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**METHODOLOGY FOR ASSESSING THE ADMINISTRATIVE, AND COMPLIANCE INDICATOR QUALITY OF RESEARCH APPLICATIONS**

**FOR RESEARCH APPLICATIONS RELATED TO AN ECONOMIC ACTIVITY**

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| Programme name | European Union Cohesion Policy Programme for 2021–2027 |
| Priority number and name | * 1. Research and skills |
| Number and name of the specific aid objective | 1.1.1 “Strengthening research and innovation capacity and bringing advanced technologies into the overall R&D system” |
| Number and title of the measure of the specific aid objective | 1.1.1.9 “Postdoctoral research” |
| Type of call for applications | Open selection of research applications |
| Project implementer | Latvian Council of Science (hereinafter – “LCS”) |
| Project title: | Postdoctoral research |

**General conditions of the evaluation criteria for research applications**:

1. In order to assess compliance with the relevant evaluation criterion, the evaluator must take into account both the information provided in the relevant sections of the research application and all other information available in the research application (other sections and annexes of the application).
2. In assessing the eligibility of a research application, only the information available in the research application and the annexes should be taken into account. The assessment cannot be based on assumptions or other information that cannot be verified or proven or that is not relevant to the specific research application. However, if the evaluator has any information that may influence the evaluation of the research application, specific facts and sources of information must be provided to substantiate and prove the information provided by the evaluator.
3. When assessing a research application submission, attention should be paid to the consistency of the information provided in the research application submission between all the sections of the research application submission in which it is mentioned. Where there is a discrepancy between sections, a provision should be made for an additional explanation to be provided under the criterion to which the discrepancy relates.
4. The following should be used in the evaluation of a research application:
   1. Cabinet Regulation No 35 of 9 January 2024 “European Union Cohesion Policy Programme for 2021–2027 under the specific aid objective 1.1.1 “Strengthening research and innovation capacity and transfer of advanced technologies to the R&D system”, measure 1.1.1.9 “Postdoctoral research” implementing regulations” (hereinafter – “SAO Cabinet Regulation”);
   2. European Union Cohesion Policy Programme for 2021–2027;
   3. European Union Cohesion Policy Programme for 2021–2027 under the specific aid objective 1.1.1 “Strengthening research and innovation capacity and bringing advanced technologies into the overall R&D system” of the measure 1.1.1.9 “Postdoctoral research”, the regulations of the third selection round of research applications, including the evaluation criteria for research applications and the methodology for filling in the research application form;
5. In the evaluation of the non-fillable criteria, once an administrative criterion has been evaluated as “No”, the evaluation of the other non-fillable criteria shall not be continued.
6. In the evaluation of fillable criteria, if a research application does not meet all or part of one of these requirements, the evaluation shall be “Yes, conditional”, with an appropriate condition to refine the research application.

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| **1. ADMINISTRATIVE CRITERION** | | **Clarification for Eligibility Determination** | **The influence of the criterion on decision-making**  **(N-non-fillable, P-fillable)** | | |
| **Expert's No. 1 individual assessment** | **Expert's No. 2 individual assessment** | **Consolidated score** |
|  |  | **NON-FILLABLE CRITERIA** |  |  |  |
| 1.1 | The research applicant has submitted the research application within the deadline set by the POSTDOC information system. | **The evaluation is “Yes”** if the research applicant has submitted the research application to the POSTDOC information system within the deadline set out in the Regulations.  If the research applicant has not submitted the research application within the deadline set out in the Regulations, the **evaluation is “No**”, rejecting the research application. | N | N | N |
| 1.2 | The research applicant meets the requirements set out in Paragraph 29 of the SAO Cabinet Regulation and Paragraph 2.2. | **The evaluation is “Yes”** if the research applicant meets the requirements for a research applicant set out in Paragraph 29 of the SAO Cabinet Regulation – a tiny (micro), small, medium-sized or large merchant registered in the Republic of Latvia (hereinafter – “merchant”), which establishes an employment relationship with the postdoctoral researcher and provides access to infrastructure and human resources for the implementation of the research required by the research application.  At the same time, the research application fulfils one or more of the following criteria:   * + - * the research application is carried out by a scientific institution that does not meet the definition of a research organisation or by a tiny (micro), small, medium-sized or large enterprise registered in the Register of Enterprises of the Republic of Latvia; * pursuing economic activities in the research application;   A scientific institution that also meets the definition of a research organisation, which submits a research application related to an economic activity as part of the economic activity of the research organisation. In this case, the research application is accounted for by the scientific institution as an economic activity of the scientific institution. Economic activities are pursued within the research application.  If the research applicant does not fully or partially comply with the requirements set out in the SAO Cabinet Regulation, **the evaluation is “No**”, rejecting the research application. | N | N | N |
