

Global Technology & Innovation Project (GTIP) Initiative

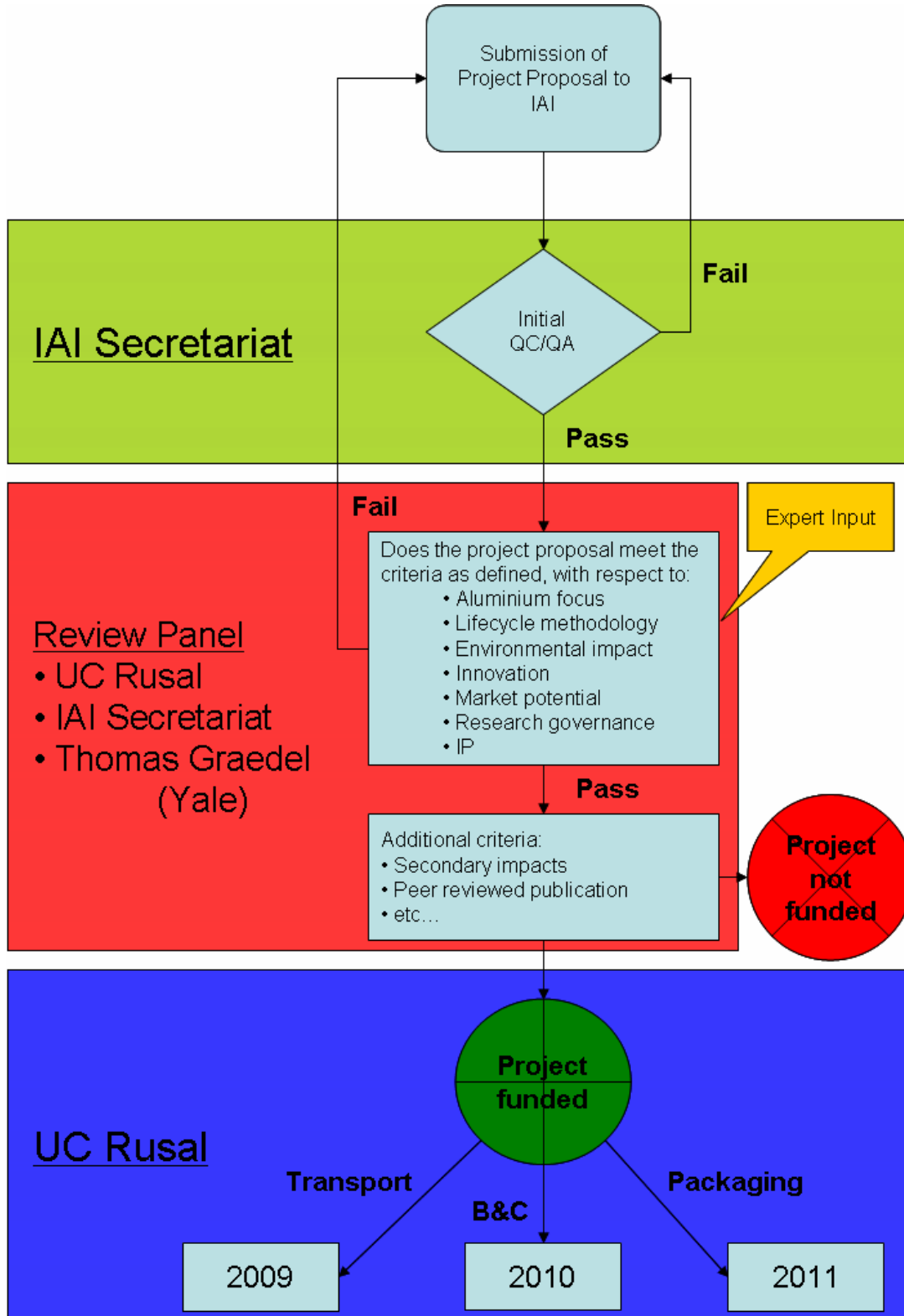
Project Criteria

The global aluminium industry, through the International Aluminium Institute (IAI) is committed to sustainable growth in markets for its products, which have the potential to be part of the solution to global climate change and energy security issues.

The Global Technology and Innovation Project Initiative is a UC RUSAL programme to which the IAI provides its support, the key objective of which is to foster the development of products and applications that ensure a continued and sustainable demand for aluminium produced from primary and recycled sources, with increasing usage in applications where the material can bring rapid and sustained improvement in energy efficiency, resource use, recyclability, secure packaging and transport.

