

## Methodology for the preparation and submission of the Platform project application for Stage 2

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### Introduction

"Methodology for the Execution and Submission of the Platform Project Round 2 Application" (hereinafter - the Methodology) has been developed in compliance with the Cabinet of Ministers Regulation of 4 September 2018 No.560 "Procedure for the Implementation of National Research Programme Projects" (hereinafter - Cabinet Regulation), Cabinet of Ministers Regulation of 18 June 2024 No. 474 "On the Long-term National Research Programme "Innovation Fund - Long-term Research Programme"" (hereinafter - the Cabinet Order) and the Regulations of the Competition for Research and Innovation Projects of the Platform "Biomedical and Photonics Research Platform for Innovative Products (BioPhoT)" (hereinafter - the Regulations).

The target audience of the Methodology is the applicants (hereinafter referred to as the applicant) of the first open call for BioPhoT research and innovation projects (hereinafter referred to as the call) who are preparing a project application and the necessary documentation for submission under Stage 2 of the call.

According to the Cabinet Order, the long-term goal of the Platform is to develop academic research and applied science competences for the development of innovative and commercialisable products and technologies in close cooperation with the Latvian biomedical, medical technology,

pharmaceutical, photonics, smart materials, electronics, electrical engineering, technology and engineering systems sectors.

The applicant shall submit a project application covering at least one of the tasks set out in point 6 of the Regulation. A project applicant may submit more than one project application for each subtask of the programme.

The project must meet at least one of the objectives of the programme, achieve at least one of the results defined in point 47 of the Regulations and must necessarily achieve the result defined in point 47.4 of the Regulations.

### 1. Terms used

No.	Deadline	Explanation
1.	Platform Project Group	the scientific team involved in the platform project The Platform Project Team shall be composed of the Platform Project Leader and the Platform Project Executors
2.	Scientific staff	Principal investigators, researchers, research assistants, academic staff <sup>1</sup> and students <sup>2</sup>
3.	Applicant	the applicant is a scientific institution registered in the Register of Scientific Institutions of the Republic of Latvia (public or private) or a higher education institution and meets the definition of a research organisation <sup>3</sup> . The applicant shall be responsible for the implementation of the project and the achievement of the project results as a whole
4.	Partner	a scientific institution registered in the Register of Scientific Institutions of the Republic of Latvia (public law entity or private law entity) or a higher education institution, meeting the definition of a research organisation, participating in the project with its own staff or research infrastructure
5.	Platform Project Manager	the scientist who manages and ensures the implementation of the platform project, plans and supervises the execution of the tasks of the platform project, is responsible for the performance of the persons involved in the platform project in accordance with the tasks and research ethics criteria set out in the platform project and for the preparation and submission of documentation describing the progress of the platform project in accordance with these rules and the procedures established by the platform.

### 2. Presentation and completion of the project application

1. the applicant shall complete the Part A of the project application (hereinafter referred to as the project application) shall be uploaded into the information system, and Part B of the project application (hereinafter referred to as the project description), Part C of the project application (hereinafter referred to as the *curriculum vitae*), Part D of the project application (hereinafter referred to as the project promoter's declaration) and Part E of the project application (hereinafter referred to as the project promoter's declaration), if applicable, shall be uploaded into the information system.
2. Project application:
  - 2.1 Part A and its sections shall be completed in Latvian and English;
  - 2.2 Part B "Project description" and Part C "Curriculum Vitae" must be completed in English (you may also add a Latvian version);

- 2.3 Part D "Certification of the project applicant", Part E "Certification of the project cooperation partner" (if applicable) shall be completed in Latvian only;
- 2.4 Part F The Financial Turnover Statement Form (for 2021, 2022 and 2023 or 2022, 2023 and 2024 (if available)) shall be completed in Latvian;
- 2.5 Part G Non-economic activities must be completed in Latvian only.
- (3) Items of documentation related to the project application may be uploaded separately into the information system, but must all be uploaded and completed in the information system within the deadline for submission of project applications set out in the Statutes. The submission of the project application shall be mutually agreed between the applicant and the project promoter before submission.

## 2.1. Completion of Part A of the project application

4. Part A of the project application shall be completed by the applicant in the information system in Latvian and English.

### 2.1.1 Chapter 1 "General information"

5. the first section 'General information' shall be completed for the applicant and the project partners (if applicable).

