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PROGRAM ANNOUNCEMENT

SOUTH CAUCASUS COOPERATIVE RESEARCH PROGRAM

ADMINISTERED JOINTLY BY:

U.S. CIVILIAN RESEARCH AND DEVELOPMENT FOUNDATION (CRDF)

AZERBAIJAN NATIONAL SCIENCE FOUNDATION (ANSF)

GEORGIAN RESEARCH AND DEVELOPMENT FOUNDATION (GRDF)

NATIONAL FOUNDATION FOR SCIENCE AND ADVANCED TECHNOLOGIES (NFSAT)

I. Introduction and Summary of Important Features

The U.S. Civilian Research and Development Foundation (CRDF), Azerbaijan National Science Foundation (ANSF), Georgian Research and Development Foundation (GRDF), and National Foundation for Science and Advanced Technologies (NFSAT), hereafter known as “the Funders,” announce the South Caucasus Cooperative Research Program (SCCRP). The primary goal of this program is to support high quality innovative research and development by establishing sustainable research collaboration between researchers in the U.S. and the three countries of the South Caucasus.

This merit-based competition will fund one award for up to \$250,000USD to support civilian research and development in any area of basic and applied sciences. A complete list of eligible disciplines is located in Appendix 1. The Funders will give the highest priority to proposals that include former weapons scientists and junior scientists. This competition is made possible through funds provided by the U.S. Government for the promotion of South Caucasus science and technology development.

- **All proposals must include four Principal Investigators: one each from Armenia, Azerbaijan, Georgia, and the U.S.**
- Applicants may request up to \$250,000USD for an 18-24 month period. At least 90% of total project costs must be designated for expenses of the South Caucasus-based team members.
- Applicants must submit an electronic copy of the proposal to CRDF.
- For explanatory purposes or for the sake of clarification, this Program Announcement may be translated into one or more languages other than English. In the event of the existence of such translations, the English-language version shall serve as the definitive variant in determining the interpretation of any provision of this Announcement.

**The deadline for submitting SCCRPs proposals to CRDF is 6:00 pm EST on Monday, November 1, 2004.
The results of the competition will be announced in March 2005.**

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II. Background on the CRDF

The U.S. Civilian Research and Development Foundation (CRDF) is a unique public-private partnership that supports international scientific and technical collaboration. All activities funded by the CRDF must be oriented toward non-defense objectives and must be carried out in a civilian environment. Further information on the CRDF may be found on-line at <http://www.crdf.org>.

III. Background on the South Caucasus Funding Organizations

All three of the South Caucasus Funding Organizations for this program are private, non-profit entities. The main goals of these organizations are:

- To develop the scientific-engineering potential in their respective countries and promote research and development activity in priority fields
- To provide financial and technological support for internationally competitive scientific research projects and development using the principles of merit-based peer-review
- To redirect former weapons scientists to civilian pursuits

Further information on the ANSF may be found on-line at <http://www.ansf.az>

Further information on the GRDF may be found on-line at <http://www.grdf.ge>

Further information on the NFSAT may be found on-line at <http://www.nfsat.am>

IV. Program Guidelines

A. General. The maximum grant size for this competition is \$250,000 USD for an 18-24 month period. At least 90% of the funds awarded to each project must be used for project-related expenses of the South Caucasus team members, including institutional support. No more than 10% may be used for U.S. team expenses. The Funders strongly encourage the team members to visit each other during the grant period, and it is expected for members of the U.S. team to travel to the South Caucasus twice during the grant period.

- 1) **Proposals are due no later than 6:00 pm EST on Monday, November 1, 2004. All applicants must submit their proposals to the CRDF. Submission details are provided below in Section (IV)(F).**
- 2) The CRDF complies with all U.S. laws and regulations pertaining to export control and the participation of foreign nationals or institutions in its activities. It is the policy of the CRDF not to conduct any transactions with U.S. restricted entities without appropriate authorization from the U.S. Government. The CRDF reserves the right to restrict the participation of any individual or institution in its programs.
- 3) The ANSF, GRDF, and NFSAT comply with all laws and regulations in their respective countries.
- 4) The CRDF complies with all U.S. laws and regulations pertaining to the treatment of human subjects in scientific research and development. **Applicants submitting proposals involving human research subjects should refer to Section (IV)(E) of this program announcement and contact the CRDF directly for additional information.**

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B. Eligibility. Each proposal submitted to the SCCRP must have *four Principal Investigators, i.e. one each for Azerbaijan, Armenia, Georgia and the U.S.* These four individuals will share overall responsibility for the project in their respective countries, coordinating all participating personnel and institutions. Each proposal must meet all of the following eligibility criteria:

- 1) Each Principal Investigator must:
 - a) Possess the degree of Ph.D., M.D., or the equivalent;
 - b) Have at least five scientific publications in peer-reviewed scientific literature (three publications if the applicant is within six years of completion of the Ph.D., M.D., or the equivalent); and
 - c) Work full-time in a civilian research environment.¹
- 2) Each team member must be a citizen or permanent resident of one of the following countries: Armenia, Azerbaijan, Georgia, or the U.S. For the purposes of this program, each individual will be counted as a team member in the country in which he/she permanently resides and works. For example, a Georgian citizen who is currently living and working in Armenia, and who will continue to work in Armenia for the duration of the project, will be counted as an Armenian team member.
- 3) All projects must be oriented toward civilian objectives and must be carried out in a civilian research environment.
- 4) Projects may include both basic and applied science and engineering activities, including technological development that is part of the innovation process leading to commercial products. Projects may include product and process engineering, but **not** commercial manufacturing or marketing.
- 5) Individuals who work for South Caucasus for-profit companies are **not** eligible to apply to this program.
- 6) **No individual may appear as a Principal Investigator in more than one proposal submitted to this program.**
- 7) Each proposal will be evaluated independently and therefore should not be part of, nor depend on the success of, other proposals submitted to this program.
- 8) The Funders generally discourage the inclusion of an “administrative superior” of a Principal Investigator in a proposal in any role for which individual financial support is requested. For a definition of “administrative superior” and other details, please see Section (IV)(J)(1)(f) below.
- 9) Principal Investigators who are currently participating on another CRDF, ANSF, GRDF, or NFSAT award are eligible to apply to this program. If the proposal submitted to this program is granted an award, such participants may receive individual financial support under each of their awards, but must ensure that total time spent on all funded projects does not exceed 100% of their time, as defined on associated award documents.
- 10) Principal Investigators who participated on a previous CRDF, ANSF, GRDF, or NFSAT award that is now closed are eligible to apply to this program. Such participants must be up to date on the submission of all progress reports, including final project reports. Grantees who are delinquent in submitting progress reports may be restricted from participating in this program.