| 1.3 | The type of research application indicated in the research application is “related to economic activity”. | **The evaluation is “Yes”** if the type of research application indicated is “related to economic activity”.  If the type of research application does not correspond, **the evaluation is “No**”, rejecting the research application. | N | N | N |
| 1.4 | The research applicant and the cooperation partner (if applicable) do not qualify as an economic operator in difficulty in accordance with Paragraph 32 of the SAO Cabinet Regulation. | **The evaluation is "Yes" if** the research applicant and the cooperation partner (if applicable) do not qualify as an undertaking in difficulty (hereinafter referred to as "UID") on the date of submission of the research application in accordance with Paragraph 2.7 of the Cabinet Regulation of the measure and do not fall under any of the situations referred to in Article 2(18) of Commission Regulation No 651/2014:   1. For a research applicant (other than an SME) that has been in existence for less than three years or, in the case of risk finance support, for an SME for seven years from its first commercial sale), more than half of the subscribed capital has been lost due to accumulated losses if, after deducting the accumulated losses from reserves (and any other items that are accepted as part of the company's equity), a negative result exceeding half of the subscribed capital arises. Capital includes, where applicable, the share mark-up; 2. The research applicant where at least one of the shareholders has unlimited liability for debt obligations of the company (except SME existing for less than three years, or in the case of risk funding support, a SME seven years since the first commercial sale transaction), has lost more than half of the equity indicated in the accounting reports of the company due to accrued losses. For the purposes of this sub-paragraph, a company is one in which at least one of the shareholders has unlimited liability for the debt obligations of the company (in particular general and limited partnerships); 3. The research applicant has been declared insolvent by a court decision, i.e., insolvency proceedings have been declared by the court judgement or legal protection proceedings are implemented by the court judgement, or extra-judicial legal protection proceedings are implemented by a court decision, bankruptcy procedure has been initiated, reorganisation or settlement has been imposed on it, or its economic activity is wound up, or it corresponds to the criteria set out in the national legislation to apply the insolvency procedure afterwards at the request of creditors; 4. Where the research applicant has received rescue aid and has not yet reimbursed the loan or has recalled the guarantee, or has received restructuring aid and is still subject to a restructuring plan; 5. For the research applicant (other than an SME), the company's debt-to-equity balance sheet value ratio has exceeded 7.5 for the last two years and the company's interest coverage ratio, calculated on the basis of earnings before interest, taxes, depreciation and amortisation (EBITDA), has been less than 1.0.   Compliance with the criterion is verified:  1) as at the date of submission of the research application; and  2) as at the date of the decision to approve the research application, or the date when the opinion on compliance with conditions was adopted to approve the research application with a condition. The decision to approve the research application, as well as the opinion on the compliance with the conditions, may constitute decisions granting business support to the applicant.  The characteristics of the UID shall be assessed for the research applicant individually and for its group of related parties (if applicable) as defined in Article 3(3) of Annex I to Commission Regulation No 651/2014. The decision on the eligibility of a research applicant shall be based on the information attached to the research application at the date of submission and publicly available, reliable data on the research applicant and its related companies (if applicable), including:  1) holders of capital shares;  2) financial situation:  (a) the most recent annual report submitted in accordance with laws and regulations and, accordingly, the timeliness of the submission of the report shall be assessed in the context of the deadlines for submission of documents as defined in this paragraph;  (b) an operational interim report not 'older' than one month at the date of submission of the research application, certified by a sworn auditor and submitted with the research application. An operational report should also be attached in the event of a significant change in the situation of the research applicant and its related companies (if applicable), e.g, on 31.08.2024, the research applicant, according to the information available in the 2023 annual report corresponds to UID, is in one or more of the situations referred to in Article 2(18) of Commission Regulation No 651/2014; however, during the period from the end of 2023 until the moment of submitting the research application, the financial situation has significantly improved, eliminating UID indications; in order to demonstrate these facts, the research applicant must submit with the research application an operational interim report for the research applicant and for the related company (if applicable) for the interim period, certified by a sworn auditor and not ‘older’ than one month as of the date of the research application;  3) information on the share capital increase (subscribed), which shall be assessed together with the operational interim report certified by a sworn auditor. The subscribed but unpaid share capital increase must be completed within the time limit laid down in the terms of the share capital increase, but not later than six months from the date on which the decision to increase the share capital is taken. If, as a result of the increase in the subscribed share capital, the company does not show signs of UID at the date of submission of the research application, the obligation to pay for the increase in the share capital will also be stipulated in the project implementation contract, with the LCS being obliged to terminate the contract if the subscribed share capital is not paid.  **Evaluation is “No”,** if:  1) meets at least one of the situations referred to in Article 2(18) of Commission Regulation No 651/2014 on the date of submission of the research application and/or the date of the decision approving the research application:  a) a research applicant which is an autonomous applicant company;  b) a research applicant which is a related company;  2) financial information is not available:  a) for the last full reporting year prior to the submission of the research application, if laws and regulations on the submission of annual reports have not been complied with, e.g., the research application is submitted on 21.08.2024 but the last available annual report is for 2022;  b) for the interim period between the last reporting year and the date of submission of the research application, e.g., research application submitted on 21.08.2024, last available annual report for 2023, as at 31.12.2023. The research applicant is UID, but the financial situation has improved in the period until 21.08.2024, e.g., in such a situation, the research application should be accompanied by operational financial information in the form of an interim report certified by a sworn auditor to ensure that an independent expert opinion is available on whether the financial statements give a true and fair view of the financial position, profit or loss and cash flows of the relevant client in accordance with the relevant financial reporting principles (standards) and comply with laws and regulations (if applicable). | N | N | N |
| 1.5 | The “Research project proposal” is in English, fully completed and accompanied by the postdoctoral researcher's curriculum vitae (CV) in English. | **The evaluation is “Yes”** if the applicant has completed all the sections in Annex 4 “Research project proposal” of the research application form and they are in English. The research application must be accompanied by the postdoctoral researcher's curriculum vitae (CV) in English.  **The evaluation is “No”** if the research application is not accompanied by one of the following documents:   1. “Research project proposal” in English, 2. CV of the postdoctoral researcher in English.   Also, if the applicant has not submitted a fully completed “Research project proposal” in English. | N | N | N |
|  |  | **FILLABLE CRITERIA** |  |  |  |
| 1.6 | The research applicant has sufficient administrative, implementation and financial capacity to carry out the research application. | **The evaluation is “Yes”** if the administrative, implementation and financial capacity of the research application is sufficiently described in Section 2 or other sections of the research application in the POSTDOC information system.  The description provides information on:   * the management system of the research application, i.e., what actions are planned to ensure the successful implementation of the research application; * the implementation system of the research application, i.e., a description of the implementation system of the research application, how the research application implementer (postdoctoral researcher) is expected to cooperate with the scientific advisor, including information on the scientific advisor (given name, surname, position, qualifications, short CV); * the monitoring mechanism of the co-operation partners, i.e., how the research applicant will monitor and ensure the quality of the services to be provided (access to infrastructure, materials and human resources) during the implementation (if applicable). * the administrative capacity, i.e., a description of the professionals planned to be involved in the administration of the research application; * implementation capacity, i.e., a description of the research applicant, the institution's focus and fields of activity, the institution's purpose and vision (a brief description of the research institution's strategy or business development plan); * key research facilities, infrastructure and materials; * previous and current experience in research and mobility programmes, indicating similar national or international research and mobility projects in which the research applicant has participated or is currently participating; * related scientific articles and/or research/innovation products developed (up to five scientific articles or research and innovation products developed in the research applicant organisation). * financial capacity, i.e., information on the financial resources available for the implementation of the research application – advance payment and co-financing, according to the type of research application.   **The evaluation is “Yes, conditional”** if the information in Section 2 of the research application is missing or incomplete. | P | P | P |
| 1.7 | The research applicant and the research application co-operation partner (if applicable) have no tax debts in the Republic of Latvia on the date of submission of the research application, including State mandatory social insurance payment debts, which exceed EUR 150 in total for each of them individually. | The compliance criteria of the research applicant and the co-operation partner, if applicable, are checked individually in the database of tax (charge) debtors (hereinafter – “SRS debtors' database”) administered by the State Revenue Service (hereinafter – “SRS”) [https://www6.vid.gov. lv /NPAR](https://www6.vid.gov.lv/NPAR), where, information is updated every month on the 7th (seventh) and 26th (twenty-sixth). The assessment is based on the information available in the SRS debtors' database on the date closest to the submission of the research application or updates to the research application to the LCS, e.g., if the research application is submitted on 20 July, the decision on the research applicant is based on the information available on 7 July. The date of the examination and the situation ascertained shall be indicated on the evaluation form for the research application, and the evidence of the examination shall be retained.  **The evaluation is “Yes”** if:  1) based on the information available in the SRS debtors' database on the date closest to the submission of the research application or updates of the research application to the LCS, the research applicant and the co-operation partner do not have tax debts, including State mandatory social insurance payment debts (hereinafter – “tax debts”), exceeding EUR 150 in total;  2) based on the information available in the SRS debtors' database, if on the date closest to the date of submission of the research application to the LCS the research applicant or co-operation partner has tax debts, but on the date closest to the date before the LCS decision to approve/approve the research application with conditions, the research applicant and co-operation partner have no tax debts in the SRS debtors' database totalling more than EUR 150, the condition of payment of the debt shall not apply and a “Yes” evaluation shall be given for the criterion.  **The evaluation is “Yes, conditional”** if, according to the information available in the SRS debtors' database, on the closest published date prior to the submission of the research application and prior to the LCS's decision to approve/approve the research application with conditions, the research applicant and the co-operation partner have tax debts totalling more than EUR 150. | P | P | P |
| 1.8 | The research applicant and the cooperation partner (if any) comply with the conditions for *de minimis* aid laid down in the Cabinet Regulation, including the existence and availability of a *de minimis* aid accounting system form on the information to be provided for the accounting and granting of *de minimis* aid, or the identification number of the form created and approved by the system, and the research applicant has certified that the information provided in the accounting form is complete and true. | **The evaluation is "Yes" if** the research applicant and the cooperation partner (if any) and the research applicant meet the conditions for *de minimis* aid set out in the SAO Cabinet Regulation, as derived from Commission Regulation (EU) 2023/2831 of 13 December 2023 on the application of Articles 107 and 108 of the Treaty on the Functioning of the European Union to *de* *minimis* aid (hereinafter referred to as "Regulation 2023/2831"), including,   1. *de minimis* aid is granted to assisted sectors and activities and, where the research applicant and the cooperation partner (if applicable) to which *de minimis* aid is granted are both active in assisted and non-assisted sectors, the commercial company shall ensure that the activities or costs of those sectors are separated from those activities for which *de minimis* aid is granted, ensuring that activities in those sectors do not benefit from the aid granted; 2. the amount of *de minimis* aid to the research applicant and to the cooperation partner (if applicable) at the level of a single undertaking, taken together, may not exceed the threshold (*EUR*300,000) in any three-year period from the date of grant. If the threshold of *EUR* 300,000 would be exceeded by granting new *de minimis* aid, no *de minimis* aid may be granted for any part of that new aid.   NB! The three-year period means the period from a specific date on which the last aid was granted until a specific date which is the date of the new aid to be granted, e.g., if the date of the new aid is 21.03.2025, the three-year period will be counted until 21.03.2022. For example, a research applicant is to be granted *de minimis* aid on 21.03.2025, then the aid granted over a three-year period is verified: 1st year 21.03.2024-21.03.2025, 2nd year - 21.03.2023 – 21.03.2024, and 3rd year – 21.03.2022 – 21.03.2023, and cannot exceed the threshold in total. If the *de minimis* aid threshold is exceeded, the research applicant must cover the excess from financial resources for which no commercial activity aid has been received;   1. information is provided that no combining (cumulation) of *de minimis* aid is foreseen or, if combining (cumulation) of *de minimis* aid is foreseen, the conditions for combining (cumulation) of *de minimis* aid and their control; 2. *de minimis* aid is granted in accordance with laws and regulations on the procedures for accounting for and granting such aid: 3. a *de minimis* aid accounting system form on the information to be provided for the recording and granting of *de minimis* aid has been established and is available, or the research application includes the identification number of the *de minimis* aid accounting system form established and validated by the applicant; 4. the information provided in the *de minimis* aid form is consistent with the information available in the *Lursoft* database, the Register of Enterprises database, the SRS database of economic operators, the *de minimis* aid accounting system and other publicly available information.   Evaluation is **"No"** if one of the requirements is not met according to the conditions set. | N | N | N |
| 1.9 | The research application in the POSTDOC information system is completed in full in Latvian in accordance with the SAO Cabinet Regulation on the implementation of the specific aid objective, and all the annexes specified in the selection regulations are attached and prepared in Latvian or accompanied by a translation into Latvian. | **The evaluation is “Yes”** if the research application is completed in full in Latvian in the POSTDOC information system and the research application is accompanied by all the annexes required by the Regulations for the selection of research applications and they are in Latvian or accompanied by a translation into Latvian, except for Annex 4 “Research project proposal” of the research application form and the CV of the postdoctoral researcher, which are to be completed in English.  **The evaluation is “Yes, conditional”** if the research application does not fully or partially meet any of the requirements. | P | P | P |
