

APPROVED

by the decision of the Scientific Council
of the National Research Foundation of Ukraine
(Minutes of the meeting № 25 dated 29.06.2021)

The procedure of consideration and expertise of research and development projects, submitted to the National Research Foundation of Ukraine for participation in call selections

General provisions

1. In the procedure of consideration and expertise of research and development projects, submitted to the National Research Foundation of Ukraine for participation in call (hereinafter referred to as – “Procedure”), developed according to the Law of Ukraine "On scientific and technical activity", the Law of Ukraine "On scientific and technical expertise", Resolution of the Cabinet of Ministers of Ukraine of July 4, 2018 № 528 "On the National Research Foundation of Ukraine" and Resolution of the Cabinet of Ministers of Ukraine of December 27, 2019 № 1170 "On approval of the Procedure for call selection and financing of research and development projects by the National Research Foundation » (hereinafter referred to as – “Procedure for call selection”).
2. This Procedure determines the procedure for consideration and scientific and technical expertise (hereinafter referred to as – “expertise”) of research and development projects, submitted to the National Research Foundation of Ukraine (hereinafter referred to as – “Foundation”) for participation in call selections of the National Research Foundation of Ukraine (hereinafter referred to as – “call”).

3. The main principles of consideration and expertise of projects are:

- maximal openness and transparency;
- independence and objectivity of scientific and technical expertise of projects on implementation of scientific researches and developments;
- competency and objectivity of the persons conducting the expertise;
- taking into account the world level of scientific and technological progress;
- responsibility for the accuracy and completeness of the analysis, the validity of the recommendations of the expertise;
- respect for copyright and related rights, as well as adherence to the principles of scientific ethics;
- adherence to the principles of fair competition;
- prevention of conflicts of interest during the review and examination of research and development projects (hereinafter – “project”).

4. In this Procedure, the concepts have the following meaning:

Registration number – code mark, which is assigned to the application for grant support (hereinafter – ‘application’) during the call selection for grant support at the expense of the state budget and is stored on the application unchanged during the call selection;

Thematic Panel (Panel) – a group of members of the Call Commission, formed in accordance with the thematic areas of a specific call consisting of at least 5 people, which provides the process of consideration and examination of projects of the relevant thematic direction;

Curator – a member of the Call Commission, authorized by the decision of the Call Commission to carry out constant support of certain projects (from the selection of experts to the establishment of the results of the call);

Project authors – research supervisor and project executors, who indicate their names in the application.

Referent – an employee of the Directorate of the Foundation, appointed by the Directorate for organizational and technical support of the application submitted for the call, from the moment of its receipt until the end of the work of the Call Commission;

Arbitrator – a member of the Scientific Council of the Foundation, elected by the Scientific Council of the relevant section, for communication between the Call Commission and the Scientific Council of the section at all stages of consideration and expertise of projects, supervision of compliance with call conditions and requirements for Procedures;

Observer – a member of the Scientific Council of the Foundation, elected by the Scientific Council of the relevant section for the current monitoring of the process of consideration and expertise of applications for compliance with established requirements, rules and procedures and immediate notification of the Arbitrator;

Sending a project to an expert for scientific and technical expertise – official request sent by e-mail to a potential expert with a proposal to conduct a scientific and technical expertise of the project, indicating the name, annotation and list of authors of the project, and the period during which the expert is invited to consent to the examination (this period is determined by the Call Commission, though it may not exceed 5 working days);

Consent of the expert to conduct the expertise - confirmation of acceptance by a possible expert of the proposal to conduct scientific and technical expertise of the project in accordance with the requirements of this Procedure, sent by e-mail or through the electronic system of the Foundation;

Expert's opinion – the generalized result of scientific and technical expertise of the project made according to the established form, which contains numerical estimations in points on all established call conditions by evaluation criteria and the text substantiation of these estimations, and meets requirements concerning completeness, validity and reliability;

Confidential call information information contained in the materials of the call selection and in the electronic system of the Foundation, as well as information on the details of discussions of projects at the meetings of the Call Commission or Panels, except for:

- information that is publicly available;
- names, annotations and lists of project authors.

