Annex 1

Regulations for the Open Tender for 2022 Fundamental and Applied Research Projects

(24.05.2022)

# Project application

## Part A

## Chapter 1. General information

|  |  |
| --- | --- |
| 1. Project name |  |
| 2. Project applicant |  |
| 2.1. Registration number in the Register of Scientific Institutions |  |
| 2.2. Registration number in the Register of Enterprises |  |
| 2.3. Registered address |  |
| 2.4. E-mail address of the scientific institution |  |
| 2.5. Website of the scientific institution |  |
| 3. Project contact person |  |
| 3.1. Project contact person name |  |
| 3.2. Project contact person surname |  |
| 3.3. Project contact person’s personal identity number |  |
| 3.4.Project contact phone number |  |
| 3.5. Project contact person e-mail |  |
| 4. Project partner (if applicable) |  |
| 4.1. Registration number in the Register of Scientific Institutions |  |
| 4.2. Registration number in the Register of Enterprises |  |
| 4.3. Registered address |  |
| 4.4. E-mail address of the scientific institution |  |
| 5.5. Website of the scientific institution |  |
| 5. Name of the project leader |  |
| 5.1. Surname of the project leader |  |
| 5.2. Personal identity number of the project leader |  |
| 6. Main scientific field and sub-fields of the project  |  |
| 7. Priority field/fields of science |  |
| 8. Justification for the selection of the priority field/fields of science |  |
| 9. Type of research |

|  |  |
| --- | --- |
| fundamental research |  |
| applied research |  |

 |
| 10. Smart specialisation field |  |
| 11. Total funding of the project |  |
| 12. Summary of the project  |  |
| 13. Keywords |  |
| 14. Project period: |  |

## Chapter 2. Scientific team

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Scientific institution represented | Name, surname | Workload (FTE) | CV |
| Project leader |  |  |  |  |
| Lead project participants |  |  |  |  |
| Project participants (excluding university students and PhD candidates) |  |  |  |  |
| Project participants who are university students and PhD candidates |  |  |  |  |

## Chapter 3. Project results

|  |  |  |  |
| --- | --- | --- | --- |
| No | Type of result  | Number up to the mid-term stage of the project | Number at the end of the project (in total with the mid-term stage of the project) |
| 1. | original scientific articles (at least one is mandatory): |  |  |
| 1.1. | original scientific articles whose quoting index is at least 50 per cent of the average quoting index in the sector which have been submitted or accepted for publication in the magazines or conference symposia included in Web of Science Core Collection or SCOPUS databases  |  |  |
| 1.2.  | original scientific articles which have been submitted or accepted for publication in magazines or conference symposia included in Web of Science Core Collection or SCOPUS databases |  |  |
| 1.3 | original scientific articles which have been submitted or accepted for publication in the scientific publications or conference symposia included in ERIH PLUS database |  |  |
| 1.4. | other peer-reviewed scientific articles in international magazines and collections of articles, except for conference materials |  |  |
| 1.5. | other peer-reviewed scientific articles in the magazines and collections of articles of Latvia, except for conference materials |  |  |
| 2. | conference materials (except for those indexed in *SCOPUS* and Web of Science Core Collection): |  |  |
| 2.1. | conference materials: full text |  |  |
| 2.2. | conference materials: summaries, up to 1 page |  |  |
| 3 | Reviewed scientific monographs or their manuscripts |  |  |
| 4. | Manuscripts of scientific articles included in manuscript databases (preprints) and scientific articles published under the responsibility of the authors (non-reviewed) |  |  |
| 5. | scientific databases and data sets developed within the scope of the project |  |  |
| 6. | Technology rights: the know-how and the following rights or their combination, including applications or registrations for those rights |  |  |
| 6.1 | Patents |  |  |
| 6.2. | Functional models |  |  |
| 6.3. | Design rights |  |  |
| 6.4. | Topographies for semiconductor products |  |  |
| 6.5. | Supplementary protection certificates for medical products, or for other products, for which such supplementary protection certificates can be obtained |  |  |
| 6.6. | Plant breeder certificates |  |  |
| 6.7. | Software copyright |  |  |
| 6.8. | New non-commercial treatment and diagnostic techniques; |  |  |
| 7. |  Intellectual property licences or transfer agreements |  |  |
| 8. | New non-commercial treatment and diagnostic techniques; |  |  |
| 9.  | Reports on action policy recommendations and on the impact of action policy |  |  |
| 10. | Project proposal submitted in an international or national call for research and development projects |  |  |
| 11. | Successfully defended master’s thesis within the thematic focus of the project |  |  |
| 12. | Doctoral thesis successfully defended according to certain procedures within the thematic focus of the project |  |  |
| 13. | Other project results (including data) according to the specific nature of the project complementary to those listed above |  |  |
|  | Free input field for up to 3 different project results |  |  |

