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

Annex No. 4

To Rules of selection of research applications

Guidelines and methodology for the evaluation of administrative, compliance and output indicator attainment promotion quality of research applications

1. Introduction (or preamble)

1.1. Ageing of human resources presents a major problem in the science system of Latvia. In order to solve this problem, within the framework of the European Regional Development Fund it is envisaged to provide aid for post-doctoral research (hereinafter – Cabinet Regulation for the activity)¹, by encouraging post-doctoral experts holding the Doctor's degree to stay in the field, by developing their skills and improving research capacity, by providing the possibilities for commencing the post-doctoral career in scientific institutions or in businesses, as well as by encouraging enhancement of research competences of post-doctoral researchers and their involvement in international research cooperation. Research applications providing the highest potential to achieving the goals of the Smart Specialisation Strategy² (hereinafter – RIS3), implementation of the growth priorities or development of the specialisation areas will be for funding:

Directions of transformation of the national economy	Growth priorities	Smart specialisation areas
1. Change of the production and export structure in traditional economy areas	<u>1st priority:</u> More efficient use of raw materials for production of goods with increased added value, creation of new materials and technologies, and diversification of their application. Wider use of non-technological innovations and Latvian creative industry potential to produce goods and services with increased added value of national economy sectors.	1. Knowledge-intensive bio-economy
2. Future growth sectors,	<u>2nd priority:</u>	2. Biomedicine, medical technologies,

¹ Cabinet Regulations No. 50 of 19 January 2016, “On Implementation of Activity 1.1.1.2 “Post-doctoral Research Aid” of the Specific 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” (<https://likumi.lv/ta/id/279803-darbibas-programmas-izaugsme-un-nodarbinatiba-1-1-1-specifiska-atbalsta-merka-palielinat-latvijas-zinatnisko-instituciju>).

² Research, Technology Development and Innovation Guidelines 2014 - 2020. Website: <http://polsis.mk.gov.lv/documents/4608>

<p>in which products and services with high added value exist or may appear</p>	<p>The creation of such innovation system that provides support for the creation of new products and technologies within the framework of existing sectors and cross-sectors, as well as for new sectors with high growth potential based on key sectors defining the development and providing an effective new products/services identification system, and that is able to find and provide support for the creation of new products both in the existing sectoral and cross-sectoral frameworks, and creating of new sections with high growth potential.</p>	<p>bio-pharmacy and biotechnologies</p>
<p>3. Sectors with significant horizontal impact and contribution in national economy transformation.</p>	<p><u>3rd priority:</u> Improvement of energy efficiency, which include the creation of new materials, production process optimisation, introduction of technological innovations, use of alternative energy resources and other solutions.</p> <p><u>4th priority:</u> Development of a modern and contemporary standard-compliant ICT system in the private and public sectors.</p> <p><u>5th priority:</u> A modern, and corresponding to the future labour market demands, education system that facilitates the transformation of national economy and development of competences required for the implementation of RIS3 priorities, enterprising spirit and creativity at all levels of education.</p> <p><u>6th priority:</u> Advanced knowledge base (basic science and scientific infrastructure) and human capital in areas of knowledge, in which Latvia has a comparative advantage and which are important in the process of transformation of the national economy: in areas of knowledge related to the smart specialisation areas (1) knowledge-intensive bio-economy, (2) biomedicine, medical technologies, bio-pharmacy and biotechnologies, (3) smart materials, technologies and engineering systems, (4) smart energetics, and (5) ICT, as well as key technologies identified by the EC (nanotechnologies, micro-and nano-electronics, photonics, advanced materials and manufacturing systems, biotechnologies).</p> <p><u>7th priority:</u> Studying of the existing resources of territories and specialisation, proposing the prospective economic development opportunities and directions int. al. leading and prospective business directions in the municipal territories.</p>	<p>3. Smart materials, technology and engineering systems</p> <p>4. Smart energy</p> <p>5. Information and communications technologies</p>

1.2. It is envisaged that funding will be granted to a scientific institution registered in the Register of scientific institutions of the Republic of Latvia or an enterprise for implementation of an individual research application including international mobility, as well as training and networking measures.

The research application shall be implemented by a post-doctoral researcher who is a Latvian or a foreign researcher, who has obtained the Doctor's degree maximum ten years prior to the deadline for submission of the research application in a scientific institution or in an enterprise accepting and providing access to the infrastructure or human resources for implementation of the research needed within the research applications.

The research application may be implemented in a partnership with a foreign or Latvian scientific institution or a university or an enterprise.

Funding shall be granted for performing economic and non-economic activities for fundamental or industrial research. Within the framework of a research application it is also possible to implement the transfer of know-how and technologies, protection of the technology rights to the industrial property object created during the research, enhancing the competences of the post-doctoral researcher, participation in the international mobility and networking activities, supervising, review for Bachelor, Master and doctoral papers and participation in final paper commissions, as well as preparation of other research and innovation projects

Within the scope of the research application the post-doctoral researcher involves society in the research application and informs it about the results of the research application, which are not related to intellectual property rights.

1.3. The evaluation of administrative, compliance and output indicator attainment promotion quality of research applications shall be organised by the employees of the Research and Innovation Policy Support Division of the Department of Science, Research and Innovation Policy Support of the Agency (hereinafter – the Department) (hereinafter – the Secretariat).

2. Evaluation goal

The goal of the evaluation is to evaluate administrative, compliance and output indicator attainment promotion quality in order to select and forward for further evaluation of the scientific qualify the research applications which conform to these criteria and the objective of the aid to a post-doctoral researcher defined by the Cabinet Regulation for the activity.

3. Selection of experts

3.1. The evaluation of administrative, compliance and output indicator attainment promotion quality of research applications shall be carried out by the Evaluation Commission. The Evaluation Commission shall approve experts from among the employees of the Department of Science, Research and Innovation Policy Support of the State Education Development Agency (hereinafter – the Department Experts), who according to their competence review research applications and provide a proposal to the evaluation commission about guidelines, methodology and criteria for evaluation of administrative, compliance and output indicator attainment promotion quality of research applications.

3.2. Department Experts shall be involved for the evaluation of administrative, compliance and output indicator attainment promotion quality of each research application. One of them shall be designated as the leading expert or rapporteur (hereinafter – the rapporteur) and shall be responsible for definition the consolidated opinion.

3.3. One Department Expert may be involved in the evaluation of administrative, compliance and output indicator attainment promotion quality of several research applications and may be the rapporteur for drafting the consolidated evaluation of several research applications.

3.4. The Department Expert may not have a conflict of interest regarding the research application subject to evaluation. Prior to commencing evaluation of a research application, the Department Expert shall be briefed regarding the formal criteria that identify the presence of a conflict of interest, and information shall be provided regarding the post-doctoral researcher or the scientific institution or the enterprise who has submitted the research application or the

Latvian scientific institutions, universities or business companies with whom cooperation is envisaged in the relevant research application. The Department Expert shall attest non-existence of the conflict of interest and shall also attest that the information related with the content of the research application and its evaluation shall be confidential and may not be disclosed to any third parties or used for the benefit of the expert's own interest. If the Department Expert identifies the presence of a conflict of interest which was not identified initially during the evaluation of the research application, he/she shall suspend evaluation of the application and notify the Secretariat thereof.

3.5. Examination of research applications shall be anonymous as regards the applicant of the research application and any third parties.

4. Procedure

4.1. Evaluation of research applications shall be performed in compliance with the present guidelines. The Department Expert is entitled to consult the Secretariat regarding any matters related with the research application subject to evaluation or the evaluation procedure.

4.2. The POSTDOC information system (hereinafter – the information system) may be used for evaluation of research applications. The information system contains the present guidelines, submitted research applications subject to evaluation, provides storage of evaluations and ensures communication with the Secretariat, as well as between involved experts in development of the consolidated evaluation of a research application.

4.4. The Secretariat shall invite the selected Department Experts to get involved in the evaluation of particular research applications. Upon the receipt of the Department Expert's agreement and attestation regarding the non-existence of the conflict of interest and non-disclosure of confidential information, the Secretariat shall provide access to the information system to him/ her.

4.4. The evaluation of administrative, compliance and output indicator attainment promotion quality of research applications shall consist of two stages:

- 1) the initial individual evaluation by the expert in compliance with all the criteria for evaluation of administrative, compliance and output indicator attainment promotion quality;
- 2) the definition and approval of the consolidated opinion of the expert.

