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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 Regulation of Selection of Research Applications

## Guidelines and methodology for administrative and compliance evaluation of research applications

### 1. Introduction (or preamble)

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 – SAM Cabinet Regulations)<sup>1</sup>, 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 contribution to achieving the goals of the Smart Specialisation Strategy <sup>2</sup> (hereinafter– SSS), implementation of the growth priorities or development of the specialisation areas will be eligible 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	<b><u>1st priority:</u></b> More efficient use of raw materials for production of goods with greater 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 greater added value of national economy sectors.	<b>1. Knowledge-intensive bio-economy</b>  <b>2. Biomedicine, medical technologies, biopharmacy and biotechnologies</b>
2. Future growth sectors, in which products and	<b><u>2nd priority:</u></b> The creation of such innovation system that provides support for the creation of new products	<b>3. Smart</b>

<sup>1</sup> 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” (<http://www.likumi.lv/xxx>) (in Latvian).

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

<p>services with high added value exist or may appear</p>	<p>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><b>materials, technology and engineering systems</b></p>
<p>3. Sectors with significant horizontal impact and contribution in national economy transformation.</p>	<p><b><u>3rd priority:</u></b> 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><b>4. Smart energy</b></p> <p><b>Information and communications technologies</b></p>
	<p><b><u>4th priority:</u></b> Development of a modern and contemporary standard-compliant ICT system in the private and public sectors.</p>	
	<p><b><u>5th priority:</u></b> 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 SSS priorities, enterprising spirit and creativity at all levels of education.</p>	
	<p><b><u>6th priority:</u></b> 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><b><u>7th priority:</u></b> 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>	

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 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 five years prior to the deadline for submission of the research application in a scientific institution or a university of the Republic of Latvia 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 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.

## **2. Evaluation goal**

The goal of the evaluation is to perform administrative and compliance evaluation in order to select and forward for further evaluation of the scientific qualify the research applications which conform to administrative criteria and the objective of the aid to a postdoctoral researcher defined by the Cabinet Regulation.

## **3. Selection of experts**

3.1. The administrative and compliance evaluation of research applications shall be performed by the experts approved by the Evaluation Commission and appointed from among the employees of the Department of Science, Research and Innovation Policy Support of the State Education Development Agency (hereinafter - the Department Experts).

3.2. 2 Department Experts shall be involved for the administrative and compliance evaluation of each research application. One of them shall be designated as the leading expert or "rapporteur" and shall be responsible for definition the consolidated opinion.

3.3. One Department Expert may perform the administrative and compliance evaluation of several research application 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 postdoctoral 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 information system of the State Education Development Agency 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 perform the examination 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 administrative and compliance evaluation of research applications shall consist of two stages:

- 1) the initial individual evaluation by the expert in compliance with all the administrative and compliance evaluation criteria;
- 2) the definition and approval of the consolidated opinion of the expert.

4.5. In the course of performing the initial individual evaluation, the Department Expert shall provide an evaluation and justify his/ her evaluation on each of the evaluation criteria. Following posting of an initial individual evaluation of a research application in the information system it is 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.

The 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 an 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. The consolidated opinion of both Department Experts shall serve as the basis for rejection or supplementation of the research application and/or its forwarding for the evaluation of the scientific quality. The anonymous consolidated opinion of both Department Experts without the names of the Department Experts shall be accessible to the research applicant.

#### **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) SAM Cabinet Regulation;
- 2) Rules of Selection of research applications 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”;
- 3) Research, Technology Development and Innovation Guidelines 2014 - 2020;
- 4) Analytical descriptions of the eco-systems of the smart specialization areas.

5.5. Two 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 beneficiary of funding shall adopt a resolution on rejection of a research application.

5.6. The Department Expert shall describe compliance of a research application with an 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.