<b>1. Project title</b>	<i>the purpose of the project in one sentence.</i>
<b>2. the applicant</b>	<i>Name of the scientific institution, registration number in the Register of Scientific Institutions, registration number in the Register of Enterprises, legal address (street, house number, county/city, postcode), e-mail address, Internet address.</i>
<b>3. Project contact person</b>	<i>Name, surname (to be given in the form on the identity documents), personal identification number, contact details (telephone number and e-mail).</i>
<b>4. project cooperation partner (if applicable)</b>	<i>Name of the scientific institution, registration number, registration number in the Register of Scientific Institutions, registration number in the Register of Enterprises, legal address (street, house No, county/city, postcode), e-mail address, Internet address/</i>
<b>5. Project Manager</b>	<i>Name, surname (to be given in the form on the identity documents), personal identification number, contact details (telephone number and e-mail address).</i>
<b>6. Smart specialisation area</b>	<i>Select an area of smart specialisation (if applicable)<sup>1</sup></i>
<b>7. Total project funding</b>	<i>Indicate the total funding required for the project (in euro), taking into account point 8 of the Statutes.</i>
<b>8. Project summary</b>	<i>Maximum 1500 characters (including spaces). Provide a brief and explanatory summary illustrating the aim of the project and the progress of the research, including the expected results and their impact</i>
<b>9. Keywords</b>	<i>Enter up to 7 key words.</i>

<sup>1</sup> <http://tap.mk.gov.lv/mk/tap/?pid=40291636>

<b>10. Project implementation period</b>	<i>indicate the duration of implementation (maximum 12 months)</i>
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### 2.1.2. Chapter 2 "Scientific Group"

6. Section 2 "Scientific Group" shall be completed in the information system with the following information on the scientific group involved in the project:

	Institution represented	Name, surname	Workload (FTE)	CV
Project Manager	<i>Indicates the scientific institution represented</i>	<i>The name of the project manager must be indicated</i>	<i>Indicate the workload of the project manager</i>	<i>Attach a CV in accordance with Part C of the project application</i>
Project's principal scientists (if any)	<i>Indicates the scientific institution represented</i>	<i>Indicate the names of the PIs for the project</i>	<i>Indicate the workload of the PIs</i>	<i>Attach a CV in accordance with Part C of the project application</i>
Project researchers	<i>Indicates the scientific institution represented</i>	<i>The name of the researcher, if known</i>	<i>Indicate the workload of the researcher</i>	<i>CVs of project researchers are not attached</i>

### 2.1.3. Chapter 3 "Project results"

7. Section 3, Project results, shall be completed in the information system, taking into account the project results to be achieved as set out in points 47 and 48 of the Regulations. Several deliverables within the project must be indicated.

No. p.k.	Type of result	Number at the end of the project (counted together with the mid-term)
1	Technology rights objects - patent, design or trademark applications, or other intellectual assets such as databases, data sets, know-how, technology descriptions, software, etc.	
2	Project proposals submitted to an international or national call for research and development	
3	Successful defence of a Master's thesis or Doctoral dissertation in accordance with the PIP objectives	
4	Increase of 1 (one) unit in the initial TRL level of the development	
5	Prototype of a new product or technology	
6	New treatments and diagnostic methods (including non-commercialised methods)	
7.*	Other deliverables of the PIP, complementary to the above, relevant to the specificities of the research and the objectives of the PIP as defined in the PIP application	

\* participation in scientific and commercial conferences, peer-reviewed scientific publications, etc.

### 2.1.4. Chapter 4 "Project Budget"

8. Chapter 4, Project Budget, shall be completed in the information system, indicating the costs of implementing the project in accordance with the eligible cost headings set out in Paragraph 69.11 of Cabinet Regulation No 560 and in compliance with Paragraphs 64, 65 and 66 of the Regulations.