4.5. When performing the initial individual evaluation, the Department Expert shall propose an evaluation and justify his/ her proposal in cases when the evaluation is conditional or negative. Following posting of an initial individual evaluation of a research application in the information system it shall be accessible to the expert who prepares the consolidated evaluation.

4.6. Following posting of an initial individual evaluation of a research application in the information system, the Department Expert – rapporteur involved in evaluation of the relevant research application shall develop a proposal of the consolidated evaluation of the expert group. The rapporteur shall develop the consolidated opinion and agree on it with the other Department Expert.

4.7. The proposal for a consolidated opinion of both Department Experts shall contain the evaluation whether the information to be evaluated on a particular criterion is sufficient or shall be supplemented. Regarding certain criteria the expert shall issue a proposal for evaluation whether the research application complies with the criteria or should be rejected. In the justification part the justification of the evaluation shall be specified regarding each evaluation

criterion. 0 to 2 score points shall be assigned to the criterion for output indicator attainment promotion quality.

4.8. The Evaluation Commission shall review the proposal for a consolidated evaluation proposed by the Department Expert, shall evaluate the compliance of research applications with the guidelines, methodology and criteria for the evaluation of administrative, compliance and outcome indicator achievement quality promotion filling a research application evaluation form for each research application. When the evaluation closes, the evaluation commission shall approve evaluation results, which are collected for approval/rejection in the lists of recommended research applications and draft decisions giving preference to those research applications, which obtained the highest score.

5. Evaluation criteria and methodology

General conditions for application of the evaluation criteria of a research application:

5.1. In order to evaluate compliance with the relevant evaluation criterion of research applications, the Department Expert shall consider both the information provided in the relevant sections of the research application and also all the other information available in the rest of the research application (in other sections and supplements of the research application).

5.2. In the course of evaluating compliance of the research application with the evaluation criteria of research applications only the information available in the research application (in the research application form and supplements) shall be considered. The evaluation may not be based on assumptions or other information which cannot be verified or proven or which does not refer to the particular research application. However, if the Department Expert has at its disposal any information which may impact the evaluation of the research application, the particular facts and information sources which justify and prove the information provided by the Department Expert shall be specified.

5.3. In the course of evaluating a research application, attention shall be paid to the conformance of provided information in all the sections of the research application where there are references to it. If the information in various sections does not conform, a condition shall be imposed regarding provision of an additional clarification at the criterion to which this non-conformance applies.

5.4. The following shall be used in the evaluation of a research application:

- 1) Cabinet Regulation for the activity;
- 2) Rules of the fourth selection stage of research applications of Activity 1.1.1.2 “Post-doctoral Research Aid” of the Specific 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”;
- 3) Research, Technology Development and Innovation Guidelines 2014 - 2020.
- 4) Analytical descriptions of the eco-systems of the smart specialization areas.

5.5. Three following types of criteria shall be used for evaluation of a project application:

- P – a criterion that may be corrected, in case of non-compliance of such a criterion the Agency shall adopt a resolution on conditional approval of a research application by imposing a condition that the research applicant shall ensure full compliance with the criterion within the defined term and procedure;
- N – a criterion that may not be corrected, in case of non-compliance of such a criterion the agency shall adopt a resolution on rejection of a research application.

Additional score points are granted for the compliance with the criterion for output indicator attainment promotion quality.

5.6. The Department Expert shall describe compliance of a research application with an administrative and compliance evaluation criterion by the following words:

“Yes” – the research application fully complies with the criterion;

“Yes, with a condition” – if the criterion can be corrected and supplements are needed in the research application in order to make it compliant with the criterion;

“No” – if the research application does not comply with the criterion conditions and the criterion may not be corrected.

5.7. 0 to 2 score points shall be assigned to the criterion for output indicator attainment promotion quality.

METHODOLOGY FOR THE EVALUATION OF ADMINISTRATIVE, COMPLIANCE AND OUTPUT INDICATOR ATTAINMENT PROMOTION
QUALITY OF RESEARCH APPLICATIONS

Title of the operational program	Growth and Employment
Number and title of the priority axis	1. Research, Technology Development and Innovation
Number and title 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
Number and title of the activity	1.1.1.2. Post-doctoral research aid
Research applications selection stage	Stage 3 of selection of research applications
Responsible body	Ministry of Education and Science
Research applicant, name and number of the application	

1. ADMINISTRATIVE CRITERIA		Explanation for establishing compliance	Impact of the criterion upon adoption of a resolution (P, N)	
			Expert's individual evaluation	Consolidated evaluation
1.1.	The research applicant has submitted the research application within a specified period.	The evaluating is “Yes” , if the research applicant has submitted a research application in the period which is set at the Rules of the fourth selection stage of research applications.	N	N

		If the research applicant has not submitted research application in the period which is set at the Rules of the fourth selection stage of research applications, the evaluation shall be “No” , by rejecting the research application.		
1.2.	The research applicant complies with the requirements defined by Paragraph 20 of the Cabinet Regulation on implementation of the activity (hereinafter – the Cabinet Regulation for the activity) ³ .	<p>The evaluation is “Yes”, if the research applicant complies with the requirements defined in Paragraph 20 of the Cabinet Regulation for the activity – a scientific institution registered in the Register of Scientific Institutions of the Republic of Latvia (hereinafter – the scientific institution) or a micro, small, medium-sized or large enterprise (hereinafter – the enterprise) registered in the Republic of Latvia, which establishes employment legal relations with a post-doctoral researcher and ensures access to infrastructure and human resources for implementation of the research necessary within the scope of the research application.</p> <p>If the research applicant fully or partially does not comply with the requirements defined in the Cabinet Regulation for the activity, the evaluation shall be “No”, by rejecting the research application.</p>	N	N
1.3.	The research applicant and the cooperation partner (if applicable) does not correspond to the status of an undertaking in difficulty according to the provisions of the Cabinet Regulation for the activity (the criterion is applicable to the research applications the funding of which is subject to the state aid regulation).	<p>The evaluation is “Yes”, if the research applicant and the cooperation partner (if applicable) as of the day of submission of the research application do not correspond to the status of an undertaking in difficulty (hereinafter referred to as the UID) according to Sub-Paragraph 2.6 of the Cabinet Regulation for the activity and none of the situations referred to in Article 2(18) of the Commission Regulation No. 651/2014 applies to them:</p> <p>a) The research applicant (other than an SME⁴³ that has been in existence for less than three years or, for the purposes of eligibility for risk finance aid, an SME within seven years from its first commercial sale), where more than half of its subscribed share capital has disappeared as a result of accumulated losses, when deduction of accumulated losses from</p>	N	N

³ Cabinet Regulations No. 50 of January 19, 2016, “On Implementation of Activity 1.1.1.2 “Post-doctoral Research Aid” of the Specific 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”

