

**NOTE BY THE TECHNICAL SECRETARIAT****SUPPORT FOR RESEARCH PROJECTS IN AREAS
RELEVANT TO THE CHEMICAL WEAPONS CONVENTION****Introduction**

1. As part of its international cooperation programme for capacity building in the areas of peaceful applications of chemistry, the Technical Secretariat of the Organisation for the Prohibition of Chemical Weapons (hereinafter “the Secretariat”) continues to support small-scale research projects in developing countries and countries with economies in transition, which are Member States of the OPCW. The general prerequisite for the provision of such support is that the research must fall within the letter and spirit of Article XI of the Chemical Weapons Convention (hereinafter “the Convention”)—i.e. it must facilitate the development and application of chemistry for purposes not prohibited under the Convention. The objectives of a proposed research project should be such that it will relate to the development goal(s) of the Member State concerned, as well as to achieving sustainable development in general. Research projects with components that promote South-South cooperation, or strengthen such existing linkages, will be considered particularly worthy of support.
2. The Secretariat wishes to inform Member States of the conditions it applies to the granting of financial support for research projects.¹ In order to be able to develop this programme further, the Secretariat also invites comments from Member States.

Research in the context of the Convention

3. The Convention recognises research as one of the purposes not prohibited under the Convention, as stated in Article II subparagraph 9(a). Research is variously defined as “scientific investigation that is performed in order to discover new information or to develop or improve products and technology”,² as “the systematic investigation into and study of materials, sources, etc., in order to establish facts and reach new

¹ These conditions supersede the conditions previously published under the Notes by the Secretariat S/1258/2015 (dated 13 March 2015), S/228/2000/Rev.1 (dated 14 March 2011), and S/228/2000 (dated 5 December 2000).

² Academic Press Dictionary of Science and Technology.



conclusions”,³ and as “an endeavour to discover new or collate old facts etc., by the scientific study of a subject or by a course of critical investigation”.²

4. Article XI of the Convention explicitly recognises the importance of scientific and technological research in the field of chemistry for the economic and technological development of States Parties. It stipulates the rights of States Parties, individually or collectively, to conduct research with chemicals (subparagraph 2(a)), and to participate in the fullest possible exchange of chemicals, equipment and scientific and technical information relating to the development and application of chemistry for purposes not prohibited under the Convention (subparagraph 2(b)). In addition, paragraph 2 of Article X includes research (for the purpose of protection against chemical weapons) as one of the rights of States Parties that the implementation of the Convention shall not impede.

Scope of the programme

5. In recognition of the above, and based on the OPCW annual programmes and budgets, the International Cooperation and Assistance Division, under its programme for capacity building for peaceful applications of chemistry, has made provision for funding a limited number of research projects in Member States. Preference will be given to project proposals submitted by developing countries and countries with economies in transition.
6. The areas of research that may receive financial support from the Secretariat for “the development and promotion of scientific and technical knowledge in the field of chemistry for industrial, agricultural, research, medical, pharmaceutical or other peaceful purposes”,⁴ include the following:
 - (a) technologies for the destruction of toxic chemicals in a safe and environmentally sound manner; management, with respect to the handling and use, of toxic chemicals;
 - (b) development of analytical methods and validation techniques for toxic chemicals;
 - (c) verification techniques and methods relevant to the Convention;
 - (d) medical treatment and prophylactics for exposure to toxic chemicals;
 - (e) alternatives to scheduled chemicals for purposes not prohibited under the Convention;
 - (f) risk assessment with respect to toxic chemicals; and
 - (g) any other application of chemistry for purposes not prohibited under the Convention.

³ Oxford English Dictionary.

⁴ Subparagraph 2(c) of Article XI of the Convention.

7. The list above will be reviewed by the Secretariat on a regular basis; Member States are encouraged to forward any comments and/or suggestions to the International Cooperation Branch of the International Cooperation and Assistance Division of the Secretariat.