Other terms are used in the meaning given in the Law of Ukraine "On Scientific and Scientific-Technical Activity" and in the Procedure for Call Selection.

Submission and registration of applications for grant support

5. Submission and registration of applications are carried out in accordance with paragraphs 10-18 of the Call Selection Procedure and this Procedure.
6. Applications and documents for participation in the call are submitted in electronic form in Ukrainian or in Ukrainian and English in accordance with the requirements specified in the terms of the competition, with a mandatory note of the consent of the authors of the project for its implementation.
7. Replacement or clarification of the submitted documents by the participant after the expiration of the deadline for submission of the application specified in the call announcement is not allowed.
8. Requirements for the format of documents, including their scanned copies, and the method of their introduction through the Foundation's website when submitting applications in electronic form are determined by the terms of the call.
9. Only the applications submitted to the call within the period specified in the announcement of the call are subject to registration.
10. The application is registered by the Directorate of the Foundation with the entry of information into the Foundation's electronic database.
11. During registration, each application is assigned a corresponding registration number.
12. The participant is notified of the registration of the application and its acceptance for preliminary consideration (automatically when submitting the application online or within one working day by the Foundation's Directorate by e-mail).

Consideration and expertise of applications

13. Consideration and expertise of applications are carried out in accordance with paragraphs 19-26 of the Procedure for call selection, this Procedure, taking into account the requirements of the Regulations on scientific ethical principles and prevention of conflicts of interest during expertise and call selection of projects financed by grant support of the National Research Foundation of Ukraine, as well as in accordance with the Regulations on the Call Commission (Annex 1 to this Procedure) and the conditions of the call determined by the Scientific Council of the Foundation in the decision to hold the call.

14. The Scientific Council of the Foundation does not interfere in the work of the Call Commission and does not directly participate in the process of consideration and expertise of projects. In accordance with sub-clause 5 of clause 19 of the Regulation on the National Research Foundation of Ukraine, approved by the resolution of the Cabinet of Ministers of Ukraine of July 4, 2018 № 528, the Scientific Council of the Foundation monitors the implementation of its decisions. In order to monitor compliance with the requirements of this Procedure and the Regulations on adherence to scientific ethical principles and prevent conflicts of interest during the expertise and call selection of projects funded by grant support of the National Research Foundation of Ukraine, the Scientific Council of the Foundation elects one Arbitrator and two Observers for each Panel.

Observers are authorized to carry out current monitoring of the call at all stages of consideration and expertise of projects in order to prevent and timely eliminate possible violations. If violations are detected, the Observers shall immediately inform the Arbitrator and, if necessary, the Chairman of the Foundation. Observers do not directly interact with the members of the Call Commission and do not participate in the meetings of the Call Commission.

Arbitrators are authorized to monitor the Commission's compliance with the requirements of this Procedure, as well as the Regulations on compliance with scientific ethical principles and prevention of conflicts of interest during the expertise and call selection of projects funded by grant support from the National Research Foundation of Ukraine.

As access to the Foundation's electronic system is provided solely on the basis of confidentiality, the Arbitrators, Observers and members of the Call Commission shall, within five working days of their election, sign and give the Foundation's Directorate a non-disclosure agreement.

The arbitrator has the right to participate in the meetings of the Call Commission and Panels (without the right to vote). Upon the substantiated submission of the Arbitrator, the Scientific Council of the Foundation appeals to the Chairman of the Call Commission to respond to cases of possible violations during the review and expertise of projects.

In case of possible violations (both independently and at the request of the Observers), the Arbitrator is obliged to apply in writing (by e-mail) to the Chairman of the Panel for consideration and response to the fact of violation. Copies of such appeal shall also be sent to the Chairman of the Competition Commission at the same time.

In case of unsatisfactory response to the identified possible violations within three working days from the date of the Arbitrator's appeal to the Chairman of the Panel, the Arbitrator shall apply to the Chairman of the Scientific Council of the Foundation regarding the respond to violation (violations).

