

STCU & ANAS
Targeted Research & Development Initiatives
2017-2018 Competition Announcement:
Call for Proposals

Monday, 06 March 2017

In accordance with the “Statement of Intent to cooperate between the Science and Technology Center in Ukraine (STCU) and the Azerbaijan National Academy of Sciences (ANAS),” the STCU and the ANAS jointly issue this **2017 call for proposals** within the framework of the **Targeted Research & Development Initiatives** (TRDI) Program in the following priority areas:

1. Life sciences, biomedicine, pharmaceuticals, maintenance and strengthening of human health.
2. Agricultural biotechnologies, soil fertility and food security.
3. Increase of efficiency of energetic complex including renewable energy sources, mud volcano-landslide risk, seismic hazard assessment models for disaster prevention and mitigation, energy security (natural and technological risks).

Guidelines in English for preparing and submitting the proposals are provided below. The Azeri-language version of these guidelines may be accessed at the ANAS website: <http://www.science.gov.az/>

**Proposal Preparation, Selection Process,
and Project Implementation Guidelines**

I. Principle Considerations

The STCU and the ANAS issue this joint call for proposals that officially kicks-off the competition for funding under the Targeted Research & Development Initiatives Program in 2017.

Of particular importance are the following requirements:

- In accordance with STCU policy, no less than 50% of project participants should be scientists with prior experience in the development of weapons of mass destruction.
- **Project proposals should be limited to total budgets not to exceed US\$ 100,000. Half of that, which is approximately US\$ 50,000, should only be allocated by STCU for Grants (labour costs) and the Technology Transfer training, which is a part of the TI Program.**
- In accordance with the new policy approved at the 42nd STCU Governing Board, the definition of Category 1 participants is expanded, with the focus not only on former weapons experts, but also specialists who have "experience in the field of dual-use technology" which, in principle, may include a younger generation of scientists.” All submitted proposals must have at least one Category 1 Specialist (keeping in mind that the participants in this category of projects should be engaged in the project for at least 10% of the project’s duration). However, proposals with larger amounts of Category 1 Specialists will be scored higher by the US and EU, as their funding is tied to redirection of Category 1 Specialists.
- A strict requirement for all project submissions is the involvement of **at least one scientific collaborator** from any of the two western funding parties: the United States and the European Union. (It is preferable to seek collaborators from a minimum of two western funding

parties.) Any project proposal submitted without the planned participation of a western collaborator will be deemed non-responsive and will not be considered for funding. Expressions of Interest to Collaborate from potential western collaborators must be submitted to the STCU (Mr. Gulam Babayev gulam.babayev@stcu.int) by the deadline date **Friday, 16 June 2017**, see schedule below) for submission of Full Forms to the **STCU** by the **ANAS**.

- **NOTE:** It is very important potential western collaborators be directed to and follow the instructions provided at <http://www.stcu.int/west/recommendation/> for submitting letters of collaborators. Any Full Form proposal submitted to the STCU without supporting documentation will be deemed non-responsive and not considered for further development.
- The STCU and the ANAS will encourage the greatest possible participation of regional organizations and scientists (i.e., those located outside the capital city of Baku) in the proposed projects. Interdisciplinary projects as well as those which bring together several scientific institutes will have a distinct advantage in the competition.
- **Article 1.19 of the STCU Full Form** (Sustainability Planning) is a key element in improving the competitiveness of Azerbaijani scientists and institutions for the selection process for project financing as well as during the implementation of the project or, later, in seeking additional financing for the further development of the proposed project.
- Those organizations planning to take part in the competition must prepare and **submit to the ANAS** for review a preliminary application (so called “short form”) in the Azerbaijani and English languages by close-of-business **Monday, 03 April 2017**, (contact person in ANAS Mr. Gulam Babayev gulam.babayev@stcu.int, mob. +99450 390-4075). The template for the **preliminary application** is provided at the end of these instructions, while the general project software and instructions for completing the Full Form (if invited to do so later) is available for downloading at <http://www.stcu.int/cis/grant/>.

II. Additional Guidelines

Following their review of the Short Forms, the **ANAS will submit to the STCU a statement with names, contact details and the titles of preliminary applications of fifteen (15) shortlisted Azerbaijani project managers by Monday, 17 April 2017 through Mr. Gulam Babayev (gulam.babayev@stcu.int)** STCU will send Full Form files to the Mr. Gulam Babayev with unique project numbers embedded (copies to the ANAS) by **Monday, 24 April 2017**.

