



Young Researchers and Professionals Program, 3C Grant Research in Industry and Academia –
Instructions for Applicants 2012

Project Preparation Advance (PPA)
for preparation of Second Science and Technology Project
Loan Nr. P4640 -HR

Unity through Knowledge Fund
YOUNG RESEARCHERS AND PROFESSIONALS PROGRAM
3C Grant “Research in Industry and Academia”

Instructions for Applicants 2012



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Dear Applicants,

Please read carefully the instructions for writing the proposal

General remark

Proposal must be completed in English, using the Arial 10 pt font. For some items on the form, a maximum number of words or pages is stated. Do not exceed this number and fill in the word count. Your application may be disqualified if you exceed the maximum number of words or pages stated.

A. Project proposal

1. Project info

- a. **Project title** - Provide a short descriptive title of no more than 20 words. Avoid the use of acronyms, quotation marks and upper case characters.
- b. **Name of the project applicant/project leader** (first name(s), family name, title, e-mail, address, phone, private address)
The project applicant should provide hers/his Curriculum Vitae on the separately enclosed form (Young Researchers and Professionals Program, 3C Grant Research in Industry and Academia – Curriculum Vitae Form 2012).
- c. **Company/institution** to administer funding (full name, address, web address, authorized person details with e-mail and phone, register number)
Enter all requested data including personal identification number (OIB).
- d. **Duration of the project**
- e. **Project area/field/branch** - please choose the project area/field according to "Ordinance on the scientific and artistic areas, fields and branches" ("Pravilnik o znanstvenim i umjetničkim područjima, poljima i granama" Članci 2 i 3 (NN 046/2007) http://narodne-novine.nn.hr/clanci/sluzbeni/2009_09_118_2929.html)
- f. **Category of project research (basic, applied or developmental)** – please choose the category of project research

2. Summary of the project

In no more than 400 words of plain, non-technical language, summarize aims, significance, expected outcomes and benefits of the project. If your proposal is successful, this summary may be used for publicity purposes. Avoid the use of acronyms, numbers, formulas and technical expressions.

3. Details on the company



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- a. **Nature of business/types of products sold and/or services offered**
- b. **Estimated revenues, profits and total annual R&D expenditures (EUR)**
Enter all requested data for previous, current and next year
- c. **Croatian ownership** (in percentage) %
- d. **Current number of employees**
- e. **Area of activity**
Please choose area of activity according to "Ordinance on the form and content of the notification and the method of data collection and keeping the State aid register" ("Pravilnik o obliku i sadržaju te načinu prikupljanja podataka i vođenja evidencija o državnim potporama" (NN 047/2012) Dodatak 4.3, članak 3.2. Sektori i djelatnosti primatelja potpore http://narodne-novine.nn.hr/clanci/sluzbeni/2012_04_47_1163.html)

4. Description of the project

F.T.E means Full Time Equivalent – an F.T.E. of 1.0 means that the person is equivalent to a full-time worker. The description of overall project should not exceed 2500 words, including references. Please specify the number of words used.

- a. **Rationale and background of the project including the state of the art of the technology**
Describe the motivation, background and focus of the proposed project. Relate the proposal to scientific, technical and commercial developments in the field, referring to the current state of the art and the prevailing market conditions. Put this into context of the company's existing capabilities, and short- and long-term goals.
- b. **Overall objectives, significance and innovation of the research/technology project**
Describe the overall objectives of the proposed project. Explain how the proposed project is significant and explain how the project addresses an important problem. Show the novelty of the objective in the light of the current state of the art or competing technologies
- c. **Proposed approach and methodology**
Outline methodology and/or experimental design and methods and demonstrate that these are appropriate to the aims of the project.
- d. **Expected measurable results**
Describe the expected outcomes of the proposed project. Show how the outcome will address a current or future industrial or market need and how it will strengthen cooperation between industry and academia (if applicable). As much as possible, quantify the benefits to the company and institution (if applicable), and the importance to its overall goals and objectives (expected increase in revenues,



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resulting increased employment within the company...). To the extent possible, indicate the additional work required for commercialization and the potential impact, within a reasonable time, on Croatia's economy, industry, society and/or environment.

e. Management of the project

Describe how the project will be managed and how the monitoring of the progress against the objectives and anticipated results will be ensured. Provide details of the organizational, institutional and administrative support to the project and availability of the matching funds.

f. Physical resources available for the project

g. Value of experience and future opportunities for the project applicant

Discuss how the applicant's abilities will be developed during the two years of the support, other learning opportunities, opportunities to publish, and opportunities to participate in conferences, etc. Also discuss the future opportunities or anticipated future plans for the nominee within the company after the fellowship expires.

h. Added value contributed by the project

Justify the need to obtain UKF funding in order to employ the applicant or to carry out the proposed research. If UKF funding were not forthcoming, how would this affect the company and the proposed project or how this grant will possible increase the mobility between sectors? Indicate how the organization's long term capacity would be enhanced if this grant shall be approved.