| 1.10 | The financial calculation of the research application is arithmetically accurate and complies with the data field requirements of the POSTDOC information system. | **The evaluation is “Yes”** if the POSTDOC information system contains the following sections 9 and 10 of the research application:   * the financial calculation has been developed arithmetically accurately (i.e., there are no mathematical errors); * the financial calculation is made using two decimal places; * the financial calculation is made accurately and in accordance with the data fields defined in the POSTDOC information system and the funding amounts are cross-checked in sections 9 and 10 of the research application.   **The evaluation is “Yes, conditional”** if the research application does not fully or partially meet these requirements. | P | P | P |
| 1.11 | The envisaged amount of funding of the research application is in line with the amount of funding of the research application set out in the SAO Cabinet Regulation, the indicated intensity of public funding from the European Regional Development Fund (ERDF) does not exceed the maximum aid intensity set out in the SAO Cabinet Regulation, and the sources of co-financing indicated in the research application are in line with the SAO Cabinet Regulation. | **The evaluation is “Yes”** if the amount of funding indicated in the POSTDOC information system in Section 1.1, Section 9 and Section 10 of the research application does not exceed the amount of EUR 192,360 referred to in Paragraph 61 of the SAO Cabinet Regulation, and the ERDF support intensity indicated in the research application does not exceed that referred to in Paragraph 74 and 76 of the SAO Cabinet Regulation.  Permissible ERDF aid intensity for research related to an economic activity :   * 85% for a research applicant carrying out fundamental research related to an economic activity; * for a research applicant to carry out industrial research related to an economic activity:  1. 70% for a research applicant who meets the definition of a tiny (micro) or small enterprise; 2. 60% for a research applicant that meets the definition of a medium-sized enterprise; 3. 50% for a research applicant that meets the definition of a large enterprise;   The ERDF aid intensity may be increased by 15 percentage points of the total eligible costs of the research application, up to a maximum of 80% of the total eligible costs of the research application, if the industrial research is made publicly available in at least one of the following ways: dissemination of research results at technical and scientific conferences and in publicly accessible repositories (databases), availability of free software.  Permissible aid intensity of public funding for a research application related to an economic activity:   * 50% for technology rights protection aid (eligible for a research applicant meeting the definition of a tiny (micro), small or medium-sized enterprise); * aid for training:  1. 50% for a research applicant that meets the definition of a large enterprise; 2. 60% if the research applicant meets the definition of a medium-sized enterprise and the training is provided to disabled persons or disadvantaged employees; 3. 70% for a research applicant who meets the definition of a tiny (micro) or small enterprise.   The research application and the co-funding required for its implementation shall be provided from funds at the research applicant's disposal or from credit and other financial resources for which no public aid, including any State or local government guarantee or soft loan, has been received on rebate conditions.  **The evaluation is “Yes, conditional”** if the research application does not fully or partially meet these requirements. | P | P | P |
| 1.12 | The total eligible costs of the measure, the planned activities to be supported and the cost headings included in the research application comply with the requirements set out in the SAO Cabinet Regulation, including not exceeding the specified cost headings and:  - are necessary for the applicant to carry out the research (to carry out the activities specified for the applicant, to meet the needs of the research target group, to solve the defined problem);  - ensure that the research applicant achieves its objectives and indicators. | **The evaluation is “Yes”** if:   * the planned activities indicated in the research application Section 1.5 are in line with the activities to be supported as defined in Paragraph 45 of the SAO Cabinet Regulation; * the planned costs indicated in Section 10 and other sections of the research application correspond to the eligible costs defined in Paragraph 64 of the SAO Cabinet Regulation; * the amount of costs planned in Section 10 and other sections of the research application does not exceed the cost limits set out in Paragraphs 61 and 64 of the SAO Cabinet Regulation; * each cost item is identified by the appropriate number of units and the appropriate unit name; * if the cost items included in the research application are derived from all the planned activities of the research application and are justified by a description of the scientific objective, the scientific problem of the research and the solution to it, as described in all the relevant sections of the application. * if the costs envisaged in the research application ensure the achievement of the objective, results and indicators set out in the research application (i.e., the objective, results and indicators set out in the research application cannot be achieved without them).   **The evaluation is “Yes, conditional”** if the research application does not fully or partially meet all the requirements for a research application as set out in the SAO Cabinet Regulation. | P | P | P |
