

**Joint Call for Proposals for Research and Development Projects
“Ukrainian-Swiss Joint Research Projects:
Call for Proposals 2023”**

Opening date: 12.10.2023

Closing date: 12.12.2023

Approximately 15 joint research projects
can be funded

1 Introduction

The Swiss National Science Foundation (SNSF) and the National Research Foundation of Ukraine (NRFU) are launching a joint call for joint research projects to be implemented by Swiss and Ukrainian participants (hereinafter - Call). The purpose of the Call is to enable researchers in Ukraine, jointly with researchers in Switzerland, to undertake research activities in any scientific field. The Call is focused on researchers who are currently based in Ukraine, including young researchers.

Ukraine's population including researchers and virtually all areas of life are negatively affected by the Russian invasion. Many researchers cannot continue their activities because research facilities are not accessible, damaged, or destroyed. In other cases, researchers joined the Armed Forces of Ukraine, care for their family members, or are engaged in voluntary work in order to help the country.

However, many institutions of higher education and research institutions are still functioning, and researchers continue their work, especially in the centre and west of Ukraine. Other institutions/organisations have been relocated from the east and south to safer parts of the country. As the war is unpredictable, and to minimise risks, this Call will invest in people and research, not in large equipment. Issues arising during the project will be dealt with on a case-by-case basis.

In accordance with the requirements of the current legislation of Ukraine the following individuals are exempt from military duty:

- researchers, university research and pedagogical staff if they have a full-time employment contract (i.e., main place of employment with at least 75% workload) with institutions of higher education or research institutions.
- PhD and doctoral students being educated full-time or in a dual scheme (i.e., supervision by two institutions of higher education or research institutions).

2 Joint Research Projects

Grants for JRPs aim to promote collaborative projects with clearly defined goals, involving at least one applicant in Switzerland and one in Ukraine. Applications should describe ambitious research and propose innovative approaches.

JRP duration can be either two or three years exactly. Proposals for projects longer or shorter than two or three years are not eligible and will not be accepted.

3 Research Fields

The Call is thematically open for basic research. Research proposals from any scientific field as well as interdisciplinary JRPs are welcome.

4 Eligibility

Each proposal for a JRP must have at least one main applicant based in Switzerland and one main applicant based in Ukraine; they are the lead scientists on the Swiss and Ukrainian side respectively. They bear the primary responsibility for the JRP, including its technical and administrative coordination

and timely scientific and financial reports delivery. Further applicants and team members in Switzerland and/or Ukraine can also participate in the consortia. Each applicant can only submit one proposal.

The Call encourages the inclusion of young researchers into the JRP teams.

Eligibility criteria in Switzerland

Main and other applicants must meet the eligibility requirements of the SNSF. The eligibility criteria for main and other applicants are identical. The SNSF [Funding Regulations](#), the [General implementation regulations](#) and the [Regulations on Project Funding](#) apply mutatis mutandis where not stated otherwise.

Applicants can submit a proposal to the Call even if they hold another SNSF grant or have applied for one. Moreover, grantees may submit proposals to all SNSF funding schemes during the funding period of a JRP, provided that there is no substantial thematic overlap. The Call does not conflict with the restrictions applicable to the SNSF's national project funding per Article 13 of the Regulations on Project Funding. Ambizione and PRIMA grantees can contact the SNSF office to check their eligibility to apply to the Call.

The SNSF does not consider applications that involve the moving of a Swiss-based researcher to a zone with a significant safety risk.

Eligibility criteria in Ukraine

Institutions of higher education and research institutions of state ownership can apply for the Call. In *my*SNSF, the Ukrainian PI has to be mentioned as Ukrainian main applicant.

Research teams are composed of four project authors (PI and implementers).

The research team (project authors) consists of researchers affiliated with the institutions of higher education or research institution applying for the Call. The researchers:

- have a full-time employment contract (the main place of employment with at least 75% workload for the respective position) with institutions of higher education or research institutions;
- are PhD or doctoral students being educated full-time or according to a dual scheme.

