



Valsts izglītības
attīstības aģentūra

NACIONĀLAIS
ATTĪSTĪBAS
PLĀNS 2020



EIROPAS SAVIENĪBA
Eiropas Reģionālās
attīstības fonds

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

**Activity 1.1.1.2 “Post-doctoral Research Aid” of the Specific Aid Objective
1.1.1 “To increase the research and innovative capacity of scientific
institutions of Latvia and the ability to attract external financing,
investing in human resources and infrastructure” of the Operational
Programme “Growth and Employment”**

Rules of the first selection stage of research applications

<p>Cabinet Regulations governing the implementation of the Activity of the Specific Aid Objective</p>	<p>Cabinet Regulations No. 50 of January 19, 2016, “On Implementation of Activity 1.1.1.2 “Post-doctoral Research Aid” of the Specific Aid Objective 1.1.1 “To increase the research and innovative capacity of scientific institutions of Latvia and the ability to attract external financing, investing in human resources and infrastructure” of the Operational Programme “Growth and Employment” (hereinafter SAM Cabinet Regulations)</p>
<p>Financial conditions</p>	<p>The total eligible funding available for the Activity is 64,029,231 euros, including funding from the European Regional Development Fund – 54 424 846 euros, funding from the State budget – 6,404,385 euros, and private funding – 3 200 000 euros. The total eligible funding planned for implementation of project applications is 60,913,758 euros, including funding from the European Regional Development Fund – 51,776,694 euros, funding from the State budget – 5,937,064 euros, and private funding – 3,200,000 euros.</p> <p>The amount of funding planned for implementation of the fundamental research shall not exceed 20 per cent from the total amount of eligible funding. If all funding planned within the scope of the relevant round of selection of research applications is not acquired for implementation of the fundamental research it shall be redirected for implementation of industrial research applications.</p> <p>The maximum total eligible funding of a research application shall be 133,806 euros.</p> <p>The following costs shall be eligible within the scope of a research application not related to economic activity:</p> <ul style="list-style-type: none"> - the costs of a postdoctoral researcher (personnel) up to 2,731 euros per month, including State mandatory social insurance contributions and other social guarantees laid

	<p>down in laws and regulations;</p> <ul style="list-style-type: none"> - the units costs of research, including costs of purchase of materials, protection of technology rights and external services, costs of training and networking measures 800 euros per month. A certain part of the unit costs may be provided for payment of manhours for support/ technical duties, for example, data processing, considering also other planned costs to be covered from the unit costs amounting to 800 euros (per month). - indirect (verifiable) costs for administrative and infrastructure resources of the research applicant used for ensuring implementation of the research application, without exceeding five per cent from the total eligible costs of the research application. Indirect (verifiable) costs shall include office supplies, stationery and lease or purchase of office equipment, lease or rental of premises, utility payments and maintenance costs of premises (including covering in proportion of the costs for the use of common-use premises of an institution and common-use resources), costs of telecommunication, Internet and postal services; maintenance costs of information technologies; costs for aid of the research applicant and remuneration of the management personnel; costs which are not included in the costs referred to in Sub-paragraphs 48.1 and 48.2 of the SAM Cabinet Regulation, but are necessary for achieving the results of the research application. The above costs will be verified during implementation of the research application. <p>The maximum eligible ERDF funding for research applications not related to economic activity shall not exceed 85 per cent of the total eligible funding of the research application and the necessary co-funding in the amount of 15 per cent of the total eligible funding of the research application to be provided in compliance with Paragraphs 42.1 and 42.2 of the SAM Cabinet Regulation.</p> <p>The following costs shall be eligible within the scope of a research application related to economic activity:</p> <ul style="list-style-type: none"> - personnel costs: researchers, technical and other support staff to the extent they are employed in implementation of the research application by complying with the aid intensity of the public funding; - costs for tools and equipment to the extent and according to the time they are used for implementation of the research application; - costs for contracted research, know-how and patents that are purchased or licensed from external sources under the condition of fair competition, as well as the costs for consultants' services and similar services used exclusively for the purposes of implementation of the research application; - additional indirect costs and other operational
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expenses, including the costs of materials, accessories and similar products, incurred directly in the result of implementation of the research application;

- costs for obtaining, approval and defence of patents and other intangible assets;
- operational costs of the teaching personnel and trainees directly related with implementation of the research application;
- costs of the trainee personnel and general indirect costs (administrative costs, rent, overhead costs) for the hours when trainees participate in trainings.

