

## Call for Applied Research State grants 2018

### Terms of Reference

#### Article 1. General terms

1. Aim of the state grant call for the Applied Research (hereinafter referred to as “the grant call”) is to support:
  - a) Further development of the applied and technological scientific research;
  - b) Development of the long-term innovative and technological applied research projects in science, technology, engineering, mathematics, medical and health sciences, and agricultural sciences of the Georgian Higher Educational Institutions (HEIs) with international partners and non-scientific sector (private sector – small and medium enterprises, non-governmental organizations, public sector);
  - c) Providing Technology and innovation transfer reflecting on the social and economic challenges of the State;
  - d) Funding the significant research projects through the open competition;
  - e) Implementation of the technology transfer-oriented projects with the commercialization perspective;
  - f) Identifying and supporting innovation researches with the high technological outcomes on the local or/and international market, reflecting on the existed problems in development of New Technologies;
2. The grant call aims at identifying projects with commercialization potential.
3. Applications in the grant call can be submitted in the scientific fields defined by the decree #85 of the Government of Georgia, dated as of February 16, 2011, annex 1, article 1, paragraph 3:
  1. Natural Sciences;
  2. Engineering and Technology;
  3. Medical and Health sciences;
  4. Agricultural sciences;
  5. Social sciences (only in case of the multidisciplinary projects);
  6. Humanities (only in case of the multidisciplinary projects).
4. The project submitted in frames of the grant call is defined as multidisciplinary in case it implies combination of any of the fields from 1- 4 and 5-6, or combination of any fields from 1-4, referred in the 3<sup>rd</sup> paragraph of the article 1.
5. Projects in the **three categories** will be funded under the call:
  - a) **1<sup>st</sup> category** – pilot grant for supporting the technology transfer for organization (s);
  - b) **2<sup>nd</sup> category** – grant for innovative research and technological development for consortium;

- c) **3<sup>rd</sup> category** – proof of research concept: grant for infrastructure, training and cluster development for consortium;
- 6. The project submitted in the grant call should include:
  - a) Training on enterprise/innovative-thinking related issues;
  - b) Innovation, technology transfer and related research component;
  - c) Creating the prototype, sample, software or technological product;
  - d) Creating and formation/improving the manufacturing sample/prototype for new/improved software, materials, medical treatment, devices, construction etc.
- 7. International cooperation of the project is desirable.
- 8. The grant call is funded by the state budget and it is administered by the Legal Entity of Public Law – Shota Rustaveli National Science Foundation of Georgia (hereinafter referred to as “SRNSFG” or “foundation”) in accordance with the decree # 85 of the Government of Georgia dated as of February 16, 2011 and the Minister’s decree.

## Article 2. Eligible applicants

- 1. Eligible applicants and grant recipients in frames of the grant call:
  - a) **Host and co-participant organization** – Legal Entities of Public Law, non-commercial legal entities, which perform research activities defined by their statutory document;
  - b) **Key Personnel** – Georgian or foreign citizen with PhD, MA, BA or equivalent academic degree as well as the MA or PhD student;
- 2. It is required that the project submitted in any category (1-2-3) to have the **Host Institution**.
- 3. **Host organization and Key personnel** submit the projects jointly to the SRNSFG in the 1<sup>st</sup> category of the grant call;
- 4. **Consortium (Host and co-participant organization(s)) and the key personnel submit the projects to SRNSFG** in the 2<sup>nd</sup> and 3<sup>rd</sup> categories of the grant call;
- 5. The consortium should involve **minimum 2 and maximum 5 organizations**.
- 6. At least one member of the key personnel should have the **background from business and close links with the business sector** when submitting the project; the relevant experience should be provided in the professional CV of the personnel;
- 7. At least one member of the consortium should be the commercial legal entity registered either in Georgia or in a foreign country when submitting the project in the 2<sup>nd</sup> category of the call;
- 8. Commercial legal entity as well as the foreign organization cannot be the grant recipients;
- 9. The project should have the **Principal Investigator** – PhD or equivalent academic degree holder Georgian citizen, who coordinates the project and research, and is responsible for the scientific outcomes of the project and monitoring activities ;
- 10. The project should have **project coordinator** – involved in the project management and administration- related issues. The project coordinator cannot be the Principal Investigator;
- 11. The project can involve project **co-principal investigator** – from the key personnel, who is representative of the co-participant organization and member of the consortium;
- 12. The project should involve at least one **young scientist** - MA/PhD or equivalent academic degree-holder, who has achieved the degree at least 7 years prior to the call announcement, and MA, PhD, medical residency student. The young scientist should be involved in every reporting period of the project implementation;

