



NACIONĀLAIS
ATTĪSTĪBAS
PLĀNS 2020



EIROPAS SAVIENĪBA
Eiropas Reģionālās
attīstības fonds

I E G U L D Ī J U M S T A V Ā N Ā K O T N Ē

Form for the report of interim results evaluation of the post-doctoral research applications (completed in English)

Title of the Research Application:	<i>Specify the title of the research application in accordance with the signed agreement on implementation of the research application</i>	
Number and title of the specific aid objective/measure selection:	1.1.1. Measure 1.1.1.2 “Aid to Post-Doctoral Research” of the Specific Aid Objective “To increase the research and innovative capacity of scientific institutions of Latvia and the ability to attract external financing, investing in human resources and infrastructure”	
Implementer of the Research Application:	<i>Specify full legal name of the implementer of the research application without abbreviation</i>	
Registration number/Taxpayer registration number:	<i>Specify registration number/Taxpayer registration number: of the implementer of the research application.</i>	
Type of the implementer of the Research Application:	<i>Specify type of the implementer of the research application in accordance with the signed agreement on implementation of research application.</i>	
Type of the Research Application	<i>Specify – economic activity <u>unrelated</u> or economic activity <u>related</u> research application in accordance with the signed agreement on implementation of the research application..</i>	
Research category	<i>Specify – fundamental or industrial research in accordance with the signed agreement on implementation of the research application.</i>	
Field, sub-field of science	<i>Specify scientific field and sub-field(s) in accordance with Cabinet Regulations No. 49 “Regulations on Latvian Scientific Fields and Sub-fields” of 23.01.2018 (available: https://likumi.lv/doc.php?id=296661)</i>	
Strategic priority or area of smart specialisation	<i>Specify the appropriate strategic priority or area(s) in accordance with the priorities, areas listed in the Latvian smart specialisation strategy (hereinafter referred to as RIS3). If the research application corresponds to several areas of specialisation, specify the main area.</i>	
Classification of the implementer of the research application in accordance with NACE general classification of economic activity:	NACE code	Title of the economic activity
	Code	<i>Specify the title of the economic activity applicable to the primary activity in accordance with NACE 2nd edition, specifying a 4-digit NACE. If several activities apply to the implementer of the research application, specify the main primary activity in the form (also, if it differs from the topic of the research application). This information is used for statistical needs.</i>
Classification of the research application in accordance with NACE general classification of economic activity:	Code	<i>Specify the title of the economic activity in accordance with the specified NACE 2nd edition code corresponding to the industry of the economy which will benefit from the implementation results of the research application.</i>
Research Application identification No.:	<i>Specify the number assigned by the State Education Development Agency (hereinafter - the Agency) to the respective research application.</i>	

Section 19 of the Cabinet Regulations No. 50 of January 19, 2016, “On Implementation of Activity 1.1.1.2 “Post-doctoral Research Aid” of the Specific Aid Objective 1.1.1 “To increase the research and innovative capacity of scientific institutions of Latvia and the ability to attract external financing, investing in human resources and infrastructure” of the Operational Programme “Growth and Employment” (hereinafter Cabinet Regulations) provides to ensure evaluation of the scientific quality of interim results of the research applications for monitoring of the implementation of the research application. In order to perform the evaluation of the scientific quality of interim results of the research application, implementers of the research applications are invited to submit a report on progress of implementation of the post-doctoral research application for evaluation of the scientific quality of the interim results (hereinafter – report).

Purpose for evaluation of the scientific quality of the interim results of the research application is to evaluate implementation progress and scientific quality of the approved research applications in order to ensure quality implementation of the research applications and achievement of the results planned within the framework of applications.

The report shall include information on interim implementation progress of the research application, including achievement of the objective and planned scientific results and indicators, as well as interim (not at the closing day of the submission period of reports) evaluation of the scientific quality of research progress results implemented in the research application.

