

Regulations
on Cooperation Programmes and Grants of the Plenipotentiaries
of the Governments of the JINR Member States

Approved at the CP session on 23 November 2022

These Regulations are a normative act of the Joint Institute for Nuclear Research which determines the procedure for the formation, expenditure and control over funds from Grants and Cooperation Programmes of the Plenipotentiaries of the Governments of the JINR Member States.

Grants and Cooperation Programmes are a form of funding JINR's research and educational activities and are aimed at providing resources for scientific projects of the Institute, in which the respective JINR Member State is interested.

1. Terms and definitions

When used in these Regulations, the following terms and phrases shall have the meaning given below:

“Project”¹ means a defined scope of scientific, technological, organizational, and educational activities aimed at solving specific problems within established time frames.

“Grant/Cooperation Programme” means a certain amount of targeted funds in the JINR budget, allocated and spent in accordance with the procedure established by these Regulations. Within the framework of one Grant/Cooperation Programme, several Projects may be financed.

“Plenipotentiary” means a Plenipotentiary of the Government of a JINR Member State.

“TP” means the Topical Plan for JINR Research and International Cooperation.

“Formation of the Grant/Cooperation Programme” means the process of determining the amount of JINR budget funds that can be used to finance the Projects as well as appointing responsible persons.

“Expenditure of the Grant/Cooperation Programme” means the actual payment of the funds of the formed Grants/Cooperation Programmes from the JINR budget to third parties.

¹The term “Project” as used in these Regulations should be distinguished from the term “Project” as used for the purpose of planning JINR's scientific activities.

“Responsible for the Project” is a JINR staff member, who is authorized by the JINR order to spend, in accordance with the procedures established in JINR, the Grant/Cooperation Programme funds intended for the implementation of the Project, and who has an obligation to control the expenditure of these funds.

A person who meets at least one of the following conditions is not eligible for being Responsible for the Project:

— he/she failed to submit a report regarding any previously assigned Grant/Cooperation Programme,

or

— he/she used any previously assigned Grant/Cooperation Programme funds for unauthorized purposes.

2. Purpose of Grants and Cooperation Programmes

Grants and Cooperation Programmes of the Plenipotentiary being a target instrument for funding JINR research and education activities defined in the JINR Long-Term Development Strategic Plan up to 2030 and beyond (LTDS) should contribute to:

— integrating efforts and increasing the number of participants in the scientific research of the Institute by involving scientists and specialists from scientific and educational organizations of the JINR Member States in order to obtain new important results in the field of fundamental research, interdisciplinary and innovative developments, and to develop modern educational cooperation programmes;

— expanding scope of topics and intensifying cooperation with organizations from the Member States, taking into account priority areas of the JINR Long-Term Development Strategic Plan and the science policy of the JINR Member States;

— operational support for promising research;

— development of the research infrastructure, and hardware and instrumentation base of JINR and organizations of the JINR Member States as related to joint activities;

— promoting the scientific authority and expertise of JINR in its Member States;

— providing wide and operative access of organizations and scientific teams from the JINR Member States to JINR basic facilities and equipment.

3. Formation of Grants and Cooperation Programmes

Grants and Cooperation Programmes shall be formed for a period not exceeding one fiscal year.

Grants and Cooperation Programmes are formed by order of the Director of JINR under the following conditions:

— the Member State concerned has contributed to the JINR budget an amount in cash not less than the aggregate amount of Grants and Cooperation Programmes of such Member State for the current year;

— the conditions as per clauses 3.1.1–3.1.4 (for Grants) and clauses 3.2.1–3.2.4 (for Cooperation Programmes) of these Regulations have been met.

3.1. Peculiarities of formation of Grants

3.1.1. Grants shall be formed on the basis of a written proposal from the Plenipotentiary to the Director of JINR, specifying for each Project:

— name of the Responsible for the Project;

— JINR Laboratory;

— theme code in accordance with the TP;

— the Project to be financed by the Grant, the expected outcome of this Project, description of the Project format and scope of participation of personnel from the Member State;

— the amount of Project funding.

3.1.2. The aggregate amount of Grants of the Plenipotentiary for a financial year shall not exceed 5 % of the annual contribution of the Member State concerned.

3.1.3. The minimum amount of funds allocated for a Project under a Grant shall be USD 3,000.

3.1.4. The proposal of the Plenipotentiary shall be sent to the Director of JINR not later than 15 February of the year for which the Grant is formed.

3.1.5. The funds of the formed Grants, which are not spent during the fiscal year, lose their intended purpose and are included in the JINR general budget for the next year.

