



NATIONAL COUNCIL FOR EURASIAN AND EAST EUROPEAN RESEARCH

2011 TITLE VIII NATIONAL RESEARCH COMPETITION

CONTRACT APPLICATION GUIDELINES

*RESEARCH CONTRACTS are limited exclusively to **collaborative** research projects conducted by multiple post-doctoral scholars or individuals with comparable research or professional skills who do not hold PhDs, including **at least one scholar/researcher who is a U.S. citizen and holds a PhD**. In addition, applicants must have completed any previous NCEEER grants received **before** they may apply for a new grant.*

Note that these guidelines, as well as the application forms and public announcement, contain significant changes from previous years. Announcements, guidelines and forms from previous years are obsolete, and only the 2011 editions of these materials should be used.

Compliance with the provisions of these guidelines is essential to prevent the disqualification of your application.

NATIONAL COUNCIL FOR EURASIAN AND EAST EUROPEAN RESEARCH

National Council for Eurasian and East European Research (NCEEER) was created in 1978 to develop and sustain long-term, high-quality programs of research in the social, political, economic, environmental, and historical development of Russia, Eurasia, and Southeast Europe. NCEEER has established an unequalled record of support for research in these areas, research that directly benefits U.S. policymakers, the academic and non-profit communities, and American business. It also has helped bring to the attention of Congress and the executive branch the national interest served by the exchange of ideas among professionals in academia and government.

COUNTRIES ELIGIBLE FOR RESEARCH

- Albania
- Armenia
- Azerbaijan
- Belarus
- Bosnia-Herzegovina
- Bulgaria
- Croatia
- Czech Republic
- Estonia
- Georgia
- Hungary
- Kazakhstan
- Kosovo
- Kyrgyzstan
- Latvia
- Lithuania
- Macedonia
- Moldova
- Montenegro
- Poland
- Romania
- Russia
- Serbia
- Slovakia
- Slovenia
- Tajikistan
- Turkmenistan
- Ukraine
- Uzbekistan

DETAILS ON PROVISIONS FOR FUNDING

1. NCEEER Research Contracts provide funds of up to **\$70,000**. NCEEER will make up to 80% of the funds allocated for the project available at the outset of the Contract term. NCEEER will normally withhold 20% of the amount allocated for the project until it receives all of the financial and working papers required by the Contract.
2. NCEEER requires that applicants for Research Contracts find an institutional sponsor to provide support for their project through non-Federal funds at a minimum of 20% of the amount requested from NCEEER. Such support may be comprised of any combination of direct and/or Facilities and Administrative costs (“F&A costs,” formerly referred to as indirect costs). In compliance with the intent of the Program of Research and Training for Eastern Europe and the Independent States of the Former Soviet Union (Title VIII), NCEEER’s primary objective is to allocate as much of its limited funds as possible toward scholarship. With this in mind, NCEEER will reimburse institutional F&A costs at a rate of up to 10% of NCEEER’s share of the total direct costs of the sponsored research project. The difference between the rate of F&A reimbursement and the applicant institution’s standard Federally-negotiated F&A rates may be treated as cost-sharing. Please contact the NCEEER staff if you have questions.
3. The duration of NCEEER support may extend from **October 1, 2011**, through **September 30, 2013**. However, shorter projects are encouraged. Recipients must submit all financial reports and close-out documents to NCEEER within 60 days after the expiration of the Contract Agreement.
4. NCEEER Contract Agreements do not provide funds for the purchase of equipment, either general or special purpose, as defined in the Federal Acquisition Regulations; for tuition or “cost of education” charges in connection with graduate research assistantships; or for attendance at conferences, unless the conference is essential to the project and organized within the parameters of the project. NCEEER does not provide funding for research in the natural sciences.
5. At least one U.S. citizen scholar or researcher holding a Ph.D. must serve as the principal researcher on the project. This does not preclude collaborative projects with foreign scholars or researchers. At the same time, the U.S. citizen must possess a primary and substantive role that is clearly delineated as such in the proposal.
6. Scholars and researchers are encouraged to include graduate students, paid or unpaid, as research assistants or otherwise in their projects. Undergraduates may not be employed as research assistants.
7. International travel must comply with the provisions of the Fly America Act, 49 U.S.C. 1517 (see 4 CFR Part 52 and 48 CFR Subpart 47.4), meaning that flights must be on an American carrier, where possible, and approved by NCEEER in advance. Remember that the U.S. Government has occasionally placed prohibitions on travel