Mr. Gulam Babayev will send Full Form files with unique project numbers embedded to the Project Managers by 1 May 2017.

These project managers will prepare and submit a Full Form proposal in English to the ANAS (submission deadline **Friday, 16 June 2017**). After their own brief internal review to confirm all materials have been received from project scientists participating in the competition, the ANAS will attach to each of the Full Form project proposals an official Host Government Concurrence (see below) as well as any other documentation (letters of collaboration, etc.) and forward the proposal packages to the STCU (to Mykola Lubiv) by **Friday, 30 June 2017**.

Electronic versions of Full Form should be sent also by Friday, 30 June, 2017 to mykola.lubiv@stcu.int and oksana.bogatyrova@stcu.int making a copy to gulam.babayev@stcu.int

Following a brief internal review, the STCU will forward these proposal packages by **Monday, 31 July 2017** for a review of their scientific and technical merits by Western scientific experts.

- **NOTE 1:** The HGC, granted to those preliminary applications chosen for further development, is a formal authorization by the ANAS (i.e., the ministerial-level government agency) granted to Full Form proposals. The HGC permits the transfer of Full Form applications to the STCU for review by western technical and scientific experts, and which precludes applications from containing the following types of information:
 - (i) state secrets;
 - (ii) proprietary information defined in accordance with the relevant international norms and practices for the nonproliferation of weapons technologies, and in particular radioactive materials, nuclear technologies, delivery systems (e.g., ballistic rockets), and other types of weapons of mass destruction;
 - (iii) Personal- and business-confidential (proprietary) information which does not have the permission of the holders of the intellectual property in question.

In submitting to the STCU the **Full Form proposals** for financing consideration, it is **important to adhere to all requirements** highlighted and explained in the filing instructions found on the STCU website. The only exception is that the projects proposed under the Targeted Initiatives Program must be **implemented within a period of 12-24 months** rather than the maximum 36 months permitted for Regular Projects.

Scientific Review of Full Form Proposals

Upon receiving the proposal packages, the STCU will conduct a brief internal review to confirm all required documents have been submitted, and will then transfer them for scientific and technical review by Western specialists (ending **31 July 2017**). During the same period, the project proposals will also undergo a rigorous scientific and technical review by the ANAS.

NOTE: Proposals will be evaluated on the basis of (but not limited to) the following key criteria:

1. Scientific justification (uniqueness and level of science presented, understandability and readability, references and citations, etc.);
2. Scientific methodology (methodological justification: uniqueness and reasonableness)
3. Scientific promise (ability to achieve stated goals, reasonableness of developing new or improving existing technologies from the stated results);
4. Applicability and feasibility (ability to achieve stated results based on material and financing requests, as well as upon existing institute technical capacities and resources);
5. Sustainability (Feasibility of further scientific development or commercial potential);
6. External support and interest (letters of support and expressions of interest to collaborate).

Following this review process the ANAS and the STCU will exchange the following information regarding the proposed projects in order to support a joint financing decision:

- a. An analysis of the scientific merit and significance of the project;
- b. An opinion on whether the project can meet its stated goals within the proposed time frame;
- c. A practical appraisal of the qualifications and experience of the scientists proposed for implementing the project and executing its tasks;
- d. Recommendations for improving the proposals if they merit further development;

A definite confirmation of the list of projects chosen for grant financing for the current year will be determined by a joint working group comprising representatives from the STCU financing parties

and the ANAS which will meet immediately prior to the mid-November 2017 STCU Governing Board Meeting. The decision will be officially announced at this meeting.

III. Additional Information

Implementation of projects under the TRDI program in Azerbaijan will be administered in accordance with the standard STCU practices and procedures that govern Regular Projects, with the only exception being the period of project implementation as noted above, i.e., projects will be limited to a 12-24 month implementation period.

The Azerbaijani project manager will be fully empowered and responsible for the implementation their project under the TRDI program, as is the standard practice with STCU Regular and Partner projects. The Azerbaijani project manager will provide quarterly financial and technical progress reports for the given project agreement for which they are responsible to their respective STCU Senior Specialist per the standard STCU procedures governing Regular projects.

As is standard practice with all STCU Regular and Partner projects, each respective Azerbaijani TRDI Project Manager will permit the STCU to perform technical and financial monitoring of the implementation of the project agreement upon provision of two weeks advance written notice. The STCU will share the results of any monitoring with the respective project manager and the ANAS within sixty (60) days of monitoring performance.