Eligibility and selection criteria

8. To be considered for financial support by the Secretariat, a research project should be:
- (a) able to allow independent research teams to produce scientific knowledge that will be disseminated and, when applied, will make a contribution to the development of the Member State concerned;
 - (b) problem- and application-oriented;
 - (c) a demonstration of high scientific merit (in terms of the relevance of objectives and quality of the approach and methodology);
 - (d) directly relevant to the Member State concerned—i.e. whose economy is either developing or in transition (the project must be consistent with the priorities and development goals in the Member State, including objectives established in its national profile for the safe management of chemicals, if applicable); and
 - (e) carried out in an institution/group having high quality infrastructures and in-house expertise, including skilled personnel to implement related tasks.
9. The research projects should also contribute to the strengthening of sustainable research programmes. Preference will be given to interdisciplinary projects involving the application of chemistry and other disciplines in order to solve the problem(s) under study. Other factors that will be considered in the evaluation of proposals include:
- (a) the availability of any other funding sources;
 - (b) equitable geographical distribution of approved projects; and
 - (c) gender balance among project leaders and within specific projects.
10. The Secretariat will only support research activities undertaken at institutions or recognised laboratories in Member States that are developing countries or have economies in transition. Exceptions can be made for projects carried out in Member States that are industrialised countries if the proposed research is considered to be highly relevant to the implementation of the Convention at a global level or has a wide international dimension, or if the proposed research is aimed at having a direct impact in specific Member States that are developing countries or have economies in transition. Individuals working on their own will not be eligible.

Application procedure

11. Applications for funding by the Secretariat may be submitted directly to the Secretariat at any time. The Secretariat, however, will only review such applications twice a year. Applications received between 2 October and 1 April will be reviewed

and decisions will be made by 30 June. Applications received between 2 April and 1 October will be subject to the second review, and a decision will be made not later than 15 December.

12. Applications may be submitted by researchers of recognised institutions in the Member State(s) concerned, via the National Authority or Permanent Representation. Submission of all the following documentation is required:
 - (a) application form (Annex), duly completed and signed by the applicant and endorsed by the host institution and the National Authority or Permanent Representation of the Member State(s) concerned;
 - (b) curricula vitae of the applicant and of other team members; and
 - (c) a detailed project proposal.
13. Applications should be addressed to the International Cooperation Branch, International Cooperation and Assistance Division, OPCW, Johan de Wittlaan 32, 2517 JR The Hague, the Netherlands. An electronic copy of the application may be submitted via e-mail to icb@opcw.org or by fax to +31 70 416 3279.
14. Applications may also be submitted to other organisations⁵ that have agreements with the Secretariat to co-fund research projects. In such cases, the co-funding organisations concerned will themselves call for, collect, and process applications, based on the relevant guidelines contained in this document and the terms of the agreements concluded between the Secretariat and the co-funding organisations, respectively. The procedures and requirements will be published by the co-funding organisations, while information on the co-funded programmes will be available directly from the Secretariat.
15. Applications submitted directly to the Secretariat must be endorsed by the National Authority or the Permanent Representation of the Member State that is hosting the research and, if applicable, by any other Member State that directly benefits from it. For applications received through co-funding organisations, the Secretariat may decide to request, on a case-by-case basis, the endorsement of the State Party hosting a project before the decision on co-funding is made.

Selection procedure

16. The Director-General will appoint a review committee for research projects (hereinafter “the Committee”) to review all project proposals that are submitted, and to decide on those projects that merit funding under the programme. The decision of the Committee will be final. The Committee will be chaired by the Director of the International Cooperation and Assistance Division and will consist of at least five members, comprising officials of the Secretariat and members of the Scientific Advisory Board (SAB) and its temporary working groups. The Committee members

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At present, the Secretariat provides joint funding to certain research projects together with the International Foundation for Science (IFS). The Secretariat is exploring cooperation with other institutions which may lead to additional joint funding of research projects.

will serve for a term of two years. If required, the Committee will seek advice from recognised experts outside the Secretariat and the SAB, but from within Member States. The terms of reference of the Committee shall be approved by the Director-General.

17. The Committee will determine, inter alia, whether:
 - (a) the proposed research meets the objectives of the programme;
 - (b) the project has sufficient scientific merit;
 - (c) the existing resources and infrastructures as declared are adequate for implementation of the project; and
 - (d) the resources and related funding requested are justified and commensurable with the planned tasks and expenditures.