The project implementation costs shall be indicated in the following order for the applicant and for each project cooperation partner (if any):

No p.k	ECE	Type of costs	Amount of costs
1.	1000	Remuneration according to Sub-paragraphs 69 <sup>11</sup> 1.1 and 69 <sup>11</sup> 1.2 of the Cabinet Regulation	<i>Costs for the remuneration of the project's scientific team, including mandatory employer's social security contributions, shall be indicated in accordance with point 18.1.1 of the Regulations</i>
		Total workload of the project team PLE	<i>Indicate the total workload of the members of the scientific team involved in the project in full-time equivalent terms</i>
2.	2100	Travel expenses, in accordance with sub-paragraph 69 <sup>11</sup> 1.3 of the Cabinet Regulation	
3.	5000	Depreciation costs in accordance with Sub-paragraph 14.1.4 of the Cabinet Regulation	
4.	2300	Costs of purchase and delivery of inventory, tools and materials in accordance with point 14.1.5	
5.	2200	Cost of subcontracting in accordance with Sub-paragraph 14.1.6.1 of the Cabinet Regulation.	
6.	2200	Information and publicity costs (including costs of publication of scientific papers) in accordance with Sub-paragraph 14.1.6.2 of the Cabinet of Ministers' Regulation	
7.	<b>Direct</b> eligible costs		
	<b>Indirect</b> eligible costs (25% of direct eligible costs, excluding direct eligible costs incurred for external services), in accordance		

	with sub-paragraph 69 <sup>11</sup> 2 of the Cabinet Regulation	
	<b>TOTAL:</b> (direct (1, 2, 3, 4, 5, 6) + indirect (7) eligible costs)	

## 2.2. Completion of Part B "Project description" of the project application

9. The project description form shall be completed by the applicant in English and Latvian or in English only. The completed project description form shall be saved as a PDF file and uploaded to the information system.
10. Complete all sections and subsections of the project description form, entering information in the fields provided, taking into account the following conditions and guidelines:

## Part B "Project description"

Conditions for the presentation of the project description:

- not exceeding 12 pages;
- font size not less than 11;
- simple line start;
- 2 cm on each side, 1,5 cm on the top and bottom;
- all tables, diagrams, reference/reference lists and other elements are to be included in the project description, up to a maximum of 12 pages.

Project name: *indicate the name of the project*

### 1. Scientific quality of the project proposal

*The applicant shall indicate the objective and hypothesis (if any) of the research and innovation project and the objectives to be achieved. The objective shall show the link to the contribution to the practical application of knowledge through the creation of new technological solutions and/or applications. It is not advisable to have several parallel objectives, especially if the research plan does not describe how to achieve all of them. It is recommended to specify indicators (e.g. level of technological maturity) against which the achievement of the objective can be measured. The objective is consistent with the ability of the proposer (and project collaborator, if applicable) to achieve it (i.e. the resources available and the tasks identified are sufficient to achieve the objective within the timeframe of the project). The tasks are clear, realistic and achievable and consistent with the project's objective, implementation plan and scientific deliverables.*

*Describe the state of the art in the scientific field of the proposed solution, highlighting the role of the solution in the context of the field, the main challenges and priorities, the necessity, originality and novelty of the project in the context of the field (other aspects such as interdisciplinarity or multidisciplinary).*

*The scientific statement should include information showing the overall development of the field of research, what the applicant and the research team have done in the field, and what new contributions the project will make.*

*Describes in detail the research methodology and research approach to achieve the objective. It is recommended to highlight what innovative methodological solutions will be applied within the project. If the project involves experiments or research involving human and animal subjects, the applicant shall also describe the ethical aspects of the research].*

### 2. Impact of project results

2.1. the scientific results and technological advances of the project and the dissemination plan

*[The applicant shall describe the expected results and their expected impact, in particular potential commercialisation or application, as well as work with industry to explore the commercialisation possibilities of the technology, assessed according to the specificities of the relevant scientific field or fields and the project, as well as the specificities of the applicant's institution and project collaborating partner institutions (if any) according to the aim and objectives of the research (according to Chapter 1 "Scientific excellence" of Part B "Project description" of the project application) and their impact on the technological base of the relevant and/or other technological fields. The applicant's previous experience of collaboration with the intended niche/potential application area must be described*

*Outline a plan for identifying commercialisation and/or application partners, applying the right forms of cooperation and technology transfer (e.g. prototyping, etc.).*

*To describe the preparation of new project proposals (e.g. Horizon Europe calls) using the results obtained in this project, it is recommended to describe the call in which the new project proposals will be submitted, the collaborations established, the thematic framework of the new project application, etc.*

*The number and scope of commercialisation activities and new project applications should be appropriate to the objectives of the project and the experience of the research group.*