One person can only participate in one application submitted to this Call.

The PI and at least two project implementers shall have a research degree obtained or recognized in Ukraine. Project authors cannot have a full-time affiliation (the main place of employment) with a foreign institution (organization). The PI is responsible for the reliability of the information presented in the application and supplementary documents.

A researcher who previously participated in an NRFU project terminated by the NRFU Scientific Council for non-fulfilment or improper fulfilment of the terms of the agreement cannot participate in this Call.

For other eligibility criteria, Ukrainian researchers are advised to consult the [Terms and Conditions](#) of the Call published at the NRFU official website.

5 Funding

The budget for a JRP consists of two parts: the budget for the Swiss part of the project and the budget for the Ukrainian part. The Swiss part is paid by the SNSF according to SNSF regulations. The Ukrainian part is paid by the SNSF according to SNSF and NRFU regulations and transferred to the Ukrainian institution of higher education or research institution via the Swiss PI. The available budget for this Call should be sufficient to fund approximately 15 JRPs from any discipline, assuming a sufficient number of proposals of high quality are submitted.

The maximum budget available for a JRP of two years is CHF 265,000. The maximum budget for three years is CHF 400,000. Thereof:

- the maximum budget available for the Swiss side is CHF 165,000 (two years) or CHF 250,000 (three years);
- the maximum budget available for the Ukrainian side of the JRP is CHF 100,000 (two years) or CHF 150,000 (three years).

Eligible costs in Switzerland

- the salaries of scientific and technical staff in research projects within the scope of the salary ranges and rates prescribed by the SNSF;
- material costs that are directly related to the research work, namely material of enduring value, expendable items, field expenses, travel expenses, third-party charges, costs generated by project partners, cost of computing time and data as well as of providing open access to research data;
- direct costs incurred through the use of research infrastructure linked to the research work;
- costs for the organisation of conferences and workshops in connection with the funded research;
- costs for national and international cooperation and networking activities carried out in connection with the funded research.

Please note that costs for open access publications can be requested separately via the [OA platform of the SNSF](#).

The SNSF regulations apply to the Swiss budget. However, overhead costs are not admissible.

Eligible costs in Ukraine

Direct costs:

- remuneration (with taxes and accruals) of research team members;
- materials/consumables necessary for project realization;
- research equipment necessary for project realization;
- travel and accommodation expenses (in accordance with the current Ukrainian legislation).

Indirect costs/overheads:

The total amount of indirect costs/overheads (costs that are not directly related to the implementation of research but are necessary for provision of full implementation of the project) cannot exceed 5% of the total Ukrainian budget. Indirect costs/overheads may include:

- payment of utility costs related to the implementation of the project;
- payment of operating expenses related to the implementation of the project;
- remuneration of staff, particularly staff of the finance departments, legal services, etc., involved in the execution of the Grant Agreement for the research work. These expenses may not exceed 30 % of the total volume of indirect costs.

Other costs (if necessary) that are not reflected above, but necessary for conducting the research, particularly expenses for payment of services (except utilities), namely:

- obtaining patents,
- translations,
- renting research equipment,
- access to databases, libraries,
- conference participation fees, etc.

Eligible costs per one project:

1) Remuneration of the project authors: CHF 3,600 (including taxes and accruals) per month x 12 months = CHF 43,200 per year x 3 years = CHF 129,600 (CHF 86,400 for 2 years).

Determining the amount of remuneration for project authors is calculated depending on the involvement of a PhD student in the project:

- with the involvement of a PhD student:
 - the remuneration of the PI (with a research degree obtained or recognized in Ukraine): CHF 1,400;
 - the remuneration of two project implementers (with a research degree obtained or recognized in Ukraine): CHF 800;
 - the remuneration of one project implementer (a PhD student): CHF 600.
- without the involvement of a PhD student:
 - the remuneration of the PI (with a research degree obtained or recognized in Ukraine): CHF 1,200;
 - the remuneration of three project implementers (with a research degree obtained or recognized in Ukraine): CHF 800.