15. Within five working days from the deadline for submission of applications the Call Commission carries out (with the technical and organizational support of the Referents) their preliminary consideration of compliance with the criteria set by the Scientific Council of the Foundation in the call.

Upon preliminary consideration, the grounds for rejecting the application on formal grounds are the non-compliance of the documents submitted by the participant with the requirements for their list and / or registration, determined by the terms of the call.

The application may also be rejected upon preliminary consideration on the basis of its non-compliance with the thematic direction of the call (if such was determined in the terms of the call) and other conditions of the call.

Based on the results of the preliminary review, the Call Commission approves the list of applications that are rejected on formal grounds and / or withdrawn from consideration on the basis of non-compliance with the criteria specified in the call conditions. The decision of the Call Commission to withdraw the application due to its non-compliance with the criteria set by the call conditions shall be notified by the Directorate of the Foundation to the relevant participant via e-office and / or e-mail no later than three working days after the adoption of such a decision.

16. For each application recognized as eligible, the Call Commission, within no more than two working days from the date of completion of their preliminary consideration, upon the proposal of the Panel, appoints two Curators who will be responsible for supporting the application throughout the call. Each Curator declares no conflict of interest with the authors of the project.

Curators search for possible experts for their assigned projects using expert search systems, the use of which is approved by the Scientific Council of the Foundation (the relevant decision of the Scientific Council of the Foundation must be made before the announcement of the call). The primary criteria for selecting and ranking potential experts are the compliance of their field of expertise with the project topic and the general scientific level, confirmed by the availability of scientific degrees and relevant scientific publications.

At the proposal of the Curators, the Call Commission, within no more than five working days from the appointment of the Curators, approves a rating list of possible experts for each application, taking into account the project, call conditions, and requirements of the Regulations on Scientific Ethical Principles and Conflict of Interest Prevention during the expertise and call selection of projects financed by grant support of the National Research Foundation of Ukraine.

If the terms of the call provide for the mandatory involvement of foreign experts for the expertise of a particular project, then two separate rating lists (domestic and foreign experts) are approved.

The Curator of the application may not conduct an expertise of the project for which he / she has been designated by the Curator.

No later than within five working days from the date of approval by the Call Commission of the rating lists of possible experts, compiled taking into account the conditions of the call for the involvement of foreign experts (if provided by the terms of the call) the Call Commission, with the technical and organizational support of the Referent, sends a project for scientific and technical expertise (sends a request for examination) to the first three rated experts.

If a possible expert to whom the project was sent (request for examination) refused to conduct the expertise, or did not consent to its expertise, on the third working day he is sent a reminder letter with the opportunity to respond within one working day. If such a response is not received, the project is sent to the next expert in the rating list, taking into account the terms of the call (including the involvement of foreign experts).

The procedure is repeated until the consent of three experts who meet the conditions of the call is obtained, after which other requests for expertise of this application are canceled, and subsequent consents are rejected, and the Referents immediately notify the relevant experts.

The received consents are registered by the Referents in chronological order of their receipt.

If the rating list of possible experts approved by the Call Commission on a certain application is exhausted before three experts have given their consent, the Call Commission shall immediately (but not later than within three working days) approve an additional rating list of possible experts.

The maximum number of applications that can be examined by one expert is determined by the Call Commission, but may not exceed 10 applications within one call and 15 applications within all calls conducted by the Foundation for a calendar year.

17. When agreeing to conduct an expertise, the expert declares no conflict of interest with the authors of the project, and confirms the compliance of his / her area of expertise with the thematic direction of the project and the fact that he / she is familiar with the requirements of this Procedure and the Regulations on Scientific Ethical principles and prevention of conflicts of interest during the expertise and call selection of projects funded by grant support of the National Research Foundation of Ukraine.

The Curator shall immediately (but not later than within two working days) provide the expert who agreed to conduct the expertise of the project with access to the project materials through the electronic system of the Foundation. If the expert is not yet registered as a user in the electronic system of the Foundation, the Referent instructs and advises the expert on the actions required for such registration.