## **2.2 Socio-economic impact and publicity of the results**

*In this section, the applicant shall describe the use of the research results, including the transfer of knowledge generated by the project, involving end-users and/or industry and raising their awareness of the solutions generated by the project, as well as the contribution to society in addressing the specific issues addressed by the project. It is recommended to describe the approaches/interactions that will be used to reach potential users of the project results.*

*Projects must include possible knowledge and technology transfer measures. If the project intends to protect the results, a strategy for the protection of intellectual property (patent, know-how) must be indicated.*

*The experts will assess the relevance and proportionality of the measures mentioned in this subsection to the overall project results.*

## **3. Project feasibility and security**

### **3.1. the proposer and the scientific team**

*[Brief description of the applicant, justifying why this scientific institution is suitable for the achievement of the project's stated purpose and objectives (including available research infrastructure, facilities, past experience and other aspects relevant to the project). If the project involves a project collaborator and/or an external service provider, outline here the rationale for involving the project collaborator in the implementation of the project, the expected contribution and its capacity. A project collaborator and or an external service provider shall be used if the proposer does not have the research infrastructure or the necessary expertise to implement the project or certain aspects of the project. Opportunities for raising additional funding or further developing the project idea shall be described.*

*Description of the project implementation team, including the role and experience of the project leader and key performers in project management, quality assurance and dissemination of results (with reference to the Curriculum Vitae). Include a justification that the team is composed of scientists and specialists who will be able to carry out all aspects of the study. Provide a clear vision of how to fill the capacity gaps through partnerships, consultancies and/or outsourcing. The distribution of tasks throughout the project and the qualification of the members of the project scientific team in line with the project objective.*

*Justify the use of the funding requested for the implementation of the project and the remuneration of the members of the research group.*

### **3.2 Work plan**

*In this section, the proposer shall detail the work plan according to the aim and objectives of the study, outlining the stages of the work.*

*The description of the work phase shall include the title of the work phase, the start and end month of the project (the timetable for the project should be illustrated using the Gantt<sup>2</sup> and Pert<sup>3</sup> diagrams), the person responsible for the work phase, a description of the methodology used, the equipment and research infrastructure used, the outsourcing envisaged (if any) and the distribution of tasks among the team members (if the project involves a project collaborator, indicate the tasks of the project collaborator), the results and outputs obtained (as specified in Part B 'Project description' of the project application), and the description of the work phase. impact of be indicated*

*Both thematic and chronological considerations should be taken into account when drawing up the work plan, and overlapping work phases should be avoided. The linkage of the identified*

<sup>2</sup> <https://www.gantt.com/>

<sup>3</sup> <https://www.visme.co/pert-chart-generator/>



work packages to the objective of the research project should be described. It is recommended that the work plan also include dissemination and project management activities that take a certain amount of time to complete.

### 3.3 Project management and risk plan

[The applicant shall describe the management organisation, decision-making, monitoring of project implementation, liaison with the project partner (if applicable), intellectual property management issues within the project. The project management mechanisms may be designed in accordance with practices already established in the applicant institution, while providing for the description of project-specific management aspects.

The project proponent shall develop a plan to avoid or mitigate potential risks (see Table 1). Several types of risks shall be identified, e.g. financial risks, implementation risks, risks to the achievement of results, scientific risks, etc. The likelihood of risks may be high, medium or low, and the impact may be high, medium or low. The section on risk prevention and mitigation measures describes the measures planned to reduce the likelihood of the risk occurring or its impact on the project

Table 1

No	Risk - name and type - implementation, results, financial, etc.	Description of the risk - causes, consequences, impacts, including on whom - intended result / target group	Assessment		Causes and/or prevention/mitigation measures
			Likelihood (not likely to happen - 1, unlikely - 2, very likely - 3, likely to happen - 4)	Impact (low - 1, medium - 2, high - 3)	
1.	name and type of risk	brief description of the risk	Coefficient from	Coefficient from 1-3	specific measures to prevent or reduce the likelihood of the causes or consequences of the risks
2.					
3.					
n					

### 2.3. Completion of Part C "Curriculum Vitae" of the project application

11. The *Curriculum Vitae* is completed by the project leader according to the content of the project. The project leader shall attach to the *Curriculum Vitae* a copy of the document certifying the award of the PhD degree .

