

Research Cooperability Program – Instructions for Applicants 2009

Science and Technology Project, Loan Nr. 7320-HR

Unity through Knowledge Fund Research Cooperability Program

Instructions for Applicants 2009

Dear Applicants,

Please read carefully the following instructions;

General rules

- **Until they receive final decision on their project proposal submitted for Research Cooperability Program, main applicant and co-applicant listed in a project proposal shall not apply for other UKF's programs as main applicants or co-applicants.**
- **Main applicant and co-applicant, who were awarded grants in the framework of the Research Cooperability Program, are not allowed to apply as the main applicants or co-applicants for other UKF's programs.**
- **Personnel whose salary or addendum to salary is already being paid from the UKF grant are not allowed to ask for additional financial support in case they are members of a project team of a different proposal that has been approved for financing.**
- **Applicants are allowed to submit only twice identical/similar project proposal within the same UKF Program.**
- **Applicants are not allowed to submit identical/similar project proposal to the National Foundation for Science, Higher Education and Technological Development of the Republic of Croatia and to the UKF at same time.**
- **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 are 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 as stated.**

A. Project proposal

1. Project info

- Project title – Provide a short descriptive title of no more than 20 words. Avoid the use of acronyms, quotation marks and upper case characters.*
- Name of the project leader*
- Duration of the project – Enter the proposed duration of the requested support period for the project (**min. 12, max 24 months**)*
- Type of grant applied for: 1A (Homeward) or 1B (Crossing Borders)*
- Organization(s) to administer the funding (full name, address, web address and contact person details) – Enter the legal entity in Croatia (university, institute, SME...) where the project is going to be implemented*
- Other organizations involved (full name, address, web address and contact person details). Please note that you have to provide written commitments of all organizations involved*



Research Cooperability Program – Instructions for Applicants 2009

2. Summary of the research project

In no more than 400 words of plain, non-technical language, summarize aims, significance, expected outcomes and the national/community benefits of the research project. If your proposal is successful, this summary may be used for publicity purposes.

3. Composition of the research group

Provide names and positions of all participants in proposed project:

- a. *Names of the project leader (main applicant) and the co-applicant. They both should provide their Curriculum Vitae on the attached form.*
- b. *All other co-workers including the foreseen part-time positions where persons are still not known (for the full-time positions all personal details should be provided).*

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.

E.g. Scientist who spends 30% of his working time on project, has FTE=0.3 in the Composition of the research group. Please note that the FTE stated in the Composition of the research group may not be equivalent to FTE stated in the Financial plan (Excel spreadsheet). Scientist who has FTE=0.5 in the Composition of the research group, i.e. spends 50% of his working time on project, is entitled to increase salary up to 30% of his gross salary, i.e. his FTE in Financial plan (Excel spreadsheet) shall be 0.3.

4. Description of the project

The description of overall project should not exceed 4000 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 research field

Describe the motivation, background and focus of the proposed research project. Include information about the recent international progress in the field, and the relationship of this proposal to work in the field generally. Analyse context of the problem addressed and which research gaps are addressed, and explain why existing research efforts are insufficient.

b. Overall objectives, significance and innovation of the research

Provide hypothesis/research question(s) and describe the overall objectives of the proposed project. Explain how the research is significant and explain how the research addresses an important problem. Describe how the anticipated outcomes will advance the knowledge base of the discipline and why the proposed project's aims and concepts are novel and innovative. State in detail what new methods or technologies will be developed.

c. Proposed approach and methodology

Outline a conceptual framework, design and methods of the proposed research and demonstrate that these are adequately developed, well integrated and appropriate to the aims of the proposed project.

d. Expected measurable results and their potential users

Describe the expected outcomes of the proposed project and the likely impact of the proposed research. Indicate the potential users (e.g., scientific colleagues, researchers in other fields, industry or the public sector, etc) and potential applications of the expected results. Provide outcomes that can be measured quantitatively.

e. Relevance and potential benefit of the project for the development of Croatian science/society/economy

Describe how the proposed research project might result in economic, environmental and/or social benefits for Croatia.

f. Proposed communication and outreach of the results



Research Cooperability Program – Instructions for Applicants 2009

Outline plans for communicating the results of the proposed project to other researchers and to the broader community (publications, public and university lectures and talks)

g. 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.

h. Literature references

Refer only to refereed papers that are widely available to national and international research communities. Provide the following details: author(s), year, journal or series, volume, pages and (if applicable) publisher and place.

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, communication, monitoring, publication or production of scientific and non-scientific output. Include application to the other sources of financing (e.g. FP7) if planned so.

b. Key performance indicators (quantitative development towards key project goals – quarterly achievements)

*Provide at least three indicators of key project activities which can be measured numerically on six months basis. **The key performance indicators should reflect the achievements which lead to the project goals**. Please do not provide as KPI conference attendance, reports submitted to UKF, etc. Please show KPI cumulatively, i.e. always add KPI from previous period to new period. E.g. if your KPI in 1st half year is 3 in vivo experiments, in 2nd half-year another 6 in vivo experiments, your KPI in 2nd half-year is 9 in vivo experiments.*

c. Assessment of the project risks

Describe the possible risks of the project: threats and weaknesses that could represent obstacles to the successful completion of the project.