**METHODOLOGY FOR ADMINISTRATIVE AND COMPLIANCE EVALUATION OF RESEARCH APPLICATIONS**

Title of the operational program	<b>Growth and Employment</b>
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. Postdoctoral research aid
Responsible Body	<b>Ministry of Education and Science</b>

<b>1. ADMINISTRATIVE CRITERIA</b>		<b>Explanation for establishing compliance</b>	<b>Impact of the criterion upon adoption of a resolution (P, N)</b>	
			<b>Expert's individual evaluation</b>	<b>Consolidated evaluation</b>
1.1.	The research application has submitted within a specified period.	<p><b>The evaluating is "Yes"</b>, if the research applicant has submitted an application in the period which is set at the Research application regulations.</p> <p>If the research applicant has not submitted research application in the period which is set at the Research application regulations, <b>the evaluation shall be "No"</b>, by rejecting the research application.</p>	N	N
1.2.	The research applicant and the cooperation partner (if applicable) complies with the requirements defined by Paragraphs 20 and 22 of the Cabinet Regulation on	<b>The evaluation is "Yes"</b> , if the research applicant complies with the requirements defined in Paragraph 20 of the SAM Cabinet Regulation on implementation of the specific aid objective - a scientific institution or a micro, small, medium-sized or large enterprise registered with the	N	N

	<p>implementation of the activity (hereinafter - the SAM Cabinet Regulation)<sup>3</sup>.</p>	<p>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. The research applicant and the cooperation partner complies with the following requirements defined in Paragraph 22 of the SAM Cabinet Regulation: the outstanding recovery order referred to in Article 1(4)(a) of Commission Regulation No. 651/2014 does not apply to them; they are not in financial difficulty in accordance with Sub-paragraph 2.6 of this Regulation; if any of sectors, in which the research applicant or co-operation partner is operating, is not eligible 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, 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; if the research applicant performs both economic activities and activities of noneconomic nature, it shall separate the types of activities and their costs, financing and revenue in order to efficiently prevent cross-subsidisation of economic activity.</p> <p>If the research applicant fully or partially does not comply with the requirements defined in the SAM Cabinet Regulation on implementation of</p>		
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<sup>3</sup> 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”.

		the specific aid objective, <b>the evaluation shall be "No"</b> , by rejecting the research application.		
1.3.	The research application has been prepared in computer print.	<p><b>The evaluation is "Yes"</b>, 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, <b>the evaluation shall be „Yes, with a condition"</b>, at the same time imposing a condition that the research application or any part thereof shall be submitted in computer print.</p>	P	P
1.4.	The research applicant has sufficient administrative, implementation and financial capacity for implementation of the research application.	<p><b>The evaluation is "Yes"</b>, if the research application form contains sufficient description of the research applicant's administrative, implementation and financial capacity.</p> <p>The administrative capacity is sufficient if the research application contains information on:</p> <ul style="list-style-type: none"> <li>- 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 submits several applications and unified management is envisaged), a personnel manager, an accountant, etc.</li> <li>- 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;</li> <li>- 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.);</li> <li>- the implementation system of the research application - the description of the implementation system of the research application, t.i. in what</li> </ul>	P	



		<p>way the cooperation of the implementer of the research applicant (postdoctoral 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;</p> <ul style="list-style-type: none"> <li>- - 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).</li> </ul> <p>The research application implementation capacity is sufficient if the research application contains information on:</p> <ul style="list-style-type: none"> <li>- 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 may be provided);</li> <li>- the name, surname, qualification, brief CV (experience in the research area related to the research application) of the person responsible in the institution for the research of the research application (the scientific/ the national economy branch adviser);</li> <li>- 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 postdoctoral researcher;</li> <li>- 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;</li> <li>- related publications and/ or developed research/ innovation products (up to five publications or research and innovation products developed in the institution of the research applicant).</li> </ul> <p>The financial capacity of a research application is sufficient if the research application describes the financial capacity of the research application,</p>		P
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		<p>provides information on available financial means for implementation of the research application - an advance payment and co-funding, 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/ the national economy branch adviser and the support personnel of the postdoctoral researcher. Description of the financial capacity and attraction of required funding in compliance with the type of the research application:</p> <ul style="list-style-type: none"> <li>- in case of a research application not related to economic activity in compliance with the provisions of Paragraph 42 of the SAM Cabinet Regulation;</li> <li>- in case of a research application related to economic activity in compliance with the provisions of Paragraph 58 of the SAM Cabinet Regulation.</li> </ul> <p>If the research application fully or partially does not comply with any of the above requirements, <b>the evaluation shall be "Yes, with a condition"</b>, at the same time imposing a relevant condition for correcting the research application.</p>		
1.5.	<p>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 exceeds 150 euros in the Republic of Latvia.</p>	<p><b>The evaluation is "Yes"</b>, if the research applicant and the cooperation partner of the research applicant, each separately, does not have tax debts the total amount of which exceeds 150 euros. The compliance with the criterion shall be established by verification with the State Revenue Service (hereinafter - SRS) data base (<a href="http://www6.vid.gov.lv/VID_PDB/NPAR">http://www6.vid.gov.lv/VID_PDB/NPAR</a>). Considering that the information on tax debts administered by the SRS is published in the SRS data base twice a month, in the course of evaluation the tax debt shall be verified with the SRS data base on the date of publication set by the SRS which is closest following submission of the research application. In the evaluation form of the research application the verification date and the amount of the tax debt, if applicable, shall be specified.</p> <p>If it is established that the research applicant or the cooperation partners in</p>	P	P