In addition to access to the project materials, the expert is also provided with the following information: e-mail addresses of both Project Curators, the Chairman of the Panel, the Chairman of the Call Commission, and the Chairman of the Foundation; methodical recommendations on preparation of the expert opinion.

18. The purpose of the application expertise is to draw up a reasoned opinion by the expert on the quality of the project and the ability of the participant to perform it at the appropriate level, in accordance with the criteria and evaluation form defined by the Scientific Council of the Foundation. Scientific and technical expertise of projects is carried out taking into account the Regulations on observance of scientific ethical principles and prevention of conflicts of interest during expertise and call selection of projects financed by grant support of the National Research Foundation of Ukraine. Criteria and form of evaluation of research and development projects are listed in Annex 2 to this Procedure.

19. The expertise of the project is carried out by experts within fifteen calendar days from the date of their access to the project materials. Based on the results of the expertise, the expert prepares the expert's opinion, which is submitted through the electronic system of the Foundation.

If the Call Commission does not accept the expert's opinion for consideration, a new expert is appointed to replace the one whose opinion was not accepted. The new expert agrees to conduct the expertise within three working days. If such consent is obtained, he is given five working days to carry out the expertise of the project.

Curators shall check its completeness, reliability, and validity no later than two working days from the date of submission of the expert's opinion to the electronic system of the Foundation. The expert's opinion is considered accepted for consideration by the Call Commission provided that the consensus of both Curators on its compliance with the established requirements for completeness, reliability and validity.

If the Curators identify deficiencies, the expert's opinion is returned for revision (with mandatory indication of the identified deficiencies), which the expert must make no later than within three working days.

If, after finalization, the expert's opinion, in the opinion of the Curators, still does not meet the requirements of completeness, reliability and validity, the issue is referred to the Panel. The panel shall, within three working days, make a decision on whether or not to accept the expert's opinion for consideration.

If the Panel decides that the expert's opinion cannot be accepted for consideration (does not meet the requirements of completeness, reliability and validity), such decision shall be submitted to the Call Commission, which shall make a final decision within no more than 5 working days.

In communication with experts, Curators and other members of the Call Commission do not have the right to express their own judgments on the project, but can only point out specific shortcomings in the expert's opinion (internal inconsistencies, missing or incomplete justifications, factual errors, etc.) and demand their elimination.

Any communication between Curators and experts outside the electronic system of the Foundation is prohibited.

If the Expert at any stage of the expertise considers that he is under pressure from the members of the Call Commission or other persons, he must immediately notify the Chairman of the Panel and the Chairman of the Call Commission and, if necessary, the Chairman of the Foundation. They shall immediately notify the Chairman of the Panel, the Chairman of the Call Commission, and the Arbitrator, and, if necessary, the Chairman of the Foundation, of any attempts to pressure or interfere with the work of the members of the Call Commission.

20. Curators analyze the set of conclusions of experts on the project and report on the results on the Panel meeting. If the discrepancy of the estimates R , calculated according to the procedure determined by the terms of the call, does not exceed the critical value set by the terms of the call, the final numerical score of the application is the arithmetic mean of the expert opinions. If the discrepancy indicator R exceeds the critical value established by the call conditions, then on the basis of consideration of the project taking into account the results of scientific and technical examination and substantiated proposals of the Curators, the Panel approves the proposal of the final numerical evaluation.

21. After receiving all expert opinions and making decisions on their acceptance for consideration, the Call Commission considers projects no later than within 7 working days, taking into account their compliance with the criteria set by the Scientific Council of the Foundation, the results of scientific and technical expertise of the project, and based on the proposals of the Panel, forms a rating list of projects with information on their numerical evaluation (from the highest value to the lowest).

If the Call Commission reasonably disagrees with the Panel's proposal for a final numerical evaluation of a particular project, it shall return the relevant project to the Panel for an immediate reconsideration.