5. Work plan and timetable of the project

a. Milestones (what and when is planned to be done)

Provide a detailed work plan and the time schedule of the proposed project. An overall project activity e.g. approaches for achieving the objectives, monitoring, production of technological and other output.

b. Key performance indicators (quantitative development towards key project goals – half-yearly achievements)

Provide at least one indicator of key project activities which can be measured numerically on half-yearly basis. The key performance indicator should reflect the achievements which lead to the project goals.

Example of KPI table

Key performance indicator	1 st half-year	2 nd half-year	3 rd half-year	4 th half-year
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Xx method training	10 days	20 days	30 days	40 days
Xx experiment performed	10	20	40	60
Xx Software developed		1	1	2
Scientific publications published		0	0	1
Number of project proposals to EU or industry (funds/amount)				1 (insert source/amount/status of the application)

6. Partnership, owner structure, IPR and obligations

a. Collaborations with other organizations and partnership

Provide the details on proposed collaboration between all stakeholders in the proposed project.

b. Owner structure, obligations and intellectual property rights related to the project

Provide the details on existing owner structure and other legal obligation related to the project, including ownership rights of all stakeholders and other sources of financing. Summarize the general arrangements the administering organization and other stakeholders may have in place to manage intellectual property and commercialization of research (if applicable).

B. Financial plan

Please complete the financial plan on the separate spreadsheet table and attach it separately (Young Researchers and Professionals Program, 3C Grant Research in Industry and Academia - Application form 2012 - Financial plan.xls)

The requested funds should be viewed as a contribution to the total costs of the proposed project activities. Please note that this grant requires additional funding of the company. Specify the budget items as detailed as possible and present details on calculations (e.g. price, number, frequency...). Please note that inappropriate costs may represent a reason for rejecting an application, even one that is excellent in other ways.

The proposed project should have a guarantee for financial contribution for the salary of the applicant provided by the company at least in the amount requested from the UKF. Additional contribution of the company can be provided as in cash or in-kind resources committed from company, external sponsors or partners for support to the applicant.



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Please note that the once accepted financial plan may be subject of only 10% change within individual entries, all other changes must be approved by UKF.

Non-permissible costs are:

- basic facilities (office, buildings, installations, communication equipment)
- consumables or administrative and technical assistance which the host organization may be expected routinely to provide

7. Personnel costs requested from UKF and contribution of the company in HRK

Specify personnel cost of the applicant planned by the project. The project applicant must be full-time or part-time employed at the host institution, and in that case the full employer's responsibility is assumed. The personnel costs for the staff not directly connected with the project are not reimbursed.

a. UKF funding

The total UKF contribution for the salary of a project applicant amounts up to 80.000 HRK a year for full-time employment. In the case the applicant is not intended for full-time employing, the UKF contribution is lower in the order of the planned full-time-equivalent (i.e. for f.t.e. = 0,5, UKF max support is up to 40.000 HRK).

The available legal categories of employment are contracts for employment for full- or part-time employees

b. Company funding

The company should guarantee the matching funding to the salary of the applicant in additional minimum amount of 50 % of gross salary.

All contribution above the mandatory amount can be provided as financial or in-kind resources committed from host company, sponsors or partners for support of the proposed project. In-kind resources are defined as the fair value of non-cash contributions of goods and services calculated according to the law. Only in-kind contributions aimed for the applicant and accomplishment of the project are eligible as matching support.

- c. Other Croatian public-sector funding
- d. Other Croatian private-sector funding
- e. Foreign funding (public)
- f. Foreign funding (private)

Summarize other (incl. anticipated) contributions to the project from other sources, including: other public-sector sources, other Croatian private sources and foreign sources. Include also planned application to other financing, (e.g. FP7), as consequence of the project implementation. Please indicate status of the funds and,



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where applicable, provide documents of evidence (see Annexes).

To be eligible for UKF co-funding, the matching support must be committed in writing by the external supporter. The UKF support will not be approved until the evidence for matching support has been received. Any form of funding received from the Ministry of Science, Education and Sports or National Science Foundation as well as from other sources of financing from the State Budget which are intended for science and technology development are not eligible as matching funding for UKF projects.