		Latvia have tax debts the total amount of which exceeds 150 euros, the research application shall be evaluated as "Yes, with a condition" and the condition to settle the tax debt shall be imposed.		
1.6.	<p>The original research application has the legal validity of a document:</p> <p>1.5.1. 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>1.5.2. 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>regarding the criterion contained in Sub-Paragraph 1.5.1 <b>the evaluation is "Yes"</b>, if:</p> <ul style="list-style-type: none"> <li>- 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;</li> <li>- the research application has been signed by the responsible official of the research applicant;</li> <li>- 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.</li> </ul> <p>The software „eParakstītājs” developed by the State Joint Stock Company "Latvian National Radio and TV Centre" or the website <a href="https://www.eparaksts.lv/lv/palidziba/parbaudit-edokumentu/">https://www.eparaksts.lv/lv/palidziba/parbaudit-edokumentu/</a> shall be used for evaluating the above criterion.</p> <p>regarding the criterion contained in Sub-Paragraph 1.5.2 <b>the evaluation is "Yes"</b>, if:</p> <ul style="list-style-type: none"> <li>- the research application has been prepared in compliance with the regulatory enactments prescribing requirements for preparing and filing documents;</li> <li>- Section 8 of the research application "Attestation" has been signed by the responsible official of the research applicant;</li> <li>- 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.</li> </ul> <p>If the research application fully or partially does not comply with any of the requirements defined by the relevant criterion, <b>the evaluation shall be</b></p>	P	P

		<b>"Yes, with a condition"</b> , at the same time imposing a relevant condition for correcting the research application.		
1.7.	<p>Form of the Research Application:</p> <p>1.6.1. has been fully completed in Latvia in compliance with the requirements defined in the Cabinet Regulation on the management of implementation of the European Union (hereinafter - EU) funds;</p> <p>1.6.2. 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 Latvian or a certified translation in Latvian is attached to them;</p> <p>1.6.3. a description of the research of the research application and the postdoctoral researcher's curriculum vitae (CV) in English in compliance with Paragraph 23 of the SAM Cabinet Regulation are attached to it (Supplements 4-5).</p>	<p><b>The evaluation is "Yes"</b>, if the research application complies with the following conditions:</p> <ul style="list-style-type: none"> <li>- 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;</li> <li>- all the supplements to be submitted as provided for by the rules of selection of research applications are attached to the research application;</li> <li>- the research application is fully prepared in Latvian, a description of the scientific part and the postdoctoral researcher's CV attached to it is in English.</li> </ul> <p>If the research application fully or partially does not comply with any of the above requirements, <b>the evaluation shall be "Yes, with a condition"</b>, at the same time imposing a relevant condition for correcting the research application.</p>	P	P
1.8.	<p>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>	<p><b>The evaluation is "Yes"</b>, 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"> <li>- the financial estimations have been developed arithmetically correctly (i.e. there are no mathematic errors);</li> <li>- the financial estimations have been prepared by using two decimals;</li> <li>- 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).</li> </ul> <p>If the research application fully or partially does not comply with the above requirements, <b>the evaluation shall be "Yes, with a condition"</b>, at the same</p>	P	P

