

Research Cooperability Program, Crossing Borders Grant – Instructions for Applicants 2015

Second Science and Technology Project (STP II)
Loan Nr. P8258 –HR
Croatian Science Foundation - Unity through Knowledge Fund
RESEARCH COOPERABILITY PROGRAM,
Crossing Borders Grant
Instructions for Applicants 2015

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Dear Applicants,

please read the instructions for writing the proposal (Instructions for applicants) carefully since they give more information than it is included in the Call for proposals.

General remarks

Project proposal must be completed in English, or in English and in Croatian, 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

- 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 leader (main applicant)** *(first name(s), family name, title, e-mail, address, phone, private address)*
- c. **Duration of the project** – *Enter the proposed duration of the requested support period for the project (min. 12, max 24 months)*
- d. **Beneficiary (Administering organization)** *(full name, address, website, Personal identification number (OIB) and contact person details) – Enter the legal entity in Croatia (university, institute, SME...) which will administer the project ie where the project is going to be implemented*
- e. **Other organizations involved** *(full name, address, website and contact person details). Please state organizations which employ other co-workers stated in cl. 3.b of the Form, organizations which provide matching funds to the project or other organizations which are in any other aspect involved in the project. Please provide written commitments of all organizations involved in the project.*

2. Summary of the research project

- a. **Description** - *In no more than 400 words of plain, non-technical language (no technical terms if possible), summarize project aims and how they will be achieved, 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. **This summary may also be used as short description of your research proposal in the evaluation process and in communications with potential evaluators and therefore must not contain confidential information.***

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- b. **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)
- c. **Category of project research (basic, applied or developmental)** – please choose the category of project research
- d. **Project Key words** – please choose 1-5 key words that best characterize the subject of your proposal

3. Composition of the research group

Provide names, positions and other requested details of all participants in proposed project:

- a. **Names of the applicants (project leader and co-leader).** They both should provide their Curricula Vitae on separate, attached forms.
- b. **All other co-workers** – all requested details including the foreseen Full Time Equivalent which should be provided for all the co-workers. (Their organizations should be stated at 1.e of this Form and should also provide written commitments). Where persons are still not known (i.e. will be employed after the project start), their position, organization and F.T.E.

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.

4. Description of the research 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. Analyze 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

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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 Croatia

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

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

The description of Work plan and timetable of the project should not exceed 1500 words. Please specify the number of words used.

a. Milestones *(what and when is planned to be done; project activities, planned accomplishments which will be used to monitor the project's progress)*

Provide a detailed work plan and the time schedule of the proposed project, i.e. an overall project activity e.g. approaches for achieving the objectives, communication, monitoring, publication or production of scientific and non-scientific output. Please

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indicate applications to the other sources of financing as one of the activities as well (e.g. EU funds, funds from the industry etc.)

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

*Provide at least five indicators of key project activities which can be measured numerically on six months basis. **The key performance indicators should reflect the achievements which are relevant and lead to the project goals.** Please do not provide as KPI the following, for example: conference attendance, reports submitted to UKF, etc. The KPI can be for example: experiment performed, scientific publication published, software developed, application to international sources of funding, 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.*

Example of KPI table

Key performance indicator	1 st half-year	2 nd half-year	3 rd half-year	4 th half-year
Xx measurements – performed (number of samples)	10	30	40	40
Xx method training	15 days	30 days	60 days	60 days
Xx experiment performed	10	20	30	50
Xx 'in vivo' experiment	3	9	15	21
Xx software developed		1	1	2
Scientific publications published		1	2	4
Additional funding from industry obtained/ amount		1 (insert source of co-financing/ amount/status of the application)	1	1
Workshops organized (by project group)			1	2
Project proposals to EU funds/amount		1 (insert source/amount/status of the		2 (insert source/amount/status of the

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for allocated Croatian partner		application)		application)
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c. **Assessment of the project risks**

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

6. Partnership, owner structure, IPR and obligations

The description should not exceed 500 words. Please specify the number of words used.

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. **Ownership structure, obligations and intellectual property rights related to the project**

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

B. Financial plan

Please insert total amounts and also provide the detailed financial plan on attached spreadsheet table (Research Cooperability Program, Crossing Borders Grant - Financial plan.xls 2015)

-UKF funding:

Specify the budget items in the Financial plan 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 amount requested from UKF must include direct and indirect (overhead) costs.

*For this grant, maximum total contribution of UKF cannot be lower than **750.000 HRK** and cannot exceed **1.500.000 HRK**.*

Please note that the financial plan, once accepted, may be subject to only 10% change (10% of the budget per the individual category of costs) within individual entries (budget items/lines) of the same category of costs, all other changes must be approved by UKF. Total amount per an individual category of costs must not exceed the maximum percentage at the time of application.