## Chapter 4. Project budget

|  |  |  |  |
| --- | --- | --- | --- |
| No | EKK | Type of expenses | Amount of expenses |
| Year 1 | Year 2 | Year 3 | Total  |
| 1. | 1000 | Remuneration in accordance with Section 18.1.1 of the Regulations |   |   |   |   |
|  | Total FTE workload of members of the scientific team involved in the project  |   |   |   |   |
|  | incl. total student workload FTE |   |   |   |   |
| 2. | 2100 | Official trip expenses in accordance with Section 18.1.2 of the Regulations |   |   |   |   |
| 3. | 5000 | Depreciation costs in accordance with Section 18.1.3 of the Regulations |   |   |   |   |
| 3. | 2300 | Costs of purchasing and supplying equipment, tools and materials in accordance with Section 18.1.4 of the Regulations |   |   |   |   |
| 5. | 2200 | Costs of external services in accordance with Section 18.1.5 of the Regulations |   |   |   |   |
| 6. | 2200 | Costs of information and publicity (including costs of publishing scientific studies) in accordance with Section 18.1.6 of the Regulations |   |   |   |   |
| 7. | **Direct** eligible costs |  |  |  |  |
| **Indirect** eligible costs (15% of the remuneration of the members of the scientific team), in accordance with Section 18.3 of the Regulations |   |   |   |   |
| **Total** (direct (1, 2, 3, 4, 5, 6) + indirect (7) eligible costs) |   |   |   |  |

**Part B**

Project description

Project name:

**1. Scientific excellence**

(description)

**2. Impact**

2.1. Scientific results and technological findings of the project, the plan for their distribution

(description)

2.2. Socio-economic impact and publicity of results

(description)

2.3. Contribution to the capacity building of the scientific team of the project, including students, and to the improvement of the study environment

(description)

**3. Implementation**

3.1. Submitter of the project proposal and scientific team

(description)

3.2. Activity plan

(description)

3.3. Project management and risk plan

(description)

Table 1

|  |
| --- |
| Risk assessment |
| No | Risk(Strategic, operational, financial, etc.) | Risk description(Cause, effect, impact (on what, with outcome/target group)) | Assessment | Risk prevention/mitigation measures |
| Probability | Impact |
| 1. |  |  |  |  |  |
| 2. |  |  |  |  |  |
| 3. |  |  |  |  |  |
| n |  |  |  |  |  |

**Part C**

*Curriculum Vitae*

**Name, surname:**

Researcher identification code/codes, if any (ORCID, Research ID, Scopus Author ID, etc.):

**EDUCATION**

Date Doctorate [scientific discipline]

 [faculty/department/institution/country]

**WORK EXPERIENCE**

Date [current employment]

 [institution, country]

Date [position]

 [institution, country]

**SCIENTIFIC PROJECTS**

**SCIENTIFIC PUBLICATIONS**

[*specify up to five scientific publications or proof of the reinforcement of intellectual property rights of relevance in the context of the project, in addition specifying the total number of publications, total number of quotes, quoting index, including the source, for example, Scopus or Web of Science Core Collection*]

**OTHER INFORMATION**

[*other information not exceeding 2 pages, for example, the number of supervised doctoral or master’s theses, duties in editorial boards of scientific publications, international scientific work experience, pedagogical experience, etc.*]

Part D. Certification by the project applicant

**Certification by the project applicant**

 Reg. No , represented by its

 project applicant position, name, surname

acting on the basis of confirms that

statute, articles of association, authorisation

the project applicant:

1. is a scientific institution that complies with Sections 2.7 and 2.9 of Cabinet Regulation 725 ‘Procedures for Evaluating Fundamental and Applied Research Projects and Managing their Financing’ of 12 December 2017(‘Cabinet Regulation 725’). This is evidenced by the submission of the financial management and accounting policies of the scientific institution and the financial turnover statement (Part F) for 2019, 2020 and 2021. If the scientific institution has private investors, there must be a statement by the scientific institution that the results of the research related to the project will not be used for commercial purposes. The financial management and accounting policy (in WORD or PDF file format), the financial turnover statement (in EXCEL file format) and the investor statement (in WORD or PDF file format) are submitted in the ‘Scientific Institution Project Documents’ section of the National Scientific Activity Information System (‘Information System’);

2. has examined project application No lzp-2022/1-XXXX (project title: ‘ ‘) (‘project application’) and confirms that it will ensure the implementation of the project, and that the information provided in the project application is true;

3. has reviewed all the conditions for receiving the funding specified in Cabinet Regulation 725 and these Regulations of the Open Tender for 2022 Fundamental and Applied Research Projects approved by the Latvian Council of Science (‘Council’) on \_\_\_\_\_\_\_\_\_\_\_\_\_\_ 2022 (‘Regulations’) and undertakes to comply with them during the project. Thefunding for the project indicated in the project application is \_\_\_\_ euros *for* the duration of the project, which is 3 years(36 months);

4. acknowledges that the project leader has the appropriate experience and expertise to carry out the tasks set out in the project application;

5. undertakes to comply with the publicity requirements of Sections 61 and 62 ofthe Regulations when conducting the project activities and publishing information materials;

6. As I sign this declaration, I have been informed that:
6.1. the purpose of the processing of the personal data is the Council’s duty to comply with the requirements of the laws and regulations for the administrative evaluation, scientific evaluation, decision-making, conclusion of the project agreement and management of the funding awarded;

6.2. the data controller is the Council, at Smilšu iela 8, Riga, LV-1050, phone +371 67228421, e-mail pasts@lzp.gov.lv;

6.3. Legal grounds for personal data processing Article 6(1)(c) of Regulation 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data and repealing Directive 95/46/EC (General Data Protection Regulation) (‘Data Protection Regulation’) and the criteria set out in the Statute when verifying the applicant’s compliance with the administrative criteria;

6.4. grounds for the processing of personal data: the Council processes the data in order to ensure the evaluation of the project application submitted to the open tender in accordance with Cabinet Regulation 725 and the Regulations, whereby international experts carry out the scientific evaluation of the project application. If the project is approved, the Council signs the project agreement and manages further data processing during the project, including for the purposes of managing the funding and monitoring the progress of the project, and auditing. At the mid-term stage and at the end of the project, the Council must submit the project applications for evaluation by experts who must carry out the scientific evaluation of the mid-term scientific report and the final scientific report of the project;

6.5. the project application is permanently stored in the information system, and the Council processes the data throughout the project and for 10 years after the signing of the project acceptance certificate;

6.6. the potential recipients of the personal data are the Council’s staff in charge of the tender, the administrative evaluation and the organising of the scientific evaluation, the international experts who carry out the scientific evaluation of the project application, the mid-term scientific report and the final scientific report, the members of the implementation and monitoring committee who take the decision on the approval of the project application. The project application is also available for inspection and audit by the state Audit Office;

6.7. the person has the right to request the data be rectified or erased;

6.8. the person has the right to lodge a complaint with the State Data Inspectorate.

7. undertakes to provide the necessary information about the project as may be requested by the Council and to participate in the monitoring and communication activities organised by the Council in accordance with Section 62 of the Regulations;

8. acknowledges that, at the time of the submission of the project application, the project is not and has not been financed/co-financed through other public and private sources, including European Union funds and other international financial instruments, and that it has not submitted the same project application or part of it for financing from other financial sources, and does not intend to obtain double financing for the same project. List the projects carried out by the project participant and project lead participant here:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Project name | Project funding provider | Amount (in euros) | Period | Role in the project |
|  |  |  |  |  |
|  |  |  |  |  |

9. Specify up to three experts who should not be involved in the scientific evaluation of this project proposal, giving an objective reason:

 9.1. [name, surname]: [reason];

 9.2. [name, surname]: [reason];

 9.3. [name, surname]: [reason];

|  |  |
| --- | --- |
| **Project applicant:** |  \_\_\_\_ \_\_\_\_ 2022. *(signature) \* (date)* |
| Name, surname |  |
| Position |  |
| Contact details | Phone |
|  | E-mail |

\* If the document is signed with a secure electronic signature, no signature is required here.