12. The completed *Curriculum Vitae* form and a copy of the document certifying the award of the doctorate shall be uploaded in PDF file format into the information system. The *Curriculum Vitae* shall be completed under the following conditions:

#### Part C "Curriculum Vitae"

Conditions for completing the *Curriculum Vitae*:

- not exceeding 2 pages;
- font size not less than 11;
- simple line start;
- 2 cm on each side, 1,5 cm on the top and bottom;

**Name:**

*additional forms of the name and surname used to identify the author in publications may also be specified*

**Researcher identification code(s)**, if used (ORCID, Research ID, Scopus Author ID, etc.):

## **EDUCATION**

Date                      *the title of the doctoral degree, the date of its award, the discipline, the institution, the country*

## **DARBA EXPERIENCE**

*a description of current and past positions and related duties/tasks in the last five years relevant in the context of this project*

Date                      [current position]  
                                 [institution, country]

Date                      [position]  
                                 [institution, country]

## **PROJECTS**

*identify projects and project applications relevant in the context of this call for proposals*

## **SCIENTIFIC PUBLICATIONS and INTELLECTUAL PROPERTY**

*up to five scientific publications or proof of intellectual property relevant to the context of the project*

## **OTHER INFORMATION**

*other information within the 2-page limit, e.g. activities as an industry consultant, product expertise, etc.*

### **3. Preparation and submission of the administrative parts of the project application**

The administrative parts of the project application are Part D "Certification by the project applicant", Part E "Certification by the project partner". They shall all be completed in Latvian only.

#### **3.1. section D of the project application "Applicant's declaration"**

14. The applicant's manager or his/her authorised representative (with signatory power) shall complete the applicant's declaration by completing the relevant sections of the form and following the formatting conditions set out in the form.
15. the applicant's manager or his/her authorised representative shall sign the applicant's declaration with a secure electronic signature and upload it into the information system in the space provided for that purpose.

#### **3.2. section E of the project application "Declaration by the project partner"**

16. the project partner's manager or his/her authorised representative (with signatory power) shall complete the project partner's declaration by filling in the spaces indicated on the form and following the formatting conditions given on the form.
17. the project partner manager or a person authorised by the project partner manager shall sign the project partner attestation with a secure electronic signature and upload it to the information system in the space provided for that purpose.

### 3.3. part F of the project application "Financial turnover statement form (for 2021, 2022 and 2023 or for 2022, 2023 and 2024 (if available))"

18. the financial turnover statement (for the years 2021, 2022 and 2023 or for the years 2022, 2023 and 2024 (if available)) shall be completed by the project applicant and the project cooperation partners, if any, in accordance with Sub-paragraphs 2.1 and 2.2 of the Cabinet Regulations, which define the non-economic activities that must be the core activities of the institution.

The financial turnover account shall indicate how the financial flows for the non-economic operating activities are separated in the accounts of the project applicant and the project cooperation partners, if any.

The financial turnover account must be in accordance with the financial management and accounting policy submitted by the project applicant and the project partner, if any, and must be consistent with the institution's accounts for 2021, 2022 and 2023 or 2022, 2023 and 2024 (if available).

21. The financial turnover statement shall be completed in EXCEL file format and uploaded to the space provided.

### 3.4. Part G of the project application "Non-economic activities"

The applicant shall complete Part G of the application, 'Non-economic activities', taking into account the non-economic activities to be supported and the results of the project as defined in Sub-paragraphs 2.1, 2.2 and 11 of the Cabinet Regulations.

22. Section G of the project application, 'Non-economic activities', shall be completed as specified in the other sections of the project application (in particular the information specified in Section 3 'PIP results' of Part A 'General information' and Section 3.2 'Work plan' of Part B 'Project description' of the platform application).

23. Section G of the project application, 'Non-economic activities', shall be completed using the formatting conditions set out therein and the following conditions:

No .	Research application activity	Eligibility of non-economic activities to be supported	Result	Result in numerical terms	
				Unit of measurement	Read more
1.		<i>Choose one of the actions to be supported under point 11: Research (basic or applied)/research for policy solutions/technology rights/dissemination of results/public information Describe the activity (up to 200 words), indicating its relevance to one of the types of activity referred to in point 2.2 of the Rules.</i>	<i>Select the project results to be achieved by the project in accordance with point 47 of the Terms of Reference and point 8 of the Cabinet Order on the long-term programme.</i>	<i>Indicates the unit in which the result is expressed</i>	<i>Indicate the number</i>
2.					
3.					
n					