2011 TITLE VIII NATIONAL RESEARCH COMPETITION – SUBMITTING PROPOSALS

How to Apply

You have three options to submit your proposal (all applications will be given equal weight, regardless of submission method):

1. Apply **on-line** using our on-line grant application system at <https://www.nceeer.org/apply/>--select “National Research Competition – Contract” (Requires Mozilla Firefox)
2. **E-mail** the application form and associated files as a single zipped attachment (.zip file) to apply@nceeer.org. Indicate “NRC Application: [your last name]” in the subject line. **Note that letters of recommendation must be sent directly by the referees.**
3. **Mail** your documents via the Postal Service on standard 8.5” x 11” paper to the following address:

National Council for Eurasian and East European Research
University of Washington
Box 353650
Seattle, WA 98195

For delivery of proposals by an agency that will not deliver to a Post Office Box (e.g., FedEx), please use the following address instead:

National Council for Eurasian and East European Research
Attn: Dana Ponte
4500 9th Avenue NE
Suite 300
Seattle, WA 98105

Format of the Application

The Application must include the items listed below.

1. Application Form. Complete the Application Form, using the instructions provided below, either via the on-line application system at <https://www.nceeer.org/apply/> (Select “National Research Competition – Contract”), or by downloading the form at http://www.nceeer.org/Programs/NRC/2011_NRC_contract_application.pdf (Requires Adobe Acrobat or Acrobat Reader).
2. Project Proposal. The Project Proposal should detail the nature, purpose, design, scope, methodology, and feasibility (referencing attained permits or agreements, if required) of the project. Also, it should relate the project to existing work on the subject, specifically focusing on the significance of the new research and its relevance to NCEEER’s Research Program, as described in the Public Announcement. Please be careful in noting the ways in which written products will contribute to the understanding of current developments and historical, cultural, and political trends. If the proposal is a request for an extension or expansion of an existing NCEEER-sponsored project, it is important to describe current progress.

In the project proposal, be as specific as possible. If the proposal submitted to NCEEER for support is a component of a larger project or program, the Project Proposal should provide information on the broader project, including the amount and sources of funding, and the particular activities designated for NCEEER support. More specifically, please enumerate the written or other products that you anticipate will be produced and submitted to NCEEER to fulfill Contract requirements.

For those intending to conduct survey research or collect statistical data, please see the “Guidelines for Conducting Surveys and Collecting Data in the NIS or Eastern Europe” given below, and consider the following questions: How will respondents be selected? For fieldwork, an applicant must explain who will organize and conduct the interviews, and how he, she, or they will carry out the fieldwork. Remember that descriptions of projects that will include the collection or use of data through surveys must clearly delineate the design and size of the sample(s) involved.

PLEASE NOTE THAT THE PROJECT PROPOSAL MAY NOT EXCEED 10 PAGES, USING 12-POINT FONT AND DOUBLE-SPACED, AND IT MUST BE IN PDF OR MICROSOFT WORD FORMAT.

3. Estimated Budget. Please download and fill out the budget form at http://www.nceeer.org/Programs/NRC/2011_NRC_contract_budget.xls. Include an itemized list of all costs, along with an explanation of key budget items, and a list of all existing (or expected) support for the project and its source(s). Include only expenses that will accrue during the NCEEER grant award period. **Please be as specific as possible in describing key budget items. Use comments as necessary to**

describe these items. When asking for *per diem* funding in the budget template, please indicate the number of days and the proposed daily rate.