| 1.13 | The implementing period of the research application is in line with the implementing period of the measure as set out in the SAO Cabinet Regulation. | **The evaluation is “Yes”** if the POSTDOC information system is adequate according to the information provided in Section 8 and Section 2.3 (and other sections if applicable) of the research application:   * the research applicant starts the implementation of the supported activities within 6 months after the decision on the approval of the research application has been taken, in accordance with Paragraph 47 of the SAO Cabinet Regulation. * the co-operation partners are expected to start the activities planned in the research application after the conclusion of the collaboration agreements referred to in Paragraph 31 of the SAO Cabinet Regulation, but not earlier than the date of approval of the research application (if applicable); * the period of implementation of the research application shall not exceed the period of implementation of the research application specified in Paragraph 41 of the SAO Cabinet Regulation – i.e., not more than 36 months after the date of conclusion of the contract for implementation of the research application, but not more than until 30 June 2029; * ensuring that the funding plan in Section 9 of the research application in the POSTDOC information system is consistent with the timetable for implementation of the research application.   **The evaluation is “Yes, conditional”** if the research application does not fully or partially meet all the requirements for a research application as set out in the SAO Cabinet Regulation. | P | P | P |
| 1.14 | The expected results and monitoring indicators planned in the research application are well defined, justified, measurable and contribute to the achievement of the output indicators set out in the SAO Cabinet Regulation. | **The evaluation is “Yes”** if:   * The POSTDOC information system shall indicate in section 1.5 of the research application (and in other sections, if applicable) for each activity a reasonable (clearly derived from the activity), well-defined and measurable result that will be achieved as a result of each activity of the research application; * if the POSTDOC information system provides in section 1.6 of the research application (and in other sections, if applicable) reasonable (clearly derived from the project activities), accurately defined and measurable monitoring indicators for the research application. They contribute to the achievement of the monitoring indicators set out in Paragraph 6 of the SAO Cabinet Regulation.   **The evaluation is “Yes, conditional”** if the research application does not fully or partially meet all of the above requirements. | P | P | P |
| 1.15 | The publicity and information dissemination measures planned in the research application comply with the provisions of Articles 47 and 50 of Regulation (EU) 2021/1060 and the Communication and Design Guidelines for the programming period 2021–2027 of the European Union Funds and the Recovery Fund. | **The evaluation is “Yes”** if the information and publicity measures indicated in Section 5 of the research application (and other sections if applicable) in the POSTDOC information system comply with the Communication and Design Guidelines for the European Union Funds 2021–2027 programming period and the Recovery Fund:   * + the research applicant posts on its website and social networks, at least every six months, up-to-date information on the implementation of the research application, including the objectives and results, and an indication that it is co-funded with financial support from the European Union;   + a prominent statement highlighting the support received from the European Union in documents and communication materials related to the implementation of the research application and intended for dissemination to the public or to participants;   + display at least one poster of minimum A3 size, or equivalent electronic notice, clearly visible to the public, setting out the details of the research application and highlighting the support received from European Union funds.   **The evaluation is “Yes, conditional”** if the research application does not fully or partially meet all of the above requirements. | P | P | P |
| 1.16 | The research application identifies, describes and evaluates the risks of the research application, assesses their impact and likelihood of occurrence, and identifies mitigation measures. | **The evaluation is “Yes”** if the research application has assessed in the POSTDOC information system all the risks identified in section 2.4 (and other sections if applicable) of the research application (risks to the achievement and administration of financial, implementation, results and monitoring indicators), has indicated the impact (high, medium, low) and the probability (high, medium, low) of each risk occurring and has developed a justified action plan to address these risks, i.e., the activities to address all these risks are described and the action plan is substantiated.  Research applications must address at least the following risks:  financial risks (financial resources to make payments, accounting and progress reporting);  implementation risks (technological risks, definition and planning of activities (operations), organisational structure);  risk of achieving the results and monitoring indicators (risk of meeting the planned monitoring indicators, risk of achieving the planned results of the research application);  administrative risk (adequacy of human resources, organisational management, quality of documentation for payment claims);  other risks (if applicable).  **The evaluation is “Yes, conditional”** if the research application does not fully or partially meet all of the above requirements. | P | P | P |
| 1.17 | The postdoctoral researcher meets the requirements for the target group of the measure as set out in the SAO Cabinet Regulation. | **The evaluation is “Yes”** if the postdoctoral researcher, according to the copy of the diploma submitted as an annex to the research application, fulfils the requirements for the target group of the measure set out in Sub-paragraph 2.10 of the SAO Cabinet Regulation – a Latvian or foreign scientist who has obtained a doctoral degree not more than ten years before the deadline for submission of the research application. This period may be extended if the person has a valid reason.  **The evaluation is “Yes, conditional”** if the research application is accompanied by incomplete information, e.g., no translation of the doctoral diploma, a statement of the Academic Information Centre on compliance of the doctoral degree, or supporting information for the extension of the deadline in relation to Sub-paragraph 2.10 of the SAO Cabinet Regulation. | P | P | P |