		time imposing a condition for correcting the research application.		
1.9.	The amount of the research application provided for in the research application complies with the amount of funding of a research application defined in the SAM Cabinet Regulation.	<p><b>The evaluation is "Yes"</b>, if the amount of funding specified in the research application does not exceed the amount stated in Paragraph 47 of the SAM Cabinet Regulation, i.e. 133,806 euros.</p> <p>If the research application fully or partially does not comply with the above requirement, <b>the evaluation shall be "Yes, with a condition"</b>, at the same time imposing a condition for correcting the research application.</p>	P	P
1.10.	The ERDF aid intensity of the public funding specified in the research application does not exceed the maximum aid intensity for a research application related or not related to economic activity provided for by the SAM Cabinet Regulation.	<p>The evaluation is "Yes" if the ERDF aid intensity stated in the research application does not exceed the amount stated in Paragraphs 42, 58 and 62 of the SAM Cabinet Regulation. If the research applicant is a scientific institution implementing a research application not related to economic activity, the permissible ERDF aid intensity equals 85%. The permitted ERDF aid intensity for implementation of a research application related to economic activity is as follows:</p> <ul style="list-style-type: none"> <li>- 85 per cents for implementation of fundamental research;</li> <li>- 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.</li> </ul> <p>The ERDF aid intensity 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.</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"> <li>- for the aid to the technology rights protection 50 per cent;</li> </ul>	P	P

		<p>- aid for training: 50 per cent for a research applicant, which conforms to the definition of a large enterprise; 60 per cent for a research applicant, which 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> <p>If the research application fully or partially does not comply with the above requirement, <b>the evaluation shall be "Yes, with a condition"</b>, at the same time imposing a condition for correcting the research application.</p>		
1.11.	<p>The required co-funding stated in the research application is provided from the sources of funds allowed by the SAM Cabinet Regulation.</p>	<p>The evaluation is "Yes" if the sources of co-funding stated in the research application comply with Paragraphs 42 and 46 of the SAM Cabinet Regulation:</p> <ul style="list-style-type: none"> <li>- if the research applicant is a scientific institution which implements a research application not related with economic activity, the national co-funding required for the implementation is provided from the State budget funding in the amount of not more than 10 per cent; from other resources at the disposal of the research organisation, including from national public funds, credit resources or investment in kind for which the public aid has not been received and the value of which may be independently audited. The total investment in kind shall not exceed five per cent from the total eligible costs of the research application.</li> <li>- 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, for which no public aid has been received.</li> </ul> <p>If the research application fully or partially does not comply with the above requirement, <b>the evaluation shall be "Yes, with a condition"</b>, at the same time imposing a condition for correcting the research application.</p>	P	P