Summer salary support is ordinarily not fundable by NCEEER. Research support funding is primarily to be devoted to necessary travel and research expenses. While regular salary support will be considered, summer salary support will be considered as the lowest priority for funding. Any exception concerning summer salary support will need to have clear and detailed specification of its necessity for completion of the proposed project.

Rates for *per diem* costs should be kept to a minimum. In cases where Department of State or other official *per diem* rates are used, applicants should provide a detailed justification for the use of such rates. Please feel free to contact the NCEEER staff with any questions.

4. Curriculum Vitae. For each principal scholar or researcher, include a CV, organized in chronological order. Please highlight any previous NCEEER awards and papers. **The CV should be no more than four pages and in PDF or Microsoft Word format.**
5. Transmittal Letter. Please provide a transmittal letter from the institution that will be submitting the Application. This letter should identify the institution's legal name, as well as the name and contact information of the grants and contracts officer who will be responsible for administering the Contract. If e-mailing the application or using the on-line application system, please make sure this letter is in the form of a signed, scanned PDF.
6. Human Subjects Review form (if relevant). Applicants should ensure that standards for use of human subjects in their research, if relevant to their proposal, are consistent with those required by their university. Researchers should file their proposal, if relevant, with their internal review board for human subjects at their universities at the same time that they submit it to NCEEER, so that the approval procedure will not delay the award processing. If you are an independent scholar, NCEEER will serve as an independent review board for your project, and you should download and complete the forms at http://www.nceeer.org/Programs/NRC/Human_Subjects_Review_Form.pdf and http://www.nceeer.org/Programs/NRC/Human_Subjects_Categories_of_Review.pdf. **Note that these forms apply only to independent researchers not affiliated with a university. University-affiliated scholars should follow established institutional procedures for human subjects review at their university.**
7. Two Letters of Recommendation. Please have two individuals familiar with your work and your proposal download; complete; and send directly to NCEEER the letter of recommendation forms. The form is available at this page: http://www.nceeer.org/Programs/NRC/2011_NRC_letter_of_recommendation.pdf.

Try to obtain at least one of the recommendations from someone outside your home institution. You may not solicit letters of recommendation from the members of NCEEER's Board of Directors.* **Please note that your referees must submit their letters of recommendation to NCEEER on or before February 15, 2011 and that the letters must include the referees' physical or digital signatures.**

Deadline and Delivery

The deadline for applications and all supporting materials is **February 15, 2011**. Documents sent through the Postal Service **must be received** by this date.

The Board of Directors will review and evaluate the proposals. NCEEER will notify you regarding the status of funding for your proposal on or before June 15, 2011. **NCEEER will not elaborate on the reasons given for the rejection of proposals.**

SPECIFIC INFORMATION FOR COMPLETING THE APPLICATION FORM

Adding Co-Applicants: If using the PDF application form, fill out the general information for yourself and each co-applicant. If using the on-line system, first fill out the general information on yourself using the "Edit your Personal Information" link; then select the "Click to Add a Co-Applicant" link in the Additional Scholars section at the top of the main application window. A new window will appear in which you must fill out and then save the co-applicant's general information. Follow the same procedure if there is a second co-applicant. When done adding all co-applicants, refresh your main application window to add the co-applicant(s) to the application.

*Item 2 (PDF form)/Item 3 (on-line system), **Brief Description of Proposed Research.*** Provide a brief summary of the purpose and methodology of the project in prose accessible to the non-technical reader. Keep in mind that you will attach a longer project description as part of the application.

*Item 5 (PDF form)/Item 6 (on-line system), **Themes.*** Select up to three themes from the entire list.

*Item 8 (PDF form)/Items 12-13 (on-line system), **Proposed Dates of NCEEER Contract.*** Applicants should select their proposed Contract start and end dates bearing in mind that Contract funds may not be used for costs incurred outside the Contract period (October 1, 2011 through September 30, 2013). A final report of project results must be submitted to NCEEER in a form suitable for distribution to the U.S. Government before the end date of the Contract.