		<p>reserves (and all other elements generally considered as part of the own funds of the company) leads to a negative cumulative amount that exceeds half of the subscribed share capital. Share capital includes, where relevant, any share premium;</p> <p>b) in the case of a research applicant where at least one member has unlimited liability for the debt of the company (other than an SME that has been in existence for less than three years or, for the purposes of eligibility for risk finance aid, an SME within seven years from its first commercial sale), where more than half of its capital as shown in the company accounts has disappeared as a result of accumulated losses. For the purposes of this provision, a company means a company where at least some members have unlimited liability for the debt of the company (especially general partnerships and limited partnerships);</p> <p>c) The research applicant has been declared insolvent by a court decision, including insolvency proceedings have been declared by a court judgment or legal proceedings have been instituted by a court judgment, or out-of-court redress proceedings have been instituted by a court decision, bankruptcy proceedings have been initiated, the research applicant is subject to reorganization or settlement or its economic activity has been terminated or it fulfils the criteria under its domestic law for being placed in collective insolvency proceedings at the request of its creditors;</p> <p>d) the research applicant has received rescue aid and has not yet reimbursed the loan or terminated the guarantee, or has received restructuring aid and is still subject to a restructuring plan;</p>		
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		<p>e) In the event when the research applicant's (other than an SME) company book debt to equity ratio has been greater than 7,5 over the last two years, as well as the company's interest coverage ratio calculated on the basis of the company's revenue before interest, taxes, depreciation and amortization (EBITDA), has been below 1.0.</p> <p>The compliance with the criterion shall be verified:</p> <ol style="list-style-type: none"> 1) on the day of submission of the research application; and 2) on the day of adoption of the decision regarding the approval of the research application or the day of adoption of the opinion regarding the fulfillment of the conditions, if a decision regarding the conditional approval of the research application has been made. The decision approving the research application, as well as the opinion on the fulfillment of the conditions, may constitute decisions granting business support to the applicant. <p>The characteristics of UID shall be assessed for each research applicant individually and for the group of related persons (if applicable) as defined in Article 3 (3) of Annex I to Commission Regulation No. 651/2014 and based on the Commission User Guide on the application of the SME definition. The decision on the compliance of a research applicant with the criterion shall be based on the information annexed to the research application as of the date of submission and publicly available, reliable data on the research applicant and its related companies (if applicable), including:</p> <ol style="list-style-type: none"> 1) holders of capital shares; 2) financial situation: <ol style="list-style-type: none"> a) the latest annual report submitted in accordance with the requirements of regulatory enactments and, accordingly, the timeliness of the submission of the report shall be assessed in the context of the deadlines for submission of documents defined in this paragraph; 		
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		<p>b) an operational interim report – not “older” than one month from the date of submission of the research application, certified by a sworn auditor and submitted with the research application. The operational report shall also be annexed in the situation if there are significant changes in the situation of the research applicant and its related companies (if applicable), eg., as of the date of submission of the research application, 21.05.2020, according to the information available in the 2019 report, the project applicant corresponds to the status of UID - at least one of the situations referred to in Article 2(18) of the Commission Regulation No. 651/2004, however, in the period between the end of 2019 and the submission of the research application, the financial situation has significantly improved, thus eliminating the characteristics of UID, in order to prove these facts, the research applicant must submit the operational interim report along with the research application for the research applicant and for the related company (if applicable) for an interim period approved by a sworn auditor and not “older” than one month from the date of submission of the research application;</p> <p>3) information regarding the increase in share capital (subscribed) which shall be assessed in conjunction with the operational interim report approved by a sworn auditor. The increase of the subscribed but unpaid share capital must be made within the term provided for in the regulations for increase of the share capital, however, not later than within six months from the date of the decision on the increase of the share capital. If, as a result of the subscribed capital increase, the company has no UID characteristics as of the date of the research application, the obligation to pay the capital increase will also be stipulated in the project implementation agreement, providing for the obligation of SEDA to terminate the concluded agreement if the event of failure to pay the subscribed share capital.</p>		
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		<p>The evaluation shall be “No” if:</p> <p>1) at least one of the situations referred to in Article 2 (18) of Commission Regulation No. 651/2014 as of the date of submission of the research application and/or the day of approval of the decision on the research application applies to:</p> <p>a) the research applicant who is an autonomous applicant company;</p> <p>b) the research applicant who is a related company;</p> <p>2) no financial information available:</p> <p>a) for the last full reporting year before the submission of the research application, if the regulatory enactments regarding the submission of the annual report have not been complied with, eg., the project was submitted on 21.05.2020, while the last available annual report is for 2018;</p> <p>b) for the interim period from the last reporting year to the date of submission of the research application, eg., the research application was submitted on 21.05.2020, the last available annual report is for 2019, as of 31.12.2019 the project applicant is UID, but in the period until 21.05.2020 its financial situation has improved, eg., increased share capital, in such a situation the research application should be accompanied by operational financial information - an interim report certified by a sworn auditor - to ensure the opinion of an independent industry expert on whether the included financial statements provide a true and fair insight on the financial position, profit or loss and cash flow of the relevant client in accordance with the relevant principles (standards) for the preparation of financial statements and comply with regulatory enactments (if applicable).</p>		
1.4.	The “Research project proposal” of the research application is in English, it is fully completed, a post-doctoral researcher’s curriculum vitae (CV) in English is attached to the application.	The evaluation is "Yes" , if the research applicant has completed all the sections of the form in Supplement 4 “Research project proposal” of the research application and they are in English. The research application has been supplemented with the post-doctoral researcher’s curriculum vitae (CV) in English (Supplement 5).	N	N

		If one of the following documents is not attached to the research application: Supplement 4 “Research project proposal” of the application in English, a post-doctoral researcher’s curriculum vitae (CV) in English, as well as if the research applicant has not submitted a fully completed Supplement 4 “Research project proposal” of the research application in English, the evaluation shall be “No” , by rejecting the research application.		
1.5.	The research application makes a contribution to the attainment of the outcome indicator set in the Cabinet Regulation for the activity “number of new researchers in the aided units (full time equivalent)” or outcome indicator “number of new researchers (full time equivalent), who have improved their competence, including career growth and personnel renewal processes”.	<p>The evaluation is “Yes” if the research applicant indicated in Section 1.6.1 of the research application form that the outcome indicator is the creation of one new researcher’s position expressed as full time equivalent or the post-doctoral researcher will improve competence, ensuring career growth and science staff renewal, within the research application.</p> <p>The indicator “A new position has been created”, when it is occupied by a “New researcher” is achieved in the following cases:</p> <ul style="list-style-type: none"> – the research applicant (a scientific institution or an enterprise) creates a new researcher’s position for a post-doctoral researcher, who already fulfils duties of a researcher in the scientific institution, at the same time ensuring that the following conditions are met: – the job description for the newly created position sets new duties, competencies and responsibility; – a competition is announced for the post-doctoral researcher’s initial position and an employment contract is concluded with such a person to perform currently duties of the post-doctoral researcher’s position, which a) was not in a legal employment relationship with the scientific institution; or b) have not performed duties in a position of science staff or technical science staff in the scientific institution; – the post-doctoral researcher’s position that existed up to now is liquidated and within the scope of the scientific institution a) a new position is created or a competition for other, lower science staff position is announced with a workload, with which the post-doctoral researcher previously worked in the last 6 months on average as at 	N	N

		<p>the time of the start of implementation of the contract, and such a person is employed, which was not previously elected to a science staff position in this institution and did not perform duties in a position of service or technical science staff; b) part of post-doctoral researcher's job duties that existed up to now are distributed among other scientific employees of the institution, c) within the scope of the scientific institution a new position is created or a competition for other, lower science staff position is announced, and such a person is employed, which was not previously elected to a science staff position in this institution, did not perform duties in a position of service or technical science staff and who will perform part of duties of the post-doctoral researcher's position.</p> <p>The indicator "number of new researchers (full time equivalent), who have improved their competence, including career growth and personnel renewal processes" is attained in the following cases:</p> <ul style="list-style-type: none"> – career growth is substantiated by changes in the job description of the new scientist (post-doctoral researcher), increasing his/her level of responsibility or scope of supervisory duties; – The renewal of science staff is substantiated by establishing a labour employment relationship with the new scientist (post-doctoral researcher) for the person to replace a scientist, who has ended his/her labour employment relationship in the research applicant's institution. <p>If the output indicators "number of new positions of researchers created expressed as full time equivalent" and "number of new researchers (full time equivalent), who have improved their competence, including career growth and personnel renewal processes" in section 1.6.1 of the research application scores 0, the evaluation is "No", rejecting the research application.</p>		
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1.6.	<p>The post-doctoral researcher envisages within the scope of the implementation of the research application to improve his/her scientific capacity and research competency going to foreign mobility or (including trainings):</p> <ul style="list-style-type: none"> - in the case of a research application not related to economic activity going to foreign mobility or (including trainings) for at least two months; - in the case of a research application related to an economic activity going to foreign mobility as required according to the specifics of the research. 	<p>The evaluation is “Yes” if Section 2.3.1 of the research application form and Supplement 4 of the form specify the duration of foreign mobility (including training):</p> <ul style="list-style-type: none"> - at least 2 months in the case of a research application not related to economic activity; - as required, in the case of a research application related to economic activity. <p>If the research application does not state the duration of mobility (including training) of at least 2 months, the evaluation shall be “No”, by rejecting the research application.</p>	N	N
1.7.	<p>The research application has been prepared in computer print.</p>	<p>The evaluation is “Yes”, if the research application form and its supplements (hereinafter – the research application) have been prepared in computer print (an exception is the section where there are the signatures of the responsible official of the research applicant or persons authorised by him/ her and which is filled in handwriting).</p> <p>If the research application is not prepared in computer print, the evaluation shall be “Yes, with a condition”, at the same time imposing a condition that the research application or any part thereof shall be submitted in computer print.</p>	P	P
1.8.	<p>The research applicant has sufficient administrative, implementation and financial capacity for implementation of the research application.</p>	<p>The evaluation is “Yes”, if section 2.2 or other sections of the research application form contains sufficient description of the research applicant's administrative, implementation and financial capacity.</p> <p>The <u>administrative capacity</u> is sufficient if the research application contains information on:</p> <ul style="list-style-type: none"> - the experts required for administration of the research application, i.e. their position, for example, management of the research application (in cases when the institution of the research applicant 	P	P