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-Matching funding:

*Please note that this grant requires additional funding from other sources, i.e. 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 applicants should provide a guarantee of matching support (Letter(s) of financial commitment) 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. Beneficiary (Administering Organization), other organizations involved in the project, or other public and scientific research organizations or partners from industry with the professional interest in the project results.

***At least 5 % of the matching funding of the amount requested from the UKF shall be in form of financial contributions (cash contributions).** This financial contribution must be spent during the project implementation on the project research activities and not cover the 'administrative' costs which are expected to be covered by 'Overhead'.*

***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 with the amount state and in-kind contribution description provided.*

Any existing or planned financial support from the Ministry of Science, Education and Sports, Croatian Science Foundation as well as other sources of financing from the State Budget which are intended for science and technology development are not eligible as matching funding for UKF project. Please note that salaries of researchers employed at the Administering organization are not an allowable in-kind contribution.

-Non-permissible costs:

- ***cost of VAT is NOT permissible cost for UKF funding in case the Beneficiary (Administering organization) is a big, middle or small enterprise.***
- ***basic facilities - office, buildings, installations, communication equipment (printers, photocopy machines, telephones), personal computers (desktop or notebooks)***
- ***consumables , administrative and technical assistance etc. which the Beneficiary (Administering Organization) or Partner Organization may be expected routinely to provide, cost of accommodation, with the exception of the expenses incurred for short-term visits***

-Categories of costs

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- direct costs requested from UKF (a, b, c, d)

- indirect costs requested from UKF (e)

a. Durables (equipment), Consumables, Other costs requested from UKF

*Specify the details of the cost structure for the proposed research project on the yearly basis. Include durables, equipment, consumables, other costs allowed by UKF. Note that costs are only eligible under the project if they are actual costs incurred after the start date of the project. They must be directly connected with the project and used for the project goals. Add items in the table as necessary. **Do not quote items not requested by UKF.***

- i. **“Durables”** includes equipment, instruments and 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.*
- ii. **“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.*
- iii. **“Other costs”** may include following: reimbursement of costs towards or for the use of research facilities, e.g. of large-scale research facilities per hour/day etc (project-specific "equipment time"); maintenance of the equipment purchased with the project for the project duration time, freight/customs procedure costs, 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; publication fee costs, etc.*

Total costs in category Durables, Consumables, Other costs cannot exceed 50% of total budget requested from UKF.

b. Personnel costs requested from UKF

Personnel costs can only be asked for the salaries of newly employed young researchers. *Specify personnel costs for the salaries of early-stage researchers (PhD students) and/or post-doc researchers financed by the UKF which shall be equal to the salaries of early-stage researchers (PhD students) and/or post-doc researchers financed by the Ministry of Science, Education and Sports or Beneficiary (Administering Organization), i.e. shall be equal to other personnel at their organization holding same position.*

*The available categories of employment are: employment contracts. **UKF approves total employer's remuneration (gross) in accordance with the position, institution praxa and Croatian law. In case of employment of an early-stage researcher UKF approves the early-stage researcher's salary for up to two years (for the period of duration of UKF project) under the condition that the Beneficiary (Administering Organization), submits the guarantee (letter) that they will provide financial support for his salary***

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after the end of the UKF project up to three years of employment as well as cover doctoral student study fee for all three years.

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

c. Travel costs requested from UKF

*Costs for project-specific short-term visits (incl. accommodation, transport from/to destination, per diems), fieldwork, conferences (incl. conference fee) 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 (when travelling abroad) according to Croatian regulations for civil servants' reimbursable. Travel expenses of researchers travelling to Croatia can be reimbursed based on actual costs in accordance to Croatian regulations. **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://narodne-novine.nn.hr/clanci/sluzbeni/2012_10_117_2524.html

<http://narodne-novine.nn.hr/clanci/sluzbeni/125910.html>

The UKF recognizes costs of accommodation for maximum of 21 days (per trip), for staying in not higher than 4 stars hotels and travel tickets can be reimbursed for trips in economy class/2nd class only. Please note that travel reimbursements can be subject of taxation, social and pension expenditures for person not employed at the administering organization.

Total Travel costs cannot 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 necessary for the realization of UKF supported projects' goals and transfer of knowledge such as consulting services in knowledge and skills which are not available within the project team. This may include scientific studies or analysis of scientific results, consulting on commercialization of scientific results etc.

Note that you must specify the cost per hour /day and the number of hours/days needed for the particular expertise.

Please note that the total cost for Supporting consulting and expertise cannot exceed 10% of total budget requested from UKF.

e. Contribution to the overhead costs of the Beneficiary (Administering organization)

Specify the overhead costs (amount) requested by the Beneficiary (Administering organization). Overhead costs shall include non-scientist staff, technicians, administrative

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staff, IT support (incl. project web page), HR, infrastructure (communal and maintenance expenses), communication expenses, network connection (telephone, photocopy costs, printing costs), office renting and supplies including computers and other non-specific utilities and office services. In Financial plan you should state only the amount requested.

