2.					
3					
4.					
n					

2.4 Scientific results of the project and provision of availability thereof

The project manager describes the execution of the plan for the distribution of the project results specified in Section 2.4, the changes to the plan, and any necessary corrections.

The project manager presents the execution of the plan for the distribution of the project results for the stage in question, describing the measures for ensuring the sustainability of the knowledge obtained (if applicable, also observing the Open Access, Open Data and FAIR principles) in Annex 11 to the project agreement, separately explaining if it was possible to carry out the strategy for the distribution of research results.

3. Implementation

The progress of execution of the work plan of the project and prevention of risks. To briefly describe the execution of work packages and achieved project results according to the work plan of the project in Sub-section 3.1 of the project description.

Course of execution of the work plan of the project, as well as the risks faced by the scientific team during the implementation, ways of addressing them and their anticipation in the risk plan of the risk assessment referred to in Sub-section 3.3. To describe if new risks were identified in the project, describing such risks and prevention thereof and also the impact thereof on further progress, results and budget of the project.

Changes in the organisation of the project management and also the impact thereof on the execution of the project. Also, changes in the composition of the scientific team of the project, if any. To describe how university students and candidates for a doctorate degree are involved in the project implementation.