

Annex

APPROVED

by UL order No. 1/\_\_\_

of \_\_\_.\_\_\_.2019

**REGULATION OF THE UNIVERSITY OF LATVIA**

**For submission of research applications to the State Education Development Agency** (hereinafter – SEDA) **for the research application selection round 3 for 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”**

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| Regulations of the Cabinet of Ministers governing the implementation of the activity of the specific aid objective | Cabinet Regulation No. 50 of 19 January 2016, Regulations Regarding Implementation Activity 1.1.1.2 “Post-doctoral Research Aid” of the Specific Objective 1.1.1 “To increase the research and innovative capacity of scientific institutions of Latvia and the ability to attract external financing, investing in human resources and infrastructure” of the Operational Programme “Growth and Employment” (hereinafter – SAO Cabinet Regulation) |
| Compliance of post-doctoral research applications of the University of Latvia (hereinafter – the UL) with the objective | Implementation of research applications in accordance with the UL human resources development plan (approved by UL order No. 1/302 of 08.07.2016) and the research programme (approved by UL Senate decision No. 268 of 25.01.2016), prescribing the following priority excellence areas for groups of sectors:1. Exact sciences:
	1. innovative information technologies;
	2. mathematical methods as promoters of excellence in exact sciences;
	3. climate change and adaptation;
	4. innovative materials;
	5. nano technologies and quantum technologies;
	6. sub-sectors of exact sciences relevant for ensuring quality study process.
2. Medicine and life sciences:

2.1. ecology and biological diversity;2.2. ethnopharmacy/pharmacology and chemistry of natural substances;2.3. innovative biomedical technologies;2.4. biobank;2.5. research on public health and health care organisation;2.6. regenerative medicine;2.7. medical physics.1. Social sciences:
	1. interaction of technologies and the individual, innovative public administration and education;
	2. challenges of life quality and sustainable development of the nation;
	3. reflective societies of Europe in the conditions of globalisation;
	4. innovation and global competitiveness of Europe.
2. Humanities:
	1. critical thinking as the promoter of development of the society;
	2. Latvian studies (in the European context);
	3. the Latvian diaspora in the world;
	4. intercultural and interdenominational communication;
	5. language policy, multilingual education/research.
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| Financial conditions | Pursuant to SAO Cabinet Regulation:1. The maximum total eligible funding allowed for a research application shall be **EUR 133,806**.2. The following costs shall be eligible within the scope of a research application not related to economic activity:* the average maximum remuneration of a post-doctoral researcher (personnel) shall be EUR 2731 per month, and it shall not exceed EUR 32,772 in a year, including State mandatory social insurance contributions and other social guarantees laid down in laws and regulations; research costs including costs related to the purchase of materials, protection of technology rights and outsourcing services, costs related to training and networking events per unit in the amount of EUR 800 per month. It is possible to foresee what part of costs per unit for man-hour payment support/technical work, for example, data processing, considering also other planned costs intended to be covered from the costs per unit – EUR 800 (per month);
* the costs per unit for administrative and infrastructure resources used by the submitter of the research application in order to ensure the implementation of the research application – EUR 185.83 per month. The costs per unit shall include stationery, office supplies and lease or purchase of office equipment, lease or rental of premises, public utilities and maintenance costs of premises (including covering in proportion of the costs for the use of common-use premises of an institution and common-use resources), costs of telecommunications, Internet and postal services; costs of information technology maintenance; costs for aid of the research applicant and remuneration of the management personnel; costs, which are not included in the costs referred to in Sub-paragraphs 48.1 and 48.2 of SAO Cabinet Regulation, but are necessary for achieving the results of the research application. (According to Paragraph 1.1 of UL order No. 1/352 of 14.11.2017, 5 % of project revenue is used to cover the indirect costs incurred to the UL and to develop the principal activity. This item of costs is covered from the costs per unit for a research application.)

3. The maximum eligible amount of funding from the European Regional Development Fund (ERDF) for a research application not related to economic activity shall not exceed 85 % from the total eligible funding of the research application and the necessary co-funding in the amount of 15 % from the total eligible costs of the research application shall be ensured in compliance with Sub-paragraphs 42.1 and 42.2 of Cabinet Regulation of the activity. 4. The following items of eligible costs for a research application shall be covered in research application costs related to economic activity:

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| * personnel costs: researchers, technical and other auxiliary personnel to the extent that they are employed in the implementation of a research application in compliance with the permissible aid intensity of the public funding;
* costs of instruments and equipment to the extent how and how long they are used in the implementation of a research application;
* costs of contract researches, knowledge and patents which have been purchased or whose licences have been received from external sources under the conditions of fair competition, as well as costs of consulting services and equivalent services which have been used for the purposes of the implementation of a research application only;
* additional indirect costs and other costs related to activity, including the costs of materials, accessories and similar products that have incurred directly as the result of the implementation of a research application;
* costs related to the acquisition, approval and protection of patents and other non-material assets;
* costs of the activity of teaching staff and educatees that are directly related to the implementation of a project application;
* costs of the personnel to be trained and general indirect costs (administrative costs, rent, additional costs) for hours spent by educatees while acquiring education.
1. The intensity of public funding for conducting industrial research not related to economic activity – 50 %.