For any given year's TRDI program, the STCU and the ANAS will coordinate closely during the preceding year to propose an overall TRDI budget commitment for the upcoming year. To support the success of each year's TRDI program, each Party will provide financing on a timely basis in order to meet all obligations (grants, equipment, materials, etc.). Any delay in funding the program could cause disruption in its implementation. Each Party agrees to inform the other of any material delays in committed funding for which they are responsible. If a delay in funding occurs, it is agreed that the other Party may suspend its obligations under the *Statement of Intent to Cooperate* until such time that any financing issues are resolved. It is agreed that the time period for any delay which would trigger a suspension of the *Statement* is defined as the first full working day following the first full working month from the beginning of any given year.

Azerbaijani 2017 -Targeted Initiatives Program
Proposal Preparation, Submission, Review, and Decision Dates

The following schedule shows the submission deadlines
for the 2017 Azerbaijani Targeted Initiatives Program

Monday, 06 March 2017	Call for Proposals 2017 Targeted Initiatives Program
Monday, 03 April 2017	Deadline for submission of the Short Forms to the ANAS (to Mr. Gulam Babayev)
Monday, 17 April 2017	Deadline for the ANAS (from Gulam Babayev) to forward an official statement to STCU to Mykola Lubiv (mykola.lubiv@stcu.int) max 12-16 Full Form proposal templates be forwarded directly to participating project managers.
Monday, 1 May 2017	Deadline for STCU, Mr. Gulam Babayev to send out Full Form Proposal templates with assigned specific project proposal number forwarded to Azerbaijani project managers. gulam.babayev@stcu.int
Friday, 16 June 2017	Deadline for project managers to submit Full Form proposals, HGCs, and western expressions of interest to collaborate to the ANAS
Friday, 30 June 2017	Deadline for submitting Full Form packages to the STCU following internal document status confirmation by the ANAS and attaching other support documentation (e.g., HGCs)
Monday, 31 July 2017	Deadline for STCU of submitting completed Full Form proposals to Western reviewers.
Monday, 16 October 2017	Deadline for submission of the results of Western scientific reviews of Full Form proposals to the STCU
Mid-Dec 2017, Prior to Dec 2017 GBM	Deadline for Joint Working Group TIP funding decision
December 2017 GBM	STCU GBM and decision announcement

**SHORT FORM TEMPLATE
ON FOLLOWING PAGES**

1. **The English-language short form template below is only to be used as a guideline. The actual short form template required by the Azerbaijan National Academy of Sciences is found on their website at <http://www.science.az/>.**
2. **The short form template is to be completed in the Azerbaijani language and then submitted to the Azerbaijan National Academy of Sciences. Please do NOT submit this preliminary form to the STCU.**

**STCU
SCIENCE AND TECHNOLOGY CENTER IN UKRAINE**

**ANAS
AZERBAIJAN NATIONAL ACADEMY OF SCIENCES**

Targeted Research and Development Initiatives Program

Project Title

PROJECT PROPOSAL

Baku, Azerbaijan

SCIENCE AND TECHNOLOGY CENTER IN UKRAINE

1. UNRESTRICTED SUMMARY

1.1 Title of Project: _____.

1.2 Project Manager: **Name, telephone, fax, e-mail**

1.3 Participating Institutions: **Names of lead and participating institutes**

1.4 Current/Desirable Foreign Collaborators:
Name and contact details for all proposed foreign collaborators

1.5 Project Duration: **how many months?**

1.6 Participants	Category 1 –Former Weapon Scientists	Category 1 –Dual Use Experts
Total person-days of Efforts	XXXXXX	XXXXXX
Total number of participants	XXXXXX	XXXXXX

1.7 Project Summary

Provide a summary description of the project and what it hopes to achieve.

1.8 Key words: **XXXXXX, XXXXXX, XXXXXX, XXXXXX, XXXXXX.**

1.9 Total Estimated Project Cost:

Cost Estimate (in US dollars)	Year 1	Year 2	Total
Grant payments	XXXXXX	XXXXXX	XXXXXX
Equipment	XXXXXX	XXXXXX	XXXXXX
Materials	XXXXXX	XXXXXX	XXXXXX
Other Direct Costs	XXXXXX	XXXXXX	XXXXXX
Travel	XXXXXX	XXXXXX	XXXXXX
Subcontracts	XXXXXX	XXXXXX	XXXXXX
Overhead	XXXXXX	XXXXXX	XXXXXX
Total	XXXXXX	XXXXXX	XXXXXX

1.10 Project Facilities:

Name of Institute #1

Brief description of facilities and equipment

Name of Institute #2

Brief description of facilities and equipment

Name of Institute #3

Brief description of facilities and equipment

LEADING INSTITUTION:

Name of Institute: **XXXXXXXXXXXXXXXXXXXX**

Contact Details: **Address, telephone number(s), fax number, e-mail, website, etc.**

Cost Estimate (in US dollars)	Year 1	Year 2	Total
Grant payments	XXXXXXXX	XXXXXXXX	XXXXXXXX
Equipment	XXXXXXXX	XXXXXXXX	XXXXXXXX
Materials	XXXXXXXX	XXXXXXXX	XXXXXXXX
Other Direct Costs	XXXXXXXX	XXXXXXXX	XXXXXXXX
Travel	XXXXXXXX	XXXXXXXX	XXXXXXXX
Subcontracts	XXXXXXXX	XXXXXXXX	XXXXXXXX
Overhead	XXXXXXXX	XXXXXXXX	XXXXXXXX
Total: STCU Financing Requested	XXXXXXXX	XXXXXXXX	XXXXXXXX

Name and signature of individual authorized to make commitments on behalf of Institution:

Name of Director

Name: **XXXXXXXXXXXXXXXXXXXXXXXXXXXX**

Name of Deputy Director

Position: **XXXXXXXXXXXXXXXXXXXXXXXXXXXX**

Signature _____ (place for stamp)

Institution Project Leader:

Name of Leader

Name: **XXXXXXXXXXXXXXXXXXXXXXXXXXXX**

Position: **XXXXXXXXXXXXXXXXXXXXXXXXXXXX**

Signature _____

PARTICIPATING INSTITUTION #1:

Name of Institute: **XXXXXXXXXXXXXXXXXXXX**

Contact Details: **Address, telephone number(s), fax number, e-mail, website, etc.**

Cost Estimate (in US dollars)	Year 1	Year 2	Total
Grant payments	XXXXXXXX	XXXXXXXX	XXXXXXXX
Equipment	XXXXXXXX	XXXXXXXX	XXXXXXXX
Materials	XXXXXXXX	XXXXXXXX	XXXXXXXX
Other Direct Costs	XXXXXXXX	XXXXXXXX	XXXXXXXX
Travel	XXXXXXXX	XXXXXXXX	XXXXXXXX
Subcontracts	XXXXXXXX	XXXXXXXX	XXXXXXXX
Overhead	XXXXXXXX	XXXXXXXX	XXXXXXXX
Total: STCU Financing Requested	XXXXXXXX	XXXXXXXX	XXXXXXXX

Name and signature of individual authorized to make commitments on behalf of Institution:

Name of Director

Name: **XXXXXXXXXXXXXXXXXXXXXXXXXXXX**

Name of Deputy Director

Position: **XXXXXXXXXXXXXXXXXXXXXXXXXXXX**

Signature _____ (place for stamp)

Institution Project Leader:

Name of Leader

Name: **XXXXXXXXXXXXXXXXXXXXXXXXXXXX**

Position: **XXXXXXXXXXXXXXXXXXXXXXXXXXXX**

Signature _____

PARTICIPATING INSTITUTION #2:

Name of Institute: **XXXXXXXXXXXXXXXXXXXX**

Contact Details: **Address, telephone number(s), fax number, e-mail, website, etc.**

Cost Estimate (in US dollars)	Year 1	Year 2	Total
Grant payments	XXXXXXXX	XXXXXXXX	XXXXXXXX
Equipment	XXXXXXXX	XXXXXXXX	XXXXXXXX
Materials	XXXXXXXX	XXXXXXXX	XXXXXXXX
Other Direct Costs	XXXXXXXX	XXXXXXXX	XXXXXXXX
Travel	XXXXXXXX	XXXXXXXX	XXXXXXXX
Subcontracts	XXXXXXXX	XXXXXXXX	XXXXXXXX
Overhead	XXXXXXXX	XXXXXXXX	XXXXXXXX
Total: STCU Financing Requested	XXXXXXXX	XXXXXXXX	XXXXXXXX

Name and signature of individual authorized to make commitments on behalf of Institution:

Name of Director

Name: **XXXXXXXXXXXXXXXXXXXXXXXXXXXX**

Name of Deputy Director

Position: **XXXXXXXXXXXXXXXXXXXXXXXXXXXX**

Signature _____ (place for stamp)

Institution Project Leader:

Name of Leader

Name: **XXXXXXXXXXXXXXXXXXXXXXXXXXXX**

Position: **XXXXXXXXXXXXXXXXXXXXXXXXXXXX**

Signature _____