¹ U.S. Government Laboratories working on civilian-oriented R&D projects are eligible to apply to this program.

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- C. Special Consideration for Former Weapons Scientists.** The Funders strongly encourage the full-time inclusion of South Caucasus scientists and engineers formerly engaged in weapons research, including work on weapons of mass destruction, in the civilian research project funded through this program. The Funders will give special consideration to proposals under this program that include full-time participation of former weapons scientists or engineers in civilian research environments. Participants who were formerly engaged in weapons research are required to indicate such experience on Forms A and B of their SCCRP proposal, according to the Former FSU Weapons Researcher Code List in Appendix 2 of this program announcement.
- D. Guidelines for the Participation of U.S. For-Profit Companies.** Individuals who are representatives of U.S. for-profit companies should consult the CRDF Industry Programs before applying to this Program. The Industry Programs provide support for cooperative R&D projects that are explicitly designed to facilitate and expedite the commercial utilization of research results. Proposals involving such technology commercialization activities that are more appropriate for the Industry Programs will not be considered by the Funders for the South Caucasus Cooperative Research Program. For more information about the Industry Programs, please access CRDF's website (<http://www.crdf.org/Industry/industrymain.html>) or contact CRDF staff at nextsteps@crdf.org.

Proposals that involve strictly non-commercial R&D activities and include the participation of a U.S. for-profit company are eligible for the South Caucasus Cooperative Research Program, but the U.S. for-profit company must agree to contribute to this project. This contribution must include two components:

- 1) U.S. for-profit company coverage of all U.S. team expenses; and
- 2) A cash or material contribution by the U.S. for-profit company of 10% of the expenses of the South Caucasus team.

Both components of the contribution must be described in the Budget Narrative of the proposal. **U.S. for-profit companies are encouraged to contact CRDF for more information about third party contributions prior to submitting a proposal, in order to ensure compliance with all regulations.** A letter of commitment to contribute is required from the U.S. for-profit company upon submission of the proposal. During the CRDF electronic proposal submission, applicants will be asked to verify that these materials have been obtained. Applicants will be required to submit these materials as separate documents in addition to the proposal file. Failure to submit this additional information may result in the proposal being declared ineligible.

- E. Special Instructions for Proposals Involving Human Subjects Research:** The CRDF's policy on funding proposals involving human subjects research requires all four Principal Investigators and their respective institutions to certify that:

They have obtained Institutional Review Board (IRB) or Institutional Ethics Committee (IEC) approval of the research (or a determination that written approval is not required, *e.g.*, exempt research) from an IRB/IEC registered with the U.S. Department of Health and Human Services' Office of Human Research Protections (OHRP);

They have obtained the required approval(s) (or a determination that written approval is not required) from the applicable governmental office(s) for the research, including but not limited to the filing of the required applications related to investigational new drugs or investigational devices;

They have a Federalwide Assurance (FWA) on file with OHRP, and it will comply with the FWA throughout the term of the Project Agreement. The FWA represents a public commitment to comply with the human subjects protections standards of the Belmont Report and the Common Rule;

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They will conduct the research in accordance with the National Science Foundation (NSF) regulation entitled, "*Protection of Human Subjects*" [45 CFR § 690 *et seq.*];

If the proposal involves human research subjects, all four Principal Investigators must provide the following additional documentation:

- 1) Copies of Institutional Review Board (IRB) or Institutional Ethics Committee (IEC) approval of the project or a formal written determination that said approval is not required, e.g. exempt research. The IRB/IEC must be registered with the U.S. Department of Health and Human Services' Office of Human Research Protections.
- 2) Copies of required approval(s) (or determination that said approval is not required) from the applicable governmental bodies for the research, including but not limited to the filing of required applications related to investigational new drugs or investigational devices.
- 3) Confirmation that the each institution has a Federalwide Assurance (FWA) on file with the U.S. Office for Human Research Protections (<http://ohrp.osophs.dhhs.gov/>) and certification that it will comply with the FWA throughout the term of any resulting CRDF award. If an FWA has not been obtained, please so note in the proposal. Please be advised that, in the event the proposal is selected for an award, an FWA must be applied for and received by the Principal Investigators' institutions prior to the issuance of any project agreement by the CRDF.

These materials, indicating an approval or an exemption of the project to use human subjects must be submitted with the proposal.

Prior to the issuance of any award agreement by the Funders, the Principal Investigators and their institutions must provide certification that all project participants involved in the project have undertaken appropriate training in human subjects protections consistent with the requirements of the regulations cited above.

F. Proposal Submission Instructions. Applicants must submit proposals to the CRDF by **November 1, 2004**.

- All applications must be submitted to the CRDF via email to SouthCaucasus@crdf.org.
- Each proposal must be submitted as an email attachment, as a **single** file in one of the following formats: .doc, .rtf, .pdf, or .zip.

Proposals should be submitted only **ONE** time and by only **ONE** Principal Investigator on the project. The four Principal Investigators should jointly develop the proposal and obtain the concurrence of their authorized Institutional Representatives.

All proposals must be complete when submitted to the Funders. Any proposal not containing all required elements as indicated in Section (IV)(I), may be ruled ineligible. No modifications may be made to any proposal once the Funders have received it. However, if circumstances have changed so significantly since the time of proposal submission that the project can no longer be carried out as proposed, the Principal Investigators should notify the Funders accordingly and indicate that they are withdrawing the proposal from the competition.