6. The aid intensity of the public funding for the implementation of industrial research applications may be increased by 15 points by per cent from the total eligible costs of the research application, without exceeding 80 % of the total eligible costs of the research application, if public access to the results of industrial research applications 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.7. Costs related to the protection of technology rights may be received if a research application not related to economic activity is implemented.8. Costs related to the acquisition of education may be received if a research application not related to economic activity is implemented.9. Costs shall be eligible if they have incurred not earlier than followingthe conclusion of an agreement or a contract with SEDA regarding the implementation of a research application. |

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| Type of post-doctoral application selection | An open competitive selection of post-doctoral applications  |
| Implementation period of Activity 1.1.1.2 “Post-doctoral Research Aid” of the Specific Objective 1.1.1 “To increase the research and innovative capacity of scientific institutions of Latvia and the ability to attract external financing, investing in human resources and infrastructure” of the Operational Programme “Growth and Employment” | In accordance with the selection announcement published on the UL website that is related to the third round of the selection announced by the State Education Development Agency in compliance with Activity 1.1.1.2 |

1. **Requirements for Post-doctoral Researchers**
2. A post-doctoral researcher who, according to Paragraph 2.9 of the SAO Cabinet Regulation, is a Latvian or foreign researcher who has acquired doctorate not more than ten years before the deadline for submission of research applications for post-doctoral research aid in the competition announced by the State Education Development Agency (SEDA), irrespective of age, [race](https://en.wikipedia.org/wiki/Race), [gender](https://en.wikipedia.org/wiki/Gender), [ethnic](https://en.wikipedia.org/wiki/Ethnos) group, political belief, social status, or other features. The said period may be extended for a period of two years, if the person has a justified reason: a parental leave or temporary work disability.
3. Within the framework of the research application, a post-doctoral researcher may implement the following activities to be supported:

2.1. Research which includes one of the following categories:

2.1.1. a fundamental research;

2.1.2. an industrial research.

2.2. Acquisition, approval and protection of technology rights (non-material assets);

2.3. Knowledge and technology transfer – publishing of scientific articles and publications, presenting of research results in conferences and seminars, as well as implementing of other knowledge management activities.

1. Supportable activities of a post-doctoral researcher involved in implementation of the research application:

3.1. improvement of competences (studies);

3.2. international mobility and networking;

3.3. supervision, reviewing of a Bachelor, Master’s and Doctoral thesis, participation in final thesis commissions;

3.4. preparation of research or innovation projects for submission to Latvian and international project competitions;

3.5. involvement of society in processes of a research application and provision of information on project results that are not related to intellectual property rights.

4. In the event of the approval of the research application the post-doctoral researcher must not concurrently receive remuneration within the frame of the present Activity and within the scope of this Activity and within the scope of Activity 1.1.1.1 “Practical Research Aid”, Activity 1.1.1.3 “Innovation Grants to Students” and Activity 1.1.1.5 “Aid to International Co-operation Projects in Research and Innovation” of the Specific Aid Objective 1.1.1 “To increase the research and innovative research commissioned by an enterprise, capacity of scientific institutions of Latvia and the ability to attract external financing, investing in human resources and infrastructure” of the Priority Action “Research, Technology Development and Innovations” of the Operational Programme “Growth and Employment”.

5. A post-doctoral researcher who has already once received funding of post-doctoral research aid in the Republic of Latvia shall not be allowed to submit an application.

6. A post-doctoral researcher shall start implementation of the research application not later than in six months after a decision on approval of the research application is taken.

1. **Application and Documents to be Submitted**
2. The Department of Science of the UL (hereinafter – the DoS) shall announce application for preparation and submission of post-doctoral applications by publishing the Regulation on research applications in Latvian and English on the website of the UL www.lu.lv.
3. A post-doctoral researcher shall apply electronically by 28.06.2019:

8.1. by filling out an application form <https://docs.google.com/forms/d/1AnVZnemRRoTaSAUGV-dpR5LCXsO8DS263XCF4M037Z0/edit> and attaching a confirmation of the UL structural unit regarding the project implementation, sustainability of results and position and provision of the necessary infrastructure (Annex 5);

8.2. by sending the documents referred to Clause 9 to the electronic mail address pecdoktoranti@lu.lv.