13. The project can also include **supporting personnel** – person(s) assisting the key personnel in technical issues of the project implementation. The key personnel cannot perform the activities of the supporting personnel.
14. The project can have **co-funding** – financial resource from the legal or natural person(s), providing additional support for the research project;
15. The person can be involved **overall in two projects with the same status** either in this particular grant call or in any of the following ongoing grant calls administered by the SRNSFG: Grant call for Basic research (Fundamental research/FR)); grant call for Applied Research (AR) and Grant with participation of the compatriots abroad (DI);
16. The person can be involved in only **one project at the same time** within this grant call or in any ongoing project in frame of the following grant calls administered by SRNSFG: Grant call for Basic research (Fundamental research/FR)); grant call for Applied Research (AR) and Grant with participation of the compatriots abroad (DI);
17. According to the paragraphs 15 and 16 of this article, the project is defined as “ongoing” if the mutual reconciliation act is not finalized by **October 30, 2018**.
18. Proposals violating the paragraphs 15 and 16 of this article cannot be submitted in frames of the grant call;

### Article 3. Major financial requirements

1. Duration of the project can be 2, 3 or 4 years, and the duration of reporting period is defined as 1 year (12 months);
2. Requested budget from the foundation for one organization should not exceed 140 000 GEL per year, and 420 000 GEL per consortium and should be in compliance with categories in the following scheme:

| Maximum annual budget requested from SRNSFG |   |                  |
|---|---|------------------|
| Project category                            |   | For organization |
|   |   | For consortium   |
| I.  | Pilot research grant for supporting technology transfer for organization (s);                           | 140 000 GEL      |
| II.   | Grant for innovative research and technological development for consortium;                             | 140 000 GEL      |
| III.  | Proof of research concept: grant for infrastructure, training and cluster development for consortium(s) | 420 000 GEL      |

3. The grant budget can include the following categories of expenditure:
  - a) Funding for the key personnel;
  - b) Salary of the supporting personnel;
  - c) Business trip;
  - d) Goods and services;
  - e) Non-financial activities;
  - f) Overhead;
4. The categories of expenditure is defined in the budget classification approved by the Director General of the SRNSFG (annex 13).

5. The total sum of monthly amount of funding the key personnel and supporting personnel should not exceed 50 % of the requested budget from SRNSFG;
6. Overhead cost- total amount of the overhead costs for host and co-participant organizations should not exceed 7 % of the requested budget from SRNSFG. Grant recipient host and co-participant organization is entitled to use the amount for technical administration and for funding the scientific –research of the host/co-participant organization(s);
7. Consortium member commercial legal entity as well as a foreign organization cannot be the grant recipients;
8. The grant requested from SRNSFG can include expenses related to creating intellectual property and its registration based on the research;
9. The project can have co-funding – additional source of funds, which together with the funding requested from SRNSFG, provides the total budget of the project. Grants received from the SRNSFG cannot be identified as co-funding;
10. The foundation doesn't cover expenses related to the project preparation and submission;
11. The grant should not include expenses related to purchasing real estate / lease, car, computer and cell phone or building-renovation/repair/reconstruction –related costs;
12. The property purchased during the project implementation is the property of Host/co-participant organization or/and natural person/group of natural persons based on the agreement between them;

#### Article 4. The grant call documentation

1. Grant call includes **three stages**
  - a) First stage – submitting the concept of the project proposal;
  - b) Second stage – submitting the project;
  - c) Third stage – presentation of the project to the commission.
2. Requirements for participation on the **first stage**:
  - a) The principal investigator of the project should send the concept of the project proposal (annex 2) to the email address: [ar@rustaveli.org.ge](mailto:ar@rustaveli.org.ge), which will be given the Project ID;
  - b) Submitting the invention proposal to the-electronic system of the National Intellectual Property Center of Georgia - SAKPATENTI ([online.sakpatenti.gov.ge/ka/app/login/](http://online.sakpatenti.gov.ge/ka/app/login/)) – (invention form - annex 3);
  - c) Submitting the statement of participation on the first stage at the SRNSFG office, including the given project ID given (annex 4).
3. For participation on the **second stage**, authors of selected concepts should submit the full project proposals online in the Grants Management Unified System (GMUS, link- – <http://gmus.rustaveli.org.ge>) which consists of **content part** and **supporting annexes/ relevant documentation**:
  - a) **Content part of the project includes**:
    - a.a. Cover page (general information) of the project (annex 5, to be filled in GMUS )
    - a.b. Project proposal (Annex 6, to be uploaded in GMUS as PDF doc);

a.c. CVs of the key personnel (PI, coordinator, Georgian and foreigner researchers) - to be filled while registering “scientist’s profile” in GMUS in Georgian and English languages, in case of foreigner researcher- to be filled in English. CVs can be generated and exported as PDF file (sample #7). The principal investigator is responsible for providing Georgian translation of English CVs of the foreign personnel.

a.d. Project timeframe (sample – annex 8, to be filled in GMUS);

a.e. Project budget and budget justification (sample –annex 9, to be filled in GMUS).