The permissible aid intensity of the public funding for implementation of a research application related to economic activity shall be as follows:

- 85 per cent for implementation of fundamental research;
- for conducting industrial research:
 - ✓ 70 per cent for a research applicant, which conforms to the definition of a micro or small enterprise;
 - ✓ 60 per cent for a research applicant, which conforms to the definition of a medium-sized enterprise;
 - ✓ 50 per cent for a research applicant, which conforms to the definition of a large enterprise.

The aid intensity of the public funding intended for conducting industrial research may be increased by 15 points by per cent from the total eligible costs of the research application, without exceeding 80 per cent of the total eligible 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.

Funding for the protection of technology rights and training may be received by a research applicant, which conforms to:

- the definition of a micro, small or medium-sized enterprise, if a research application related to economic activity is implemented. The permissible aid intensity of the public funding for aid to the protection of technology rights shall be 50 per cent;
- to the definition of the research organisation provide in Paragraph 2.11 of the SAM Cabinet Regulation if a research application not related to economic activity is implemented.

	<p>Funding for the costs related to training may be received by a research applicant, which conforms to: the definition of a micro, small or medium-sized enterprise, if a research application related to economic activity is implemented. The permissible aid intensity of the public funding for training shall be as follows:</p> <ul style="list-style-type: none"> ✓ 60 per cent, 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; ✓ 70 per cent for a research applicant, which conforms to the definition of a micro or small enterprise; <p>- to the definition of the research organisation provide in Paragraph 2.11 of the SAM Cabinet Regulation if a research application not related to economic activity is implemented.</p> <p>Costs shall be eligible if they have arisen not earlier than:</p> <ul style="list-style-type: none"> - the date of submission of the research application to the State Education Development Agency (hereinafter - the Agency) for research applications not related to economic activity and research applications related to economic activity if the applicant conforms to the definition of a micro, small or medium-sized enterprise, - the date when a project implementation agreement with the Agency was entered into if the research applicant conforms to the definition of a large enterprise. 	
The form of implementation of the selection of research applications	Open selection of project applications	
Term for submission of research applications	From 15 September, 2016	to 30 November 2016

I. Requirements to the research applicant and cooperation partners

1. A research applicant is a scientific institution or a micro, small, medium-sized or large enterprise registered with the Enterprise Register of the Republic of Latvia, which establishes employment legal relations with a postdoctoral researcher and ensures access to infrastructure and human resources for implementation of the research necessary within the scope of the research application.

2. Cooperation partners of the research applicant may be a foreign or Latvian scientific institution, institution of higher education or enterprise (hereinafter – cooperation partner), which admits the postdoctoral researcher and ensures access to infrastructure or human resources (without gaining advantages or intellectual property

rights arising from the activities carried out within the scope of the research application).

3. In order to ensure timely selection of foreign experts, the research applicant is hereby invited to submit the following information in English to the Agency two weeks prior to the term for submission of the research application provided for by the present Rules.

- 3.1. the name of the research institution where the research will be carried out;
- 3.2. the post-doctoral researcher's name, surname;
- 3.3. the field and sub-field of science of the research application, key words;
- 3.4. the title and the summary of the research.

Submission or failure to submit the above information shall not impact the results of the evaluation of the research application.

4. Prior to submission of the research application the research applicant shall have developed the selection procedure of the postdoctoral researchers' applications which is clear, defined in advance and publicly available, non-discriminatory and compliant with the institution's human resources development plan and research program, thus ensuring selection of Latvian and foreign postdoctoral researchers.

II. Aided activities and costs

5. Within the framework of the research application the activities referred to in Paragraph 33 of the SAM Cabinet Regulation shall be aided.