2) Minor equipment and material/consumables or other expenses: CHF 12,800 for 3 years / CHF 8,600 for 2 years.

3) Overhead (to the organization to which the PI and the team members are affiliated) – 5% of the total Ukrainian budget.

TOTAL per project of 3 years: CHF 129,600 + 12,800 = CHF 142,400 + 7,600 (~5%) = CHF 150,000

TOTAL per project of 2 years: CHF 86,400 + 8,600 = CHF 95,000 + 5,000 (5%) = CHF 100,000

Funds transferred to the Ukrainian institution of higher education or research institution may be used exclusively to implement the research.

The following cannot be financed with grant funds: preparation of a project application for receiving grant support; expenses not directly related to the implementation of the project (in particular, payment for intermediary services, purchase of goods, performance of works, provision of services not related to the implementation of the project); payment for works and services that were or will be financed from other sources before or after the conclusion of the Grant Agreement.

6 Submission

Proposals are to be jointly prepared by Swiss and Ukrainian applicants. The Swiss main applicant must submit the proposal to the SNSF via its electronic submission system *mySNF* (www.mysnf.ch).

The Ukrainian main applicant must submit the application (in Ukrainian and English) to the NRFU via the “NRFU Project Call” automated system (<https://nrfu.org.ua>).

Proposals submitted only to one of the two funding agencies are ineligible.

No hardcopies will be accepted. Neither the SNSF nor the NRFU will be held responsible for the non-submission of an application.

Pre-registration: In order to facilitate the composition of the evaluation panel, main applicants are highly encouraged to open their application in *mySNF* and fill in the data containers “Basic data I” and “Basic Data II” to indicate the disciplines and an outline summary of the planned research **until 13 November 2023**. Only the data containers corresponding to the above-mentioned information need to be filled out in *mySNF* by this pre-registration deadline and can also be further processed after the pre-registration and until the final submission deadline. Submissions will still be accepted even if no pre-registration is made by the aforementioned date.

Submission on *mySNF*

After login into *mySNF*, the correct funding scheme must be selected: Programmes (national and international) > Bilateral Cooperation (Initiatives of the State Secretary for Education, Research and Innovation) > Ukrainian-Swiss Joint Research Programme (USJRP).

The application consists of two parts:

- The administrative part must be completed directly on *mySNF*.
 - Personal data of the main applicant in Switzerland
 - Personal data of the main applicant in Ukraine
 - Personal data of other applicant(s) in Switzerland
 - Information on the employment of the Swiss and Ukrainian applicants
 - Data of project partners
 - Basic data on the project (e.g., title, research field, starting date, duration, summary)
 - Requested funding
 - Information on authorizations required
 - Other information (e.g., whether the project is related to other SNSF projects, name of the Swiss institution of higher education/research institution at which the planned project will be implemented, information concerning national and international collaborations, information concerning already available funds or funds requested elsewhere).

- PDF documents that are to be uploaded to *mySNF*:
 - The research plan (must follow the structure indicated in Annex 1)
 - The CVs of all applicants (in Switzerland and Ukraine)
 - Equipment quotes (if applicable)
 - Consent of the head of the Ukrainian organization/institution/enterprise (applicant) to implement the project (PDF of form submitted to NRFU)
 - Calendar plan (same as submitted to the NRFU)

All the information provided in the administrative part and all uploaded documents must be in English.

For specific questions related to www.mysnf.ch, please contact the support team by e-mail (mysnf.support@snf.ch) or telephone (+41 31 308 22 00). Please note that you need a user account to submit proposals via *mySNF*. To open an account on *mySNF*, please register with the SNSF as a user. Applicants with existing user accounts need not apply for new ones.

Please note that the SNSF uses a new CV format which is mandatory for the Swiss applicants. Filling in the information might take some additional time. Ukrainian researchers use the template provided by the NRFU.