6. Partnership, owner structure, IPR and obligations

a. Collaborations and partnership

Provide the details on proposed collaboration between all research and non-research stakeholders in the proposed project. Explain the role and specific contribution of each collaborator in terms of complementarities.

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

Provide the details on existing owner structure (background intellectual property) and other legal obligation related to the project, including ownership rights of all stakeholders and other sources of financing.

B. Financial plan

Please also provide the detailed financial plan on attached spreadsheet table (Financial plan.xls)

Please note that this grant requires additional funding from other sources. 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 scientifically excellent.

*The UKF funding needs to be matched. The proposed project should have an additional support (matching funding) provided by other sources in amount of minimum 20% of the amount requested from the UKF. **The applicant should provide a guarantee of matching support (Letter of financial support) no later than at the time of submission of a project.** Matching support can be provided as the cash or in-kind resources committed from e.g. Leading Organization, external sponsors or partners*



Research Cooperability Program – Instructions for Applicants 2009

for support of the proposed project. At least 5 % of your matching funding shall be in form of financial contributions (cash contributions).

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. For this grant, maximum total contribution of UKF cannot be lower than **735.000 HRK** and cannot exceed **1.470.000 HRK**.

Non-permissible costs are:

- **basic facilities (office, buildings, installations, communication equipment, personal computers).**
- **consumables or administrative and technical assistance which the Leading or Partner Organization may be expected routinely to provide, cost of accommodation, with the exception of the expenses incurred for short visits.**

a. Direct research costs requested from UKF

Specify the details of the cost structure for the proposed research project on the yearly basis. Include durables (equipment), consumables, costs of research assistance and other costs that are allowed by UKF. Add items in the table as necessary. **Do not quote items not requested by UKF.**

- the category “durables”** includes equipment and instruments, system components and other durable goods provided the cost per item (incl. VAT) exceeds 1500 EUR. Please have in mind that UKF cannot finance large-scale equipment or equipment that is already available in Croatia.
- the category “consumables”** encompasses materials and smaller pieces of equipment, where the cost per item is below 1500 EUR. The calculation of requested material costs should be justified with reference to the time plan, work plan and experimental plan.
- the category “other costs”** may include following: reimbursement of costs towards or for the use of research facilities, e.g. of large-scale research facilities (project-specific "equipment time"); costs for laboratory animals used in the project; costs for the use of software required by the project; costs for the disposal of hazardous waste; costs for honoraria to test persons; student's assistance;

Total costs in categories “durables”, “consumables” and other costs cannot exceed 50% of total budget requested from UKF

b. Personnel costs requested from UKF

Specify personnel costs for each person working on the project. These costs may be gross salaries (for employed or partially employed co-workers) or remuneration (for not employed co-workers). The salaries of the team members (as specified in Composition of the research group) already holding permanent or temporary contracts can be **increased up to 30% of their gross salary**. The salaries of early stage researchers or post-docs financed by the UKF shall be equal to the salaries of early stage researchers or post-docs financed by the Ministry of Science, Education and Sports or Leading Organization, i.e. shall be equal to other personnel at their organization holding same position. Please note that hourly reimbursement cannot exceed 20 EUR gross, which refers to gross salaries or remuneration of all personnel financed from the UKF grants, i.e. if someone financed by the UKF earns more than 20 EUR gross hourly, the UKF will finance his/her salary or addendum to salary only up to 20 EUR gross hourly. The maximum number of working hours in one day is 8. Maximum number of working days in one month is 22.

The personnel costs for the staff not directly connected with the project are not reimbursed. **Please also note that the salaries of laboratory technicians are not eligible cost.** The available categories of employment are: employment contracts or temporary service contracts. **The personnel costs are subject to taxation, social and pension expenditures, which can amount up to 60% of gross salary according to Croatian law.**

Total personnel costs cannot exceed 50% of total budget requested from UKF.



Research Cooperability Program – Instructions for Applicants 2009

c. Travel costs requested from UKF

Costs for project-specific short-term visits (incl. accommodation), fieldwork, expeditions etc. may be requested. A detailed travel (cost) plan should be provided, broken down by project participant. Travel expenses can be reimbursed based on approved travel orders according to Croatian regulations for civil servants' reimbursable. **The amount of per diem paid from the UKF funding shall be in accordance with per diems of beneficiaries financed from the State budget. You can find per diem rates at the following web sites:**

<http://www.nn.hr/clanci/sluzbeno/2006/0166.htm>

<http://www.nn.hr/clanci/sluzbeno/2004/1243.htm>

The UKF recognizes costs of accommodation for maximum of 21 days. Travel costs can not exceed 20% of total budget requested from UKF.

d. Supporting consulting and expertise requested from UKF

Specify the costs of supporting/supplementary expertise and consultants' services needed by the project, e.g. dissemination and transfer of knowledge, IP protection, project administration costs.