1. Documents to be submitted:
	1. the curriculum vitae/CV of a post-doctoral researcher (in English) (Annex 1);
	2. the research project proposal (in English) (Annex 2);
	3. a statement by the post-doctoral researcher that the post-doctoral researcher has not received aid within the scope of the present Activity and in the event of the allocation of research application aid will not concurrently receive remuneration within the scope of the present Activity and within the scope of this Activity and within the scope of Activity 1.1.1.1 “Practical Research Aid” and Activity 1.1.1.3 “Innovation Grants to Students” and Activity 1.1.1.5 “Aid to International Co-operation Projects in Research and Innovation” of the Specific Aid Objective 1.1.1 “To increase the research and innovative research commissioned by an enterprise, capacity of scientific institutions of Latvia and the ability to attract external financing, investing in human resources and infrastructure” of the Priority Action “Research, Technology Development and Innovations” of the Operational Programme “Growth and Employment” (Annex 3);
	4. a copy of the diploma of the doctoral degree. If at the time of submitting the application for the preliminary selection procedure the post-doctoral researcher has defended his/her Doctoral Thesis, however, has not yet received the diploma, the post-doctoral researcher shall submit a statement confirming the defence of the Doctoral Thesis issued by the respective institution;
	5. a formal acknowledgement issued by the Academic Information Centre (AIC) regarding the equalisation of a doctoral degree if such has been awarded abroad;
	6. certification of an authorised signatory of the partner organisation regarding co-operation (Annex 4) (if the partner organisation is provided for within the scope of the project);
	7. a confirmation of the support of the UL scientific consultant in the field (Annex 6);
	8. other documents testifying to the skills, knowledge and capacity of the post-doctoral researcher, including copies of publications or indications of websites where they have been published, information about participation in conferences, certificates attesting language proficiency, information about participation in the implementation and administration of research projects awarded as a result of competition, information about international experience and other documents.
2. A foreign post-doctoral researcher may submit a project which in co-operation with the UL was submitted in the Marie Skłodowska-Curie action “Individual Fellowships” of the European Union Framework Programme for Research and Innovation “Horizon 2020” and was evaluated above the quality threshold in the aforementioned evaluation of project applications, but did not receive funding for project implementation. In such case a post-doctoral researcher shall submit the following:
	1. the evaluation of the experts included in the database of experts of the European Commission regarding the scientific quality of the project;
	2. the decision of the European Commission regarding the project approval;
	3. the copy of the project application submitted within the scope of the Marie Skłodowska-Curie action “Individual Fellowships” of the European Union Framework Programme for Research and Innovation “Horizon 2020”.
3. **Compliance Assessment of post-doctoral Application Documentation**
4. The DoSshall summarise information and examine the compliance of the post-doctoral researcher with the requirements specified in Part I of these regulations and the compliance of the documents subject to submission with the requirements specified in Part II of these regulations. If the post-doctoral researcher has failed to submit all documents specified in Paragraph 9 of these regulations within the terms indicated in the announcement, if it is established that the post-doctoral researcher and submitted documents are not compliant with the requirements, the commission established by the UL order (hereinafter – the Commission) shall take a reasoned decision regarding termination of the process for preparation of the application.
5. If necessary, the DoS may ask the post-doctoral researcher to submit clarifying information.
6. If all required documents comply with the requirements, the UL, together with the post-doctoral researcher, shall prepare an application for submission to the SEDA.
7. **Preparation, Filing and Submission of a Research Application to the SEDA**
8. The research application shall consist of the research application form and annexes thereof:
	1. schedule for the implementation of the research application;
	2. funding plan
	3. budget summary of the research application;
	4. research project proposal (in English);
	5. curriculum vitae (CV) of the post-doctoral researcher (in English);
	6. UL annual turnover for 2018;
	7. certification by the post-doctoral researcher.
9. Additional documents to be annexed to the research application:
	1. an agreement between the UL and the post-doctoral researcher regarding the content of the research application, the conditions for technical and financial co-operation, the rights, obligations, and liability of the parties, the conditions for the use, introduction, publicity, and marketing of results of the research application (Annex 7);
	2. certification regarding absence of double financing;
	3. a letter signed by an authorised signatory of a co-operation partner (head of an institution, faculty dean of an institution, department director of an institution, director of a scientific institute of an institution) regarding readiness to participate in the implementation of the research application and to accept the post-doctoral researcher, to ensure access to infrastructure or human resources for the implementation of research work required within the scope of the research application without gaining economic advantage and intellectual property rights derived from the activities conducted within the scope of the research of the research application (if applicable) by appending information which provides assurance that the relevant letter has been signed by an authorised signatory (by indicating the link to the website of the co-operation partner’s institution, where information on the authorised signatories of the co-operation partner is accessible, or by appending the authorisation of the c-operation partner’s institution (a power of attorney, internal normative act, certification on administrative management), attesting that the person having signed the letter of the co-operation partner is to be regarded as an authorised signatory);
	4. financial management and accounting policy of the UL;
	5. copy of a diploma of the post-doctoral researcher regarding the acquisition of the doctoral degree;
	6. decision by the European Commission on the approval of the project submitted within

the scope of the Marie Skłodowska-Curie action “Individual Fellowships” of the European Union Framework Programme for Research and Innovation “Horizon 2020” (if submitted);