G. Review of Proposals. All proposals will be screened for eligibility and completeness upon receipt. The Funders' role in the review process will be to arrange for expert reviews of the proposals by scientists in each of their respective countries who will use the criteria described in Section (IV)(H) below, to evaluate the proposals and make funding recommendations. On the basis of the results of the peer review and the priorities identified above, the Funders will jointly select a proposal to be awarded. All joint decisions of the Funders are final. **The Funders plan to announce the results of the competition in March 2005.**

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H. Evaluation Criteria. Proposals will be reviewed and evaluated by experts appointed by the Funders. The experts will utilize the following criteria in the evaluation of proposals for this program.

- 1) **Performance Excellence:** the capability of the investigators, the technical soundness of the proposed approach, the adequacy of the technical resources and capabilities available to the project through all participants, and soundness of plans to manage and coordinate the project.
- 2) **Intrinsic Merit:** the likelihood that the project may lead to new knowledge or novel processes that will have a substantial impact on one or more fields of science and engineering.
- 3) **Utility:** the likelihood that the results of the project will serve as the basis for new or improved technology, have potential commercial value in the marketplace, or assist in the solution of societal problems, especially in the South Caucasus.
- 4) **Transition of Weapons Scientists to Civilian Science:** the full-time participation of former weapons scientists in civilian projects carried out in civilian research environments.
- 5) **Mutuality of Benefit:** the likelihood that the project will result in comparable scientific or technical benefits to the South Caucasus and the United States.
- 6) **Regional Cooperation and Collaboration:** the extent to which the project is integrated between the different countries. The soundness of the management plan to coordinate the research and the management experience of the Principal Investigators.
- 7) **Effect on the Infrastructure of Science and Engineering:** potential for improving the broad basis of science and technology, including: education and personnel (e.g., participation of junior scientists and students, including those returning from abroad; university researchers; and women); geographic distribution of R&D personnel and resources; and sharing of equipment among institutions.

I. Proposal Contents. Each proposal must include all of the elements listed below. Only applications that include this information will be considered. All proposals should be typed single-spaced with margins of one inch at the sides and on the top and bottom, with all pages, including forms, numbered consecutively in the upper right corner.

**IMPORTANT NOTICE: No proposal may exceed 30 pages in length, including all forms.
Any proposal exceeding 30 pages in length will be disqualified.**

Applicants are required to use the electronic templates for Forms A-D that are provided in this program announcement. Applicants should refer to the following checklist for guidance:

Checklist of Documents Required for Proposal Submission:

- #1 Cover Sheet (Form A)
- #2 Project Abstract
- #3 Project Narrative
- #4 Principal Investigator Curriculum Vitae
- #5 Personnel Data (Form B)
- #6 Budget (Form C)
- #7 Budget Narrative
- #8 Statement of Other Support (Form D)
- #9 FOR U.S. FOR-PROFIT COMPANIES ONLY: Letter of Commitment to provide 10% contribution of total South Caucasus expenses and coverage of all U.S. expenses
- #10 FOR PROPOSALS INVOLVING HUMAN SUBJECTS ONLY: (1) IRB/IEC Approval, (2) Human Subjects Governmental Approval, and (3) Confirmation of FWA

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- 1) **Cover Sheet (Form A).** The cover sheet should include basic information about the proposal, the Principal Investigators, and the Institutional Representatives.

The Institutional Representatives should be individuals with the formal, legal authority to commit their institutions to the proposal/contractual arrangement and to negotiate the financial terms of an award agreement with the Funders. A Principal Investigator may **NOT** also be listed as an Institutional Representative.

- 2) **Abstract.** In one concise paragraph, summarize all relevant aspects of the project, with special attention to its objectives, methods, and potential results.

- 3) **Project Narrative (10 pages maximum including any graphs, diagrams, photos or references cited).** Describe:

- a) The approach, objectives, milestones, and measurements of success that will be used;
- b) How the individual and combined competencies of the research team will enable the project to be carried out, and what relevant prior work has been carried out by members of the team (relevant prior awards by the Funders must be described);
- c) The anticipated results of the project and how they relate to the evaluation criteria listed in Section (IV)(H);
- d) Description and justification of equipment to be utilized in the project;
- e) How the Principal Investigators will coordinate project implementation and assess progress at regular intervals. **Each project must involve significant, substantive cooperation between the team components.** The purpose and duration of all proposed international travel to be funded under the project must be described.
- f) Applicants who are submitting proposals based on a previous CRDF, ANSF, GRDF, or NFSAT grant must include a clearly labeled, separate section within the project narrative that includes the following:
 - i) A summary of achievements from the previous or existing award and how the goals of the renewed grant period will expand on the past results;
 - ii) Any changes or additions in personnel or secondary collaborators from the previous or existing award;
 - iii) A description of how equipment purchased in the previous or existing award will benefit the renewed project;
 - iv) List of publications and relevant conference presentations or other evidence, including additional funding, resulting from the previous or existing award.

- 4) **Principal Investigator Curricula Vitae.** The proposal must contain a *curriculum vitae* of **no more than one page each** for the four Principal Investigators, giving the person's name, title, educational background, current and previous institutional affiliations with dates, area of expertise, and **a list of at least five (5) publications of relevance to the proposed project.**

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- 5) **Personnel Data (Form B).** Complete this form for all team members other than the Principal Investigators. Please copy this page as necessary to complete information about all personnel, including researchers/engineers, technical/scientific support staff, graduate and undergraduate students, administrative/clerical support staff, and secondary collaborators. A short curriculum vitae (no longer than one-half page) for each participant must be included in the respective section of Form B and should include brief information on the participant's educational background, current and previous institutional affiliations with dates, area of expertise, and his or her most recent scientific publications of relevance to the project.
- 6) **Budget (Form C).** A budget must be submitted using the information provided in Form C of this announcement. Applicants should submit one joint budget Form C for the entire award period. Applicants should refer to the Budget Guidelines in Appendix 3 for information to be listed on the Budget Form C.
- 7) **Budget Narrative.** A separate sheet explaining all budget items must follow the budget form. This sheet should be clearly marked "Budget Narrative." **It is particularly important for all expenses related to travel and the purchase of materials and services to be itemized and justified.** Applicants should refer to the "Allowable Costs" in Section (IV)(J) and the Budget Guidelines in Appendix 3 for information about what should be described in the Budget Narrative.
- 8) **Statement of Other Support (Form D).** This form must include information for all team members, and should list current and pending sources of support, *excluding* those that are already included under the "Other Contributions" in the budget. Applicants with grants from U.S. Government sources, such as the National Institutes of Health (NIH) or the National Science Foundation (NSF), should list this support clearly and indicate the grant number and duration of the award. If no one on the team has other sources of support, please indicate "None" at the top of this page. This form provides additional helpful information for reviewers and panel members and does not necessarily improve or diminish chances for funding. If this proposal has been submitted to another organization, please indicate this information clearly in Form D.