6. Costs in compliance with the stipulations of Paragraphs 41 -55 and 58-68 shall be envisaged in the research application.

III. Drafting and submission of a research application

7. The research application shall consist of the research application form and its supplements (Supplement 1 to the Selection Regulations):

- 7.1. Supplement 1 "Timetable for the implementation of the research application";
- 7.2. Supplement 2 "Financing plan";
- 7.3. Supplement 3 "Budget summary of the research application";
- 7.4. Supplement 4 "Research project proposal" (in English);
- 7.5. Supplement 5 "Postdoctoral researcher's curriculum vitae/ CV (in English)";

7.6. additional documents to be attached to the research application:

7.6.1. an agreement between the research applicant and the postdoctoral 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, publicity and marketing of results of the research application;

7.6.2. an attestation regarding non-existence of the double financing (in compliance with the form of Supplement 1 to the Selection Rules);

7.6.3. the statement by the enterprise or the joint institution of enterprises justifying the relevance of the research to be performed within the framework of the particular research application for the development of the relevant field of science or the national economy or the enterprise (if applicable) (in English);

7.6.4. the letter by the cooperation partner regarding the preparedness to participate in implementation of the research application (if applicable).

7.6.5. decision of the European Commission on the approval of the project submitted within the frame of the Marie Skłodowska-Curie action “Individual Fellowships” of the EU Framework Programme for Research and Innovation “Horizon 2020” (if applicable);

7.6.6. a copy of the research application submitted within the frame of the Marie Skłodowska-Curie action “Individual Fellowships” of the EU Framework Programme for Research and Innovation “Horizon 2020” (if applicable);

7.6.7. assessment of the research quality of the project by experts included in the database of experts of the European Commission (if applicable);

7.6.8. a justification regarding the stimulating impact of the public support planned within the frame of the research application in line with requirements contained in Article 6.2 and 6.3 of the Commission Regulations No.651/2014 (applicable if the planned research application implementation is related to economic activity).

7.6.9. a Power of Attorney or an internal regulation of the institution attesting the authority to sign the project application (applicable if the research application is signed by a person who is not the Head of the institution or his/ her deputy);

7.6.10. the translation (if applicable).

8. Supplements to the research application shall be numbered in sequence by continuing the numeration of the mandatory supplements to the research application form. In addition to the above referred supplements, the research applicant may append other documents deemed necessary for high quality evaluation of the research application. It is recommended to submit documents both in Latvian and in English.

9. In order to ensure high quality completion of the research application form, the methodology of completing the research application form shall be followed (Supplement 1 to the Selection Rules).

10. The research applicant may prepare and submit the research application as follows:

10.1. as an electronic document by using an e-mail and signing the research application by a safe electronic signature containing the time stamp;

10.2. as a hard copy by submitting the research application in person or by sending it by post.

IV. Procedure of drafting a research application

11. The research application shall be signed by the responsible person of the research applicant or by a person authorised by him/ her. The signatory rights of the person signing the research application shall be secured in compliance with the regulation provided for by regulatory enactments. If the research application is signed by a person authorised by the research applicant, a relevant documents regarding the authority provided for the relevant person shall be appended.

12. The research application shall be drafted in Latvian. If any of the sections of the research application form and Supplements 1-3 are in any other language, a translation in the state language shall be appended in compliance with the procedure prescribed by Cabinet Regulations No.291 of August 22, 2000, “On Procedure for Procedure for the Certification of Translations of Documents in the State Language” or certified by a notary.

13. Supplements 4 and 5 to the research application and the statement of an enterprise or a collegial body of enterprises shall be submitted in English in compliance with Paragraph 23 of the SAM Cabinet Regulations

14. Amounts in the research application shall be specified in euros with 2 decimals.

15. If the research application is prepared in the form of an electronic document:

15.1. regulatory enactments on drafting electronic documents shall be complied with¹;

15.2. the research application and additional documents submitted as a single file shall be signed by a secure electronic signature containing the time-stamp.