Part E. Project partner acknowledgement

**Partner acknowledgement**

 Reg. No , represented by its

 partner position, name, surname

acting on the basis of confirms that

statute, articles of association, authorisation

the partner:

1. is a scientific institution that complies with Sections 2.7 and 2.9 of Cabinet Regulation 725 ‘Procedures for Evaluating Fundamental and Applied Research Projects and Managing their Financing’ of 12 December 2017(‘Cabinet Regulation 725’). This is evidenced by the submission of the financial management and accounting policies, and the financial turnover statement (Part F) for 2019, 2020 and 2021. If the partner has private investors, there must be a statement by the scientific institution that the results of the research related to the project will not be used for commercial purposes. The financial management and accounting policy (in WORD or PDF file format), the financial turnover statement (in EXCEL file format) and the investor statement (in WORD or PDF file format) are submitted in the ‘Scientific Institution Project Documents’ section of the National Scientific Activity Information System (‘Information System’);

2. has reviewed project application No lzp-2022/1-XXXX (project name: ‘\_\_\_\_\_\_’) (‘project application’) and acknowledges its role in the implementation of the project, and undertakes to perform the intended tasks and provide the necessary information to the project participant, and certifies that the information provided in the project application about the partner is correct;

3. has reviewed all the conditions for receiving the funding specified in Cabinet Regulation 725 and these Regulations of the Open Tender for 2022 Fundamental and Applied Research Projects approved by the Latvian Council of Science (‘Council’) on \_\_\_\_\_\_\_\_\_\_\_\_\_\_ 2022 (‘Regulations’) and undertakes to comply with them during the project.

4. undertakes to comply with the publicity requirements of Sections 61 and 62 of the Regulations when conducting the project activities, publishing scientific publications and information materials;

5. As I sign this declaration, I have been informed that:
5.1. the purpose of the processing of the personal data is the Council’s duty to comply with the requirements of the laws and regulations for the administrative evaluation, scientific evaluation, decision-making, conclusion of the project agreement and management of the funding awarded;

5.2. the data controller is the Council, at Smilšu iela 8, Riga, LV-1050, phone +371 62801521, e-mail pasts@lzp.gov.lv;

5.3. Legal grounds for personal data processing Article 6(1)(a) of Regulation 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data and repealing Directive 95/46/EC (General Data Protection Regulation) (‘Data Protection Regulation’) and the criteria set out in the Statute when verifying the applicant’s compliance with the administrative criteria;

5.4. grounds for the processing of personal data: the Council processes the data in order to ensure the evaluation of the project application submitted to the open tender in accordance with Cabinet Regulation 725 and the Statutes, whereby international experts carry out the scientific evaluation of the project application. If the project is approved, the Council signs the project agreement and manages further data processing during the project, including for the purposes of managing the funding and monitoring the progress of the project, and auditing. At the mid-term stage and at the end of the project, the Council must submit the project applications for evaluation by experts who must carry out the scientific evaluation of the mid-term scientific report and the final scientific report of the project;

5.5. the project application is permanently stored in the information system, and the Council processes the data throughout the project and for 10 years after the signing of the project acceptance certificate;

5.6. the possible recipients of the personal data are the Council’s staff who ensure the implementation of the call for proposals, the administrative evaluation and the organisation of the scientific evaluation, the international experts who carry out the scientific evaluation of the project application, the mid-term scientific report and the final scientific report, the members of the implementation and monitoring committee who take the decision on the approval of the project application. The project application is also available for inspection and audit by the state Audit Office;

5.7. the person has the right to request the data be rectified or erased;

5.8. the person has the right to lodge a complaint with the State Data Inspectorate.

6. authorises the applicant to assume contractual obligations with the Council and to represent the partner in all matters relating to the implementation of the project;

7. undertakes to participate in the monitoring and communication activities organised by the Council in accordance with Section 62 of the Regulations.