The following document is **ONLY** required from applicants who are representatives of **U.S. for-profit companies**:

- 9) **Letter of Cost-Share Commitment from U.S. For-Profit Company.** A letter of commitment to contribute is required from a U.S. for-profit company upon submission of the proposal. The letter of commitment should clearly describe the two components of the U.S. contribution:
 - a) U.S. for-profit company coverage of all U.S. team expenses; and
 - b) A cash or material contribution by the U.S. for-profit company of 10% of the expenses of the South Caucasus team.

The following documents are **ONLY** required from applicants who are submitting a proposal involving **human research subjects**.

- 10) **Supporting Documentation for Approval or an Exemption of the Project Involving Human Research Subjects.** If the proposal involves human research subjects, each Principal Investigator must provide the following additional documentation:
 - a) Copies of Institutional Review Board (IRB) or Institutional Ethics Committee (IEC) approval of the project or a formal written determination that said approval is not required, e.g. exempt research. The IRB/IEC must be registered with the U.S. Department of Health and Human Services' Office of Human Research Protections.
 - b) Copies of required approval(s) (or determination that said approval is not required) from the applicable governmental bodies for the research, including but not limited to the filing of required applications related to investigational new drugs or investigational devices.

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- c) Confirmation that each institution has a Federalwide Assurance (FWA) on file with the U.S. Office for Human Research Protections (<http://ohrp.osophs.dhhs.gov/>) and certification that it will comply with the FWA throughout the term of any resulting CRDF award. If an FWA has not been obtained, please so note in the proposal. Please be advised that, in the event the proposal is selected for an award, an FWA must be applied for and received by the Principal Investigators' institutions prior to the issuance of any project agreement by the CRDF or GRDF.

J. Allowable Costs. The Funders will not consider any proposal requesting more than \$250,000 USD. The following costs are permitted under the guidelines for this program:

- 1) **South Caucasus Team Member Expenses.** Support for the South Caucasus team members' expenses may account for *no less than 90% of the total amount requested from Funders*. Allowable expenses include:

- a) **Individual Financial Support.** Individual Financial Support (IFS) is defined as payments to individual project participants for work performed on the project (i.e., labor costs). The Funders calculate individual financial support based on the level of effort and the professional level of each participant. A month for full-time personnel is considered 22 days, with each day made up of 8 hours of work. Maximum IFS rates for a number of professional levels are shown below. Please take this chart, as well as geographical, cost-of-living, and other factors, into consideration when calculating individual financial support for project personnel.

<u>Position</u>	<u>Maximum Daily IFS Rate Not to be Exceeded</u>	<u>Maximum Monthly IFS Rate Not to be Exceeded</u>
Principal Investigator	\$31.82	\$700
Researcher/Engineer	\$27.27	\$600
Technical/Scientific Support Staff	\$13.64	\$300
Student	\$13.64	\$300
Administrative/Clerical Support Staff	\$9.09	\$200

- b) **Materials and Services.** Support for research equipment, including computers and telecommunications devices, subscriptions to scientific journals and telecommunications services, and reagents and other materials to be used in the research. **Any item of requested equipment valued at more than \$1,000 USD must be specifically described and justified in the Budget Narrative.**
- c) **Travel.** Funds may be requested for both domestic and international project-related travel. As conditions permit, South Caucasus project personnel are expected to meet with each other at least once during the grant period in order to facilitate the collaborative emphasis of this program. Meeting sites may include, for example, research laboratories of the Principal Investigators, fieldwork sites, international scientific conferences, etc. The purpose and cost of all travel should be justified in the Budget Narrative. The following cost guidelines should be used in preparing the budget:
- i) **International Transportation.** Air travel must be on U.S. carriers on all segments for which it is available, and is mandatory on transoceanic flights. Applicants must request lowest-cost applicable round-trip airfare.
- ii) **International Living Allowances.** For research visits of two weeks or less to the U.S., living allowances may not exceed U.S. Government per-diem guidelines. Applicants should refer to a website listing current U.S. Government per-diem rates, such as <http://www.govexec.com/travel> or <http://policyworks.gov/org/main/mt/homepage/mtt/perdiem/perd04d.html>. For research visits to the U.S. of more than two weeks, applicants may request \$2,000 USD per month or the prorated equivalent. These allowances cover all costs, including health insurance,

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which is required. The cumulative international travel time for all members of the South Caucasus team may not exceed five months per 12-month period of an award, and the maximum single stay abroad (including stays in another South Caucasus country) for any one individual is four months per 12-month period of an award.

- d) **Secondary Collaboration** for project-related costs to other institutions. Secondary collaboration is the delegation of any portion of a project to a secondary institution other than the institutions of the Principal Investigators. Secondary collaboration may be in the form of sub-contracted work and may include any allowable costs described in this section. All personnel and facilities involved in secondary collaboration must be specifically listed and described in the proposal. A separate budget justification must be included for each secondary collaboration in the Budget Narrative.