After reconsideration by the Panel, the Call Commission makes the final decision on the numerical evaluation of this project, taking into account the proposal of the Panel.

During the formation of the rating list of projects, the expert's opinion is not taken into account in case of detection of a conflict of interest not declared by the expert after the completion of scientific and technical expertise.

Within no more than five working days after the formation of the rating list of projects and the relevant decision of the Call Commission, a protocol stating the results of scientific and technical expertise of projects and proposals for the rating list of projects and their numerical evaluation is to be drawn up.

The protocol is also accompanied by a list of projects recommended for implementation with the grant support of the Foundation and a list of winners of the call indicating the recommended amount of project funding and their distribution by year within the Foundation's expenditures provided for the respective purposes.

The Call Commission may propose a correction of project budgets based on the recommendation of experts and communication with project supervisors, before forming a final list of winners of the call, indicating the recommended amount of funding.

22. The results of the call are approved by the Scientific Council of the Foundation. If the Scientific Council of the Foundation considers that the determination of the final numerical evaluation of certain projects was in violation of the procedures specified in this Procedure, it shall return the relevant projects to the Call Commission for an immediate reconsideration.

23. Decisions on approval of call results, list of projects recommended for implementation due to grant support of the Foundation, and rating list of all projects with indication of points received by each project are published by the Directorate of the Foundation on the official website of the Foundation no later than five working days after approval of such a decision. For projects recommended for implementation through the grant support of the Foundation, the amounts of their funding and the name of the supervisor are also made public.

24. The textual substantiation of the evaluations received by the project based on the results of scientific and technical expertise, as well as an excerpt from the minutes of the Panel meeting shall be sent to the participant by e-mail no later than within 10 working days from the approval of the results of the contest by the Scientific Council of the Foundation.

Annex 1
to the Procedure of consideration and expertise
of research and development projects,
submitted to the National Research Foundation of Ukraine
for participation in call selections

Regulations on the Call Commission of the National Research Foundation of Ukraine

I. General provisions

1. The Call Commission of the National Research Foundation of Ukraine (hereinafter - the Call Commission) is created to conduct a call selection and evaluation of projects funded by grant support from the National Research Foundation of Ukraine (hereinafter - the Foundation).
2. In its activities, the Call Commission is guided by the Constitution and Laws of Ukraine, acts of the President of Ukraine and the Cabinet of Ministers of Ukraine, the Procedure for call selection and financing by the National Research Foundation of Ukraine of research and development projects approved by the resolution of the Cabinet of Ministers of Ukraine of December 27, 2019 № 1170 (hereinafter - the Procedure), the terms of a specific call, the Procedure for consideration and expertise of research projects submitted to the National Research Foundation of Ukraine for participation in call selections, Regulations on adherence to scientific ethical principles and prevention of conflicts of interest during the expertise and call selection of projects funded by grant support of the National Research Foundation of Ukraine, other legal acts of Ukraine and this Regulation.

3. The Call Commission ensures transparent and impartial selection of experts who will be involved in scientific and technical expertise of projects, carries out objective consideration of expert opinions, as well as prepares proposals to the Scientific Council of the Foundation on the rating list of projects.
4. The powers of the Call Commission continue until the completion of the process of concluding agreements with the winners of the call on the implementation of research and development with the grant support of the Foundation.

II. The order of formation, structure and composition of the Call Commission

1. The Call Commission is elected by the Scientific Council of the section of the Foundation among recognized scientists. In the case of announcing a call common to different sections of the Foundation, the composition of the Call Commission is approved by a joint agreed proposal of the Scientific Councils of the sections of the Foundation.

Structurally, the Call Commission consists of Thematic Panels (hereinafter - the Panels, or Call Panels). Panels consisting of at least 5 people are formed by the Call Commission from among its members. The number of Panels is set by the terms of the call.

The announcement of the election of the Call Commission is published on the website of the Foundation together with the decision of the Scientific Council of the Foundation on the announcement of the call.