If the research application has not implemented according to the planned timeline in any of activities, including due to an emergency situation and the impact of Covid-19 in the country, the report shall provide a detailed explanation and proposal for amendments in research application with a specific working plan, incl., mentioning a time schedule and available resources (financial resources, research infrastructure) for achievement of the planned objective of the research application, scientific result of the research application and achievable monitoring results in the remaining period of implementation of the research application.

Information on interim implementation progress of the research application included in the report shall be based on scientific results of the research application, for example, scientific articles appended as scientific results of the report if the scientific article or publication has been submitted, or by providing a link if the scientific article or publication is available on any of the data bases. Report shall also provide information on which international data bases include the scientific article or publication developed within the framework of the post-doctoral research application, or in which international data bases it is planned to submit it for publishing.

Report shall be prepared in English.

Information included in sections of the report must be mutually aligned with all sections of the report.

The following annexes shall be appended to the report:

- 1) printouts of submitted scientific articles and publications (if applicable) and copies of documents supporting the submission (for example, electronic letter);
- 2) developed technological regulations/descriptions (if applicable);
- 3) information on submitted patent applications (if applicable);
- 4) description of financial management and accounting of the implementer of the research application (submitted together with the first report of the implementer of the research application who is not related to economic activity, if description for the previous calendar year has not been submitted to the Agency or to the Latvian Council of Science (hereinafter - the Council);
- 5) turnover report of the institution for the previous calendar year (submitted together with the first report of the implementer of the research application who is not related to economic activity, if description for the previous calendar year has not been submitted to the Agency or to the Council);
- 6) the last annual report submitted in accordance with the requirements of regulatory enactments (applicable if the research application related to economic activity is submitted by a private law entity);
- 7) an operational report, which has been approved by a sworn auditor and the date of approval of which is not older than one month prior to the mid-term date of implementation of the research application.

Preferable number of characters for the sections of the report is not defined; yet, the total amount should not exceed 15 pages (font size – 12).

1 SECTION – IMPLEMENTATION DESCRIPTION OF THE RESEARCH APPLICATION

Summary of research application: objective of the research application, main activities/work packages, duration, total costs and planned results. Progress in achieving the objective of the research application, implementation progress of the main activities and achieved results.

In this paragraph, the submitter of report provides a comprehensive structured summary of evaluation of the scientific quality of interim results of the implementation progress of the research application, creating an overview of what has been achieved within the framework of the research application.

Summary shall provide:

- *information on interim achievement progress of the objective of the research application in accordance with the information on planned objective provided in the research application;*
- *information on achievements in implementation of research activities as at the moment of evaluation of the scientific quality of the interim results in accordance with the activities planned in the research application;*
- *information on funding used for interim implementation of the research application as part of the total funding planned for the research application;*
- *information on influence of research activities on the target group defined in the research application.*

In addition, the implementer of the research application provides information on involvement of cooperation partner (if applicable) and specifies what still needs to be done until the end of the implementation of the research application.

Shortly shall also be provided information on significant amendments to the research application, including due to an emergency situation and the impact of Covid-19 in the country, if applicable, as well as implementation risks of the research application and prevention measures thereof, if such risks have occurred during the implementation time of the research application.

If the implementer of the research application proposes to make content amendments to the research application, the report shall provide suggestions for amendments to the research application, incl., changes to the time schedule, performed activities, etc., in order to ensure achievement of the planned objective of the research application, scientific results of the research application and achievable monitoring indicators during the remaining implementation period of the research application.

This section of the report shall also reflect a short summary of the information provided in continuation of the report.