1. Funding will be made to those projects that can deliver technologies or applications with:
 - a. Positive quantifiable greenhouse gas and/or energy efficiency benefits, demonstrated through the application of lifecycle assessment methodology, defined in ISO 14040 series standards (<http://www.iso.org>) as comprising:
 - Goal and scope;
 - Life cycle inventory;
 - Life cycle impact assessment;
 - Interpretation.
 - b. The potential for their near term development as commercially marketable products
 - Once the initial research is complete the research institution may determine that further research requires partners and additional funding to bring projects to market. It will be the joint decision of the parties as to how they assign patent and property rights. Neither UC RUSAL nor IAI seeks to control or own the intellectual property that comes about as a consequence of its funding.
 - c. The potential to increase demand for aluminium from primary and recycled sources
 - d. Designs that positively promote the recovery of aluminium scrap at the end of the product life
 - e. The potential to bring additional environmental benefits from other applications or processes (e.g. secondary weight savings from the lightweighting of vehicle components)
2. Deliverable applications or technologies should be designed to employ aluminium/aluminium alloys as the material of choice. Designs which can employ substitute materials for a more favourable environmental outcome at lower cost and with greater socio-economic benefits will not be classed as aluminium applications and will not receive funding.
3. Funding will be restricted to the development of demonstrably innovative technologies and applications and will not be made available for bringing existing applications to market. Requests for funding of ongoing research projects and will be considered.
4. Requests for part funding of projects will be considered but the names of other sponsors and potential sponsors should be included in the proposal.
5. The duration of projects should not exceed 3 years.
6. Priority will be given to projects which expect to publish their results in the peer reviewed literature;
7. Institutions applying for funding will be expected to have in place formal research governance procedures (around issues of scientific quality, risk, resources, health & safety and indemnity) and to conduct GTIP-funded projects in alignment with such processes.

Project Review Process



This document is not in itself a legally binding document but is intended to describe in broad outline the framework of cooperation. Only upon receipt of an NGA will grantees be expected to enter into a legally binding contractual agreement with UC RUSAL regarding performance and delivery of results.

1.) Research topics.

The Global Technology and Innovation Project Initiative is keen to support innovative ideas for the sustainable use of aluminium and welcomes any proposals without limitation. However, funding of research will focus on one specific end use market for each year of the programme. This should greatly enhance the concentration of research efforts and enable simple measurement and comparison of the value offered by different proposals within defined end use categories. The following research topics have been defined for each year of the programme.

- 2008 – Transportation
- 2009 – Building & Construction
- 2010 – Packaging

Project proposal should aim to deliver innovations and benefits and/or solve major challenges in one the mentioned areas. If a research center or a university has an expertise in packaging and is willing to compete for the best ideas in packaging it can still early apply in 2008.

2.) Submission of the project proposal to the International Aluminium Institute (IAI)

Research project proposals should be submitted on the form provided in either Russian or English and should follow the project criteria described above. Completed forms should be sent to Chris Bayliss, IAI Director of Global Projects, either by email to bayliss@world-aluminium.org, or by post to:

International Aluminium Institute
New Zealand House
Haymarket
London
SW1Y 4TE
United Kingdom

The deadline for submission of research proposals for funding in:

- 2009 is 30 September 2008;
- 2010 is 30 September 2009;
- 2011 is 30 September 2010.

3.) Initial discussion and Q&A stage

Each submitted research proposal will undergo preliminary review by the IAI Secretariat which may request additional information from the individual or institution from which the proposal is received. The IAI Secretariat will notify the submitting institution within 14 days of receiving the initial proposal if further details are required and all necessary information should be provided no later than 31 October.

Following initial review, projects will be submitted by the IAI Secretariat for review by the Global Technology and Innovation Project Initiative Review Panel in the December prior to the year for which funding is allocated. Projects for which the initial proposal is received after the 30 September deadline for which requested details are not received by 31 October may not be considered by the Review Panel.

4.) Review Panel

The Global Technology and Innovation Project Initiative Review Panel consists of:

- Representatives of the IAI Secretariat;
- Representatives of UC RUSAL;
- An independent academic advisor.

The Review Panel will review all projects based on a “first come, first served” basis. Early submission of project proposals will provide a longer assessment period by the Review Panel and improve opportunity for selection for funding in the following year. No more than three projects per year will be selected for sponsorship in 2009, 2010 and 2011. Individuals or institutions are welcome to submit proposals for multiple projects.

The Review Panel will judge proposals initially on their potential to fulfill the objectives of GTIP, but will prioritise those projects with added value such as publication in peer reviewed literature or secondary environmental benefits.

A Notice of Grant Award (NGA) will be made by 31 December to those research projects selected to receive funding by the Review Panel. A public announcement will be made by the end of the year naming those projects that have been successful in their application.

5.) Provision of the Grants and Notice of Grant Award

Grants are provided based on the decision of the Global Technology and Innovation Project Initiative Review Panel. Once the grantee is chosen GTIP Review Panel start finalizing details of the agreement, which are formulated in the Notice of Grant Award (NGA) and standard contract agreement.

The Notice of Grant Award (NGA) is an official document issued and sent to notify the grantee that an award has been made and that funds may be requested. An NGA is issued for the initial budget period and each subsequent budget period in the approved project period. The NGA reflects any future-year commitments. A revised NGA may be issued during a budget period to effect an action resulting in a change in the period or amount of support or other change in the terms and conditions of award. Until an NGA has been issued for the initial award, any costs incurred by the applicant for the project are incurred at its own risk.