The members of the Call Commission are selected from among the recognized scientists taking into account the following main criteria:

- scientific degree availability;
- wide citation of scientific publications in the relevant field of science;

- high qualification and experience;
- experience in conducting scientific and technical expertise;
- impeccable professional reputation and academic integrity (in particular, if at least two members of the scientific section of the Foundation have objections to a particular candidate due to reasonable doubts about its reputation and / or academic integrity, such a candidate is not allowed to consider).

The Scientific Council of the section of the Foundation may apply additional criteria, which may not contradict the above main selection criteria for the members of the Call Commission in order to select the most qualified and experienced candidates.

To be elected to the Call Commission, the relevant candidate must receive more than half of the votes of the Scientific Council of the section of the Foundation.

The Call Commission's members cannot be represented by:

- employees of the Directorate of the Foundation, members of the Foundation's Scientific Council, the Scientific Committee of the National Council for the Development of Science and Technology and members of their families;
- heads or deputy heads of scientific institutions, organizations and institutions of higher education, as well as persons holding other full-time administrative positions above the level of the head of a structural unit (department, laboratory, department) of a scientific institution or institution of higher education.

All members of the Call Commission confirm in writing the requirements of the Procedure for consideration and expertise of projects for research and development submitted to the National Research Foundation of Ukraine for participation in call selections, the requirements of the Regulations on scientific ethical principles and prevention of conflicts of interest during selection of projects funded by grant support from the National Research Foundation of Ukraine, and sign a commitment not to disclose confidential information (including confidential call information).

2. The members of the Call Commission at its first meeting elect from among its members the Chairman and Deputy Chairman of the Call Commission, the decision is made by a majority vote of the general membership of the Commission. The re-election of the Chairman and / or Deputy Chairman of the Call Commission may be carried out by the decision of the majority of members of the Call Commission at any stage of the call. The election and re-election of the chairman and deputy chairman of the Call Commission may be carried out by holding a meeting online or by audio / video conference.

3. The members of the Panels at the first meeting of each Panel elect from among their members the Chairman and Deputy Chairman of the Panel. The re-election of the Chairman and / or Deputy Chairman of the Panel may be carried out by the decision of the majority of members of the Panel at any stage of the call. The election and re-election of the Chair and Deputy Chair of the Panel may be conducted by holding an online meeting or audio / video conference.

4. If necessary, the number of members of the Call Commission and, accordingly, members of the Panels may be increased by no more than one third of the initial membership.

5. The functions of the secretary of the Call Commission are performed by the authorized employee of the Directorate of the Foundation. The functions of the Panel Secretary are performed by an authorized employee of the Directorate of the Foundation.

III. Call Commission's Credentials

1. The Call Commission:

- 1) carries out (with technical and organizational support of the Referents) preliminary consideration of applications for their compliance with the criteria set by the Scientific Council of the Foundation in the call, and rejects applications that do not meet such criteria;
- 2) approves the final list of projects admitted to the call and distributes these projects among the Panels in accordance with the area of knowledge specified in the application;
- 3) if the project is declared by the authors or determined by the decision of the Call Commission as interdisciplinary, its consideration is provided by two Panels; the Panel, the subject of which belongs to the field of knowledge specified in the application as first, is responsible for the consideration of the project.
- 4) determines from among its members two Curators of applications on the proposals of the relevant Panels (for interdisciplinary projects, one curator from two panels providing its consideration):
- 5) approves rating lists of possible experts for each project at the request of the Curators;
- 6) instructs the Referents to communicate with possible experts to form a final list of three experts for each project (based on their consent), as well as to send projects (send requests for expertise) to experts for scientific and technical expertise;
- 7) removes experts from conducting scientific and technical expertise of projects and annuls the expert opinion in case of a conflict of interest not declared by the expert;
- 8) on the basis of the results of scientific and technical expertise expressed in points, forms a rating list of projects with indication of information on their numerical evaluation (from the highest value to the lowest).
- 9) compiles a list of projects recommended for implementation due to the grant support of the Foundation, and a list of winners of the call.
- 10) submits the results of the call for approval by the Scientific Council of the Foundation;
- 11) carries out other powers related to the call, defined by the Procedure and these Regulations.