2 SECTION – SCIENTIFIC QUALITY

2.1. Clarity of objectives of the research application: is the implementation process of the research application aimed at achieving the objectives and results planned in the application

In accordance with the Annex No. 4 “Research Proposal” of the research application submitted to the Agency during the 4th selection competition of the research applications, the report shall describe:

- *whether activities (work packages) performed during the implementation of the research application comply with the provisions of the Clause 3 of the Cabinet Regulations for the objective of measure 1.1.1.2 “Aid to Post-Doctoral Research”, and how these will contribute to achieving the objective of the measure 1.1.1.2 “Aid to Post-Doctoral Research”;*
- *whether activities (work packages) performed during the implementation of the research application comply with RIS3 growth priorities or smart specialisation areas;*
- *whether activities (work packages) performed during the implementation of the research application comply with the scientific objective defined in Annex No. 4 “Research Proposal”, and how it promotes achievement of this objective and the planned results;*
- *characterise interim implementation progress of the research application and the changes applied (if applicable); provide grounds for compliance of these changes with the defined objectives;*
- *list the achieved results by completing Table 1 “Outcome indicators” of the report:*

Table 1

Outcome indicators <i>(in accordance with Table 1.6.1 of the research application)</i>								
No.	Title of indicator	Initial value		Planned value				Unit
		year	value	year	intermediate value	year	final value	
1.	Number of new researchers in aided units (the full-time equivalent)	2020	0	2022		2023		Number
2.	Number of new researchers (the full-time equivalent) who have broadened competence within the scope of the project, including processes for career development and staff renewal	2020		2022		2023		Number
3.	Number of scientific publications for the development and publishing of which aid within the scope of research applications was provided	2020	0	2022		2023		Number
3.1.	Number of articles in the	2020	0	2022		2023		Number

	Web of Science / Scopus						
3.2.	Including with a citation index of 50% of the industry average	2020	0	2022		2023	Number
4.	Number of new products and technologies which may be marketed and for the development of which aid within the scope of a research application was provided	2020	0	2022		2023	Number
5.	Private investments which supplement the State aid for innovations or research and development projects	2020	0	2022		2023	EUR
6.	Number of enterprises which co-operate with research institutions	2020	0	2022		2023	Number

If scientific articles or publications have been published within the framework of implementation of the research application, and they are available in any of the data bases, provide a link to the data base.

2.2. Correspondence of the methodology of the research application for achievement of the objective and results of the application: whether methodology used in the research application is appropriate for achievement of the goal and end results of the research application

In accordance with the Annex No. 4 “Research Proposal” of the research application submitted to the Agency during the 4th selection competition of the research applications, the report shall:

- *characterise how the scientific approach (theoretical and practical) defined in the research application ensures achievement of defined objectives and results;*
- *perform compliance analysis of the research methodology selected in research application and analysis of the implementation work plan specified in Section 3.1 of Annex No. 4 “Research Proposal” to the research application for achievement of objectives and results;*
- *characterise usefulness of alternate choice of the selected research methodology during implementation of the research application (if applicable).*

2.3. Result clarity and scientific quality of the research application: whether achieved research results are clear and unmistakable; scientific quality is appropriate, taking into account the scientific value, level of novelty of the achieved results

In accordance with the Annex No. 4 “Research Proposal” of the research application submitted to the Agency during the 4th selection of the research applications, the report shall:

- *describe scientific quality and value, level of the results achieved during implementation of the research application; novelty level, taking into account analogous products, processes and services existing in the market and the level of best practice on the date of submitting the report, including:*
 - ✓ *support activities performed and results achieved in the research application this far are scientifically of high quality and innovative;*
 - ✓ *how information included in the scientific article corresponds with the goal and content of the research application (explanation is necessary in cases if post-doctoral researcher is one of the co-authors, and the scientific article is the joint result of several research projects);*
 - ✓ *how the new product or technology developed within the framework of the research application correspond to the definition of a new product¹ or new technology² (if applicable). Information shall be provided, taking into account that the expert will evaluate compliance of the new product or technology with the definition, taking into account: a) comparison of target market and parameters of the analogous products and technologies existing in the market and the prototype developed within the framework of the research application: functional characteristics, type of use, technical specification, components, materials, software, cost price; b) commercialisation potential of the new product / technology prototype developed within the framework of the research application characterised by technology readiness level (TRL) and degree of innovation;*
- *provide information on technology rights obtained, intellectual property licence agreements concluded as a result of research of the research application (for example, in which country patent application will be submitted, etc.).*