**b) Annexes and supporting documentation:**

b.a) **Letter of co-funding** (if applicable) in Georgian and English languages signed by the legal or natural person. The sum and its purpose should be indicated and explained in the letter.

b.a.a) **Letter of co-funding by the Legal person** should be provided on the official paper in accordance with the sample – annex 10, signed by the authorized person and sealed/stamped (to be uploaded in GMUS as PDF file). In case the letter is issued in English, it should be translated into Georgian and verified by the translation bureau;

b.a.b. **Letter of co-funding by the natural person** should be provided in accordance with the sample - annex 10, signed by the natural person (to be uploaded in GMUS as PDF file). In case the letter is issued in English, it should be translated into Georgian and verified by the translation bureau;

b.b) **Letter of support on providing access to the research infrastructure** (if applicable) – should be provided on the official letter in accordance with the sample- annex 11, signed by the authorized person and organization stamp (if applicable). (To be filled in GMUS as PDF file). In case the letter is issued in English, it should be translated into Georgian and verified by the translation bureau;

b.c) **Legal documentation of the Host and other organizations of consortium** to be uploaded in GMUS in “organization’s profile as PDF file – in case of LEPL- the order of establishment, in case of NNLE and HEI – statutory document and record from the registry (dated as of 2018). It is not mandatory to provide the document in case of the foreign organization registered abroad.

b.d) **Documentation of the key personnel’s academic achievements** (Diploma, certificate, reference in case of the PhD, MA/medical residency students); if the document is issued abroad, Georgian key personnel should provide the letter of recognition by the LEPL- National Center for Educational Quality Enhancement. Documents issued in the Soviet period, doesn’t require translation and recognition. Diplomas of the foreigner key personnel should be legal and recognized by the National Center for Educational Quality Enhancement. The documents are uploaded in GMUS as PDF files when registering “Scientist’s profile”;

b.e) the applicants should submit the following documentation at the SRNSFG office **on the second stage of the call:**

b.e.a. joint statement of participation (sample 12, generated in GMUS), verified with signature and stamp (if applicable) ;

b.e.b. in case the joint statement of participation doesn’t include foreigner key personnel’s signature, the letter of commitment is to be provided signed and translated by the translation bureau. The letter should indicate that the person has read the Terms of Reference of the grant call and confirms participation.

b.e.c. letter of co-funding (if applicable) in original language; in case the letter is in foreign language, it should be provided with the translation by the translation bureau.

4. On **the third stage** of the call, the applicants are entitled to provide presentation to the commission.

5. The selected projects for funding, the grant holders should provide the following documents to the SRNSFG:

a) Targeted bank account of the host and consortium member organization (s) – bank account number opened with the purpose of the grant call and the letter from the bank that the account won't receive any other amount;

b) Reference letter – on host and consortium member organization(s) not having any debt(s) towards the state budget;

6. The call documentation should be provided in accordance with the forms and guidelines approved by the decree.

7. Principal Investigator is responsible for providing appropriate Georgian and English versions of the project documentation.

## Article 5. Guideline for the grant call registration

1. For registration the **project concept** on the first stage of the grant call, it is required:

a) To submit the concept electronically to the e-mail address: [ar@rustaveli.org.ge](mailto:ar@rustaveli.org.ge) from July 13 to August 20, 16:00;

b) To open the invention application at the electronic system of the National Intellectual property center of Georgia (SAKPATENTI) (link - <https://online.sakpatenti.gov.ge/ka/app/login/>) from July 13, 2018 to August 20, 16:00;

c) To provide the statement of application at the SRNSFG until August 21, 2018, 16:00;

2. Only **the project concepts**, submitted in the first stage in accordance with the deadlines and guidelines, registered online and provided the statement on participation at the SRNSFG office are eligible to participate;

3. To register the projects on **the second stage** of the grant call, it is required to:

a) Register the full proposal in the Grants management Unified System (GMUS- <http://gmus.rustaveli.org.ge>) from October 10, 2018 to October 31, 16:00;

b) To register at the SRNSFG office until November 1, 2018, 16:00.