		<p>submits several applications and unified management is envisaged), a personnel manager, an accountant, etc.;</p> <ul style="list-style-type: none"> - the experts' duties in the administration of the research application divided into main functions and clear difference of functions from the content point of view between experts. The level of detail of job descriptions shall not be required; - the research application management system (i.e. what activities are planned for ensuring successful implementation of the research application, what monitoring tools are envisaged for ensuring and controlling the management quality of the research application, etc.); - the implementation system of the research application - the description of the implementation system of the research application, i.e. in what way the cooperation of the implementer of the research applicant (post-doctoral researcher), the scientific/ the national economy branch adviser, support personnel and administration personnel planned, what monitoring tools are envisaged for ensuring and controlling the quality of implementation of the research application; - the monitoring mechanism of cooperation partners, including how the research applicant plans to monitor and to ensure high quality performance of services to be provided during the implementation (access to the infrastructure and human resources) (if applicable). <p>The research application <u>implementation capacity</u> is sufficient if the research application contains information on:</p> <ul style="list-style-type: none"> - the research applicant, the direction and the areas of operation of the institution, the goal and the vision of the institution (a brief description of the strategy of the scientific institution or the development plan of the enterprise may be provided); - the name, surname, qualification, brief CV (experience in the research area related to the research application) of the person 		
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		<p>responsible in the institution for the research of the research application (the scientific/ the national economy branch adviser);</p> <ul style="list-style-type: none"> – the main research equipment, infrastructure and materials, including a sufficient number of premises and required infrastructure and equipment (the list) in order to provide environment suitable for research, training and know-how transfer, and a work place for the post-doctoral researcher; – prior and current experience in research and mobility programs by specifying similar national or international research and mobility projects where the research applicant has participated or currently participates; – related scientific articles and/ or developed research/ innovation products (up to five scientific articles or research and innovation products developed in the institution of the research applicant). <p>The <u>financial capacity</u> of a research application is sufficient if the research application describes the financial capacity of the research application, provides information on available financial means for implementation of the research application – an advance payment and co-funding, indicating planned funds available for the implementation of the research application, as well as contributions in kind, if applicable (Additional information on the possibilities of using investment in kind as co-funding for a research application: https://www.esfondi.lv/upload/00-vadlinijas/3pielikums_metodika_natura_27022019.pdf) and/or an opinion of the Treasury is planned on receiving a state loan to implement the research application as per planned settings, specifies other sources of financing and the synergy of the research application with other research projects (by coordinating this with Paragraph 2.5 in the research application) which provide funding for the scientific/economic sectors consultant and the support personnel of the post-doctoral researcher. Description of the financial capacity and attraction of required funding in compliance with the type of the research application:</p>		
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		<ul style="list-style-type: none"> – in case of a research application not related to economic activity in compliance with the provisions of Paragraph 42 of the Cabinet Regulation for the activity; – in case of a research application related to economic activity in compliance with the provisions of Paragraph 58 of the Cabinet Regulation for the activity. <p>If the research application fully or partially does not comply with any of the above requirements, the evaluation shall be “Yes, with a condition”, at the same time imposing a relevant condition for correcting the research application.</p>		
1.9.	The research applicant and the cooperation partner of the research applicant does not have tax debts, including debts of the state social insurance mandatory contributions, the total amount of which for each individually exceeds 150 euros in the Republic of Latvia.	<p>The examination of the compliance of the research applicant and the cooperation partner, if applicable, with the criteria shall be performed for each of them separately in the data base for tax (duty) debtors (hereinafter - SRS debtors database) administered by the State Revenue Service (hereinafter - SRS) – https://www6.vid.gov.lv/NPAR, where, the information is updated monthly on the 7th (seventh) and 26th (twenty-sixth) day. The evaluation shall be determined based on the information available in the SRS debtors' database on the nearest day before submitting the research application or clarifications of research applications to SEDA, for example, if the research application is submitted on July 20, the decision on the research applicant is based on April 7. The evaluation form of the research application shall state the date of the inspection and the established situation, as well as keep the evidence of examination.</p> <p>The evaluation is “Yes”, if:</p> <ol style="list-style-type: none"> 1) based on the information available in the SRS debtors' database on the nearest day before the submission of the research application or clarifications of the research application to the SEDA, the research applicant and cooperation partner have no tax debts, including debts of mandatory state social insurance contributions (hereinafter - tax debts) the total amount of which exceed 150 euro; 	P	P

		<p>2) based on the information available in the SRS debtors database, if on the nearest day before the date of submission of the research application the SEDA research applicant or cooperation partner has tax debts, however, on the nearest day before adoption of the decision of the SEDA on approval/conditional approval of the research application and the cooperation partner does not have tax debts as per the SRS database of debtors the total amount of which exceeds 150 euros, the condition for the payment of the debt shall not be set and criterion shall receive evaluation “Yes”.</p> <p>The evaluation shall be “Yes, with a condition”, if according to the information available in the database of tax debtors administered by the SRS – https://www6.vid.gov.lv/NPAR, on the nearest published date before the submission of the research application and before the decision of the SEDA on approval/conditional approval of the research application with the SEDA the research applicant and the co-operation partner have tax debts in the total amount exceeding 150 euros.</p>		
1.10.	<p>The original research application has the legal validity of a document:</p> <p>1.10.1. it has been prepared in compliance with the requirements of regulatory enactments regulating circulation of electronic documents (applicable, if the research application has been submitted as an electronic document), including that the research application is signed by a secure electronic signature in compliance with regulatory enactments on preparing electronic documents, by attaching authorisation (if required);</p>	<p>regarding the criterion contained in Sub-Paragraph 1.10.1 the evaluation is “Yes”, if:</p> <ul style="list-style-type: none"> – the research application has been submitted in the POSTDOC information system; – the research application has been submitted as an electronic document and it is signed by a secure electronic signature and attested by a time stamp; – the research application has been signed by the responsible official of the research applicant; – if the research application has been signed by another person, the authorisation signed by the responsible official of the research applicant (Power of Attorney, an internal regulation) is attached to the research application. 	P	P

	<p>1.10.2. it has been prepared in compliance with regulatory enactments prescribing the requirements of preparing and filing documents (applicable if the research application has been submitted as a hard copy), including that the research applicant's attestation has been signed by the research applicant or a person authorised by him/ her, a relevant authorisation has been attached to the research application.</p>	<p>The software “eParakstītājs” developed by the State Joint Stock Company “Latvian National Radio and TV Centre” or the website https://www.eparaksts.lv/lv/palidziba/parbaudit-edokumentu/ shall be used for evaluating the above criterion.</p> <p>regarding the criterion contained in Sub-Paragraph 1.10.2 the evaluation is “Yes”, if:</p> <ul style="list-style-type: none"> – the research application has been prepared in compliance with the regulatory enactments prescribing requirements for preparing and filing documents; – Section 8 of the research application “Attestation” has been signed by the responsible official of the research applicant; – if the research application has been signed by another person, the authorisation signed by the responsible official of the research applicant (Power of Attorney, an internal regulation) is attached to the research application. <p>If the research application fully or partially does not comply with any of the requirements defined by the relevant criterion, the evaluation shall be “Yes, with a condition”, at the same time imposing a relevant condition for correcting the research application.</p>		
1.11.	<p>The research application form:</p> <ul style="list-style-type: none"> - has been fully completed in Latvian in compliance with the requirements defined in the Cabinet Regulation on the implementation of the specific support objective; - all the documents to be submitted as defined in the rules of selection of research applications (and their supplements 1 - 3) are attached to it and they are prepared in 	<p>The evaluation is “Yes”, if the research application complies with the following conditions:</p> <ul style="list-style-type: none"> - the research application form is prepared in compliance with the form attached to the rules of selection of research applications and it is fully completed in Latvian; - all the supplements to be submitted as provided for by the rules of selection of research applications are attached to the research application, and they are prepared in Latvian or are supplemented by a certified translation into Latvian, except for the research application form supplement “Research project proposal” and post-doctoral researcher’s CV to be completed in English. 	P	P