1.12.	<p>The total eligible costs of the activity included in the research application, the planned aided activities and costs items comply with the provisions of the SAM Cabinet Regulation, i.e. they do not exceed the amounts of costs items and:</p> <p>1.12.1. are related to implementation of the research application;</p> <p>1.12.2. 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);</p> <p>1.12.3. provide for the attainment of the defined goal and indices by the research applicant.</p>	<p><b>The evaluation is "Yes" if:</b></p> <ul style="list-style-type: none"> <li>- The planned activities stated in the research application (including in Section 1.5) comply with the aided activities defined in Paragraph 33 of the SAM Cabinet Regulation on implementation of the specific aid goal;</li> <li>- The planned costs stated in the research application (in Supplement 3 and other sections if applicable) comply with the eligible costs defined in Sections 48-49 of the SAM Cabinet Regulation on implementation of the specific aid goal;</li> <li>- the amount of the costs planned in the research application (in Supplement 3 and other sections if applicable) does not exceed the costs limits defined in Paragraphs 50-57 of the SAM Cabinet Regulation 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;</li> <li>- the number of relevant units and the relevant measurement unit is stated for each costs item;</li> <li>- in case of sub-criterion 1.12.1, if the planned costs in the research application directly follow from planned activities (i.e. it is not possible to implement the particular research activity without them), it is characterised by the description of the research activities, the description of the scientific problem and solution of the research, also the activities of the research implementation and administration personnel required for ensuring implementation of the research application;</li> <li>- in case of sub-criterion 1.12.2, if the costs items included in the research application are required for implementation of the research application and their necessity is justified by the needs of the scientific target group (descriptions of sections 1.2, 1.3 and 1.4 of the research application and other sections if applicable), the activities planned within the research application and the results to be attained therein (descriptions of Sections 1.1, 1.5 and 1.6 of the research application and other sections if applicable), the monitoring results to be achieved within the research application (the description of Section 1.6 of the project application and</li> </ul>	P	P
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		<p>other sections if applicable), the implementation capacity of the project application (the description of Section 2.1 of the research application and other sections if applicable), the time schedule of the research application (information in Supplement 1 to the research application and other sections if applicable), the publicity (the description of Section 5 of the research application and other sections if applicable);</p> <ul style="list-style-type: none"> <li>- in case of sub-criterion 1.12.3, if the costs planned within the research application ensure the attainment of the objective defined in the research application, the results and indices (i.e. without them it is not possible to attain the objective, results and defined indices of the research application).</li> </ul> <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 SAM Cabinet Regulation, <b>the evaluation shall be "Yes, with a condition"</b>, at the same time imposing relevant conditions for correcting the research application.</p>		
1.13.	<p>The term of implementation of the research application comply with the period of implementation of the activity defined by the SAM Cabinet Regulation.</p>	<p><b>The evaluation is "Yes"</b>, 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"> <li>- the activities of the research applicant planned within the research application are scheduled to be commenced following submission of the research application if the research application is of non-economic nature, or if the research application is of economic nature and it is implemented by a micro, small, medium enterprise;</li> <li>- the activities of the research applicant planned within the research application are scheduled to be implemented not before the date of conclusion of the agreement on implementation of the research application if the research application is of economic nature and is</li> </ul>	P	P



		<p>implemented by a large enterprise;</p> <ul style="list-style-type: none"> <li>- 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 SAM Cabinet Regulation, however not before the date of approval of the grant application;</li> <li>- the term of implementation of the research application does not exceed the implementation period of research applications defined by Paragraph 31 of the SAM Cabinet Regulation, i.e. not exceeding 36 months as from the date of conclusion of the agreement on implementation of the research application;</li> <li>- the mutual compliance of the financing plan in Supplement 2 to the research application and the implementation term of the research application is ensured.</li> </ul> <p>If the research application fully or partially does not comply with the all requirements referred to in Paragraphs 21, 31 and 68 of the SAM Cabinet Regulation, <b>the evaluation shall be "Yes, with a condition"</b>, at the same time imposing relevant conditions for correcting the research application.</p>		
1.14.	<p>The expected results and supervision indicators envisaged in the research application:</p> <ul style="list-style-type: none"> <li>1.14.1. are accurately defined;</li> <li>1.14.2. are justified;</li> <li>1.14.3. are measurable;</li> <li>1.14.4. contribute to the attainment of the output indices defined in the SAM Cabinet Regulation.</li> </ul>	<p><b>The evaluation is "Yes" if:</b></p> <ul style="list-style-type: none"> <li>- 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;</li> <li>- 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 indices defined in Paragraph 6.2 of the implementation of the purpose of the SAM Cabinet Regulation: <ul style="list-style-type: none"> <li>✓ the number of new positions of researchers created in the aided</li> </ul> </li> </ul>	P	P

		<p>units expressed as full time equivalent – 384;</p> <ul style="list-style-type: none"> <li>✓ the number of scientific publications, for the development and publishing of which aid within the scope of research applications was provided– 1,280;</li> <li>✓ 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 – 416;</li> <li>✓ the private investments attracted for implementation of a research application – 3,200 euros;</li> <li>✓ the number of enterprises, which co-operate with research institutions – 100;</li> </ul> <p>If the research application fully or partially does not comply with the above requirements, <b>the evaluation shall be "Yes, with a condition"</b>, at the same time imposing relevant conditions for correcting the research application.</p>		
1.15.	The publicity and information dissemination activities envisaged in the research application comply with the conditions of the General Regulation <sup>4</sup> , 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".	<b>The evaluation is "Yes"</b> , 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	P	P

<sup>4</sup> 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 No. 1083/2006.