18. For applications submitted to a co-funding organisation, the selection of projects will be made jointly by the Committee and an evaluation panel established by the co-funding organisation (hereinafter “the Panel”). To ensure that the selection is performed in line with the objectives and priorities of the Programme for Support of Research Projects, and in accordance with the guidelines contained in this document and the requirements of the Secretariat, either of the following two procedures will be adopted by decision of the Committee:
 - (a) Two or more Committee members will join the Panel in order to collaborate on the selection of proposals for joint funding. The proposals selected thereby will then be submitted to the chair of the Committee for approval, without needing to be considered at the regular Committee meeting; or
 - (b) The Committee will meet to evaluate and select from the project proposals that have already been reviewed for their scientific merit and vetted and approved by the Panel.

The decision on the proposals selected for joint funding will then be communicated to the co-funding organisation.

Funding procedure

19. Funding for approved projects will be provided in the form of grants to institutions hosting the research projects (hereinafter “the Recipients”). Grants may be provided either exclusively by the Secretariat (for directly funded projects) or jointly by the Secretariat and a co-funding organisation (for indirectly funded projects). The provision of grants is based on the formal arrangement concluded between the Secretariat and the concerned institution (hosting research or co-funding).
20. For directly funded projects, provision of any grant will be subject to the conclusion of an agreement between the Secretariat and the institution hosting the research project governing the terms and conditions of funding by the Secretariat.
21. For indirectly funded projects, upon receipt of a request from the co-funding organisation containing specific project proposals recommended for funding, and

following the recommendations of the Committee and/or Panel and the approval by the Secretariat, including the level of funding for specific projects, funds will be transferred to the co-funding organisation in accordance with the terms and conditions set out in relevant agreement concluded between the Secretariat and the co-funding organisation (based on the provisions of this Note). The co-funding organisation shall be responsible for concluding appropriate arrangements with the Recipients to ensure the full implementation of the proposed projects. The co-funding organisation shall also ensure that the Recipients are made aware of the Secretariat's support from the onset of the project.

22. The following conditions shall apply to both directly and indirectly funded projects:
- (a) Grants are intended for the acquisition of consumables, such as chemicals and solvents, disposables, small laboratory accessories and spare parts, and literature, as well as for meeting the costs of equipment repair, outsourced analysis/tests, or travel for trials or collection of samples. Grants may not be used for salaries or honoraria for research staff, acquisition of research equipment, hardware, or other forms of investment. The Secretariat reserves the right to review the level of funding and the duration of approved projects recommended for funding, taking into account the recommendations of the Committee.
 - (b) The Secretariat may fund up to a maximum of EUR 25,000 per project, with the length of the project not exceeding three years. Grants will be disbursed by the Secretariat in one or more instalments per each research project. Payments for grants in excess of EUR 10,000 will be made in three instalments, subject to the submission of appropriate reports and review by the Committee, as appropriate. The Secretariat will disburse 50% of the total amount of the grant at the initiation of the project, a further 40% at the mid-point of the implementation period (upon receipt of a progress report), and the remaining 10% upon the satisfactory completion of the project (and subject to submission of the final report). The Secretariat may disburse grants of up to EUR 10,000 in one or two instalments according to the modalities to be determined by the Secretariat, and taking into account the recommendations of the Committee.
 - (c) The Secretariat reserves the right to discontinue support of projects at any time if, following the evaluation, it appears that the objectives of the projects are not being met or that funds are not being used appropriately, or in cases where funds are no longer made available by the Member States. Any decision to discontinue support to a project will be taken in consultation with the Committee.