	Latvian or a certified translation in Latvian is attached to them.	If the research application fully or partially does not comply with any of the above requirements, the evaluation shall be “Yes, with a condition” , at the same time imposing a relevant condition for correcting the research application.		
1.12.	The financial data of the research application are stated in euros. The financial estimations of the research application have been prepared arithmetically correctly and in compliance with the requirements of the form of the research application.	<p>The evaluation is “Yes”, if the financial data in the research application (including Supplements 2 and 3) are stated in euros (EUR) and:</p> <ul style="list-style-type: none"> – the financial estimations have been developed arithmetically correctly (i.e. there are no mathematical errors); – the financial estimations have been prepared by using two decimals; – the financial estimations have been developed in compliance with the requirements of the form of the research application, including securing mutual correspondence of the funding amount in Supplements 2 and 3 of the research application (and other sections if applicable). <p>If the research application fully or partially does not comply with the above requirements, the evaluation shall be “Yes, with a condition”, at the same time imposing a condition for correcting the research application.</p>	P	P
1.13.	The amount of the research application funding complies with the amount of funding of a research application defined in the Cabinet Regulation for the activity, the European Regional Development Fund (hereinafter – ERDF) aid intensity of the specified public funding does not exceed the maximum aid intensity provided for by the Cabinet Regulation, as well as the sources of co-funding stated in the research application comply with provisions of the Cabinet Regulation for the activity.	<p>The evaluation is “Yes” if the amount of funding specified in Section 1.1, Supplements 2 and 3 of the research application does not exceed the amount stated in Paragraph 47 of the Cabinet Regulation for the activity, i.e. 111,505 euros – and the ERDF aid intensity stated in the research application does not exceed the amount stated in Paragraphs 42, 58 and 62 of the Cabinet Regulation for the activity.</p> <p>If the research applicant is a scientific institution implementing a research application not related to economic activity, the permissible ERDF aid intensity equals 85 %.</p> <p>The permitted ERDF aid intensity for the performance of an industrial research related to economic activity:</p>	P	P

		<ul style="list-style-type: none"> – 85% for a research applicant for implementation of fundamental research related to economic activity; – for a research applicant for implementation of industrial research related to economic activity: <ul style="list-style-type: none"> a) 70% for a research applicant, which conforms to the definition of a micro or small enterprise; b) 60% for a research applicant, which conforms to the definition of a medium-sized enterprise; c) 50% for a research applicant, which conforms to the definition of a large enterprise. <p>The ERDF aid intensity may be increased by 15 percentage points by per cent from the total costs of the research application, without exceeding 80% of the total costs of the research application, if public access to the results of industrial research is ensured in at least one of the following ways – distribution of research results in technical and scientific conferences and publicly accessible depositories (databases), free-of-charge access to software.</p> <p>The permissible public funding aid intensity for implementation of a research application related to economic activity shall be as follows:</p> <ul style="list-style-type: none"> – for the aid to the technology rights protection 50%; – aid for training: <ul style="list-style-type: none"> (a) 50% for a research applicant, which conforms to the definition of a large enterprise; (b) 60%, if the research applicant conforms to the definition of a medium-sized enterprise, training is ensured to working persons with disability or employees in an unfavourable situation; (c) 70% for a research applicant, which conforms to the definition of a micro or small enterprise. <p>The sources of co-funding stated in the research application comply with Paragraphs 42 and 46 of the Cabinet Regulation for the activity:</p>		
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		<ul style="list-style-type: none"> – if the research applicant is a scientific institution implementing a research application not related to economic activity, the national co-funding required for the implementation is provided from: <ul style="list-style-type: none"> a) the State budget funding in the amount of not more than 10 %; b) from other resources at the disposal of the research organisation, including from economic activity, credit resources, other financial resources, or funding which is assigned in accordance with the laws and regulations regarding the procedures by which funds from the State budget shall be provided for implementation of principal activity of a State scientific institution, contribution in kind for which the public aid has not been received and the value of which may be independently audited and evaluated. The total investment in kind shall not exceed 5% from the total costs of the research application. The compliance of the percentage restriction of a contribution in kind shall be checked and recorded in absolute numbers by the beneficiary, when approving the research application. The research application budget cost item, which includes investment in kind, in absolute numbers shall not be reduced during the period of implementation of the research application, if other research application budget item positions: <ul style="list-style-type: none"> • have savings and therefore total costs of the research application reduce, but the goals and indicators anticipated in the research application are attained: • inappropriate costs, due to ineligibility of which total costs of the research application reduce, are stated. – if the research applicant is a scientific institution or an enterprise, which is implementing a research application related to economic activity, the amount of co-funding required for its implementation shall be provided from the resources at the disposal of the research applicant or from credit resources and other financial resources, including no State or local government guarantee or State or local government credit on preferential conditions has been received. 		
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		If the research application fully or partially does not comply with the above requirement, the evaluation shall be “Yes, with a condition” , at the same time imposing a condition for correcting the research application.		
1.14.	The research applicant complies with the requirements defined in Sub-Paragraphs 22.1 and 22.3 of the Cabinet Regulation for the activity.	<p>The evaluation is “Yes”, if the research applicant according to the information specified in section 6.1 of the research application form, accounting policy of the research applicant and other information complies with the requirements defined in Sub-Paragraphs 22.1 and 22.3 of the Cabinet Regulation for the activity:</p> <ul style="list-style-type: none"> – the outstanding recovery order referred to in Article 1(4)(a) of Commission Regulation No. 651/2014 does not apply to them; – if any of sectors, in which the research applicant or co-operation partner is operating, is not for aid and the research applicant or co-operation partner applies for implementation of a research application in aided sector, the research applicant shall, within the scope of the research application, clearly separate activities in aided sectors and financial flows related to the implementation thereof from activities and financial flows of other sectors during implementation of the research application and for three years after implementation of the research application, if the research applicant conforms to the definition of a micro, small or medium-sized enterprise, or for five years after implementation of the research application, if it conforms to the definition of a large enterprise or if the research applicant implements a research application not related to economic activity; <p>If the research application fully or partially does not comply with the above requirement, the evaluation shall be “Yes, with a condition”, at the same time imposing a condition for correcting the research application.</p>	P	P
1.15.	The total costs of the activity included in the research application, the planned aided activities and costs items comply with the	The evaluation is “Yes” if:	P	P

	<p>provisions of the Cabinet Regulation for the activity, i.e. they do not exceed the amounts of costs items and:</p> <ul style="list-style-type: none"> - are required to the research applicant for implementation of the project application (to the research applicant for implementation of the specified activities, ensuring the needs of the scientific target group, solving the defined problem); - provide for the attainment of the goal and deliverables defined by the research applicant. 	<ul style="list-style-type: none"> - the planned activities stated in the research application (including in Section 1.5) comply with the aided activities defined in Paragraph 33 of the Cabinet Regulation for the activity; - the planned costs stated in the research application (in Supplement 3 and other sections if applicable) comply with the costs defined in Sections 48-49 of the Cabinet Regulation for the activity; - the amount of the costs planned in the research application (in Supplement 3 and other sections if applicable) does not exceed the cost limits defined in Paragraphs 50-53, 56-57 of the Cabinet Regulation for the activity on implementation of the specific aid goal, including the provision regarding the payment of a wage within another project or work place contained in Paragraph 59; - the number of relevant units and the relevant measurement unit is stated for each cost item; - if the cost items included in the research application result from the planned activities, are necessary for the implementation of the research application and their necessity is justified by the description of the scientific objective, scientific problems or description of their solution, needs of the research target group (sections 1.2, 1.3, 1.4 of the research application descriptions and other sections, if applicable), activities planned in the research application and results to be achieved within them (descriptions of sections 1.1, 1.5, 1.6 of the research application and other sections, if applicable), monitoring indicators to be achieved in the research application (sections 1.6 of the research application description and other sections, if applicable), research application implementation capacity (description of section 2.1 of the research application and other sections, if applicable), time schedule of the research application (information in Supplement 1 of the research application and other sections, if applicable), publicity (research description of section 5 of the application, etc. and other sections, if applicable); 		
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		<ul style="list-style-type: none"> – if the costs planned in the research application ensure the achievement of the goal, results and indicators set in the research application (i.e. without them it would not be possible to achieve the goal, result and indicators set in the research application). <p>If the research application does not fully or partially comply with the requirements defined in relevant paragraphs of Section “IV. Aided Activities”, “VI. General Funding Conditions for Research Applicants” and Section “VII. Funding Conditions for Research” of the Cabinet Regulation for the activity, the evaluation shall be “Yes, with a condition”, at the same time imposing relevant conditions for correcting the research application.</p>		
1.16.	The term of implementation of the research application comply with the period of implementation of the activity defined by the Cabinet Regulation for the activity.	<p>The evaluation is “Yes”, if based on the information provided in Supplement 1 and Section 2.3 (and in other sections if applicable) of the research application:</p> <ul style="list-style-type: none"> – the activities planned under Paragraph 33 of the Cabinet Regulation shall be eligible to the research applicant if they are initiated after the submission of the research application to the Agency if a research application not related to economic activity or related to economic activity is planned; – the activities of the cooperation partners planned within the research application are scheduled to be commenced following conclusion of cooperation agreements referred to in Paragraph 21 of the Cabinet Regulation for the activity, however not before the date of approval of the research application; – the term of implementation of the research application does not exceed the implementation period of research applications defined by Paragraph 31 of the Cabinet Regulation for the activity, i.e. not exceeding 30 months as from the date of conclusion of the agreement on implementation of the research application, however, no later than by 30 June 2023; – the mutual compliance of the financing plan in Supplement 2 to the research application and the implementation term of the research application is ensured. 	P	P