C. Annexes

8. CV of the project applicant, submitted on the enclosed official *Young Researchers and Professionals Program, 3C Grant, Research in Industry and Academia – Curriculum Vitae Form 2012*.

Please provide Curriculum Vitae of the project applicant on the official form with all data requested there.

9. Baseline Survey on Young Researchers and Professionals Program, 3C Grant, Research in Industry and Academia

*Please provide the filled-in Baseline Survey on the enclosed official *Young Researchers and Professionals Program, 3C Grant, Research in Industry and Academia – Baseline Survey Form 2012**

10. Please list the relevant documents that show company's formal and financial eligibility

Please provide relevant financial documents which show that company is registered in Croatia according to law, is at least 50% in private ownership, does not have outstanding debts to the state, is not in financial difficulties according to the definition from [Decision on the publication of the rules on State aid for rescuing and restructuring](#) ("Official Gazette" No 20/07 and 21/10); its account was not blocked for more than 30 days in the last 6 months, it fulfills the criteria of solvency.

*Please submit - **Official company's Registration not older than 6 months, BON 1 and BON 2 not older than 30 days** and other financial audits etc*

11. Please list names, titles and institutions/companies of persons who wrote recommendation letters.

Please provide two (not more, not less) letters of recommendation (letters of reference) from the persons with whom you have been collaborating.

12. Please list name of company/institution (and partner organization if applicable), which have provided Letter of Commitment.

1) If an applicant from public scientific research institution in Croatia or an applicant



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from the Diaspora wishes to join a company in Croatia for an undetermined period of time:

- *you should separately provide written commitment of the administering company to host the applicant, to co-finance the applicant (with amount), to administer the proposed project, to report towards the Fund, and specifying the type of the support (technical, administrative and other). The company **(the administering organization)** should accept all legal and other responsibilities originating from and connected to the proposed research project. **The authorized person of the administering company** is responsible for proposing and agreeing suitable arrangements with the applicant. One company may host more than one applicant, and also part-time employed applicants.*

2) If an applicant from public scientific research institution in Croatia or an applicant from the Diaspora wishes to join a company for a determined period of time and has taken a sabbatical during the grant period, in this way retaining his/her previous employment:

- *you should separately provide a letter of commitment of the applicant's main employer (in Croatia or abroad) stating the support for the applicant's employment in company with an explanation of the applicant's status during the implementation of the project and after it's' conclusion.*
- *you should separately provide a separately written commitment of the administering company to host the applicant, to co-finance the applicant (with amount), to administer the proposed project, to report towards the Fund, and specifying the type of the support (technical, administrative and other). The company **(administering organization)** should accept all legal and other responsibilities originating from and connected to the proposed research project. **The authorized person of the administering company** is responsible for proposing and agreeing suitable arrangements with the applicant. One company may host more than one applicant, and also part-time employed applicants.*
- *you should separately provide a joint letter of the main employer and the company relating to the applicant's professional and personal development plan for during the implementation and after the conclusion of the project.*

3) If the applicant from Croatian industry wishes to join a public scientific research institution in Croatia for a determined period of time:

- *you should separately provide a letter of commitment from the company containing the support for the applicant's employment at the scientific research institution as well as the financial support (stating the amount of co-financing), with the explanation of the applicant's status during the implementation of the project and its' conclusion.*



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- *you should separately provide a written commitment of the administering public scientific research institution to host the applicant to administer the proposed project, to report towards the Fund, and specifying the type of the support (technical, administrative and other). The institution (**administering organization**) should accept all legal and other responsibilities originating from and connected to the proposed research project. **The authorized person of the administering institution** is responsible for proposing and agreeing suitable arrangements with the applicant. One institution may host more than one applicant, and also part-time employed applicants.*
- *you should separately provide a joint letter of the public scientific research institution and the mother- company relating to the applicant's plan of professional and personal development for during the implementation and after the conclusion of the project.*

4) If an applicant from Croatia wishes to join a company for a determined or undetermined period of time and he/she was employed in Croatian public scientific research institution up to a maximum of 6 months prior to submitting the project proposal

- *you should separately provide a written commitment of the administering company to host the applicant, to co-finance the applicant (with amount), to administer the proposed project, to report towards the Fund, and specifying the type of the support (technical, administrative and other). The letter must contain an explanation of the applicant's status during the implementation of the project and after its conclusion. The company (**administering organization**) should accept all legal and other responsibilities originating from and connected to the proposed research project. **The authorized person of the administering company is** responsible for proposing and agreeing suitable arrangements with the applicant. One company may host more than one applicant, and also part-time employed applicants.*
- *the statement which proves the previous employment by the Croatian public scientific research institution signed by the authorized person (also, copy of "radna knjižica" (employment's certificate), or other relevant document)*

13. Index of attached financial guarantees (cofinancing) and legal agreements

Please provide copies of all other necessary documents needed to support your proposal: financial guarantees for already obtained or requested co-funding, copies of submitted applications for financing, legal agreements with organizations involved...