4. **To register the projects in GMUS it is required :**

a) To register the Host organization and consortium member other organizations as well as the co-funding legal entity (if applicable) in GMUS – creating “organization’s profile” and providing all the required documentations as indicated in the article 4, paragraph 3 (b-c)

b) To register project’s participant natural person(s) in GMUS – creating “scientist’s profile” and providing all the required documentation as indicated in Article 4, paragraph 3 (b-d). Georgian key personnel’s profile should be filled in Georgian and English languages, while foreigner key personnel’s profile should be filled in English language.

c) It is mandatory to fill the **Cover page/General information** of the call and upload call documentations (see article 4, paragraph 3).

5. Second stage of the call implies providing **the statement of participation** at the SRNSFG office in accordance with the guidelines defined by the Article 4, paragraph 3 (b-e subparagraphs);
6. Only the projects, submitted in the set deadlines in accordance with the guidelines, having performed online registration as well as provided statement on participation at the SRNSFG office will be admitted in frames of the grant call;
7. The participants should provide presentation at the third stage of the grant call to the commission. Third stage does not maintain registration and providing call documentations.

## **Article 6. The grant call administration**

1. The grant call calendar:
  - a) **First stage – providing the concept of the project proposal;**
    - a.a. **July 13, 2018** – Call announcement;
    - a.b. **July 24, July 26, August 7, 2018** – Group consultations ( Information days);
    - a.c. **August 14, 2018** – deadline for sending the questions;
    - a.d. **July 13, 2018 –July 20 (16:00)** – registration of the concepts at the first stage of the grant call;
    - a.e. **August 21, 2018 (16:00)** – deadline for submitting the statement on participation at the SRNSFG office;
    - a.f. **October, 2018** –results of the first stage of the grant call;
  - b) **Second stage – submitting the project proposals;**
    - b.a. **October 12, 18, 2018** – Group consultations (Information days);
    - b.b. **October 22, 2018** – deadline for sending the questions;
    - b.c. **October 10 – October 31, 2018 (16:00)** – registration of the full proposals in GMUS;
    - b.d. **November 1, 2018 (16:00)** – submitting the statement on participation at the SRNSFG office;
    - b.e. **November 2018** – interim results of the second stage of the grant call – information on rejected projects at the second stage;
    - b.f. **November, 2018** – evaluation by the experts/group of experts of the full proposals submitted at the second stage of the grant call;
    - b.g. **November 2018** – results of the second stage of the call, information about the selected projects for the third stage.
  - c) **Third stage – Project presentation to the commission**
    - c.a. **December, 2018** – presenting the projects to the commission;
    - c.b. **December, 2018** – results of the evaluation by experts/group of experts and commission; providing the three ranking lists according to the project categories and revealing selected projects for funding;
    - c.c. **December, 2018** – approving the final list of selected projects for funding by the Director General and announcement of the results;
    - c.d. **December 2018** – Signing the grant agreement.



2. The foundation is entitled to perform **eligibility check** of submitted projects and act in accordance with the law. The eligibility check of the projects at second stage includes:
  - a) To reveal the incompliance with article 4, paragraph 3 (checking the provided annexes and documentation);
  - b) In case the project includes false information, or the content part is incomplete or violating the guidelines and forms, the foundation is entitled to reject the project from the call;
  - c) The foundation is entitled to reject the project in case the project budget and budget justification is not provided in accordance with the article 3, paragraphs 1, 2, 5, and 6 sub-paragraphs.
  - d) The project will be dismissed in case the participant legal or natural persons are incompliance with the requirements indicated in the article 2;
3. The foundation is entitled to dismiss/reject the project at any stage of the grant call if the submitted project:
  - a) Is violating the decree # 85 of the Government of Georgia, dated as of February 16, 2011 and the Terms of Reference of the call approved by the Individual Administrative-legal Act of the Director General of foundation;
  - b) The submitted documents are incompliance with the guidelines defined in the article 4 and the documentation includes false information and/or violating the approved guidelines and forms;

#### **Article 7. Evaluation**

1. Projects are evaluated in accordance with the decree # 85 of the Government of Georgia, dated as of February 16, 2011, according to the articles 9 and 10 and evaluation criteria (annex 2 of the minister's decree);
2. The foundation ensures that projects are not assigned to undesirable experts, named by the applicants during the project registration.