Please note that these costs cannot exceed 10% of total budget requested from UKF.

e. Contribution to the overhead costs of the administering institution(s)

Specify the overhead costs of the administering institution(s) requested. Please note that these costs cannot exceed 20% of the total project budget. Overhead costs shall include non-scientist staff (technicians, administrative staff, IT support, HR), other non-specific utilities and office services.

Please note that these costs cannot exceed 20% of total budget requested from UKF.

f. Total project costs with contribution from other sources

Summarize total costs of project requested from UKF with all other contributions from other sources, including: a Leading or a Partner organization, other public-sector sources, other Croatian private sources and foreign sources. Please provide documents of evidence (see Annexes). Please remember that **at least 20% of total budget requested from UKF should be secured from other sources as a matching funding**. It can be provided as financial or in-kind resources committed from e.g. administering organization, sponsors or partners for support of the proposed project. **At least 5 % of your matching funds of total budget requested from UKF shall be in form of financial contributions** (cash contributions). 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 necessary to the success of the project are eligible as matching support. To be eligible for UKF co-funding, the matching support must be committed in writing by the external supporter. The funding from the research projects of the Ministry of Science, Education and Sports is not eligible as a matching funding for UKF projects.

C. Additional information

7. Suggested evaluators (optional). Please note that the Steering Committee has no obligations concerning this suggestion. Steering Committee assumes that applicants will not contact any of the suggested persons in connection with application.

Two kinds of lists of suggestions for evaluators may be included:

- a. Negative list

You may exclude up to three potential evaluators from the evaluation procedure should they feel that competition or fundamental differences in ideology would make it hard for these persons to judge the applications objectively. If the grounds for exclusion can be verified, the Steering Committee may follow this recommendation. The negative list must include a brief justification for exclusion of the persons in question.



Research Cooperability Program – Instructions for Applicants 2009

b. Positive list

Applicants are free to make suggestions for potential evaluators to the Steering Committee (at least five names together with a postal address, an e-mail address and a web page). Any type of conflict of interest should be avoided (including joint publications or cooperation between project leaders or co-workers and potential referees). Note that the evaluators should be internationally recognized researchers, with significant experience in projects of similar kind and type as the one here proposed (preferentially not from Croatia). Unless there is a conflict of interest, the Steering Committee may involve some of the suggested evaluators in the review procedure.

D. Annexes

8. Please list names of personnel whose CV's are attached to project proposal; the CV of project leader is mandatory and if applicable co-applicant's as well.

Please note that the CV shall be submitted on the enclosed official Curriculum Vitae Form. Please do not send CV's of other co-workers (only if project will be approved for financing, you shall send CV of other co-workers).

9. Please list names, titles and institutions of persons who wrote recommendation letters.

Please provide two letters of recommendation (max. 1 pages each) from the persons with whom you have been collaborating.

10. Please list names of Leading Organization and Partner Organization (if applicable), which has/ have provided Letters of Commitment.

Please provide Letter/s of Commitment (max. 2 pages each) signed by responsible persons within Leading Organization and all other involved organizations. The Letter/s of Commitment should describe the nature and the level of support that will be available to the applicant and research project for the duration of the grant (premises, laboratories, employment ...). A Letter of Commitment of the Leading Organization where the project is hosted is mandatory. In the case the main applicant/co –applicant is employed at the organization different from the Leading Organization; this organization should also express its support with another Letter of Commitment.

11. Please list attached financial guarantees and legal agreements.

Please provide copies of all other necessary documents in order to prove that your proposal has matching funding; e.g. letter of financial support signed by a partner from industry

E. Project applicant(s) signatures

Project leader (main 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 persons of administering organization(s)

The authorized persons of all organization involved (at least one) should sign this project proposal and provide an official stamp in order to ensure their commitment to the proposed project. The organization signed should also provide separate Letters of Commitment.

G. Curriculum Vitae (separate form)

1. Name

2. 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.

3. Appointments (reverse chronological order)

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



Research Cooperability Program – Instructions for Applicants 2009

4. Professional, research, academic experience and achievements

- a. Projects worked on as the leader and co-worker (incl. their financial values, number of co-workers and outcome)

Provide details of research projects you have been leading or collaborating on. Include name, place and duration of the project, its financial value, number of co-workers on the project and its result.

- b. Research grants awarded so far (incl. funds awarded)

Provide details of all research grants, scholarships, fellowships 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 and mentor, including all doctorate theses mentored (with names of candidates, years and titles).

- d. Collaborations with academia and industry

Specify your previous and existing collaborations with research groups in academia and industry with names, affiliations and topics.

- e. Entrepreneurial achievements, innovation activities, patents

Provide details of your entrepreneurial and innovation activities (companies grounded, patents filed and granted...)

- f. Research prizes awarded

Specify all other research prizes and honors awarded.

- g. Other contributions

Refer to all other relevant research contributions which may be important for your professional profile.

5. Ten most relevant refereed publications within the last 5 years and the career-best publication

Cite your ten most relevant publications within last 5 years and cite your career-best publication in your choice. Please cite only refereed publications already published or accepted by recognized international journals or publishers.

6. A short statement on most significant contribution to this research field

Write a maximum one page outlining your contribution to the relevant field, focusing particularly on what makes this contribution interesting and unique.

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 you submission has been successful