3.2. Peculiarities of formation of Cooperation Programmes

3.2.1. Projects for inclusion in the Cooperation Programmes are selected from submitted applications on a competitive basis by committees with an equal representation of JINR staff members and persons authorized by the Plenipotentiary. The conditions and procedure for the formation and functioning of these committees, submitting and selection of applications are stipulated in the Annex to these Regulations.

3.2.2. The implementation period of the Projects financed by the Cooperation Programme shall not exceed 3 years.

3.2.3. The minimum amount of funding for a Project under the Cooperation Programme shall be USD 3,000 for one fiscal year.

3.2.4. The aggregate amount of Cooperation Programmes for a fiscal year shall not exceed 15 % of the annual contribution of the Member State concerned.

3.2.5. The funds of the formed Cooperation Programmes, which are not spent during the fiscal year, can be spent in the following fiscal year during the term of the Project, subject to the conditions referred to in clause 4.1, unless a decision is taken to terminate the financing of the Project in the manner prescribed in clause 5.1.

3.3. Transitional provisions

If all the following conditions are met simultaneously:

- at the effective date of these Regulations, the JINR Member State doesn't have formed Cooperation Programmes;
- the Member State does not form Cooperation Programmes for any year following the effective date of these Regulations;
- the aggregate amount of Grants of the Plenipotentiary for a financial year shall not exceed 8 % of the annual contribution of the relevant Member State.

4. Expenditure of Grants and Cooperation Programmes

4.1. Grants and Cooperation Programmes are allowed to cover the following expenditures corresponding to the items of the JINR budget:

- costs of international cooperation (item 4);
- materials (item 5);
- equipment (item 6);
- payments for the services provided by external research institutions (item 10);
- scientific and information support (item 11).

Expenditure is allowed after approval by the JINR Director of the cost estimate formed by the Responsible for the Project and endorsed by the Director of the Laboratory and the theme leader.

4.2. The expenditure is subject to the JINR regulations governing the procurement of goods, works and services.

4.3. When spending Grants and Cooperation Programmes, the details of the JINR internal order, under which the respective Grants and Cooperation Programmes were formed, shall be cited as a source of funding.

5. Control over the expenditure of Grants and Cooperation Programmes

5.1. Reporting

The Responsible for the Project, not later than 15 January of the year following the year of the expenditure of the Grant and each year of the expenditure of the Cooperation Programme, submits to the Department of Science Organization Activities of JINR a brief written report containing information on the work and research actually performed within the Project, on the results achieved during the implementation of the Project, on scientific publications, and on training of personnel. The report is prepared in English or both in English and Russian and, if necessary, can be further elaborated and sent to the Plenipotentiary and/or to the committee of the Member State concerned.

Following the consideration of the Project report, the relevant committee has the right to submit a proposal to JINR to terminate or modify the amount of funding for the Project.

5.2. Control

The Budget and Economic Policy Department and the Accounts Department of JINR shall control the expenditure of Grants and Cooperation Programmes with respect to compliance with the limits and areas of expenditure specified in these Regulations.

Rules of Competitive Procedures for the Formation of Cooperation Programmes

1. Application procedure

1.1. Application is a written proposal in English or both in Russian and English for participation in the competition for the formation of the Cooperation Programme, containing the following mandatory data:

- name of the Responsible for the Project;
- participating persons from JINR;
- participating persons from the organization(s) of the JINR Member State;
- contents of the Project, the expected outcome of the Project, description of the Project format and scope of participation of personnel from the Member State;
- theme code in accordance with the TP under which the Project is to be implemented.

1.2. Prior to submitting the application for the competition, the application must be endorsed by the Director of the JINR Laboratory, on the basis of which the Project is to be implemented, by the theme leader, and by the head of the organization of the JINR Member State participating in the Project.

1.3. Applications shall be submitted for the competition not later than 15 January of the first year of the Project implementation.

2. Committees for consideration of applications

2.1. Submitted applications are subject to consideration by Committees consisting of at least 6 members. At least half of the members of the Committee must be JINR employees. The rest of the Committee members shall be nominated by the Plenipotentiary.

2.2. To consider applications for the Cooperation Programmes of each Member State, one commission shall be formed.

2.3. The composition of the Committee is approved by the JINR order.

2.4. The decisions of the committees shall be recorded in protocols, which shall include the following information:

- the date and time of the meeting,
- persons present,
- format of holding the meeting,
- decisions taken.

2.5. Decisions of the Committees are considered adopted if more than half of the members of the Committee who were present at the meeting voted in favour. The quorum necessary for the Committee to adopt decisions is at least 2/3 of the committee members. The meeting of the Committee may be held using videoconferencing.