* Valerie Bunce, Maria Carlson, Richard Combs, Ted Gerber, Bruce Grant, Ted Hopf, Robert T. Huber, Nancy Kollmann, Martha Lampland, Susan Linz, Mieke Meurs, Douglas Northrop, Joanna Regulska, Edward Schatz, and Lewis Siegelbaum

Item 10 (PDF form)/Item 16 (on-line system), Total Funds Requested from NCEEER. Remember that NCEEER's Research Contracts only provide funds of up to \$70,000. Thus, your request for funding may not exceed that amount.

WORKING PAPERS AND REPORTS

Scholars and researchers are normally required to submit one or more short, topical papers containing research findings and interpretive conclusions. For publication, the working papers should be approximately 25 double-spaced pages or shorter in length. They should be succinct and suitable for an informed, but non-technical audience. Working papers should also include a typewritten 150-word abstract for general dissemination. Scholars and researchers will also be required to submit a mid-term progress report and a final progress report, describing their activities under the Contract and, where possible, commenting on the conditions for conducting research that they encountered. Working papers submitted to NCEEER may be considered for publication in the journal *Problems of Post-Communism*.

Please note that NCEEER reserves the right to make minor editorial changes and may suggest revisions before distributing papers to the U.S. Government. To facilitate such changes, submit all papers to NCEEER both in hard copy and on a CD-ROM or DVD (IBM-compatible, preferably in Microsoft Word) or as an e-mail attachment.

Books and other lengthy works are generally not suitable for distribution by NCEEER and therefore, ordinarily will not be accepted in satisfaction of NCEEER's Contract Agreements. However, if such works arise from NCEEER-sponsored research, even after the Contract Agreement period, NCEEER would appreciate receiving a copy to signify the culminating results of the project.

Scholars and researchers retain the copyright on their work submitted to NCEEER under the terms of the NCEEER Contract Agreement. However, NCEEER reserves the right to duplicate and disseminate such products, in written and electronic form, as follows: (a) for NCEEER's own internal use; (b) to the U.S. Government for its internal use or for dissemination to officials of foreign governments;* and (c) for dissemination in accordance with the Freedom of Information Act or other law or policy of the United States Government that grants the public access to documents held by the U.S. Government. Additionally, NCEEER has a royalty-free license to disseminate papers to the general public, in furtherance of academic research, scholarship, and the advancement of general knowledge, on a non-profit basis. Neither NCEEER, nor the United States government, nor any recipient of a Contract product may use it for commercial sale.

To repeat an important piece of information regarding the disbursement of funds, NCEEER will withhold 20% of project funds until all of the reports and papers specified in the Contract

* The government's Open Source Information System (OSIS) is designed to make a variety of open source materials, including academic works, more accessible. OSIS functions as a controlled-access government network. At present, OSIS operates in only a few government offices, but it is expected to expand to all three branches of government and its private contractors. Access by foreign governments and other entities interested in information exchange with the U.S. Government may eventually be included.

Agreement are delivered and approved by NCEEER. Applicants should plan their research accordingly.



GUIDELINES FOR CONDUCTING SURVEYS AND COLLECTING DATA IN THE FORMER SOVIET UNION AND SOUTHEASTERN EUROPE

Design of the Research Project

The efficient and even the successful gathering of statistical data often depends on collaborating with colleagues in the country being studied. Such collaboration can either take the form of “contracting out” data collection to an individual or survey research organization or developing an actual working relationship with locally-based researchers.

The NCEEER Board does not require, but encourages the second type of collaboration, directly involving a foreign scholar in the research project. Of course, U.S. scholars and researchers must oversee data collection efforts to ensure that they correspond with standard research practices within the U.S. social science community.

A particularly challenging phase of survey design in a cross-cultural setting involves the phrasing of survey questions. Surveyors should be conscientious about conveying the desired concept to foreign respondents. Foreign collaborators are especially useful in pointing out how the nuances of language and differences in cultural perspectives may result in the misunderstanding of a particular survey question.