| 1.18 | The co-operation partner of the research application (if applicable) meets the requirements set out in the SAO Cabinet Regulation. | **The evaluation is “Yes”** if the selected implementing cooperation partner indicated in Section 1.9 of the research application in the POSTDOC information system meets the requirements set out in Sub-paragraph 32.1 and Sub-paragraph 32.2 of the SAO Cabinet Regulation.  The research application may be carried out in partnership with a foreign or Latvian scientific institution, university or business (hereinafter – “co-operation partner”), which hosts the postdoctoral researcher and provides access to infrastructure or human resources to carry out the research required by the research application. The co-operation partner may benefit from economic advantages and intellectual property rights arising from the activities carried out under the co-operation partner's research application in proportion to each co-operation partner's contribution to the implementation of the research application.  The co-operation partner of the research applicant meets the following requirements set out in Paragraph 32 of the SAO Cabinet Regulation (applicable to research applications subject to State aid framework):   * they are not subject to a recovery order as referred to in Article 1(4)(a) of Commission Regulation No [651/2014](http://eur-lex.europa.eu/eli/reg/2014/651?locale=LV); * they are not considered to be in financial difficulties in accordance with Sub-paragraph 2.7 of the SAO Cabinet Regulation and a declaration of compliance with Article 2(18)(c) of Commission Regulation No 651/2014 is submitted;   **The evaluation is “Yes, conditional”** if the information provided in the research application does not fully or partially meet all of these requirements. | P | P | P |

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| **2. ELIGIBILITY CRITERION** | | **Clarification for Eligibility Determination** | **The influence of the criterion on decision-making**  **(N-non-fillable, P-fillable)** | | |
| **Expert's No. 1 individual assessment** | **Expert's No. 2 individual assessment** | **Consolidated score** |
| 2.1 | The research applicant meets the specific requirements set out in the SAO Cabinet Regulation. | **The evaluation is “Yes”** if the research applicant fulfils the specific requirements set out in Sub-paragraphs 2.2 and 32.4 of the SAO Cabinet Regulation.  Eligibility is assessed taking into account the following aspects:   1. the research applicant has indicated in the research application submission in the POSTDOC information system that the research application will be related to an economic activity;   b) if the merchant conducts also non-economic activities, the funding, revenue and expenditure of this activity shall be accounted for separately, including for purposes of effective prevention of cross-subsidisation of economic activity which is reflected in accounting policy;  In the case of a research application related to an economic activity, the eligibility of the research applicant to the specific category of economic operator as defined in sub-paragraph 2.19 of the SAO Cabinet Regulation, as defined in Annex 1 to Regulation No 651/2014 and sub-paragraph 2.16 of the SAO Cabinet Regulation, shall be verified. The eligibility of an economic operator for a particular category of merchant shall be determined taking into account the following aspects:   |  |  |  | | --- | --- | --- | | **Company category** | **Number of employees** | **Annual turnover/annual balance sheet sum total** | | **Medium-sized** | < 250 | ≤ 43 million EUR/ 50 million EUR | | **Small** | <50 | ≤ 10 million EUR / 10 million EUR | | **Micro** | <10 | ≤ 2 million EUR / 2 million EUR |   In determining the eligibility of State-founded scientific institutions to a particular category of entrepreneur, Article 3(4) of Annex 1 to Regulation No 651/2014 shall be taken into account: ...*an enterprise is not an SME but a large enterprise if 25% or more of its capital or voting rights are controlled, separately or jointly, by one or more public bodies, whether directly or indirectly*.  Complying with the Cabinet Regulation No. 776 of 16 December 2014 "Procedures for Commercial Companies to Declare their Compliance with the Status of Small (Micro) and Medium-sized Commercial Companies". Check that the declaration of the commercial company's compliance with small (micro) or medium-sized enterprise and its annexes (if applicable) are attached.  **The evaluation is “Yes, conditional”** if it is not possible to ascertain whether the research applicant meets any or all of these requirements/conditions. | P | P | P |
| 2.2 | Readiness of the research application to start. | **The evaluation is “Yes”** if the POSTDOC information system provides information in Section 1.2 or other sections (if applicable) of the research application that justifies the fulfilment of the condition set out in Sub-paragraph 35.3 of the SAO Cabinet Regulation, i.e., the research applicant has agreed with the postdoctoral researcher on the content of the research application, the conditions for technical and financial cooperation, the rights, duties and responsibilities of the parties and the conditions for the use, implementation and commercialisation of the research application results. Annex 9 of the regulation of the 3rd selection round of research applications has been submitted – agreement/memorandum of understanding between the postdoctoral researcher and the scientific institution in free form, confirming the planned collaboration between the postdoctoral researcher and the scientific institution in the framework of the research application, if approved, indicating the planned workload of 1 FTE, the duration of the employment contract and other conditions agreed between the research applicant and the postdoctoral researcher (e.g., content of the research application, conditions for technical and financial collaboration, rights, duties and responsibilities of the parties, and conditions for exploitation, implementation and commercialisation of the research application results, etc.).  **The evaluation is “Yes, conditional”** if it cannot be verified that the research applicant has agreed with the postdoctoral researcher on the conditions for the implementation of the research application. | P | P | P |