The submitted documents must comply with the principles of scientific integrity, and all applicants – i.e., main applicants and co-applicants from either country – will be held accountable for any breaches. All applicants will be asked to provide a statement in cases of suspected scientific misconduct.

Data Management Plan (DMP): A Data Management Plan (DMP) is requested for approved grants according to the requirements issued by the SNSF. Funds can only be released once the DMP has been submitted. Missing or inaccurate statements in the DMP need to be added/revised at the latest before the release of the payment of the second instalment. A definitive and updated version of the DMP must be provided by the end of the project grant. For more details on the DMP format requirements and procedure see: [Data Management Plan \(DMP\) - Guidelines for researchers](#).

Please note that costs for Open Research Data (ORD) must be taken into account at the time of submission of the application. They cannot be covered by a supplementary grant.

Submission via the “NRFU Project Call” automated system (for the Ukrainian main applicant)

Applications and documents for participation in the Call are submitted by the Ukrainian applicant in electronic form on the official website of the NRFU (<https://nrfu.org.ua>) (using the “NRFU Project Call” automated system) with a mandatory note of consent of the authors of the project to implement it.

The application consists of mandatory components which are defined under the Ukrainian legislation (The Procedure of the Competitive Selection and Financing of Projects by the National Research Foundation of Ukraine).

PDF documents that are to be uploaded to “NRFU Project Call” automated system:

- The research plan in English (must follow the structure indicated in Annex 1)
- The CVs of Ukrainian proposal authors (in Ukrainian and English)
- The output list of all authors of the JRP (in Ukrainian and in English)

- Consent of the head of the organization/institution (applicant) to implement the project (in Ukrainian)
- A certificate of employment of the PI of the project stating that the PI's main place of work is at the institution from which the application is submitted (in Ukrainian)
- The head of the PI's organisation/institution must sign the application, thus confirming the compliance with the provisions of point 5 of the criteria for State aid to economic entities for carrying out activities in the fields of scientific research, technological development and innovation (in Ukrainian)
- Calendar plan (in English)

The applicant must register on the official website of the NRFU to submit a proposal for this Call. The identification of the applicant is made at the time of registration through a qualified electronic signature (QES). Substitution or amendment of the submitted documents after the deadline for submission of proposals is not allowed.

An application submitted via the “NRFU Project Call” automated system and signed with a qualified electronic signature (QES) is considered submitted.

Deadline for pre-registration via *mySNF*: 13.11.23

Deadline for submission of applications

Switzerland: 12.12.2023, 17.00:00 local time

Ukraine: 12.12.2023, 18:00:00 local time

Late or incomplete applications will not be considered.

Rejection of the application on formal grounds by the NRFU

Based on the results of eligibility check and preliminary consideration of applications, the NRFU Call Commission approves a list of applications that are rejected on formal grounds and/or withdrawn from consideration based on non-compliance with the criteria by which projects are selected by the Terms and Conditions of the Call and in accordance with the current legislation of Ukraine. The applications on the list do not undergo further evaluation procedures.

The Call Commission may reject an application on formal grounds and/or exclude it from consideration if it does not meet the relevant criteria.

7 Evaluation

The JRPs submitted for the Call will be evaluated jointly by the SNSF and the NRFU. The process consists of the following steps:

Peer review: Proposals for JRPs will be reviewed according to standard international peer review procedures, jointly organised by the SNSF and the NRFU. External experts conduct a peer review of the applications, assessing the scientific quality of JRPs. At least 3 reviews shall be obtained per proposal.

Evaluation panel: An evaluation panel will be set up, composed of members proposed by the SNSF and the NRFU. The evaluation panel will rate and rank the proposals based on the peer reviews and the panel members' own assessment. The panel members' recommendations will include a rationale for the rating.

Decision: The best-ranked proposals will be funded, regardless of the research area. At the SNSF, the ranking list and the JRPs proposed for funding must be approved by the Specialised Committee for International Cooperation and the Presiding Board. At the NRFU, it must be approved by the NRFU Scientific Council. Funding decisions on proposals of similar scientific quality around the funding line may be reached by drawing lots (random selection).