16. If the research application is submitted in the POSTDOC information system, the research applicant shall fill in the specified data fields and attach required supplements.

17. If the research application is prepared in the form of a hard copy in paper form:

17.1. regulatory enactments prescribing requirements for preparing and filing documents shall be complied with²;

17.2. one original copy shall be submitted, appending an identical electronic copy, providing documents in the DOC or DOCX and XLS or XLSX format on an electronic data carrier. Documents appended to the research application may be appended also in the format of PDF or JPG files. The electronic copy of the research application shall be identical to the original of the research application;

17.3. the pages of the original research application shall be numbered, bound and the number of pages shall be attested accordingly. Bulky supplements may be bound separately by stating in the research application that the relevant supplements (the title and the number of pages) is bound separately. Each separately bound document shall be attested on the back-side of the last page by the signature of the research applicant's signatory or a person authorised by him/ her;

17.4. the research application shall be prepared in computer print, pages may be printed/copied on both sides; chapters, paragraphs and sub-paragraphs of the research application shall not be modified and deleted;

17.5. if any of the supplements to the research application is a copy, true copy or extract of an electronic document in paper form, its correctness shall be certified in compliance with requirements of regulatory enactments.

V. Procedure for submission of research applications

18. The Agency shall prepare and announce the first open selection of research applications within one month following conclusion of the agreement on the project implementation by publishing the notice on submission of research applications in the Official Journal "Latvijas Vēstnesis", in the portal of the European Commission

¹ Law on Electronic Documents, Cabinet Regulations No. 473 of June 28, 2000, "On Procedures for the Preparation, Drawing Up, Storage and Circulation of Electronic Documents in State and Local Government Institutions, and the Procedures by which Electronic Documents are Circulated between State and Local Government Institutions, or Between These Institutions and Natural Persons and Legal Persons".

² Law on Legal Force of Documents, Cabinet Regulations No. 916 of September 28, 2010, "On Procedure for Preparing and Filing Documents".

“Euraxess” and on the website of the Ministry of Education and Science (www.izm.gov.lv).

19. A research application shall be submitted:

19.1. on business days from 8:30 to 17:00 at the Agency - Vaļņu iela 1, Riga. The receipt date stated by the Agency shall be deemed the date of submission of the research application;

19.2. by sending it by post. The date when the research application was delivered to the post office shall be deemed the date of submission of the research application. It is advisable to assure whether the research application is stamped by the postal stamp of the relevant date if the research application is delivered to the post office on the last day of the submission term;

19.3. as an electronic document by sending it to the e-mail address of the Agency: info@viaa.gov.lv. The moment when the Agency has received the research application shall be deemed the time of submission of the research application. Applications signed by an electronic signature shall be accepted via e-mail also on the day following the final submission term if they have been signed by a time stamp on the last submission date;

19.4. in the POSTDOC information system: <https://postdoc.gov.lv>. The person responsible for the research application or a person authorised by him/ her shall sign an agreement with the Agency regarding the use of the POSTDOC information system and receive the user's access to the POSTDOC information system prior to submission of the research application.

20. A research application shall be submitted by the end of the term for submission thereof. If a research application is submitted after the end of the term for submission of research applications, it shall not be evaluated and the research applicant shall receive the Agency's notification regarding the refusal to evaluate the research application.

21. Following the receipt of the research application at the Agency, an attestation regarding the receipt of the research application shall be issued/ sent to the research applicant.

VI. Procedure for evaluation of research applications

22. For the purpose of evaluation of research applications, the responsible official of the project shall establish the commission for evaluation of research applications by an ordinance (hereinafter - the Evaluation Commission) where science and higher education representatives not in a conflict of interest may be included.

23. There shall be minimum 7 members in the Evaluation Commission. Representatives of the Ministry of Education and Science as the responsible authority, representatives of line ministries and the Agency shall be included in the Evaluation Commission. Representatives of other institutions, including science and higher education representatives without a conflict of interest may also act as members of the Evaluation Commission which shall be provided for by the ordinance on establishment of the Evaluation Commission. The Secretary of the Evaluation Commission without voting rights shall be a Secretariat employee.