Secondary collaborators from countries other than Armenia, Azerbaijan, or Georgia must be indicated clearly in the budget narrative. The following information about such secondary collaborations must be described in the budget narrative:

- i) Description of the institution's technical capability
 - ii) Justification of why the activity/service cannot be carried out at an institution in the South Caucasus
 - iii) Budget allocations for the secondary collaborator
 - iv) Contact name and information for the secondary collaboration team leader.
- e) **Institutional Support.** South Caucasus applicants must include in their budgets an allowance for institutional costs that equals 10% of the sum of the other expenses (IFS + Materials and Services + Travel + Secondary collaborators). As indicated on the Project Budget form, Institutional Support should be calculated separately for each South Caucasus country, based on the expenses incurred at each institution. For example, if the Armenian team subtotal is \$56,000 and the Azerbaijan team subtotal is \$58,000, Institutional Support would be calculated at \$5,600 for the Armenians and \$5,800 for the Azerbaijanis. Institutional Support funds are intended to support the institutional costs related to the execution of the project. These costs can include (but are not limited to):
- i) Expenses for electricity, water, heat, and other utilities.
 - ii) Expenses for maintenance of Internet connections.
 - iii) General facility maintenance and repair or improvements (for the areas in which project work is carried out).
 - iv) Maintenance and repair of equipment used for the project.
 - v) Subscriptions to electronic and hardcopy scientific journals or online databases for institutional use.
 - vi) Other appropriate institutional expenses.

Institutional Support payments from the Funders may **not** be used for the following:

- i) Payment of any South Caucasus government federal or local tax or duty.
- ii) Payment of social charges for social, medical or pension funds.
- iii) Payment for institutional expenses not directly or indirectly related to the research project.
- iv) Purchase of any vehicle
- v) Payment of any salary, stipend or similar transaction.

Institutional Support funds provided by the Funders may not be used to constitute any kind of profit to the recipient institution. **If you are uncertain as to whether a specific expense is allowable, please consult one of the Funders.**

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- f) **Administrative Superiors.** An "administrative superior" is defined as an individual who has direct administrative authority over the Principal Investigator, and who works within the same division, laboratory, or unit as the Principal Investigator. Institutional leadership including university rectors and vice rectors and institute directors and deputy directors are also defined as administrative superiors. This definition does not apply to other individuals of higher "rank" within the institution but who work outside the division, laboratory or unit of the Principal Investigator.

The Funders generally discourage the inclusion of an administrative superior in a proposal in any role for which individual financial support is requested. **For an administrative superior to be supported by this program, a written justification must be provided in the proposal.** Both a detailed description of the anticipated contribution to the project and a justification of the proposed level of effort to be devoted to this activity by the administrative superior should be included. This written justification will be evaluated in the proposal review process. All projects recommended for funding and that include support for an administrative superior will be assessed by the Funders as to the reasonableness of the participation of the administrative superior. The Funders may then decline to support the administrative superior's participation or request that the level of effort be modified. An administrative superior will be required to submit a signed certification confirming his or her commitment to the level of support approved by the Funders.

- 2) **U.S. Team Expenses.** Support for the U.S. team's expenses may account for *no more than 10% of the total amount requested*. U.S. teams from university, non-profit, or U.S. Government institutions may request funds for the U.S. team. **U.S. teams from for-profit companies may not request any U.S. team expenses.** Such companies are required to cover all U.S. team expenses **and** a cash or material contribution of 10% of the South Caucasus team expenses. These expenses should be itemized and described in the Budget Narrative.

For eligible teams, CRDF will distribute support to the U.S. team on a **cost-reimbursable basis**. Allowable expenses fall into three categories:

- a) **Graduate Student Stipend.** The U.S. team may request individual financial support for team members currently enrolled in a graduate or doctorate level degree program. This stipend may include fringe benefits or tuition remission. For graduate students who are not yet identified, but whose participation is planned please clearly indicate their participation and request for support in the Budget Narrative. Applicants should indicate such graduate students on the Budget Form C by writing, "Planned Graduate Student." The Funders will not provide individual financial support for other members of the U.S. team.
- b) **Expendable Materials and Supplies.** The budget may include expendable materials and supplies that are necessary to carry out the U.S. team's or laboratory's role in the proposed collaboration. In addition, expenses for telecommunication services, shipping and postage fees, and small pieces of equipment, such as a personal computer, may be requested if they are necessary to carry out the proposed project. The Budget Narrative must include an itemization and justification for each of these expenses.

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- c) **Travel Expenses.** Funds may be requested for both domestic and international project-related travel. In order to facilitate the collaborative emphasis of this program, members of the U.S. team are expected to travel to one or more of the South Caucasus countries twice during the course of the grant period (it is not necessary for the same individuals to participate on both trips). Transportation and per diem support for this travel should be itemized and described in the Budget Narrative. All air travel must be at lowest available cost and must be on U.S. carriers wherever service is available, and is mandatory on transoceanic flights. Per Diem must not exceed U.S. Government guidelines, as specified at the website listed above in Section (IV)(J)(2)(c)(ii).

Institutional support (i.e., overhead) to the U.S. institution is not allowed.

- 3) **Third Party Contributions.** The Funders strongly encourage contributions by participating institutional performers in all its activities. All contributions should be clearly indicated on the budget Form C in the space provided. If funds listed under contributions are to be drawn from proposals currently pending with other funding sources, this should be indicated in the Budget Narrative. In-kind contributions, with the exception of U.S. salary, should be included in the Budget Form C.

V. *Other Information*

- 1) **Intellectual Property.** The Funders make no claim to intellectual property rights under any award. The primary interest of the Funders is that intellectual property rights be equitably allocated. All parties should be familiar with and abide by the laws regarding intellectual property in their respective countries and by the regulations regarding grants for research projects.
- 2) **CRDF Award Administration Terms and Conditions.** Applicants may refer to the CRDF website for guidance on CRDF policies and procedures relating to the financial and contractual management of CRDF grants, including conflict of interest guidelines. An online library of resources and reference documents may be viewed at the following location:
http://www.crdf.org/AwardsAdministration/awards_admin_main.html.
- 3) **Confidentiality.** The Funders will treat all proposals as confidential material and will require all panelists and reviewers to respect the confidentiality of proposals. However, proposal authors are advised that successful proposals will be treated as being in the public domain. Therefore, at the author's discretion, if there is specific information in the proposal that is business-confidential and not intended for public dissemination, it should be clearly labeled as such at the top and bottom of the applicable page of the proposal. Such passages will be withheld from public distribution if the proposal is successful. Proposals that do not result in awards are not subject to public dissemination by the Funders.