The criteria used to evaluate the scientific quality of the proposals:

- Scientific relevance
- Originality of the aims and objectives
- Appropriateness of the methodology and feasibility
- Track record and expertise of the researchers
- Complementarity of the research partners

The evaluation results will be communicated in Summer 2024. Swiss corresponding applicants will receive a ruling from the SNSF. In case of rejection, the main reasons leading to the decision will be given. In case of approval, the budget and the conditions will be listed. If applicable, the Swiss main applicant will be responsible for transmitting the decision to the other Swiss applicants. The decisions are not subject to appeal. The Ukrainian corresponding applicant will be informed by the NRFU.

Earliest starting date for the JRP: 01.10.2024

8 Contractual arrangements

A Grant Agreement is concluded for funded JRPs which defines the basic principles of the research partnership and regulates the transfer of funds as well as the obligation of the Ukrainian PI to report to the NRFU scientifically (in accordance with the state standard of Ukraine 3008:2015 "Information and documentation. Reports in the field of science and technology. Structure and rules of design"). The agreement needs to be signed before the release of funds.

9 Reporting

Swiss and Ukrainian grantees will report to the SNSF and the NRFU.

In Switzerland:

The Swiss grantee will be responsible for reporting to the SNSF. Standard SNSF regulations apply both for the financial and the scientific reports. The latter includes a qualitative and a quantitative part (output data).

In Ukraine:

The Ukrainian grantee and PI with whom the Grant Agreement was concluded will be responsible for reporting to the NRFU under the current legislation of Ukraine which regulates the procedure and the contents for research (developments) reports. The financial reporting must be submitted via the Swiss PI to the SNSF.

The project will be implemented in three/two phases of 11.5 months each. At the end of each phase (including the final phase), there is a 15-day period for analysis and approval of the grantees' research

reports by the NRFU Scientific Council. At the end of each phase and completion of the project, the grantee submits a research report on the interim or final results, which the NRFU Scientific Council then reviews. A reasoned opinion of the NRFU Scientific Council on the progress and compliance with the Grant agreement and the calendar plan for carrying out the research (development) is sent to the SNSF so that it can decide on the extension or termination of the grant after completion of each phase of the project.

10 Payment

In Switzerland:

Standard SNSF rules apply. In principle, the budgets for JRPs are transferred in annual instalments to the Swiss main applicant at the beginning of a project year.

In Ukraine:

Financing of the project is carried out by regular transfers of funds by the Swiss PI from its institution of higher education/research institution account to the Ukrainian institution of higher education or research institution bank account following the Grant Agreement.

Funds are credited to a foreign currency account of the Ukrainian institution of higher education/ research institution opened in a bank established and operating on the territory of Ukraine in accordance with the current legislation of Ukraine and used in accordance with the procedure established by the current legislation of Ukraine (in UAH).

11 VAT

In Switzerland:

The JRP grants are not subject to VAT or other taxes and charges. However, research expenses are not excluded from VAT. Therefore, all eligible costs occurred during a JRP (e.g., equipment, consumables, etc.) can be charged to the programme, including VAT, unless the research institution (e.g., institutions of higher education, public research organisations, etc.) is able to recover VAT.

In Ukraine:

In this Call, the grantee is responsible for accruing, withholding and paying taxes, assessments and fees.

12 Publications and Intellectual Property

The PIs must publish research results generated by the JRPs in appropriate form and according to SNSF and NRFU standards.

Intellectual property rights belong to the respective researchers and/or their employing institutions. It is the responsibility of each research partner to ensure the efficient protection and proper distribution of any intellectual property arising from the accomplishments of the JRPs.