3 SECTION - SOCIO-ECONOMIC INFLUENCE

¹ New product: goods or services that are completely new or have improved functional properties or changed intended type of use (including changed or improved technical parameters, components, materials, enclosed software, user-friendly properties). A new product shall not be:

- termination of use of any part of a process;
- replacement or extensive increase of capital (purchase of modules identical to used modules, insignificant enhancements, updates to equipment and software). New equipment or enhancements should be with significant improvements of specification;
- changes occurring due to change in price of components (changes in product price or productivity of the manufacturing process are not a product innovation, for example, in computer manufacturing, when the price of the microchip is decreased, the decrease in sales price of the same computer model);
- adaptation of the products to specific needs (for example, adaptation of a product to the customer’s needs that do not cause such changes to functional or technical properties of the new product that ensure a higher competitiveness of the new product in comparison with current products);
- everyday, seasonal or cyclical changes and improvements (for example, a new seasonal collection in the manufacturing of clothing cannot be viewed as innovation);
- design changes (including flavour and fragrance) that does not change the functions, use or technical properties;
- resale of goods or processes of other manufacturers;
- improvements in promotion of marketing (including aesthetic changes);
- improvement of organisational processes in the merchant’s operation.

² New technology: technology that corresponds to the definition provided in Clause 114 of Article 2 of the 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 Text with EEA relevance (Official Journal of the European Union, 26 June 2014, No. L 187), i.e., new and innovative technology’ means a new and unproven technology compared to the state of the art in the industry, which carries a risk of technological or industrial failure and is not an optimisation or scaling up of an existing technology.

3.1. Social and economic influence of the achieved results of the research applications: whether results of the research application have promoted development of the post-doctoral researcher, implementer of the research application, cooperation partner, scientific or economic sector, RIS3 objectives, society

In accordance with the Annex No. 4 “Research Proposal” of the research application submitted to the Agency during the 4th selection competition of the research applications, the report shall describe:

- *how achieved results of the research applications have promoted development of economic transformation directions, priorities or smart specialisation areas set out in RIS3;*
- *how influence of the distribution and transfer measures of the achieved research results (including transfer of knowledge and technologies) have promoted economic development of the implementer of the research application, cooperation partner (if applicable), and ensuring the needs of the society;*
- *how achieved research results have ensured further growth and increase in scientific capacity of the post-doctoral researcher;*
- *how implementation of the research application has promoted formation of the long-term international cooperation (if applicable);*
- *compliance of the implemented communication activities with the needs of the target audience*

3.2. Achievements in dissemination of the results of the research application and in knowledge or technology transfer measures

In accordance with the Annex No. 4 “Research Proposal” of the research application submitted to the Agency during the 4th selection competition of the research applications, the report shall describe the performed knowledge and technology transfer measures:

- *what activities and measures have been performed in order to ensure popularisation of the results of the research application, involvement of the research target group, raising public awareness and transfer of knowledge to society, including in which communication and information dissemination measures organised by the Agency or the Council the post-doctoral researcher has participated.*

4 SECTION – IMPLEMENTATION QUALITY

4. Implementation quality of the research application: efficiency of the used resources, implementation progress of performed activities and quality of management system

In accordance with the Annex No. 4 “Research Proposal” of the research application submitted to the Agency during the 4th selection competition of the research applications, the report shall describe:

- *whether financial resources used for implementation of the research application correspond to achieved amount of work and achieved results during the research as set out in Table 3 of the report form;*

- *how compliance of activities, work packages, tasks , deliverables, and milestones performed during the implementation of the research project with the plans set out in Section 3.1 of Annex No. 4 “Research proposal” and timeline in accordance with Table 2 of the report;*
- *verification methods of performance of achieved results;*
- *how the resources and result management system correspond to the objective(s) of the research application;*
- *how the post-doctoral researcher’s mobility and training complies with the set objectives and topic of the research;*
- *describe implementation risks of the research application and prevention measures, if such have occurred during implementation of the research application;*
- *distribution of partner functions and responsibility; contribution in achieving the goals of the research application (if applicable).*

Table 2. Implementation progress of the performed activities of the research application*: progress of activities, completed tasks, performed deliverables, achieved milestones, time of completion and verification method

Table to be completed in accordance with the Annex No. 4 “Research Proposal” of the research application submitted to the Agency during the 4th selection competition of the research applications, work plan and time scheduled specified in Section 3.1.