24. The Evaluation Commission shall work in compliance with the Rules of Procedure of the Evaluation Commission approved by the responsible official of the project following approval by the Ministry of Education and Science.

25. In their work the members of the Evaluation Commission shall follow the regulatory enactments of the Republic of Latvia and the European Union and shall be held responsible for timely, impartial and careful evaluation of research applications in compliance with the evaluation criteria of research applications contained in Supplement 3 to the Selection Rules, as well as for maintenance of confidentiality.

26. The administrative and compliance evaluation of research applications shall be performed by the Evaluation Commission in compliance with the administrative and compliance evaluation criteria of research Applications (Supplement 3 to the Selection rules) by using the Guidelines and methodology for administrative and compliance evaluation of research applications (Supplement 4 to the Selection Rules) by issuing an evaluation and comments justifying the evaluation.

27. For the evaluation of the scientific quality of research applications the Agency shall organise the selection of experts included in the data base of the European Commission and performance of examination in compliance with the evaluation principles and approach of the European Union Framework Program for Research and Innovation "Horizon 2020" Marie Skłodowska-Curie Actions Individual Fellowships. Foreign experts shall use the guidelines and criteria of evaluation of the scientific quality of the research application (Supplement 5 to the Selection Rules), by issuing an evaluation and comments justifying the evaluation.

28. If the research applicant has submitted a research application for involving a foreign postdoctoral researcher which was submitted within the frame of the Marie Skłodowska-Curie action "Individual Fellowships" of the EU Framework Programme for Research and Innovation "Horizon 2020" and its evaluation was above the quality threshold within the above evaluation of project applications, however it did not receive funding for the project implementation, administrative and compliance evaluation shall be performed for these research applications and the scientific quality evaluation shall not be performed. For the purpose of determining the scientific quality the experts' opinion regarding the scientific quality of the project received within the Marie Skłodowska-Curie action "Individual Fellowships" of the EU Framework Programme for Research and Innovation "Horizon 2020" shall be used.

29. If the postdoctoral researcher wishes to modify the project which was submitted within the frame of the Marie Skłodowska-Curie action "Individual Fellowships" of the EU Framework Programme for Research and Innovation "Horizon 2020", both the administrative and compliance evaluation and the scientific quality evaluation shall be performed for this research application.

30. In a meeting the Evaluation Commission shall assess the application evaluation and decide on approval or conditional approval of the research application if the research application does not conform to any evaluation criteria of research applications or any part of the clarifications provided in the methodology of application of evaluation criteria of research applications regarding establishing compliance with the evaluation criteria of research applications.

31. The resolution of the Evaluation Commission shall be reflected in the conclusion of the Evaluation Commission.

32. If a research application has been conditionally approved, the term set for complying with the conditions shall be stated in the conclusion of the Evaluation Commission.

33. Following receipt of corrections to the research application by the Agency, the Evaluation Commission shall evaluate the corrected research applications based on the criteria for the compliance with which additional conditions were imposed and shall fill in the evaluation form of the research application.

34. If the research applicant does not comply with the conditions contained in the resolution on conditional approval of the research application or does not comply with them within the term defined in the resolution, the Evaluation Commission shall adopt a repeated conclusion regarding conditional approval of the research application in compliance with the procedure defined in the Selection Rules. If any of the conditions provided for in the repeated resolution of the Agency is not complied with or is not complied with within the term defined by the resolution the relevant research application shall be deemed rejected.

VII. Adoption of a resolution on approval, approval, conditional approval or rejection of a research application and the procedure of announcement thereof

35. On the basis of the opinion of the Evaluation Commission, the Agency shall issue a resolution (hereinafter - the Resolution) regarding:

- 35.1. approval of a research application;
- 35.2. conditional approval of a research application;
- 35.3. rejection of a research application.