SOUTH CAUCASUS COOPERATIVE RESEARCH PROGRAM

For questions about the proposal submission process, or for further information about this program, please contact one of the offices below. *Inquiries by e-mail are strongly encouraged and will result in prompt response.*

U.S. Civilian Research and Development Foundation (CRDF)
South Caucasus Cooperative Research Program
1530 Wilson Boulevard, 3rd Floor
Arlington, Virginia 22209, USA
Telephone: 703-526-6777
Fax: 703-526-9721
E-mail: SouthCaucasus@crdf.org
Program Manager: Ms. Lauren Bowers

Azerbaijan National Science Foundation
Istiglaliyyat St. 10
AZ 1001 Baku, Azerbaijan
Tel: (994-12) 497-35-11
Fax: (994-12) 497-31-92
E-mail: office@ansf.az
Program Manager: Ms. Ulviyya Kerimova

Georgian Research and Development Foundation (GRDF)
7, Mindeli Street
Tbilisi 0186, Georgia
Tel: (995-32) 32 01 68
Fax: (995-32) 31 41 89
E-mail: info@grdf.ge
Program Manager: Ms. Helen Giorgadze

National Foundation for Science and Advanced Technologies (NFSAT)
26, Azatutian Ave
Yerevan 375014, Armenia
Tel: 28 81 92
Email: info@nfsat.am
Program Manager: Grigory Manasaryan

SOUTH CAUCASUS COOPERATIVE RESEARCH PROGRAM

APPENDIX 1

LIST OF ALLOWABLE GENERAL SCIENTIFIC AREAS AND SUB-DISCIPLINES

**BIOLOGICAL & BIOMEDICAL
SCIENCES & ENGINEERING**

Agriculture & Agronomy
Bacteriology
Behavioral Biology
Biochemistry
Biophysics
Biotechnology
Botany (Plant Biology)
Cardiology
Cell Biology
Conservation Biology
Developmental Biology
Entomology
Environmental Health
Epidemiology
Genetics
Hematology
Immunology
Marine Biology
Medicine
Molecular Biology
Molecular Medicine
Mycology
Neurology
Oncology
Ophthalmology
Physiology
Population Biology
Radiology
Toxicology
Microbiology
Virology
Zoology

**CHEMICAL SCIENCES AND
ENGINEERING**

Analytical & Surface Chemistry
Biochemistry
Catalysis
Chemical Engineering
Inorganic Chemistry
Organic Chemistry
Physical Chemistry: General
Physical Chemistry: Kinetics
Physical Chemistry: Physical Organic
Physical Chemistry: Theory &
Dynamics
Polymer Chemistry

**ELECTRICAL AND MATERIALS
MANUFACTURING**

Aero/Astro Engineering
Ceramics
Composite Materials
Electrical Engineering
Electronic Materials
Instrumentation
Lasers
Magnetic Materials
Manufacturing
Materials Science
Mechanical Engineering
Metallurgy
Nuclear Engineering
Optical Material
Polymers
Power Engineering
Superconducting Materials

**GEOLOGICAL SCIENCES AND
ENGINEERING**

Atmospheric Science
Civil and Mechanical Engineering
Environmental Science
Geochemistry
Geological Engineering
Geology
Geophysics
Hydrology
Meteorology
Mineralogy
Oceanography
Paleoclimate
Petroleum Geology
Radioactivity
Remote Sensing
Seismology
Soil Science
Volcanology

MATHEMATICAL SCIENCES

Abstract Algebra
Applied Mathematics (non-physics)
Complex Systems & Chaos
Computer Science
Geometry & Topology
Mathematical Physics
Mathematical Logic & Number
Theory
Modern Analysis
Numerical Methods

PHYSICAL SCIENCES

Acoustics
Astronomy/Astrophysics
Atomic and Molecular Physics
Beams
Condensed Matter: General
Condensed Matter: Magnetic
Properties
Condensed Matter: Structure
Condensed Matter: Superconductivity
Condensed Matter: Theory and
Transport/Semiconductors
Electronics
Hydrodynamics
Lasers
Mechanics
Medical Physics
Nuclear Physics
Optics and Spectroscopy: Nonlinear
optics and Quantum Statistics
Optics and Spectroscopy: Lasers
Particles and Fields
Plasma Physics: Fluids
Space
Theoretical Physics
Thermodynamics
Quantum Computing and
Cryptography

APPENDIX 2
FORMER FSU WEAPONS RESEARCHER CODE LIST

Former Weapons Researcher – Former weapons researchers are defined as project participants who are currently or were formerly actively engaged in weapons research including at a current or former weapons laboratory or institution. Five categories of former weapons researchers are listed below (Categories B, C, and D are classified as Weapons of Mass Destruction researchers):

CATEGORY A: MISSILE TECHNOLOGY EXPERTS	
CODE	DESCRIPTION
A1	Design, construction and performance of air, space, surface and underwater - launched missiles. Materials and technologies for these missiles. Production of engines, fuels, composites, integrated elements, radio-electronic equipment, different testing devices for missiles.
A2	Techniques for guidance and control of missiles from launching to impact. Includes optical guidance, television guidance, wire guidance, present and terminal guidance, internal guidance, command guidance, and homing guidance.
A3	Missile handling and launching, including transportation, storage, and preparation for launching. Air, space, surface and underwater launching and support equipment and technologies; Checkout equipment and procedures. Guided missile ranges.
A4	Techniques and systems for tracking missiles as defensive measures. Can be from surface installations or air and space-borne platforms.
CATEGORY B: CHEMICAL WEAPONS EXPERTS	
B1	Design and performance of missile warheads and rockets for delivery of chemical weapons.
B2	Materials, facilities and performance processes needed for the production of chemical weapon agents and their key precursors.
B3	Dissemination of chemical weapon agents.
B4	Basic knowledge on CW design and their effect on human system.
CATEGORY C: BIOLOGICAL WEAPONS EXPERTS	
C1	Design and performance of missile warheads and rockets for delivery of biological weapons.
C2	Biopolymer production related to biological warhead capabilities.
C3	Dissemination of biological weapon agents.
C4	Basic knowledge on BW design and their effect on human system.
CATEGORY D: NUCLEAR WEAPONS EXPERTS	
D1	Basic knowledge of Nuclear Weapons design, construction, characteristics and the effect on human system,
D2	Design, construction and performance of missile warheads for delivery of nuclear weapons.
D3	Design, construction and performance of the equipment and Components for Uranium and Plutonium separation.
D4	Design, construction and performance of the equipment connected with Heavy Water Production.
D5	Design, construction and performance of the equipment for Development of Detonators.
D6	Design, construction and performance of Explosive Substances and Related Equipment.
D7	Design, construction and performance of the equipment and Components for Nuclear Testing.
D8	Design, construction, performance and operation of production-type nuclear reactors for fissile and tritium-content materials production (breeding).
D9	Design, construction, performance of nuclear reactors and units for submarine and for military space program.
CATEGORY E: OTHER	
E1	Design, construction, and performance of powerful laser facilities for military applications.
E2	Design, construction and performance of accelerator facilities for military applications in space programs
E3	Others