13 Contact

In Switzerland:

Swiss National Science Foundation

Arthur Friedli

International Cooperation

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CH-3001 Berne

Phone: +41 31 308 22 31

E-Mail: arthur.friedli@snf.ch or international@snf.ch

Website: <https://www.snf.ch/>

In Ukraine:

National Research Foundation of Ukraine

Ukraine, Kyiv, 01001

Borysa Hrinchenka Street, 1

Phone: +38 093 240 04 34

E-mail: nrfu@nrfu.org.ua or **X. Contact Information** in the [Terms and Conditions](#) of the NRFU.

Website: <https://nrfu.org.ua/>

Annex 1: Guidelines for writing the research plan (scientific part of the proposal)

The research plan must **not exceed 20 pages and 80,000 characters (with spaces)**; this includes title or front page, summary, footnotes, illustrations, formulae, tables (and, if applicable, the table of contents), but not the bibliography. A minimum of **point 10 font size and 1.5 line spacing** must be used.

The SNSF and the NRF do not consider applications that do not meet the formal requirements and/or are manifestly inadequate.

The research plan needs to be structured as follows:

1. Summary of the research plan

The summary should include the most important features of your research plan. Place your project in a broader scientific context.

2. Research plan

2.1 Current state of research in the field

By citing the most important publications in the relevant field, please set out the scientific background and basis of the project, explain the need to perform research on the topic you propose and briefly describe important research currently being conducted internationally.

2.2 Current state of own research and partnership aspect

- Please describe briefly the work done by the different applicants in the relevant research field or in related fields and indicate the relevant publications.
- Explain how the different applicants complement each other for the proposed research project.
- Describe past collaborations that involved the Swiss and Ukrainian partners (if applicable).

2.3 Detailed research plan

Against the background described in sections 2.1 and 2.2, state the aims that you plan to attain during the lifetime of the project. Please consider the following points:

- Which investigations and/or experiments do you plan to carry out/are necessary to attain the stated aims?
- What is the rationale for getting the project started and how do you intend to develop the work later on?
- What is the expected added value (synergistic benefit) of the collaboration?
- What is your assessment of the risks involved, if any? What are the alternatives?

Information concerning the methods necessary to attain the aims:

- Which are the methods available to you?
- To which other methods do you have access and how?
- Which methods need to be developed?

Data and data collection:

- Which data are available to you and from where?
- Which data need to be collected?

2.4 Work division, schedule and milestones

- Please indicate how you plan to divide the work among the different partners.
- As far as possible, please give an approximate schedule for the work to be carried out within the project and indicate the most important milestones. In particular, please describe the major tasks of the staff to be employed within the project by the different partners.

2.5 Importance, impact and results

Scientific importance and impact

Please describe briefly the importance of your research for the scientific community and the impact you expect from the project on research, training and teaching in your field/discipline. Please indicate how you will publish/communicate your results.

Expected results and dissemination plan

Describe in detail the project outcomes you envisage. Explain how you will share these findings with stakeholders and the community. Address the potential for knowledge transfer to industry (if applicable).

Broader impact

If your application concerns use-inspired research, please indicate whether and to what extent the proposed project will have a broader impact and what this impact will be.

The following points should be addressed:

- Need for research as perceived by practitioners/industry: are there any knowledge gaps? Are innovations and improvements expected?
- Transferability of results: to what degree can research results be put into practice?
- Other potential impacts: in which spheres outside science could the implementation of the research results entail changes and what is the nature of these changes?

3. Bibliography (does not count toward the 20 pages)

4. Information on researchers involved into the project in Ukraine and Switzerland (does not count toward the 20 pages)

Please list the Ukrainian PI and prospective team members as well as all Swiss applicants and prospective team members (in Switzerland: use NN, if the person is not yet known)

Country (Ukraine or Switzerland)	Title and full name	Affiliation	Role within the project

5. Ethical, safety and regulatory issues (does not count toward the 20 pages)

Does your proposed work raise ethical, safety or regulatory issues? If yes, how will you deal with them?
Please indicate whether the proposed research includes:

	Switzerland (yes/no)	Ukraine (yes/no)
Research on humans		
Research on human embryonic stem cells		
Research on animals		
Research on GMO or pathogens		