#### **Article 8. Grant agreement**

1. After approving selected projects for funding by the Director General, foundation is entitled to perform grant agreement regulating the details and obligations of the parties;
2. The grant agreement will be formed with the grant holders who provide all required documents defined in the article 4, paragraph 5.
3. The agreement will be formed in accordance with the decree # 85 of the Government of Georgia dated as of February 16, 2011.
4. Grant funding is performed in tranches on the targeted account of the project. First tranche is transferred during 30 days after signing the grant agreement. Each following tranche will be transferred based on the interim reporting period, the tranches are performed in accordance with the decree # 85 of the Government of Georgia dated as of February 16, 2011.
5. In case the co-funding, project will be terminated if the relevant document is not provided indicating the transferred amount of co-funding on the targeted bank account. The related issues are regulated by the grant agreement;
6. Changing the key personnel is admissible in certain circumstances, based on the provided relevant argumentation.



## **Article 9. Monitoring the Project implementation**

1. After each reporting period, grant holder is obliged to provide report on performing the project activities and expenses in accordance with the forms defined by the Director General of the foundation.
2. The foundation performs monitoring of the grant agreement (hereinafter “monitoring”) in accordance with the decree #85 of the Government of Georgia dated as of February 16, 2011, article 12. After reviewing the provided reports by the grant holder, the foundation is entitled to form relevant monitoring act.
3. Monitoring includes financial and programme monitoring:
  - a) Financial monitoring includes monitoring the expenditures of the received funding in frames of the grant call;
  - b) Programme monitoring includes checking and monitoring the fulfilment of the grant holders’ obligations defined by the grant agreement. The foundation is entitled to monitor the project by site visits and scientific efficacy evaluation by the field expert(s) approved by the individual administrative-legal act of the Director General of the foundation and/or in accordance with the grant agreement;
4. The foundation is entitled to monitor documentation of co-funding expenses.
5. The foundation is not entitled to monitor the outcomes of the tasks which are not defined by the grant agreement;
6. The monitoring acts based on the provided interim and final reporting can be foreseen in case submitting the projects in other calls in the future by the grant holder.
7. The foundation is entitled to evaluate scientific efficacy of the ongoing or completed projects by the independent field experts.
8. The foundation is entitled to perform audit control by the audit company in order to monitor the compliance of the funding expenditure with the grant agreement. After the audit report, the foundation is entitled to decide on project termination, discontinuance or completion. The foundation is also entitled to maintain so-called “black list” of the grant holders who have violated the grant agreement.
9. The foundation is entitled to maintain registry of the so-called “black list” in accordance with the guidelines approved by the individual administrative legal act of the Director General of the Foundation.

## **Article 10. Project termination, discontinuance and completion**

1. Project termination, discontinuance and completion issues are regulated by the decree # 85 of the Government of Georgia dated as of February 16, 2011.

2. In case of project termination, (except the force-majeure) the grant holder is entitled to return the non-eligible costs, residue (balance), grant amount transferred in the ongoing reporting period of the grant agreement.

#### **Article 11. Additional conditions for the grant holder**

1. Grant holder is obliged to implement project related activities defined in the Article 6 of the ToR;
2. The grant holder is obliged to create intellectual property based on the research material: patent, copyright, trademarks intellectual property.
3. It is desirable to publish the publication in the international peer-reviewed journal in frames of the grant call based on the research material. Such publications can be journals, books and collections, which are accessible in the scientific databases: [Scimago Journal Ranking](#), Elsevier ([Scopus](#) and [ScienceDirect](#)), [Web of Science](#), [ERIH plus](#) or published in the international journals funded by the SRNSFG: Transactions of A. Razmadze Mathematical Institute and Annals of Agrarian Science.
4. The host organization's field-related publishing/scientific/academic council or equivalent structural unit should approve the monograph based on the research outcomes.
5. It is required that publication (article, monograph, conference abstract etc.) describing research outcomes to indicate the following indication: "This work was supported by the Shota Rustaveli National Science Foundation of Georgia (SRNSFG) [grant number ...]". If the publication is missing the above-mentioned indication, it will not be considered during the monitoring. Only one grant number is required to be indicated on one article.
6. It is required that any visual product (printed, photo, audio, video, electronic production and webpage) created in frames of the grant project contain logo of the Shota Rustaveli National Science Foundation of Georgia and indication/note that the project was implemented by the support from SRNSFG.
7. The foundation is entitled to use the abstract, project programme reports and printed and/or visual material in its activities, in the printed or electronic publications or on the foundation's webpage.