		If the research application fully or partially does not comply with the all requirements referred to in Paragraphs 21, 31, 35 and 68 of the Cabinet Regulation for the activity, the evaluation shall be “Yes, with a condition” , at the same time imposing relevant conditions for correcting the research application.		
1.17.	The expected results and supervision indicators envisaged in the research application are accurately defined, justified, measurable and contribute to the attainment of the output indices defined in the Cabinet Regulation for the activity.	<p>The evaluation is “Yes” if:</p> <ul style="list-style-type: none"> – in Section 1.5 (and other sections if applicable) of the research application justified (clearly following from the particular activity), clearly defined and measurable result is specified for each activity that will be attained in the result of each activity of the research application; – in Section 1.6 (and other sections if applicable) of the research application justified (clearly following from the particular activity), clearly defined and measurable monitoring results of the research application are stated. They contribute to the attainment of the output indicators defined in Paragraph 6.1.2 of the Cabinet Regulation for the activity: <ul style="list-style-type: none"> • the number of new positions of researchers created in the aided units expressed as full time equivalent – 118; • the number of scientific publications, for the development and publishing of which aid within the scope of research applications was provided– 1,087; • the 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 – 195; • the private investments attracted for implementation of a research application – 897,429 euros; • number of enterprises, which co-operate with research institutions – 76. • number of new researchers (full time equivalent), who have improved their competence, including career growth and personnel renewal processes – 113. 	P	P

		If the research application fully or partially does not comply with the above requirements, the evaluation shall be “Yes, with a condition” , at the same time imposing relevant conditions for correcting the research application.		
1.18.	The publicity and information dissemination activities envisaged in the research application comply with the conditions of the General Regulation ⁴ , the provisions of Cabinet Regulation “Procedure according to which compliance with communication and visual identity requirements shall be ensured in the planning period 2014 - 2020 in implementation of the European Union structural funds and Cohesion Fund”.	<p>The evaluation is “Yes”, if the information and publicity measures specified in Section 5 (and other sections if applicable) if the research application comply with the conditions of Regulation (EU) No 1303/2013 of the European Parliament and of the Council of 17 December 2013 laying down common provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund, the European Agricultural Fund for Rural Development and the European Maritime and Fisheries Fund and laying down general provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund and the European Maritime and Fisheries Fund and repealing Council Regulation (EC) No 1083/2006 (Article 115 and Annex XII), the provisions of Cabinet Regulation No. 87 (17 February 2015) “Procedure according to which compliance with communication and visual identity requirements shall be ensured in the planning period 2014 – 2020 in implementation of the European Union structural funds and Cohesion Fund”, i.e.</p> <ul style="list-style-type: none"> – The scientific target group who participates in the implementation of the activities of the research application is informed that the activity is financed by the ERDF; – at a place visible to the public, for example, at the entrance to the building, minimum one poster containing information about the research application (the minimum size being A3), including about the financial support from the ERDF, is planned to be installed; – on the website of the research applicant it is planned to publish a description about the implementation of the research application, 	P	P

⁴ Regulation (EU) No. 1303/2013 of the European Parliament and of the Council of 17 December 2013 laying down common provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund, the European Agricultural Fund for Rural Development and the European Maritime and Fisheries Fund and laying down general provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund and the European Maritime and Fisheries Fund and repealing Council Regulation (EC) No. 1083/2006.

		<p>including its objective and results by emphasising the financial aid received from the ERDF. Updating of information on the research applicant's website about the implementation of the research application is planned minimum once during a period of three months;</p> <ul style="list-style-type: none"> – for specified information and publicity activities a description of the activity is provided (i.e. what is included in the activity, who will implement it, how often), as well as the period of implementation (for example, during the whole implementation period of the research application, during particular quarters) and the number of activities. <p>If the research application fully or partially does not comply with the requirements defined by regulatory enactments, the evaluation shall be “Yes, with a condition”, at the same time imposing condition for correcting the type, description or implementation period of the publicity and information dissemination activity.</p>		
1.19.	<p>In the research application, the project risks are identified, described and evaluated, their impact and probability is evaluated, the risk mitigation measures are provided for.</p>	<p>The evaluation is “Yes”, if in the research application all the risks (the risks of attainment and administration of financial, implementation, results and supervision indices) identified in Section 2.4 (and other sections if applicable) of the research application are evaluated, the impact (high, medium, low) of each risk and its probability (high, medium, low) is stated, and a justified plan of measures for prevention of the above risks has been developed, i.e. all the activities for prevention of all the above risks are described and the plan of measures is justified.</p> <p>Research applications should anticipate at least the following risks:</p> <ul style="list-style-type: none"> – financial risks (financial resources to make payments, forwarding of accounting and progress reports); – implementation risks (technological risks, activity (action) definition and planning, organisational structure); – risk of attainment of results and supervision indices (risk of fulfilment of planned supervision indices, risk of attainment of planned results of the research application); 	P	P

		<ul style="list-style-type: none"> – administration risk (sufficiency of human resources, organisational management, payment request documentation quality); – other risks (observation of contractual obligations) (if applicable). <p>If the research application fully or partially does not comply with the above requirements, the evaluation shall be “Yes, with a condition”, at the same time imposing relevant conditions for correcting the research application.</p>		
1.20.	The post-doctoral researcher complies with the requirements defined for the target group of the activity in the Cabinet Regulation for the activity.	<p>The evaluation is “Yes”, if the post-doctoral researcher according to the copy of the diploma submitted as Supplement to the research applications complies with the requirements defined for the target group of the activity defined by Paragraph 2.9 of the Cabinet Regulation for the activity – a Latvian or foreign researcher who has acquired doctorate not more than ten years before the deadline for submitting the research application. This time period may be extended for a period of two years, if the person has a justified reason: parental leave or temporary work disability.</p> <p>If the research application fully or partially does not comply with the above requirements, the evaluation shall be “Yes, with a condition”, at the same time imposing relevant conditions for correcting the research application.</p>	P	P
1.21.	The cooperation partner of the research applicant (if applicable) complies with the requirements defined in the Cabinet Regulation.	<p>The evaluation is “Yes”, if the cooperation partner indicated in section 1.9 of the research application complies with the requirements defined by Paragraph 20, Sub-Paragraphs 22.1 and 22.3 of the Cabinet Regulation for the activity.</p> <p>A research application may be implemented in a partnership with a foreign or Latvian research institution, university or an enterprise, or a merchant (hereinafter – cooperation partner), which admits the post-doctoral researcher and ensures access to infrastructure or human resources for implementation of the required research. The co-operation partner may gain economic advantages or intellectual property rights arising from the activities carried out within the scope of the research application submitted by the co-operation</p>	P	P