U.S. researchers and scholars should receive a letter of agreement from their collaborators in the former Soviet Union or Eastern Europe. If other official approval is required (depending on the nature of the survey), the proposal should provide evidence that the project has received such approval.

Human Subjects Review

Applicants should ensure that standards for use of human subjects in their research, if relevant to their proposal, are consistent with those required by their universities. Researchers should file their proposal, if relevant, with the internal review board for human subjects at their universities at the same time they submit it to NCEEER, so that the approval procedure will not delay the award processing. If you are an independent scholar, NCEEER will serve as an independent review board for your project, and you should download and complete the forms at http://www.nceeer.org/Programs/NRC/Human_Subjects_Review_Form.pdf and http://www.nceeer.org/Programs/NRC/Human_Subjects_Categories_of_Review.pdf. **Note that these forms apply only to independent researchers not affiliated with a university. University-affiliated scholars should go through established institutional procedures for human subjects review at their university.**

Preparation of Project Description

While researchers and scholars may not exceed the page limit in their standard project descriptions, they may attach a separate, succinct appendix to enumerate the technical details of sampling and other aspects of survey methodology. Applicants contemplating projects that involve data collection in the former Soviet Union and/or Southeastern Europe should mention the following issues in their proposals:

- the qualifications and experience of U.S. researchers and foreign participants in conducting surveys and analyzing survey data;
- prior collaborative efforts between the prospective U.S. and foreign participants;
- sample design and scope, and the plans for implementing it;
- plans for questionnaire development, including the phrasing of questions, anticipated procedures for translation, etc.;
- plans for the conduct and supervision of fieldwork and coding, including the recruiting and training of interviewers;
- documentation standards;
- procedures for data analysis, in particular who will perform the analysis and where such analysis will take place;
- evidence that requisite governmental or other institutional approvals are or are likely to be granted;
- plans for distributing data; and
- plans for the publication of the results, including whether papers typically will be co-authored; and researchers for all of the stages of survey design, field timetable and plan for the distribution of tasks between American and foreign work, coding and analysis.

STANDARDS FOR COMPUTER-RELATED ACTIVITIES IN PROJECTS SUPPORTED BY NCEEER

NCEEER encourages proposals that seek to generate high-quality former Soviet Union or Southeast European databases to facilitate international scholarly endeavors. Please note the following standards for computer-related activities sponsored by NCEEER:

1. *Accessibility.* Outside scholars and researchers will generally have access to the computer-related products of NCEEER-sponsored research. NCEEER recognizes that “raw data” may not always be suitable for broad dissemination, but small groups of scholars may benefit from sharing data among themselves.

Logically, the nature of the product will influence the manner in which it is disseminated. Typical means of dissemination include the following:

- Distribution of the product in machine-readable form—on CD-ROM, DVD, or other suitable media;
- Transmission of the product to a depository, such as the Interuniversity Consortium for Political and Social Research;
- Publication on a Web Page; and
- Provision of customized printouts on request.

2. *Data Management Standards.* Scholars and researchers should attempt to do the following:
 - Compile data in disaggregated form, to maximize the opportunities for flexibility in their future use;
 - Reference and document sources; and
 - Offer survey participants confidentiality.
3. *Translatable Research.* Researchers and scholars should select hardware, software, data formats, coding schemes, etc., so as to maximize the usefulness of research products to other scholars. ***Grantees are obligated to make their data available to other researchers no more than three years after its collection. Databases should be deposited in recognized university archives, and any published articles that use the data should make available the data to other researchers wishing to duplicate or test their results.***

Establishing consistent standards and guidelines is necessary. Thus, ***NCEEER expects the following:***

- Numerical data be compiled in formats compatible with standard statistical and/or spreadsheet software, such as EXCEL, SPSS, SAS, TSP, or LOTUS;
- As feasible, bibliographic data be compiled in formats compatible with standard bibliographic information systems, such as OCLC or RLIN; and
- Scholars attempt to compile their data in formats that are compatible with those used by other researchers who are conducting similar investigations or studies.