8. acknowledges that, at the time of the submission of the project application, the project is not and has not been financed/co-financed through other public and private sources, including European Union funds and other international financial instruments, and that the project partner has not submitted the same project application or part of it for financing from other financial sources, and does not intend to obtain double financing for the same project. List the projects carried out by the project participant and project lead participant at the time of the submission of the project application here:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Project name | Project funding provider | Amount (in euros) | Period | Role in the project |
|  |  |  |  |  |
|  |  |  |  |  |

|  |  |
| --- | --- |
| **Project partner**: |  \_\_\_\_ \_\_\_\_ 2021. *(signature\*) (date)* |
| Name, surname |  |
| Position |  |
| Contact details | Phone |
|  | E-mail |

\* If the document is signed with a secure electronic signature, no signature is required here.

|  |
| --- |
| Part F: Form for the Financial Turnover Statement (for 2019, 2020, and 2021) |
| **1. Expenses for \_\_\_\_\_1 broken down by economic classification code (EKK) and dimension: nature of the activity and its type2** |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| EKK | Non-economic activities | Total indirect activities | Economic activities | **TOTAL** |
| Core activity | other activity | indirect activity | TOTAL | core activity | other activity | indirect activity | TOTAL |
| Education\*\* | research and development\*\*\* | knowledge and technology transfer\*\*\*\* | education | research and development | knowledge and technology transfer |
| F | R | E | F | R | E |
| fundamentalresearch | industrialresearch | experimentaldevelopment | fundamentalresearch | industrialresearch | experimentaldevelopment |
|   |   |   |   |   |   |   |   | 0 |   |   |   |   |   |   |   |   | 0 | 0 |
|   |   |   |   |   |   |   |   | 0 |   |   |   |   |   |   |   |   | 0 | 0 |
|   |   |   |   |   |   |   |   | 0 |   |   |   |   |   |   |   |   | 0 | 0 |

|  |  |
| --- | --- |
| 1 - Compliance with Cabinet Regulation 1031 ‘Classification of budget expenditure according to economic categories’ of 27.12.2005

|  |
| --- |
| 2 - Columns can be added if necessary to provide information about additional activities**2. Income for \_\_\_\_\_3 broken down by economic classification code (EKK) and dimension: nature of the activity and its type4** |

 |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| KK | Non-economic activities | Total indirect activities | Economic activities | **TOTAL** |
| Core activity | other activity | indirect activity | TOTAL | core activity | other activity | indirect activity | TOTAL |
| education | research and development | knowledge and technology transfer | education | research and development | knowledge and technology transfer |
| F | R | E | F | R | E |
| fundamentalresearch | industrialresearch | experimentaldevelopment | fundamentalresearch | industrialresearch | experimentaldevelopment |
|   |   |   |   |   |   |   |   | 0 |   |   |   |   |   |   |   |   | 0 | 0 |
|   |   |   |   |   |   |   |   | 0 |   |   |   |   |   |   |   |   | 0 | 0 |
|   |   |   |   |   |   |   |   | 0 |   |   |   |   |   |   |   |   | 0 | 0 |

|  |
| --- |
| 3 - Compliance with Cabinet Regulation 1032 ‘Classification of budget expenditure according to economic categories’ of 27.12.2005; 4 - Columns can be added if necessary to provide information about additional activities\* The financial turnover statement is based on the information from the applicant’s approved annual accounts. Information must be provided for the year, for which the annual report was approved at the time of the submission of the financial turnover statement. The financial turnover statement complies with Section 2.9 of Cabinet Regulation 725 ‘Procedures for Evaluating Fundamental and Applied Research Projects and Managing their Financing’ of 12 December 2017: the statement shows that the activities referred to in Section 2.9 are not associated with the business activities of the project applicant. The financial management and accounting policies of the applicant must also show how the financial flows of the economic activities are separated.\*\* Definitions of research and development activities: ‘fundamental research’ as per Article 2(84) of European Commission Regulation (EU) No 651/2014 of 17 June 2014; ‘industrial research’ as per Article 2(85); ‘experimental development’ as per Article 2(86)\*\*\* Knowledge and technology transfer must be specified in accordance with Cabinet Regulation 725 ‘Procedures for Evaluating Fundamental and Applied Research Projects and Managing their Financing’ of 12 December 2017, Section 2.9.4.  |