		<p>partner proportionate to contribution of each partner in the implementation of the research application.</p> <p>The co-operation partner of the research applicant complies with the requirements defined in Paragraph 22 of the Cabinet Regulation for the activity (applicable to the research applications the funding of which is subject to the state aid regulation):</p> <ul style="list-style-type: none"> – the outstanding recovery order referred to in Article 1(4)(a) of Commission Regulation No. 651/2014 does not apply to them, it is not in financial difficulty in accordance with Sub-Paragraph 2.6 of this Regulation (Sub-Paragraph 22.1 of the Cabinet Regulation for the activity); – if any of sectors, in which cooperation partner of the research applicant is operating, is not for aid and the cooperation partner of the research applicant applies for implementation of a research application in aided sector, the research applicant shall, within the scope of the research application, clearly separate activities in aided sectors and financial flows related to the implementation thereof from activities and financial flows of other sectors during implementation of the research application and for three years after implementation of the research application, if the research applicant conforms to the definition of a micro, small or medium-sized enterprise, and for five years after implementation of the research application, if it conforms to the definition of a large enterprise or if the research applicant implements a research application not related to economic activity (Sub-Paragraph 22.3 of the Cabinet Regulation for the activity). <p>If the research application fully or partially does not comply with all the above requirements, the evaluation shall be “Yes, with a condition”, at the same time imposing a condition that the partners compliant with the requirements defined by Paragraph 20, Sub-Paragraphs 22.1 and 22.3 of the Cabinet Regulation for the activity should be involved in implementation of the research application.</p>		
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2. COMPLIANCE CRITERIA		Explanation for establishing compliance	Impact of the criterion upon adoption of a resolution (P, N)	
			Expert's individual evaluation	Consolidated evaluation
2.1.	The research applicant complies with the specific requirements defined in the Cabinet Regulation for the activity.	<p>The evaluation is “Yes”, if the research applicant complies with the specific requirements defined in Sub-Paragraphs 2.1, 2.2, 2.3 and 2.4 of the Cabinet Regulation for the activity:</p> <p>1. In case of a research application not related to economic activity:</p> <ul style="list-style-type: none"> – it shall be verified whether the research applicant complies with the definition of a research organisation, namely, that the application was submitted by a scientific institution registered in the Register of Scientific Institutions of the Republic of Latvia, which meets the definition of a research organisation defined in Article 2(83) of Commission Regulation No.651/2014. The compliance of a scientific institution with the definition of a research organisation shall be checked using the description of the financial management and accounting policy of the scientific institution, the turnover report, which was prepared according to Supplement 6 to the Rules. The compliance shall be evaluated taking into account, inter alia, the following elements: <ul style="list-style-type: none"> a) whether the main purpose of the scientific institution is to carry out scientific activity – fundamental research, industrial research or dissemination of the results of scientific activity in the form of trainings, publication or technology transfer; b) whether in the case, where the scientific institution also pursues economic activities, the financing, the costs and the revenues of those economic activities are accounted for separately, including with the aim to effectively prevent the cross-subsidization of an economic activity; 	P	P

- c) whether the undertakings that can exert an influence upon such an institution, in the quality of shareholders or members, have no preferential access to the research capacity of such an organisation or the research results generated by it.
- shall verify the non-economic nature of the planned application (research), incl. according to of Sub-Paragraph 2.3 of the Cabinet Regulation for the activity.
 - In case of a research application related to economic activity, the compliance of the research applicant with the provisions of Sub-Paragraph 2.16 of the Cabinet Regulation for the activity shall be verified;
 - with the specific category of enterprises according to the provisions of Annex 1 to Regulation No.651/2014 and Sub-Paragraph 2.16 of the Cabinet Regulation for the activity. The conformity of an economic operator to a specific category of enterprises is determined taking into account the following aspects:

Enterprise category	Staff headcount	Annual balance sheet		Annual turnover
Average	< 250 FTE	≤ 43 million EUR	or	≤ 50 million EUR
Small	<50	≤ 10 million EUR		≤ 10 million EUR

When determining the compliance of a scientific institution established by the state with the specific undertaking category, Article 3(4) of Annex 1 of Regulation No. 651/2014: *...an enterprise cannot be considered an SME if 25 % or more of the capital or voting rights are directly or indirectly controlled, jointly or individually, by one or more public bodies.*

		<p>Regulations of the Cabinet of Ministers No. 776 of 16 December 2014 “Procedure of declaration by enterprises of their conformity to the status of a small (micro) and medium-sized enterprise” are observed.</p>		
	Staff headcount (as FTE)	Annual turnover	Summary balance sheet	
<p>Autonomous enterprise: a) enterprises that hold, either solely or jointly with one or more linked enterprises from 25% to 50% of the capital or voting rights of another enterprise b) universities or non-profit research centres that hold, either solely or jointly with one or more linked enterprises up to 50% of the capital or voting rights of another enterprise</p>	Data about the project applicant			
<p>Partner enterprise: hold, either solely or jointly with one or more linked enterprises from 25% to 50% of the capital or voting rights of another enterprise</p>	Data about a partner enterprise that are directly proportional to the percentage of capital or voting rights			
<p>Linked enterprise: hold, either solely or jointly with one or more linked enterprises more than 50% of the capital or voting rights of another enterprise</p>	Data about all linked enterprises			
Data taken into account when evaluating compliance with the specific enterprise category	Amount	Amount	Amount	

		<p>The compliance of a scientific institution with the definition of a research organisation shall be justified by the description of the financial management and accounting policy of the scientific institution and the turnover report, which was prepared according to Supplement 6 to the Rules of the fourth selection stage of research applications.</p> <p>The evaluation is “Yes, under condition”, if there it is impossible to ascertain the conformity of the research applicant with any or all of the said requirements/conditions, at the same time setting the conditions that the research applicant makes clarifications or submits additional information to justify 1) conformity of the research applicant with the definition of a research organisation in case of a research application not related to economic activity or 2) conformity of the research applicant with a specific enterprise category.</p>		
2.2.	Readiness of the research application for commencing it.	<p>The evaluation is “Yes”, if in Section 1.2 or other sections (if applicable) of the research application information is provided justifying compliance with the condition contained in Paragraph 25.2 of the Action Cabinet Regulation, i.e. the research applicant has agreed with the post-doctoral researcher regarding the content of the research application, the conditions for technical and financial co-operation, the rights, obligations, and liability of the parties, the conditions for the use, introduction and marketing of results of the research application.</p> <p>If the research application fully or partially does not comply with the above requirements, the evaluation shall be “Yes, with a condition”, at the same time imposing relevant conditions for correcting the research application.</p>	P	P
2.3.	The purpose of the research application complies with the purpose defined in the Cabinet Regulation for the activity.	<p>The evaluation is “Yes”, if in Section 1.2 or other sections (if applicable) of the research application information is provided justifying compliance of the purpose of the research application with the provisions of Paragraph 3 of the Cabinet Regulation for the activity, i.e.:</p>	P	P

		<ul style="list-style-type: none"> - provides for development of the skills of the post-doctoral researcher and increase of the scientific capacity, as well as improvement of research competences, - ensures possibilities for the post-doctoral researcher to start a career in scientific institutions or with enterprises, - ensures renewal of human resources and increase in the number of qualified specialists. <p>If the research application fully or partially does not comply with the above requirements, the evaluation shall be “Yes, with a condition”, at the same time imposing relevant conditions for correcting the research application.</p>		
2.4.	The research application creates synergy or is complimentary with other research projects.	<p>The evaluation is “Yes”, if the following information is provided in section 2.3.2 of the research application: the research application creates synergy or complementarity with other research projects, for example, practical research under Activity 1.1.1.1, fundamental and applied research projects financed by the Latvian Council of Science, State research programs, etc.</p> <p>If the research application does not fully or partially comply with the above requirements, the evaluation will be "Yes, with a condition", at the same time imposing the relevant conditions to clarify the research application.</p>	P	P
2.5.	Compliance of the activities planned within the framework of the research application with the development strategy and the research programme for 2015-2020 of the scientific institution or development plans of the undertaking and the guidelines of the Smart Specialisation Strategy (RIS3), implementation of priorities and/or the specialisation areas.	<p>The evaluation is “Yes”, if in Sections 1.3, 6.1 or other sections of the research application (if applicable) information is provided about how:</p> <ul style="list-style-type: none"> – development of the research direction is envisaged in the development strategy and the research program 2015-2020 of the scientific institution; – development of the research direction is envisage in the development plans of the enterprise; – the topic of the research application corresponds to specific RIS3 guidelines, priorities and/or the specialisation area (the area should be specified). 	P	P