14. Other relevant annexes

D. Consent of project leader to ensure responsible conduct of research and scientific integrity

Please read carefully and sign this consent. Project leader (main applicant) personally



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accepts all moral, material and criminal liability in accordance of the proposed project with everything stated in the Consent. Without the project leader's signature, the proposal cannot be processed.

E. Project applicant signature

Project leader (project applicant) should sign this project proposal in order to ensure that the all provided details in this proposal are true and complete.

F. Signatures of responsible person of administering organization

The authorized person of administering organization should sign this project proposal and provide an official stamp in order to ensure their commitment to the proposed project. The organization should also provide separate Letters of Commitment.

G. Curriculum Vitae (separate form)

1. Name

2. Contact info and date of birth

3. Education

a. Degree, university/department, area, time period, success, thesis title

Provide details of all formal qualifications in date order, beginning with the most recent.

4. Appointments (reverse chronological order)

Provide details of professional appointments in date order, beginning with your current/most recent position.

5. Professional, research, academic experience and achievements

a. Projects worked on so far (incl. their financial values, number of co-workers and outcome)

Provide details of science, technology and/or business projects you have been working on. Include name, place and duration of the project, its financial value, number of co-workers on the project, your role in the project and its result.

b. Research/Professional grants and prizes awarded so far (incl. funds awarded)

Provide details of all research/professionals grants, scholarships, fellowships and prizes you have been awarded so far, including name, time and source of the grant and funds awarded.

c. Tutoring experience (incl. doctorates lead)

Provide details of your experience as tutor, including students tutored and courses held



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- d. Entrepreneurial achievements, innovation activities, patents granted and other evidences of research excellence and potential to become future research leader

Provide details of your entrepreneurial and innovation activities (companies grounded, patents filed and granted, solutions developed...) and give all other evidences that shows your research excellence and professional potential to become future research leader

6. All refereed publications and the career-best publication

Cite all your refereed publications and cite your career-best publication in your choice. Please cite only refereed publications already published or accepted by recognized international journals or publishers.

7. Summary of doctoral thesis (max 200 words)

Provide short summary of your doctoral thesis or planned doctoral work

8. A short statement on future plans within this science/technology field and what added values it will produce to Croatia (max 100 words)

Write a maximum 100 words outlining your plan concerning the relevant field, focusing particularly on what makes this plans interesting and unique and how it will contribute to the development of R&D in Croatia, and what added values it will produce.

H. Baseline Survey on Young Researchers and Professionals Program, 3C Grant Research in Industry and Academia (separate form)

Main applicant should provide the information on the project for the purpose of evaluating the impact of the Young Researchers and Professionals Program, 3C Grant Research in Industry and Academia.

Note: *This survey is conducted to all applicants of Young Researchers and Professionals Program, 3C Grant Research in Industry and Academia - program of UKF - as a baseline survey before the selection process of winning projects. Purpose of the survey is to assess the need and to measure the impact of the program.*

The purpose of the survey is to evaluate the design of the UKF program and how it can be improved to fulfill its purpose. The responses provided to this survey will not be included into the evaluation process of the application.

I Environmental Screening Form (separate form)

Project applicant is NOT requested to submit this form with the project proposal however he/she must ensure that the research proposed respects all national rules and procedures of the relevant country where the proposed research is conducted. Where necessary, approval must be sought from the relevant national or local ethics committee prior to the start of the project and all necessary permits and acreditations must be issued.



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Please see the Environmental Screening Form and read the “Environmental Management Framework” for guidelines on Environmental Screening Categories (IV.3) for which projects are possible to be financed and under which conditions.

Only the applicants of the projects which are proposed for financing will be requested to submit the filled in Environmental Screening Form to the UKF and after UKF categorizes the project, you will need to submit the necessary explanation or documentation to the UKF.

This application should be sent ONLY in ELECTRONIC VERSION

An electronic form with scanned signatures should be submitted using the UKF web application, which can be accessed by the UKF website www.ukf.hr. After successful upload of your project proposal and all pertaining documents you will receive the automatic answer confirming that your submission has been successful

Any inquiries should be addressed to the contact person at the Unity through Knowledge Fund: UKF Secretariat; e-mail: office@ukf.hr; phone: +385 1 23 52 685; address: UKF, Planinska 1, HR-10000 Zagreb, Croatia.