* 1. a copy of the project application submitted within the scope of the Marie Skłodowska-Curie action “Individual Fellowships” of the European Union Framework Programme for Research and Innovation “Horizon 2020” (if submitted);
	2. assessment of experts included in the expert database of the European Commission regarding the scientific quality of the project (if submitted);
	3. a power of attorney or the UL normative act attesting the authorisation to sign the submission of the research application (applicable if the submission of the research application is signed by a person who is not the head of the institution or the deputy thereof);
	4. translation (if applicable).
1. The research application shall be drawn up in Latvian. If any of the sections in the form of the submission of the research application and Annexes 1-3 are in another language, certified translation in accordance with the procedures prescribed in Cabinet Regulation No. 291 of 22 August 2000, Procedures for the Certification of Document Translations in the Official Language, or notarised translation in the official language shall be attached in accordance with the Official Language Law.
2. In accordance with Paragraph 23 of SAO Cabinet Regulation, curriculum vitae/CV of the post-doctoral researcher (the submitter of the research application), the scientific description of a research topic application/research project proposal shall be submitted in English.
3. If the research application is drawn up in the form of an electronic document, compliance with the following shall be ensured:
	1. the laws and regulations regarding the drawing up of electronic documents shall be complied with[[1]](#footnote-1);
	2. the research application form and documents to be submitted additionally shall be signed jointly as a single file with a safe electronic signature and it shall contain a time stamp.
4. If the research application is drawn up in paper form:
	1. it shall be drawn up in accordance with the laws and regulations regarding the preparation and drawing up of documents[[2]](#footnote-2);
	2. one original copy shall be submitted by attaching an identical electronic copy, providing documents in .doc or .docx and .xls or .xlsx format in the electronic medium. Additional documents to the submission of the research application may be also attached in .pdf or .jpg file formats. The electronic copy of the research application must comply with the original of the research application;
	3. original copies of the submission of the research application shall be numbered sequentially, laced together by properly certifying the number of pages. Voluminous annexes may be laced together separately by specifying in the submission of the research application that the relevant annex (name and page number) has been laced together separately. Each document that has been bound together separately shall be certified on the other side of the last page with a signature of the submitter of the research application or a signature of an authorised person thereof;
	4. the research application shall be prepared by using a computer, pages may be printed out/copied on both sides, sections, paragraphs and sub-paragraphs contained in the submission of the research application must not be changed and deleted;
	5. if any of the annexes to the submission of the research application is a copy, duplicate or extract of an electronic document in paper form, the correctness thereof shall be certified in accordance with the requirements specified in laws and regulations.
5. If the research application is submitted through POSTDOC information system, the submitted of the research application shall complete the specified data fields and attach the necessary annexes.
6. In accordance with Sub-paragraph 25.2 of SAO Cabinet Regulation the UL shall conclude a contract (Annex 3) with the aided post-doctoral researcher regarding the content of the research application, the conditions for technical and financial co-operation, the rights, obligations, and liability of the parties, the conditions for the use, introduction, publicity, and marketing of results of the research application.The contract shall become effective only if the research application is approved by the SEDA.
7. The UL research application shall be submitted to the SEDA within the third competition round for the selection of research applications within the scope 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”.

Annexes:

Annex 1. Curriculum vitae/CV of the post-doctoral researcher for the preliminary selection at the UL (in English);

Annex 2. Research project proposal (in English);

Annex 3. Certification by the post-doctoral researcher;

Annex 4. Certification regarding co-operation;

Annex 5. Confirmation of the UL structural unit regarding the project implementation, sustainability of results and position and provision of the necessary infrastructure;

Annex 6. Confirmation regarding support of the UL scientific advisor in the field;

Annex 7. Contract with the UL.

1. Electronic Documents Law, Cabinet Regulation No. 473 of 28 June 2005,

Procedures for the Preparation, Drawing Up, Storage and Circulation of Electronic Documents in State and Local Government Institutions, and the Procedures by which Electronic Documents are Circulated between State and Local Government Institutions, or Between These Institutions and Natural Persons and Legal Persons. [↑](#footnote-ref-1)
2. Law on Legal Force of Documents, Cabinet Regulation No. 916 of 28 September 2010, Procedures for the Preparation and Drawing up of Documents. [↑](#footnote-ref-2)