2Panels form proposals for Curators of applications, proposals to the list of applications that are proposed to be withdrawn on the basis of non-compliance with the topic and other requirements of the call, proposals for rating lists of possible experts, proposals for expert opinions, proposals for final numerical evaluations of projects.

3. Chairman of the Call Commission:

- 1) chairs the meetings of the Call Commission;
- 2) organizes the work of the Call Commission, convenes a meeting of the Call Commission, submits a draft agenda;
- 3) signs the minutes of the meetings of the Call Commission;
- 4) carries out the general management of the Call Commission;
- 5) monitors the proper and timely response of the Chairman of the Panel to the request of the Arbitrator;
- 6) exercises other powers defined by this Regulation.

4. In the absence of the chairman of the Call Commission, his functions are performed by his deputy.

5. Members of the Competition Commission have the right to:

- 1) make proposals to the agenda of the meeting of the Call Commission and the meetings of the Panels, which they include;
- 2) to get acquainted with the documents considered at the meeting of the Call Commission, to take part in their preparation and research in the time between the meetings;
- 3) to prepare for consideration at the meeting of the Call Commission certain issues necessary for the implementation of its activities, the Call in agreement with the chairman of the Competition Commission, etc.;

- 4) express their opinions and thoughts, as well as provide additional documents and explanations on the issues under consideration;
- 5) sign the minutes of the meeting of the Call Commission and the relevant Panels on the results of the call selection;
- 6) report at the meeting of the Call Commission on the agenda, make proposals, prepare draft decisions of the Call Commission;
- 7) vote on any decision of the Call Commission, except for cases when the Call Commission has decided not to vote for a member of the Call Commission due to a conflict of interest or other circumstances that affect his / her impartiality;
- 8) express a separate opinion on the decisions of the Call Commission;
- 9) withdraw or refuse to vote due to a conflict of interest or other circumstances affecting his / her impartiality;
- 10) exercise other powers specified in this Procedure for consideration and expertise of projects.

6. Secretary of the Call Commission:

- 1) prepares, in agreement with the Chairman of the Call Commission, drafts of the agenda of the Call Commission meetings;
- 2) prepares for the Call Commission's meetings, informs the Call Commission members about the time, place, mode (online or offline) of the meeting, performs other tasks of the Call Commission Chairman related to the organization of the Call Commission meetings;
- 3) prepares draft minutes of the Call Commission's meetings..

7. Secretary of the Panel:

- 1) prepares, in agreement with the Chairman of the Panel, drafts of the agenda of the Panel meetings;
- 2) prepares for the Panel's meetings, informs the Panel members about the time, place, mode (online or offline) of the meeting, performs other tasks of the Panel Chairman related to the organization of the Panel meetings;
- 3) prepares draft minutes of the Panel meetings.

IV. Maintenance of the activities of the Call Commission

Organizational and technical support for the activities of the Call Commission is provided by the Foundation's Directorate.

V. Organization and procedure of work (holding meetings) of the Call Commission

1. In order to ensure transparency of the decision-making process and prevent conflicts of interest during the expertise and call selection of projects, members of the Call Commission after reviewing the list of projects and the list of possible experts must sign a statement on the absence of conflict of interest.

Each member of the Call Commission who participates in its meeting and has information about any conflict of interest must immediately notify about it.

In case of identification of a conflict of interest after the decision of the Call Commission, it must meet for a second meeting to consider the identified conflict. If there is a conflict of interest, the members of the Call Commission shall determine whether the decision of the member of the Call Commission in respect of which such a conflict has been identified would

affect the voting results of each of them. If not, the initial decision remains in force. If at least one of the members of the Call Commission considers that the result of his / her voting could have been affected by such a conflict, a second ballot shall be held.

The vote of a member of the Call Commission in respect of whom an undeclared conflict of interest has been identified shall not be taken into account in a second ballot. The Scientific Council of the Foundation is considering the issue of removing such a member of the Call Commission from further participation in the call selection procedure.