APPENDIX 3

Budget Guidelines

Please use these Budget Guidelines to fill out Form C and the Budget Narrative. For more details and background information, please see Section (IV)(J): "Allowable Costs" in the Program Guidelines.

OVERALL

- No proposal requesting more than \$250,000 USD will be considered by the Funders.
- Support for the South Caucasus team members' expenses must account for **no less than 90%** of the total amount requested.
- Support for the U.S. team members' expenses must account for **no more than 10%** of the total amount requested. Applicants from U.S. for-profit companies may **not** request any U.S. team support.

INDIVIDUAL FINANCIAL SUPPORT (IFS)

- The U.S. Principal Investigator may request support for participating U.S. graduate or doctorate students, but may not request IFS for any other U.S. team member.
- South Caucasus team IFS should be calculated using the level of effort and professional level guidelines provided in Section (IV)(J)(1)(a) of this program announcement.

MATERIALS AND SERVICES

- The U.S. team is only eligible to request funds for expendable materials and supplies, telecommunication services, shipping and postage fees, and small pieces of equipment (such as a personal computer).
- **Budget Narrative Guidelines-** Applicants are encouraged to provide information about all requested items in this category, but are only **required** to provide details about items of more than \$1,000 USD and all pieces of equipment requested by the U.S. Principal Investigator. The following details should be provided for these items:
 1. Name of item to be purchased
 2. Cost of item to be purchased
 3. Name of institution where the item will be housed
 4. Description of the role of the item in the project, including information about which project participants will use it and how it will contribute to the research capabilities and/or regional collaboration of the team.

TRAVEL

- All personnel must travel on the lowest-cost applicable round-trip airfare.
- All personnel must travel on U.S. carriers on all segments for which they are available, including transoceanic flights.
- Domestic travel expenses for fieldwork and other necessary project-related travel within the South Caucasus are allowed.
- Living Allowances for South Caucasus personnel on research visits within the U.S. for two weeks or less may not exceed U.S. Government per diem guidelines.
- Living Allowances for South Caucasus personnel on research visits within the U.S. for more than two weeks can request \$2,000 USD per month or the prorated equivalent.
- The cumulative international travel time for all South Caucasus team members may not exceed five months per 12-month period of an award.
- The maximum single stay abroad for any one South Caucasus team member is four months per 12-month period of an award.
- Living Allowances for U.S. personnel on research visits within the South Caucasus must not exceed U.S. Government per diem guidelines.

- **Budget Narrative Guidelines-** Applicants should describe each of their planned trips in as much detail as possible, including:
 1. Duration of the visit
 2. Approximate timing of the visit in relation to the grant period (for instance, an introductory visit at the start of the grant, or a visit near the end of the grant to compare results)
 3. Number of team members involved in the visit and each person's role on the project (Principal Investigator, researcher, graduate student, etc.)
 4. Purpose of the visit, including information about how it will contribute to the research capabilities and/or regional collaboration of the team.

SECONDARY COLLABORATION

- A separate budget must be included for each secondary collaboration in the Budget Narrative.
- **Budget Narrative Guidelines:** In addition to explaining the purpose of the requested expenses in this category, the following information about such secondary collaborations must be included in the budget narrative:
 1. A description of the institution's technical capability
 2. A justification of why the activity/service cannot be carried out at one of the Principal Investigators' institutions (especially if the institution is not located in one of the South Caucasus countries)
 3. Budget allocations for the secondary collaborator
 4. Contact name and information for the secondary collaboration team leader.

INSTITUTIONAL SUPPORT

- Institutional Support is not permitted for the U.S. institution.
- South Caucasus Institutional Support is calculated as exactly 10% of the sum of the other team expenses. Institutional Support should be calculated separately for each South Caucasus country, based on the expenses incurred at each institution

PARTICIPATION OF U.S. FOR-PROFIT COMPANIES

- A letter of commitment to contribute is required from the U.S. for-profit company upon submission of the proposal.
- **Budget Narrative Guidelines:** The following two requirements of the U.S. for-profit company must be itemized and described in the budget narrative:
 1. U.S. team expenses to be covered
 2. Cash or material contribution of 10% of the South Caucasus team expenses

FORM A: COVER SHEET

GENERAL PROJECT INFORMATION

Total Amount Requested from Funders (\$250,000 USD maximum)		Length of Project (18-24 months)	
General Scientific Area (Select from Appendix 1)		Sub-discipline (Select from Appendix 1)	
Brief descriptive title of proposal (not to exceed twenty-five words)			

INFORMATION ON THE ARMENIAN PRINCIPAL INVESTIGATOR

Full Name (Last, First, Patronymic)			
Position/Title			
Institution Name Complete Mailing Address			
Armenian Principal Investigator E-Mail Address		Web Page Address	
Date of Birth (Month/Day/Year)		Passport Number	
Sex (Male or Female)		Highest Degree Earned	
Field of Degree		Year Awarded	
Telephone #		Fax #	
Armenian Institutional Representative Name and Title (May NOT be Armenian PI)		Armenian Institutional Representative Email Address	
Has this PI received a grant under a previous CRDF or NFSAT program?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<i>If "Yes," please list program and grant number.</i>			
Does this PI have experience in weapons-related subjects?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
If "Yes," please provide the appropriate weapons code from Appendix 2 describing this individual's experience in the area to the right and provide a brief description of the weapons-related experience in the space below.			
Total Number of Armenia-based investigators on the project, including the Armenian PI			