Reporting procedure

23. The Recipients shall submit to the Secretariat, directly or through the co-funding organisation, the following reports, by dates pre-determined in the relevant agreement, in accordance with the guidelines provided in this Note:
- (a) for projects exceeding EUR 10,000, a progress report at the (pre-determined) midpoint of the project, summarising the progress of the activities supported

by the Secretariat and referring to the milestones and deliverables as set in the approved project work plan; and

- (b) for all projects, a final report upon completion of the project. Final reports shall include: a scientific report outlining the activities and results achieved, measured against the project objectives and the key performance indicators identified in the approved project proposal; explanations on the methodology applied; explanations indicating how the research has contributed to the development goals of the Member State; and a detailed financial statement certified by the Recipient.
24. For grants provided in instalments, the submission of progress and final reports, and their approval by the Secretariat, will be the precondition for the release of the second and third instalments.
25. For indirectly funded projects, the co-funding organisation shall be responsible for monitoring and reporting to the Secretariat on the progress of the implementation of the projects, and for ensuring that the objectives of the projects as approved will be properly implemented. After internal review, the co-funding organisation will forward to the Secretariat the reports received from the Recipients. Release of any pending instalments of grants will be subject to the final approval of relevant reports by the Committee.

Intellectual property rights

26. Funding of projects by the Secretariat will not affect any intellectual property rights which may be acquired by the Recipient in the creation of a product. It will be the responsibility of the Recipient to take appropriate measures to protect such rights. The results of all research projects supported under this programme shall be made available in the open literature.
27. The Recipients of the grants shall acknowledge the support provided by the OPCW in any publication resulting from the projects funded or co-funded by the Secretariat.

Other information

28. The Secretariat reserves the right, at its own discretion, to consult with the National Authorities or Permanent Representations of the Member States concerned. Further information on the Programme for Support of Research Projects may be obtained from the International Cooperation Branch, International Cooperation and Assistance Division, OPCW, Johan de Wittlaan 32, 2517 JR The Hague, the Netherlands.

Annex: Application Form

Annex

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APPLICATION FORM

This form is to be used to apply for direct support by the Technical Secretariat of the OPCW. Before completing the form, please read the guidelines presented in the accompanying Note to confirm your eligibility for support under the programme.

Applications will be considered by the Review Committee for Research Projects twice each year, and should be submitted by 1 April or 1 October, respectively.

The Applicant should complete sections 1 to 13 of this form, and send it to either the respective **National Authority or the Permanent Representation of the Member State to the OPCW**, with a request to complete section 14.

The National Authority or the Permanent Representation should then submit the completed form to the International Cooperation Branch, International Cooperation and Assistance Division, OPCW, Johan de Wittlaan 32, 2517 JR The Hague, the Netherlands.

1. Applicant <i>(to be completed by the Applicant; please underline the name under which you publish)</i>		
Family name		
First name(s)		
Citizenship		
Date of birth (dd/mm/yy)		
Gender	Male <input type="checkbox"/> Female <input type="checkbox"/>	
Address of institution or laboratory	Street	
	Number	Postcode
	City	
	Country	
Address (home)	Street	
	Number	
	City	
	Country	
Telephone numbers, including country and city codes	Home	
	Work	
Fax numbers, including country and city codes	Home	
	Work	
E-mail address	Home	
	Work	

12. Supporting documentation	
Please attach supporting documentation. Applications will not be accepted without <u>all</u> of the following:	
<input type="checkbox"/> Yes <input type="checkbox"/> No	An updated curriculum vitae of the researcher and the team members (attach a maximum of three curricula vitae for the key research personnel)
<input type="checkbox"/> Yes <input type="checkbox"/> No	A completed and endorsed application form
<input type="checkbox"/> Yes <input type="checkbox"/> No	A detailed project proposal, attached as a separate document
13. Budget	
<i>Provide a summary below and elaborate a detailed budget in the project proposal document. The detailed budget must specify possible quantities and provide a description or specifications of items or services, together with related justifications (these may be given in the budget table or in a separate document). Only eligible costs can be claimed. Major eligibility inconsistencies may result in rejection of the proposal. Overheads, if requested, must appear in the budget table and can amount to no more than 15% of the overall budget. In the case of other existing/confirmed co-funding for the same project, details must be provided to include the source of the funding, the amount contributed, and its destination.</i>	
14. Signatures	
The Applicant	Head of the Applicant's institution or the official with the authority to sign on behalf of the institution
	Stamp
Name and title	Name and title
Date	Date
15. Comments by the National Authority or Permanent Representation to the OPCW	
Signed	Stamp
Name and title	
Date	