Please note that the total cost for Overhead contribution cannot be less than 5% and cannot exceed 15% 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: Beneficiary (Administering organization) and partner organizations. In the table, state Partners organizations' co-financing as Other Croatian organizations (public and private sector), and foreign organizations (public and private sector). Please provide documents of evidence (Letters of financial commitment) (see Annexes).

Please remember that at least 20% of total budget requested from UKF should be secured from other sources as a matching funding. At least 5 % of the matching funding of the amount requested from the UKF shall be in form of financial contributions (cash contributions).

In financial plan you should state only the amounts of matching funds.

The Letter(s) of financial commitment should state the amount given in cash (not to be specified) and the amount and description of goods and services given as in-kind contribution needed for research and must be signed by the authorized person of the organization.

Example of Financial plan

100%	200.000	UKF funding	
	85%	170.000	Direct costs
(max)	15%	30.000	Overheads
20%	40.000	Matching funding (20% of the UKF funding)	
	15%	30.000	In-kind contribution
(min)	5%	10.000	Cash contribution
	240.000	Total (UKF + matching funding)	

Please note that the Overhead contribution costs should be calculated as percentage of the total UKF funding (not state as percentage of the Direct costs).

C. Additional information

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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 you feel that competition or fundamental differences in ideology would make it hard for these persons to judge the applications objectively. The negative list must include a brief justification for exclusion of the persons in question. If the grounds for exclusion can be verified, the Steering Committee may follow this recommendation.

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 website). 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 and project co-leader are mandatory.

Please note that the CVs shall be submitted on the enclosed official Research Cooperability Program, Crossing borders grant – Curriculum Vitae Form 2015. You don't need to send CV's of other co-workers, you will need to submit them if project is approved for financing.

9. Baseline Survey on Research Cooperability Program, Crossing Borders Grant

Please submit the filled in Baseline Survey on the enclosed official Research Cooperability Program, Crossing borders grant – Baseline Survey Form 2015.

10. Please list names, titles and institutions of persons who wrote recommendation letters for the main applicant.

Please provide two letters of recommendation for the main applicant (max. 1 pages each) from the persons with whom you have been collaborating and which can give more insight into your qualities and capabilities.

11. Please list names of Beneficiary (Administering Organization) and Partner Organization(s) which have provided Letters of Commitment

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Please provide Letters of Commitment (max. 2 pages each) signed by responsible persons of Administering organization, Partner organization abroad which engages the main applicant/co-applicant and other organizations involved in the project. The Letters of Commitment should describe the nature and the level of support that will be available to the applicants and research project for the duration of the grant (premises, laboratories, employment ...). Paragraph 6. Eligibility criteria for the Call lists all information (commitments) which must be included in the each letter to be eligible.

12. Please list attached financial guarantees and legal agreements (Letters of Financial commitment)

Please list here and provide copies of all other necessary documents in order to prove that your proposal has matching funding; e.g. letter of financial commitment signed by the Administering organization, Partner organization abroad or other partner organization, letter of financial support signed by a partner from industry etc.

13. Please list any other enclosed annexes relevant to the project proposal.

E. Consent of project leader (main applicant) to ensure responsible conduct of research and scientific integrity

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

F. Project applicants' signatures

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

G. Name and signature of responsible person of the Beneficiary (Administering organization)

The grant will be awarded to an Administering organization (legal entity). This organization expresses its support with the separate Letter of Commitment signed by the authorized responsible person of an organization and should sign this project proposal and provide an official stamp in order to ensure their commitment to the proposed project.

H. Curriculum Vitae (separate form)

1. Name and surname
2. Education

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

Provide details of all formal qualifications in reverse chronological 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.

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 in 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 granted

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 evidence on impact and contribution to the field

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

5. 10 most relevant refereed publications within the last 5 years and the career-best publication

Cite your ten best most relevant publications within last five 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

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

I. Baseline Survey on Research Cooperability Program, Crossing Borders Grant (separate form)

Main applicant should provide the information on the project for the purpose of evaluating the impact of the Research Cooperability Program, Crossing Borders Grant.

This survey is conducted to all applicants of Research Cooperability Program, Crossing Borders Grant - program of UKF - as a baseline survey before the selection process of winning projects, ie at the time of submitting your project proposal. Purpose of the survey is to assess the need and to measure the impact of the program.

The responses provided to this survey will not be included into the evaluation process of the application.

Additional documents- which will be requested for submission if the project is recommended for financing

Environmental Screening Form (separate form)

Main 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 accreditations must be issued, before the project start.

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.

Procurement plan (separate form)

For every project proposal recommended for financing, the main applicant will be obliged, during the negotiations, to submit the Procurement plan in accordance with "Extract 1. CSF – Procurement arrangements for sub-beneficiaries of UKF programs" which is the document that sets out the guidelines and procedures which are to be used for procurement on the project. The procurement plan must be submitted after the financial plan is approved and before the project start.

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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.