		If the research application fully or partially does not comply with the above requirements, the evaluation shall be “Yes, with a condition” , at the same time imposing relevant conditions for correcting the research application.		
2.6.	The research applicant undertakes to ensure the sustainability of the achieved results after the completion of the research application in accordance with the deadlines specified in the Cabinet Regulation on the implementation of the specific support objective (applicable if the requirements are set in the Cabinet Regulation on the implementation of the specific support objective).	<p>The evaluation is “Yes”, if in Sections 3.3, 6.1 and 6.2 or in other sections (if applicable) of the research application the research applicant describes and justifies the sustainability of attained results for minimum five years following completion of the research application by ensuring development of the research direction of the research application and the sustainability of the created work place:</p> <p>describes and justifies the sustainability of the research application, i.e. how the research applicant ensures the sustainability of attained results for minimum 5 (five) years following completion of the research application, the sustainability of the created work place in compliance with Paragraph 73 of the Cabinet Regulation for the activity and supervision indicators presented in Sub-Paragraph 6.2:</p> <ul style="list-style-type: none"> – describes and justifies that during the entire research application follow-up period the post-doctoral researcher’s position will be actually filled to 1 FTE; – describes and justifies how sustainability will be ensured and what contribution will be made to the institution by the competences and skills improved during the post-doctoral researcher's research application, for example, the post-doctoral researcher will develop and attract other sources of financing during the implementation of the research application for the attainment of the objectives set In the operational strategy, for the development of the research direction, will create a new group of researchers, etc. – describes and justifies how the development of the research direction commenced by the research application will be continued (the description of the scientific institutions includes the justification regarding the developed valid development strategy and the research directions included in the research program), by ensuring the number of 	P	P

		<p>scientific articles published in widely referred magazines, the increase in numbers according to the RIS3 guidelines, implementation of priorities and development of specialisation areas and supervision indicators defined in Sub-Paragraph 6.2 of the Cabinet Regulation for the activity, and it is also stated how the obtaining, approval, defence and maintenance (if applicable) of technological rights (intangible assets) gained from performance of research activities will be organised.</p> <ul style="list-style-type: none"> – it is described and justified how the research applicant ensures the sustainability of attained results for minimum 5 (five) years following completion of the research application by ensuring development of the research direction of the research application in compliance with Paragraph 73 of the Cabinet Regulation for the activity (the description of the scientific institution shall contain the justification regarding the developed valid development strategy and the research directions included in the research program). It is described and justified how the development of the research direction commenced within the research application, further research, transfer of obtained know-how and technologies, provision of information to the scientific target group of the research application and eventual transfer will be ensured. <p>If the research application fully or partially does not comply with the above requirements, the evaluation shall be “Yes, with a condition”, at the same time imposing relevant conditions for correcting the research application.</p>		
2.7.	The specific activities envisaged by the research application encourage compliance with the horizontal principle “Equal opportunities” (gender equality, disability and ethnicity).	<p>The evaluation is “Yes”, if in Section 3.1 or other sections (if applicable) of the research application the research applicant describes the specific activities envisaged in the research application and they encourage compliance with the horizontal principle "Equal opportunities" (gender equality, disability and ethnicity):</p> <ul style="list-style-type: none"> – encourage gender equality, – encourage respect of the rights of persons with disabilities and their inclusion, – encourage non-discrimination based on the ethnicity, 	P	P

		<p>– non-discrimination based on the age.</p> <p>If the research application fully or partially does not comply with the above requirements, the evaluation shall be “Yes, with a condition”, at the same time imposing relevant conditions for correcting the research application.</p>		
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3. OUTPUT INDICATOR ATTAINMENT PROMOTION QUALITY CRITERIA		Evaluation system – score scale	Minimum score required	Explanation for establishing compliance
3.1.	There are intentions to raise private funding within the framework of the research application:		The criterion gives an additional score point	<p>sub-criterion 3.1.1.1 shall be applied and zero score points shall be granted, if the research application not related to economic activity provides information that there is no intention to raise private funding for the implementation of the research application.</p> <p>sub-criterion 3.1.1.2 shall be applied and 0.5 score points shall be granted, if the research application not related to economic activity (table 1.6.1 and Supplements 2 and 3 of the form) provides information that private funding of 5 – 10% of the maximum total funding of the research application was raised for the implementation of the research application.</p> <p>sub-criterion 3.1.1.3 shall be applied and one score point shall be granted, if the research application not related to economic activity (table 1.6.1 and Supplements 2 and 3 of the form) provides information that private funding of more than 10% of the maximum total funding of the research application was raised for the implementation of the research application.</p> <p><i>Private funding shall mean such funding, which the research applicant obtained within the scope of its economic activity, as a result of a donation, a loan from a credit institution or a loan</i></p>
3.1.1.	There are intentions to raise private funding within the framework of the research application not related to economic activity:	0-1		
3.1.1.1.	There are no intentions to raise private funding within the framework of the research application;	0		
3.1.1.2.	There are intentions to raise private funding of 5 – 10% of the maximum total eligible funding of the research application within the framework of the research application;	0.5		
3.1.1.3.	There are intentions to raise private funding of more than 10% of the maximum total eligible funding of the research application within the framework of the research application.	1		

				<i>from the Treasury, if it was granted WITHOUT a preferential % rate, or in some other way, which is not a budget grant or other funding from funds of a public origin. Income gained from paid services from state and local government institutions will also be considered private funding.</i>
3.1.2.	There are intentions to raise private funding within the framework of the research application related to economic activity:	0-1	The criterion gives an additional score point	sub-criterion 3.1.2.1 shall be applied and zero score points shall be granted , if the research application related to economic activity provides information that private funding of up to 20% of the maximum total funding of the research application is intended to be raised for the implementation of the research application.
3.1.2.1.	There are intentions to raise private funding of up to 20% of the maximum total eligible funding of the research application within the framework of the research application.	0		sub-criterion 3.1.2.2 shall be applied and 0.5 score points shall be granted , if the research application related to economic activity (table 1.6.1 and Supplements 2 and 3 of the form) provides information that private funding of more than 20% of the maximum total funding of the research application is intended to be raised for the implementation of the research application.
3.1.2.2.	There are intentions to raise private funding of more than 20% of the maximum total funding of the research application within the framework of the research application.	0.5		sub-criterion 3.1.2.3 shall be applied and one score point shall be granted , if the research application related to economic activity (table 1.6.1 and Supplements 2 and 3 of the form) provides information that private funding of more than 35% of the maximum total funding of the research application is intended to be raised for the implementation of the research application.
3.1.2.3.	There are intentions to raise private funding of more than 35% of the maximum total funding of the research application within the framework of the research application.	1		

3.2.	Within the framework of the research application there are intentions to develop a new product or technology that is commercializable and the development of which has received aid under the research application (<i>Criterion applies only to industrial research</i>).	0-2	The criterion gives an additional score point	<p>sub-criterion 3.2.1 shall be applied and zero score points shall be granted, if within the framework of the research application (table 1.6.1, section 1.5 of the form and the research project proposal) there are no plans to develop a new product or technology, which may be marketed.</p> <p>sub-criterion 3.2.2 shall be applied and two score point shall be granted, if the research applicant in table 1.6.1, section 1.5 of the form and in the research project proposal justifies that at least one new product or technology, which may be marketed, will be developed when implementing the research application.</p> <p><i>A commercialisable new product or technology is the number of prototypes of the new product (goods or services, which are absolutely new or which have improved functional properties or their intended type of usage has changed (including technical parameters, components, materials, added software, user-friendly properties changed or improved) or technology (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) developed within the scope of the research application with a specific technology readiness level (are commercialisable). At the same time, during the implementation of a research application or not later than within five years after the last payment, but not later than by 30.11.2023, sustainability of results of the research application has been ensured making a contribution to the development of the innovation system according to one of more types of contribution:</i></p> <ul style="list-style-type: none"> <i>– ensuring protection of technology rights related to the prototype;</i>
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3.2.1.	Within the framework of the research application there are no intentions to develop a new product or technology that is commercializable and the development of which has received aid under the research application,	0		<ul style="list-style-type: none"> – <i>conclusion of an intellectual property licence agreement related to the prototype;</i> – <i>improvement of the prototype to introduce it into production or provision of services (in this case registering for improvement of the prototype the highest prototype technological readiness value at the level of the specific objective, i.e. if improvement of the prototype to introduce it into production or provision of services is ensure by implementing the research project within the same activity or other activity under specific objective 1.1.1, the output indicator with the specific technological readiness level is registered as attained only once). In such case, the project should be approved by 30.11.2023.</i>
3.2.2.	Within the framework of the research application there are intentions to develop a new product or technology that is commercializable and the development of which has received aid under the research application.	2		