36. A resolution on conditional approval of a research application shall be adopted if the research application does not conform to any of the criteria of the administrative and compliance evaluation of the research application that can be corrected and foreign experts have provided the evaluation of the scientific quality of the research application corresponding to minimum 10 score points on the scientific quality evaluation criteria and not below 3 score points on any of the evaluation criteria. The research applicant shall implement the acts specified by the Agency in order to ensure that the research application fully conforms to the administrative and compliance evaluation criteria of the research application.

37. A resolution on rejection of a research application shall be adopted if foreign experts have provided the evaluation of the scientific quality of the research application which is below 10 score points on the total scale of evaluation regarding the scientific quality evaluation criteria and below 3 score points on any of the evaluation criteria or if the research application does not conform to any of the criteria of the administrative and compliance evaluation of the research application that cannot be corrected.

38. If a research application has been conditionally approved, the Evaluation Commission shall evaluate the corrections after their submission and provide a

conclusion regarding compliance with the conditions. On the basis of the conclusion of the Evaluation Commission the Agency shall adopt a resolution:

38.1. on compliance with the conditions of the research application if all the conditions stipulated in the resolution have been complied with in the research application by means of implementing corrections;

38.2. repeated conditional approval of the research application if the conditions stipulated in the resolution on the conditional approval of the research application have not been complied with or have not been complied with within the stipulated term.

39. Following submission of repeated corrections in the research application, the Evaluation Commission shall evaluate them and issue a conclusion regarding compliance with the conditions. On the basis of the conclusion of the Evaluation Commission the Agency shall adopt a resolution:

39.1. on compliance with the conditions of the research application if all the conditions stipulated in the resolution have been complied with in the research application by means of implementing corrections;

39.2. on non-compliance with the conditions of the research application and rejection of the research application if the research applicant does not comply the conditions contained in the repeated resolution on conditional approval of the research application or does not comply with them within the term stipulated by the resolution.

40. The Agency shall prepare the resolution on approval, conditional approval or rejection of a research application and the conclusion regarding compliance or non-compliance with conditions in the form of an electronic document and notify it to the research applicant according to the procedure provided for by regulatory enactments. Information regarding the procedure on concluding an agreement shall be included in the resolution of approval of a research application.

41. Within a selection round funding shall be granted to the research applications scoring a higher point score on the scientific quality evaluation.

42. If the Evaluation Commission has issued a conclusion on approval of a research application and the funding envisaged for implementation of research applications within the current selection round is insufficient, participation of the relevant research application with its obtained evaluation (point score) in the next selection round without the scientific examination shall be allowed by preparing a reserve list based on obtained evaluations.

43. Research applications included in the reserve list shall not be repeatedly evaluated and shall be included in the common list with research applications submitted within the next selection round in compliance with the obtained evaluation if the research applicant upholds its participation in the next selection round with an identical research application and the postdoctoral researcher complies with the definition provided for in Paragraph 2.9 of the SAM Cabinet Regulations.

44. Information on an approved research application shall be published on the website of the cooperation authority www.viaa.gov.lv.

VIII. Additional information:

45. Questions regarding drafting and submission of a research application shall be sent to the e-mail address info@viaa.gov.lv. Answers to the questions submitted by research applicants shall be sent electronically. Questions shall be submitted latest 2 business days prior to the end of the term for submission of a research application.

46. The text of the draft agreement on implementation of the research application may be updated within the process of concluding the agreement if, upon announcing selection of the research applications of a specific aid goal all the regulatory enactments of the EU funds applicable to the conditions of implementation of the research application have not been approved (Supplement 6 to the Selection Rules).

Annexes:

- Annex No. 1 Form of the research application and its supplements on 22 pages.
- Annex No. 2 Methodology of completing the research application form on 11 pages with a supplement on 11 pages.
- Annex No. 3 Criteria of administrative and compliance evaluation of the research application on 6 pages.
- Annex No. 4 Guidelines and methodology of administrative and compliance evaluation of the research application on 24 pages.
- Annex No. 5 Guidelines and criteria of evaluation of the scientific quality of the research application on 9 pages.
- Annex No. 6 Draft Agreement on implementation of the research application on 15 pages.

Approved by the Ministry of Education and Science on _____ 2016.
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Responsible official

E.Zondaka