



NAZARBAYEV
UNIVERSITY

RESEARCH PROPOSAL FORM*

1. General information	
<i>Project title:</i>	
<i>Project duration:</i>	
<i>Location:</i>	
<i>Requested total budget in USD:</i>	
<i>Principal investigator, contact details:</i>	

2. Project description
<i>The section should include the following information:</i> the purpose of the Project; scientific novelty and significance, the impact of the results on the development of science and technology and the expected social and economic effects; a review of previous research conducted in the world related to the topic under the study and their relationship with this Project.

3. Methodology and ethical considerations
<i>The section should include the following information:</i> description of research methods (justifying the ways of achieving the objectives of the Project, justifying the chosen research approach); ensuring compliance with the principles of scientific ethics, ethical management procedures, maintaining high standards of intellectual honesty and avoiding the fabrication of scientific data, falsification, plagiarism, false co- authorship, etc.; the conditions of registration and division of intellectual property rights; risk management: critical points, alternative ways of implementing the project.

4. Project plan and budget
<i>The section should provide:</i> project schedule, tasks and planned works, as well as the rationale for their importance; the justification of the total project cost with obligatory detailed breakdown. For budgeting, please use the guidelines (Revised budget structure and limits for Nazarbayev University Funded Research Projects) attached hereto.

* NU requirement for the external peer review purposes: **Research Proposal (including tables, charts and bibliography) should not exceed 15 pages limit. Please submit complete proposals in PDF format. Proposal supporting data consists of a 2 page CV (also in PDF) of the Principal Investigator and possibly other 1 page CV's of other key personnel (Co-PI, etc.).**

5. Research group

Please provide the information on the research team and qualifications of participants.

6. Research environment and training for scientists

The section should include the following information: available equipment and required research infrastructure; the key domestic and international communications and distribution activities; the use of domestic and foreign research infrastructure (laboratories), explanation of benefits, justification of mobility. The section should also provide information on participation of young scientists, PhD-students in the Projects.

7. Expected results

The section reflects the following information: project expected results and socio-economic effect; the applicability of research results; target consumers of the results; publications, obtaining a patent.

8. References

The section shall specify most relevant publications/research conducted on the topic of the Project.

Approved by the decision
of the Research Council
of the autonomous organization of education
“Nazarbayev University,” minutes # 45 of November 11, 2014

**REVISED BUDGET STRUCTURE AND LIMITS
for Nazarbayev University funded faculty research projects**

Eligibility criteria for proposers:

Full-time faculty member of an NU School.

Guidelines for preparation and submission of proposals:

Project implementation period: maximum of 4 year.

4 year duration is recommended as this will fall in line with the PhD study duration. Most PhD students will be spending more than 3 years for completing their degree, and a 4 year project duration offers better flexibility for the student project. This reflects the fact that many Ph.D. projects are likely to last four years.

Proposal budget:

- Project duration up to 1 year: maximum USD 100,000.
- Project duration over 1 year and up to 4 years: maximum of USD 100,000 per year (i.e., USD 400,000 for 4 years).

Expenses	Recommended caps	Note
Payments to NU PhD students and to all non-Nazarbayev University employed workers who are hired in the project to perform project-specific work at Nazarbayev University, such as contractors, technicians, research assistants, interns, teaching assistants and post-docs. <i>These cannot include services paid to non-local workers such as collaborators, external consultants, etc., which is to be included in “Third party expenditure”.</i>	Up to 60% of the total budget. [payments to PhD students – up to 1000 USD/month; Post-docs – up to 3000 USD/month]	No caps for projects in humanities, social sciences, public policy and education.
Third party expenditures (includes outsourced but local [in Kazakhstan] and external [international] service fees. Services can include outsourced analyses, data collection, and training for junior researchers that cannot be performed at NU. The relationship and service provided must be transparent in all reports and subsequent publications.	Up to 40% of the total budget.	The use of overseas services needs to be justified (the overseas services are only sought when there are no alternatives in Kazakhstan).

Conference fees and other expenses related to the dissemination of the research findings (registration, publication, etc.)	Maximum USD 5,000 annually for any project member	The top quality research needs to be disseminated in more than one reputed international forums.
Travel costs (for research purposes by <u>all project participants, including those not employed by NU</u>). NU approved travel rates should be used for budgeting purposes.	Up to 15% of the total budget.	Up to 50% of the total budget for projects in humanities, social sciences, public policy and education.
Materials. Purchase costs should include all associated costs (estimated) as customs clearance, delivery fees, etc.	Unrestricted	
Administrative costs of NU	10% of the budget	
TOTAL BUDGET*	The project's total annual budget cannot exceed USD 100,000	
*No personal salary element can be included in the budget.		
* Funds may not be used to secure (purchase) equipment and software. The available material and technical base at the University should be used for research purposes, and in case of its absence, funds for acquiring fixed assets and non-material assets should be provided in the budget of the University (Schools), in accordance with the established procedures.		

Addenda:

- Prior to submission, both the scientific contents and the budget should be thoroughly evaluated at the School level by peers, a research review team, and the Vice-Dean for Research.
- Whenever a Principal Investigator is awarded an NU research grant, s/he may appoint a Co-Principal Investigator to the project. In the event that the principal investigator leaves before the project is ended, he/she may appoint a new Principal Investigator, who can modify the project appropriately, subject to further approval by the Research Council.
- No personal salary element for the PI and Co-PI(s) can be included in the budget.
- [Capital equipment items cannot be purchased from the grant budget \(they are requested by Schools through established procedures\).](#)

Phase 3 and 4 clinical trials are not eligible for funding via Nazarbayev University grants.