A grantee indicates acceptance of the grand award and its associated terms and conditions by drawing or requesting funds from the designated payment system or office. If the grantee cannot accept the award, including the legal obligation to perform in accordance with its provisions, it should notify the GTIP panel immediately upon receipt of the NGA. If resolution cannot be reached, the GTIP will void the grant award.

GTIP's determination of applicable terms and conditions of award or denial of a request to change the terms and conditions is discretionary and not subject to appeal. Once the award is accepted by the grantee, the contents of the NGA are binding on the grantee unless and until modified by a revised NGA.

6.) Funding

For most proposed research projects, a project period system of funding is used. Under this system, projects are programmatically approved for support in their entirety but are funded in periodical increments

called budget periods. The periods are specified in the initial funding requests and are subjects to discussion and amendments by GTIP panel and grantee. Note that funding will either be made available for all of the requested monies within a given proposal or not at all.

7.) Budget

Each NGA sets forth the amount of funds awarded. The amount may be shown either as a categorical (line item) budget or as an amount for total direct costs (not broken down by category). The grantee has certain rebudgeting flexibility within the overall amount awarded if agreed with the GTIP panel.

8.) Payment

The payments are made within 30 business days after the official confirmation of NGA received from the grantee (request for funds from the designated payment system or office) following the approved budget schedule.

9.) Availability of Research Results: Publications, Intellectual Property Rights, and Sharing Research Resources

- The Global Technology and Innovation Project Initiative initiated by UC RUSAL is intended to bring benefits for industry as the whole. UC RUSAL and IAI policy is that the results and accomplishments of the activities that it funds should be made available to the public. Grantee organizations are expected to make the results and accomplishments of their activities available to the research community and to the public at large. The research organizations conducting research must release research data first produced in a project supported in whole or in part.
- The term “research data” is defined as the recorded factual material commonly accepted in the scientific community as necessary to validate research findings. It does not include preliminary analyses; drafts of scientific papers; plans for future research; peer reviews; communications with colleagues; physical objects (e.g., laboratory samples, audio or video tapes); trade secrets; commercial information; materials necessary to be held confidential by a researcher until publication in a peer-reviewed journal; information that is protected under the law (e.g., intellectual property); personnel and medical files and similar files, the disclosure of which would constitute an unwarranted invasion of personal privacy; or information that could be used to identify a particular person in a research study.

10.) Intellectual Property Rights

- Research organizations conducting the research in the framework of the Global Technology and Innovation Project Initiative have the right to retain title to any invention conceived or first actually reduced to practice using GTIP grant funds. The principal requirement for university or research center is to promote commercialization of the funded invention, while ensuring that invention is used in a manner that promotes free competition and enterprise without unduly encumbering future research and discovery.
- The grantee organization is required to use patent and licensing processes to transfer grant-supported technology to industry for development. Alternatively, unpatented research results may be made available through licensing to vendors or other investigators. Sharing of copyrightable outcomes of research may be in the form of journal articles or other publications.
- The grantee owns the rights on data resulting from a grant-supported project. Special terms and conditions of the grant award may indicate alternative rights, e.g., under a cooperative agreement or based on specific programmatic considerations. Except as otherwise provided in the terms and conditions of the grant award, any publications, data, or other copyrightable works developed in the framework of the programme. Rights in data also extend to students, fellows, or trainees under

awards whose primary purpose is educational, with the authors free to copyright works without GTIP panel approval.

- In all cases, UC RUSAL and IAI must be given a royalty-free, nonexclusive, and irrevocable license for the research results to reproduce, publish, or otherwise use the material and to authorize others to do so. Data developed by a consortium participant also is subject to this policy.

11.) **Sharing knowledge and information**

- As a means of sharing knowledge, we encourage research centers to arrange for publication of project's supported original research in primary scientific journals. Research centers and universities conducting research also should assert copyright in scientific and technical articles based on data produced under the grant where necessary to effect journal publication or inclusion in proceedings associated with professional activities.
- For each publication that results from grant-supported research, grantees must include an acknowledgment of UC RUSAL and IAI grant support and a disclaimer stating the following:
- *"This publication was made possible by _____ from _____" or "The project described was supported by _____ from _____" and "Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the UC RUSAL or IAI."*
- If the research center plans to issue a press release concerning the outcome of the grant-supported research, it should notify the GTIP panel in advance to allow for coordination of efforts.

12.) **Sharing of Research Data**

- We believe that data sharing is essential for expedited translation of research results into knowledge, products stimulating the sustainable development of the industry. UC RUSAL and IAI endorses the sharing of final research data to serve these and other important scientific goals and expects and supports the timely release and sharing of final research data from GTIP-supported studies for use by other researchers. "Timely release and sharing" is defined as no later than the acceptance for publication of the main findings from the final data set. Research center is expected to include a plan for data sharing or state why data sharing is not possible.