| 2.3 | The objective of the research application is in line with the objective set out in the SAO Cabinet Regulation. | **The evaluation is “Yes”** if the POSTDOC information system provides information in Section 1.2 or other sections (if applicable) of the research application that justifies the relevance of the objective of the research application as set out in Paragraph 3 of the SAO Cabinet Regulation, i.e.,:   * developing postdoctoral skills and scientific capacity, as well as improving research competences, * provides opportunities for postdoctoral researcher to start their career in research institutions or with companies, * ensuring the renewal of human resources and the growth of skilled professionals   **The evaluation is “Yes, conditional”** if the research application does not fully or partially meet all of the above requirements. | P | P | P |
| 2.4 | The research application creates synergies or complementarity with other research applications. | **The evaluation is “Yes**” if the POSTDOC information system provides information in section 2.5 of the research application that:   * the research application creates synergies or complementarity with other research projects, e.g., measure 1.1.1.4 “Mobility, exchange of experience and cooperation activities for improving international competitiveness in science”, National Research Programmes, etc.   **The evaluation is “Yes, conditional”** if the research application does not fully or partially meet the above requirements. | P | P | P |
| 2.5 | The relevance of the activities planned under the research application to the current strategy of the scientific institution and to the Smart Specialisation Strategy (RIS3), the implementation of priorities and/or the area of specialisation. | **The evaluation is “Yes”** if the POSTDOC information system provides information in sections 1.3, 6.1 or other sections of the research application (if applicable) that:   * the development of the research area is foreseen in the development plans or other documentation of the merchant; if the applicant is a scientific institution, in the current strategy of the scientific institution; * the topic of the research application is relevant to a specific RIS3 framework, priority and/or area of specialisation (please specify which), including relevance for interdisciplinary research.   **The evaluation is “Yes, conditional”** if the research application does not fully or partially meet all of the above requirements. | P | P | P |
| 2.6 | The applicant undertakes to ensure the sustainability of the results achieved after the completion of the research application, in accordance with the Cabinet Regulation on the implementation of the specific aid objective. | **The evaluation is “Yes”** if, in the POSTDOC information system, in Sections 6 of the research application or in other sections (if applicable), the research applicant describes and justifies the sustainability of the results achieved for at least one year after the completion of the research application, ensuring the development of the research strand of the research application and the sustainability of the technology/product and the job created:  that the research applicant will ensure the sustainability of the results achieved and the technology/product (if applicable) for at least 1 (one) year after the completion of the research application; and  that the sustainability of the newly created research workplace will be ensured for at least one year after the completion of the research application (if applicable).  The description shall justify:  -how sustainability will be ensured and what contribution the competences and skills developed during the postdoctoral research application will make to the organisation (e.g., the postdoctoral researcher will research and develop a new or innovative solution for the development of the organisation during the implementation of the research application),  -how the research direction initiated in the research application will be further developed, e.g., by ensuring an increase in the number of scientific articles published in highly citable journals in line with the RIS3 guidelines, the implementation of the priorities and the development of the specialisation areas and the output indicators set out in sub-paragraph 6.2 of the SAO Cabinet Regulation,  -how the acquisition, validation, defence and maintenance (if applicable) of technological rights (intangible assets) resulting from research activities will be organised.  **The evaluation is “Yes, conditional”** if the research application does not fully or partially meet all of the above requirements. | P | P | P |
| 2.7 | The specific actions proposed in the research application contribute to the achievement of the horizontal principle “Equality, inclusion, non-discrimination and respect for fundamental rights”. | **The evaluation is “Yes”** if, in the POSTDOC information system, in section 3.1 of the research application or in other sections (if applicable), the research applicant describes the specific actions foreseen in the research application and they contribute to the horizontal principle “Equality, inclusion, non-discrimination and respect for fundamental rights”, i.e., reducing discrimination of any kind (gender, race, ethnic origin, religion or belief, disability, sexual orientation, age, etc.) and creating equal opportunities for all members of society.  The research application must indicate that equal opportunities will be provided in one of the 3 main directions, giving examples:  - gender (women, men),  - age (all age groups),  - disability (visual, hearing, mobility and mental impairments).  **The evaluation is “Yes, conditional”** if the research application does not fully or partially meet all of the above requirements. | P | P | P |