

STCU & NASU
Targeted Research & Development Initiatives
2017 - 2018 Competition Announcement:
Call for Proposals
Wednesday 1 March 2017

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

Intelligent information technology;

Advanced technology for nuclear and fusion energy;

Biosafety and biosecurity in modern biological research.

Guidelines in English for preparing and submitting the proposals are provided below. The Ukrainian-language version of these guidelines may be accessed at the website of the National Academy of Sciences: under “Спільні Конкурси.”

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

I. Principle Considerations

The STCU and the NASU 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.
- 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.
- Project proposals should be limited to total budgets not to exceed US\$ 100,000.
- A strict requirement for all project submissions is the involvement of at least one scientific collaborator letter 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 by the deadline date (**Wednesday 14 June 2017**, see schedule below) for submission of Full Forms to the STCU by the NASU. **NOTE: It is very important potential western collaborators be directed to and follow instructions provided at <http://www.stcu.int/west/recommendation/> for expressions of interest to collaborate.** 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 NASU will encourage the greatest possible participation of regional organizations and scientists (i.e., those located outside the city of Kyiv) 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 Ukrainian 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 NASU (contact person **Atamanenko Olga Mykolaevna** atamanenko@nas.gov.ua) for review a preliminary application in Ukrainian **by Wednesday 22 March 2017**. 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 to download at <http://www.stcu.int/cis/grant/>.

II. Additional Guidelines

Internal review of the submitted preliminary proposals and invitation for further proposal development by NASU, those project teams whose proposals are selected for further development will be granted to prepare and submit a Full Form proposal in Ukrainian and English to the NASU (submission deadline **Wednesday 24 May 2017**) where they will undergo internal review to receive Host Government Concurrence (HGC). These Full Form proposals will then be transferred to the STCU - (**Mr. Mykola Lubiv** Mykola.Lubiv@stcu.int) for a review of the proposals' scientific and technical merits by Western scientific experts, while a parallel review will be conducted by the NASU. The Full Form applications are those used by the STCU for their Regular Project proposals, and this application (along with instructions on how to complete it) may be found on the STCU website: <http://www.stcu.int/cis/grant/>.

NOTE 1: For those preliminary proposals selected for further development, it is very important that an e-mail be sent by the NASU to (**Mr. Mykola Lubiv** (Mykola.Lubiv@stcu.int)) by **Wednesday 12 April 2017** requesting that a project number be assigned to the given proposal. A "full form" file containing the project number will then be forwarded to the project manager for processing.

NOTE 2: The HGC (granted to those preliminary applications chosen for further development) is a formal authorization by the Government of Ukraine (i.e., the conclusions of a Governmental Expert Review) coordinated by NASU for all 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 ra-

- 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 between 18 to 24 months** rather than the maximum 36 months permitted for Regular Projects.

Scientific Review of Full Form Proposals

Upon receiving the Full Form proposals, the STCU will conduct short internal review of the Full Form applications (to confirm that all required documents have been submitted), and will then transfer them for scientific and technical review by Western specialists. The period for the Western scientific and technical review process (ending **Monday 16 October 2017**). During this same period, the proposals will also undergo a rigorous scientific and technical review by the NASU.

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

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

Following this review process the NASU 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 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 NASU.

III. Additional Information

Projects which are not chosen by the working group for financing under the Targeted Initiatives Program may be submitted to the STCU for consideration as Regular or Partner projects. They may also be submitted to other funding organizations that support scientific research. For those project managers whose projects are not chosen for 2017 TRDI financing, a specific and formal request may

be directed to the STCU Secretariat (through the STCU in Kyiv) to provide anonymous western scientific reviews (if available) in order to improve the quality of the originally-submitted proposal.

It has been agreed that the method for financing projects under the Targeted Initiatives Program will be implemented on the basis of a “two agreements, one project” approach. In other words, there will be one agreement between the STCU and the organization implementing the project, and another agreement between the NASU and the implementing organization. A detailed mechanism for financing a given project will be developed in the two noted agreements. The financing scheme for each agreement will be analyzed on an individual basis, but the overall cost-sharing principle just noted will be structured such a way as to take maximum advantage of STCU tax- and customs-free privileges.

IV. Proposed Schedule for Proposal Preparation and Review Process

Wednesday 1 March 2017	Call for Proposals – 2017/2018 Targeted Initiatives Program
Wednesday 22 March	Submission deadline for Short Form proposals to the NASU
Wednesday 12 April 2017	Deadline for sending request to STCU, Mykola Lubiv (Mykola.Lubiv@stcu.int), to request a Full Form Proposal template assigned to specific project proposal number. Invitation issued by NASU to those proposals (maximum 15) selected for further development: start of preparation of Full Form (FF) proposals
Monday 24 April 2017	Deadline for STCU, Mr. Mykola Lubiv Mykola.Lubiv@stcu.int to send out Full Form Proposal templates assigned to specific project proposal numbers to the Project managers
Wednesday 24 May 2017	Deadline for FF proposals to be submitted to NASU
Wednesday 14 June 2017	Deadline for submission of FF proposals, HGCs, and expressions of interest to collaborate to the STCU Mr. Mykola Lubiv (Mykola.Lubiv@stcu.int)
Monday 10 July 2017	Deadline for submission of FF proposals by STCU to Western reviewers (following STCU document status confirmation)
Monday 18 September 2017	State (NAS of Ukraine) expertise deadline, submission of the results of NASU reviews to the STCU
Monday 16 October 2017	Deadline for submission of the results of Western reviews to the STCU
Mid-Dec 2017, Prior to Dec 2017 GBM	Meeting of Joint Working Group to decide which proposals will receive TRDI funding
December 2017 GBM	Announcement of TRDI funding decision at the STCU GBM

**SHORT FORM TEMPLATE
ON FOLLOWING PAGES**

**STCU
SCIENCE AND TECHNOLOGY CENTER IN UKRAINE**

Targeted Research and Development Initiatives Program

Project Title

PROJECT PROPOSAL

**УВАГА!
АНКЕТА ЗАПОВНЮЄТЬСЯ
УКРАЇНСЬКОЮ МОВОЮ**

Kyiv

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	Weapon Scientists	Total Participants
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: **xx, xxxxxxxxxxxxxxxx, xxxxxxxxxxxxxxxx, xxxxxxxx, xxxxxxxxxxxxxxxx.**

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: **XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX**

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: [XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX](#)

Contact Details: [Address, telephone number\(s\), fax number, e-mail, website, etc.](#)

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

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: [XXXXXXXXXXXXXXXXXXXXXXXXXXXX](#)

Contact Details: [Address, telephone number\(s\), fax number, e-mail, website, etc.](#)

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

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 _____