Information provided in this table should be compatible also with the information provided in Table 1.6 of the research application, as well as other sections of the report.

**Table may be supplemented with columns according to the work plan specification provided in Section 3.1 of Annex No. 4 “Research Proposal” to the research application.*

No.	Activity (work package) of the research application in accordance with the work plan specified in Section 1.5 of the research application and Annex No. 4/Research proposal”, Section 3.1*	Progress description of the work package	Achieved result	Result in numerical value		Involved partners (if applicable)	Information on what still needs to be done to implement the research application
				Result achieved at the interim moment of scientific quality	Plans for interim period of the research application		
1.	<i>Specify a short description of research (content) activities (work packages) included in Section 1.5 of the research application and Annex No. 4 “Research Proposal”. Table will not include, for example, activities of report preparation that are not related to research.</i>	<i>Describe the progress of each activity (work package) of Section 1.5 of research application and Annex No. 4 “Research Proposal”, time period for completion, as well as works that still need to be done in order to implement the research application. If amendments have been made during</i>	<i>Specify the achieved interim scientific result of the respective activity (work package) achieved during implementation of the research application.</i>	<i>Specify the number/unit of the results achieved at the moment of submitting the report.</i>	<i>Specify the number/unit of the results planned for interim period (2022) of the research application. If amendments have been made during implementation of the research application, information shall be specified in accordance</i>	<i>Specify information on the cooperation partner involved in implementation of the respective activity (work package).</i>	<i>Specify information on what still needs to be done to implement the research application</i>

		<i>implementation of the research application, information shall be specified in accordance with the amendments made. Describe inter-disciplinary aspect of the research application (if applicable).</i>			<i>with the amendments made. Mentioned information provided inter alia should be compatible also with the information provided in Table 1.6 of the research application, as well as other sections of the report.</i>		
1.1	Task 1						
1.2.	Task 2						
2.	...						

Budget summary of the research application not related to economic activity:							
Code	Title of the cost item	Application of unit costs (applicable or not applicable*)	Quantity		Unit	Costs of the research application	
			Envisaged in research application	Interim		Envisaged in research application	Interim
1.	Remuneration costs for the implementation personnel of the research application (post-doctoral researcher's gross salary + employer's compulsory social insurance contributions)	Not applicable			"amount of salary per month"		
2.	Implementation costs of the research application (Research costs)	Applicable			800	0	0
3.	Administration and infrastructure maintenance costs of the research application	Applicable			185.83	0	0
4.	Investment in kind (shall not exceed 5% from the eligible costs of the research application)	(If applicable)				0	0
4.1.	Fixed assets (tangible assets)						
4.2.	Assigned materials (tangible assets)						
4.3.	Professional activities related to research within the framework of the research application						
	Total					0	0

The following annexes shall be appended to the report:

- 1) printouts of submitted scientific articles and publications (if applicable) and copies of documents supporting the submission (for example, electronic letter);*
- 2) developed technological regulations/descriptions (if applicable);*
- 3) information on submitted patent applications (if applicable);*
- 4) description of financial management and accounting of the implementer of the research application (submitted together with the first report of the implementer of the research application who is not related to economic activity, if description for the previous calendar year has not been submitted to the Agency or the Council);*
- 5) turnover report of the institution for the previous calendar year (submitted together with the first report of the implementer of the research application who is not related to economic activity, if description for the previous calendar year has not been submitted to the Agency or the Council);*
- 6) the last annual report submitted in accordance with the requirements of regulatory enactments (applicable if the research application related to economic activity is submitted by a private law entity);*
- 7) an operational report, which has been approved by a sworn auditor and the date of approval of which is not older than one month prior to the mid-term date of implementation of the research application.*