INFORMATION ON THE AZERBAIJANI PRINCIPAL INVESTIGATOR

Full Name (Last, First, Patronymic)			
Position/Title			
Institution Name Complete Mailing Address			
Azerbaijani Principal Investigator E-Mail Address		Web Page Address	
Date of Birth (Month/Day/Year)		Passport Number	
Sex (Male or Female)		Highest Degree Earned	
Field of Degree		Year Awarded	
Telephone #		Fax #	
Azerbaijani Institutional Representative Name and Title (May NOT be Azerbaijan PI)		Azerbaijani Institutional Representative Email Address	
Has this PI received a grant under a previous CRDF or ANSF program?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
<i>If "Yes," please list program and grant number.</i>			
Does the PI have experience in weapons-related subjects?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
If "Yes," please provide the appropriate weapons code from Appendix 2 describing this individual's experience in the area to the right and provide a brief description of the weapons-related experience in the space below.			
Total Number of Azerbaijan-based investigators on the project, including the Azerbaijan PI			

FORM A: COVER SHEET

INFORMATION ON THE GEORGIAN PRINCIPAL INVESTIGATOR

Full Name (Last, First, Patronymic)			
Position/Title			
Institution Name Complete Mailing Address			
Georgian Principal Investigator E-Mail Address		Web Page Address	
Date of Birth (Month/Day/Year)		Passport Number	
Sex (Male or Female)		Highest Degree Earned	
Field of Degree		Year Awarded	
Telephone #		Fax #	
Georgian Institutional Representative Name and Title (May NOT be Georgian PI)		Georgian Institutional Representative Email Address	
Has the PI received a grant under a previous CRDF or GRDF program?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
<i>If "Yes," please list program and grant number.</i>			
Does the PI have experience in weapons-related subjects?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
If "Yes," please provide the appropriate weapons code from Appendix 2 describing this individual's experience in the area to the right and provide a brief description of the weapons-related experience in the space below.			
Total Number of Georgia-based investigators on the project, including the Georgian PI			

INFORMATION ON THE U.S. PRINCIPAL INVESTIGATOR

Full Name (Last, First, Middle)			
Position/Title			
Institution Name Complete Mailing Address			
U.S. Principal Investigator E-Mail		Web Page Address	
Date of Birth (Month/Day/Year)		(Must Check One) <input type="checkbox"/> US Permanent Resident <input type="checkbox"/> US Citizen	
Sex (Male or Female)		Highest Degree Earned	
Field of Degree		Year Awarded	
Telephone #		Fax #	
U.S. Institutional Representative Name & Title (May NOT be U.S. PI)		E-Mail	
U.S. Institutional Representative Address		Phone	Fax
Have you received a grant under a previous CRDF program?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
<i>If "Yes," please indicate program and grant number.</i>			
Total Number of U.S.-based investigators, including the U.S. Principal Investigator			

FORM B: PERSONNEL DATA

(For all members of the team other than the Principal Investigators. Please copy this page as necessary.)

Full Name (Last, First, Patronymic/Middle)		<input type="checkbox"/> US <input type="checkbox"/> Armenian <input type="checkbox"/> Azerbaijani <input type="checkbox"/> Georgian	
Current Position Institution Name Complete Mailing Address			
E-Mail Address		Fax Number	
Highest Degree Earned and Year Awarded		Date of Birth (MM/DD/YY)	
Sex (Male or Female)		Passport Number (Not needed for U.S.)	
Classification on Project (please check one)			
Researcher/Engineer <input type="checkbox"/>	Technical/Scientific Support <input type="checkbox"/>	Student <input type="checkbox"/>	Administrative/Clerical Support) <input type="checkbox"/>
Has the individual received a grant under a previous program by the Funders?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
If "Yes," please indicate program and grant number.			
Does the listed individual have experience in weapons-related subjects?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
If "Yes," please provide the appropriate weapons code from Appendix 2 describing this individual's experience in the area to the right and provide a brief description of the weapons-related experience in the space below.			
Short Curriculum Vita (past employment experience, educational history, and relevant publications):			
Briefly describe this individual's role and responsibilities in the proposed project:			

Full Name (Last, First, Patronymic/Middle)		<input type="checkbox"/> US <input type="checkbox"/> Armenian <input type="checkbox"/> Azerbaijani <input type="checkbox"/> Georgian	
Current Position Institution Name Complete Mailing Address			
E-Mail Address		Fax Number	
Highest Degree Earned and Year Awarded		Date of Birth (MM/DD/YY)	
Sex (Male or Female)		Passport Number (Not needed for U.S.)	
Classification on Project (please check one)			
Researcher/Engineer <input type="checkbox"/>	Technical/Scientific Support <input type="checkbox"/>	Student <input type="checkbox"/>	Administrative/Clerical Support) <input type="checkbox"/>
Has the individual received a grant under a previous program by the Funders?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
If "Yes," please indicate program and grant number.			
Does the listed individual have experience in weapons-related subjects?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
If "Yes," please provide the appropriate weapons code from Appendix 2 describing this individual's experience in the area to the right and provide a brief description of the weapons-related experience in the space below.			
Short Curriculum Vita (past employment experience, educational history, and relevant publications):			
Briefly describe this individual's role and responsibilities in the proposed project:			

FORM D: OTHER SOURCES OF SUPPORT OF KEY PERSONNEL

(For all members of the team. Please copy this page as necessary.)

"None" – Check here if no other sources of support are listed.

Investigator Name			
Support	<input type="checkbox"/> Current <input type="checkbox"/> Pending Submission Planned in Near Future		
Project/Proposal Title			
Source of Support			
Award Amount		Period Covered	
Location of Research			

Investigator Name			
Support	<input type="checkbox"/> Current <input type="checkbox"/> Pending Submission Planned in Near Future		
Project/Proposal Title			
Source of Support			
Award Amount		Period Covered	
Location of Research			

Investigator Name			
Support	<input type="checkbox"/> Current <input type="checkbox"/> Pending Submission Planned in Near Future		
Project/Proposal Title			
Source of Support			
Award Amount		Period Covered	
Location of Research			