		<p>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"> <li>- 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;</li> <li>- at a place easily 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;</li> <li>- on the website of the research applicant it is planned to publish a description about the implementation of the research application, 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;</li> <li>- 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.</li> </ul> <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>		
1.16.	In the research application: 1.15.1. the project risks are identified, described and evaluated;	<b>The evaluation is "Yes"</b> , 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	P	P

	<p>1.15.2. their impact and probability is evaluated;</p> <p>1.15.3. the risk mitigation measures are provided for.</p>	<p>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>If the research application fully or partially does not comply with the above requirements, <b>the evaluation shall be "Yes, with a condition"</b>, at the same time imposing relevant conditions for correcting the research application.</p>		
1.17.	<p>The postdoctoral researcher complies with the requirements defined for the target group of the activity defined by the SAM Cabinet Regulation. The postdoctoral researcher is selected according to SAM Cabinet Regulations requirements.</p>	<p><b>The evaluation is "Yes"</b>, if the postdoctoral researcher complies with the requirements defined for the target group of the activity defined by Paragraph 2.9 of the SAM Cabinet Regulation on the specific aid purpose – a postdoctoral researcher – a Latvian or foreign researcher who has acquired doctorate not more than five 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. The postdoctoral researcher is selected according to SAM Cabinet Regulations requirements.</p> <p>If the research application fully or partially does not comply with the above requirements and if the postdoctoral researcher is not selected according to SAM Cabinet Regulations requirements., <b>the evaluation shall be "Yes, with a condition"</b>, at the same time imposing relevant conditions for correcting the research application.</p>	P	P
1.18.	<p>The cooperation partner of the research applicant complies with the requirements defined by the SAM Cabinet Regulation.</p>	<p>The evaluation is "Yes", if the cooperation partner selected for implementation of the research application complies with the requirements defined by Paragraph 20 of the SAM Cabinet Regulation, i.e. the research application may be implemented in partnership with a foreign or Latvian scientific institution, institution of higher education or enterprise</p>	P	

		<p>(hereinafter – co-operation 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). The research applicant and the cooperation partner complies with the following requirements defined in Paragraph 22 of the SAM Cabinet Regulation: the outstanding recovery order referred to in Article 1(4)(a) of Commission Regulation No. 651/2014 does not apply to them; they are not in financial difficulty in accordance with Sub-paragraph 2.6 of this Regulation; if any of sectors, in which the research applicant or co-operation partner is operating, is not eligible 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, 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; if the research applicant performs both economic activities and activities of noneconomic nature, it shall separate the types of activities and their costs, financing and revenue in order to efficiently prevent cross-subsidisation of economic activity.</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 a condition that the partners compliant with the requirements defined by Paragraph 20 of the SAM Cabinet Regulation should be involved in implementation of the research application.</p>		P
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1.19.	The statement of the enterprise or an association of industries is attached to the research application.	<p>The evaluation is "Yes", if the statement of an enterprise or a collegial body of enterprises is attached to the research application in compliance with the requirements defined by Paragraph 25.3 of the SAM Cabinet Regulation, i.e. append a statement of an enterprise or a collegial body of enterprises to the research application, which justifies the significance of the research to be conducted within the scope of the particular research application for the development of the relevant sector of science or national economy, or enterprise. If the enterprise is the research applicant and the justification regarding the significance of the research to be conducted within the scope of the particular research application for the development of the relevant sector of science or national economy, or the enterprise is provided in the research application, the statement of an enterprise or a collegial body of enterprises does not have to be additionally attached to the research application. The above requirement shall not apply to the research applications which implement the fundamental research defined in Sub-Paragraph 33.1.1. of the present Regulation within the research application.</p> <p>If the research application fully or partially does not comply with all the above requirements, <b>the evaluation shall be "Yes, with a condition"</b>, at the same time imposing the requirement that the statement of an enterprise or a collegial body of enterprises shall be attached to the research application.</p>	P	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.	Readiness of the research application	<b>The evaluation is "Yes"</b> , if in Section 1.2 or other sections (if applicable)	P	P

	for commencing it.	<p>of the research application information is provided justifying compliance with the condition contained in Paragraph 25 of the SAM Cabinet Regulation, i.e. the research applicant has:</p> <ul style="list-style-type: none"> <li>- 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,</li> <li>- performed selection of postdoctoral researchers in compliance with the above procedure,</li> <li>- agreed with 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 and marketing of results of the research application,</li> </ul> <p>If the research application fully or partially does not comply with the above requirements, <b>the evaluation shall be "Yes, with a condition"</b>, at the same time imposing relevant conditions for correcting the research application.</p>		
2.2.	The purpose of the research application complies with the purpose defined in the SAM Cabinet Regulation.	<p><b>The evaluation is "Yes"</b>, 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 SAM Cabinet Regulation, i.e.:</p> <ul style="list-style-type: none"> <li>- provides for development of the skills of the postdoctoral researcher and increase of the scientific capacity, as well as improvement of research competences,</li> <li>- ensures possibilities for the postdoctoral researcher to start a career in scientific institutions or with enterprises,</li> <li>- ensures renewal of human resources and increase in the number of qualified specialists.</li> </ul> <p>If the research application fully or partially does not comply with the</p>	P	P

		above requirements, <b>the evaluation shall be "Yes, with a condition"</b> , at the same time imposing relevant conditions for correcting the research application.		
2.3.	Supplementarity of the project activities implemented within the activities of the specific aid objective.	<p><b>The evaluation is "Yes"</b>, if in Sections 1.3, 2.5 or other sections of the research application (if applicable) information is provided about:</p> <ul style="list-style-type: none"> <li>- how developed of the research direction is envisaged in the operational strategy and the research program 2015-2020 of the scientific institution or in the operational plans of the enterprise;</li> <li>- what related projects the research applicant has, including the agreements of the State budget, the EU funds and economic agreements where scientific research and the science direction creates synergy with the scientific objective of the research application. Projects from which the wages of the science/ the national economy branch adviser and support personnel of the performer of the research application (the postdoctoral researcher) and the research is funded are specified.</li> </ul> <p>If the research application fully or partially does not comply with the above requirements, <b>the evaluation shall be "Yes, with a condition"</b>, at the same time imposing relevant conditions for correcting the research application.</p>	P	P
2.4.	Sustainability of the results attained by the research application.	<p><b>The evaluation is "Yes"</b>, 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> <ul style="list-style-type: none"> <li>- 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 SAM Cabinet Regulation and</li> </ul>	P	P



		<p>supervision indicators presented in Sub-Paragraph 6.3. It is described 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 strategies and the research directions included in the research program 2014-2020), by ensuring the number of scientific articles published in widely referred magazines, the increase in numbers according to the SSS guidelines, implementation of priorities and development of specialisation areas and supervision indicators defined in Sub-Paragraph 6.2 of the SAM Cabinet Regulation, 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"><li>- it is described 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 SAM Cabinet regulation (the description of the scientific institution shall contain the justification regarding the developed strategies and the research directions included in the research program 2014-2020). It is described 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.</li></ul> <p>If the research application fully or partially does not comply with the above requirements, <b>the evaluation shall be "Yes, with a condition"</b>, at the same time imposing relevant conditions for correcting the research application.</p>		
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2.5.	The specific activities envisaged by the research application encourage compliance with the horizontal principle "Equal opportunities" (gender equality, disability and ethnicity).	<p><b>The evaluation is "Yes"</b>, 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"> <li>- encourage gender equality,</li> <li>- encourage respect of the rights of persons with disabilities and their inclusion,</li> <li>- encourage non-discrimination based on the ethnicity,</li> <li>- non-discrimination based on the age.</li> </ul> <p>If the research application fully or partially does not comply with the above requirements, <b>the evaluation shall be "Yes, with a condition"</b>, at the same time imposing relevant conditions for correcting the research application.</p>	P	P
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