2. Documents relating to the call should be considered as documents containing confidential call information.

Referents, members of the Call Commission, members of the Scientific Council of the Foundation (including Arbitrators and Observers) have no right to disclose to persons who are not members of the Call Commission or members of the Scientific Council of the Foundation confidential call information and information on the composition of the Call Commission and Panels (except when the Scientific Council of the Foundation decided to make such information publicly available).

3. The organizational form of the Call Commission / Panel is meetings convened by the Chairman of the Call Commission / Panel or on the initiative of at least three members of the Call Commission / Panel. Meetings of the Call Commission / Panel can be held online using audio and video communication; in this case, an audio / video recording of the meeting shall be provided, which shall be kept until the publication by the Scientific Council of the Foundation of the results of the call and shall also be considered confidential call information. A meeting of the Call Commission / Panel is valid if at least two thirds of its members took part in it.

4. In the absence of the Procedure for consideration and expertise of projects for research and development submitted to the National Research Foundation of Ukraine for participation in a call selection of provisions determining the procedure for holding a meeting or consideration of any procedural issues, the Call Commission must make a decision that ensures the

objectivity, impartiality and timeliness of call selection and other principles of call selection in accordance with the Procedure. Such a decision must be documented in writing, indicating the procedure used by the Call Commission.

5. No later than 2 working days before the beginning of the meeting, the Secretary of the Call Commission / Panel shall send an invitation by e-mail to all members of the Call Commission / Panel.

If the invitation is not answered, the members of the Commission who did not respond are notified by phone about the time and place of the meeting of the Call Commission or about the time of the meeting online or audio / video conference.

6. Minutes shall be kept at each meeting of the Call Commission / Panel indicating the voting results. The members of the Commission / Panel may have a dissenting opinion on the subject of the vote and have the right to express such an opinion by recording it in the minutes. The minutes are signed by the chairman and secretary of the Call Commission / Panel. In case of participation of all or part of the members of the Commission / Panel in the meeting by audio / video conferences or online voting, the Secretary of the Commission / Panel shall certify with his signature in the minutes the data on physically absent members of the Commission / Panel. A copy of the minutes of each meeting shall be sent by the Secretary to all members of the Commission / Panel by e-mail no later than three working days from the end of the meeting. The minutes shall be deemed approved by the members of the Commission / Panel if they do not submit written comments to it within seven working days from the date of the end of the meeting, sent by e-mail to the Chairman and Secretary of the Commission / Panel.

Summarizing the results of the call is carried out at a meeting of the Call Commission. The minutes of the meeting of the Call Commission, at which the results of the call are summarized, are signed by all members of the Call Commission present at the meeting. In case of force majeure, the results of the call can be summed up by holding a meeting of the Call Commission online or an audio / video conference; in this case, the minutes shall be signed by the chairman and secretary of the Call Commission, and each member of the Commission shall send a paper copy of the minutes signed by mail within no more than two days to the secretary.

All minutes of the meetings of the Call Commission / Panel, including audio / video recordings of the meetings, are kept by the Directorate of the Foundation according to the current legislation, audio / video recordings of the meetings are kept until the end of the term of the Call Commission.

7. The Chairman of the Call Commission shall notify the Chairman of the Foundation of all identified cases of possible violation by experts or members of the Call Commission of the Regulations on Observance of Scientific Ethical Principles and Prevention of Conflict of Interest during expertise and call selection of projects funded by grant support of the National Research Foundation of Ukraine, within no more than three working days from the moment the Commission establishes the fact of violation, in order for the Scientific Council of the Foundation section to decide not to allow these persons to further participate in scientific and technical expertise and / or call selection of projects submitted to the National Research Foundation Ukraine; such decisions are submitted to the Scientific Council of the Foundation.

8. The Call Commission / Panel decides by a simple majority of its members by open ballot, unless the Commission / Panel decides not to vote for a member of the Call Commission / Panel due to his / her conflict of interest or other circumstances affecting his / her impartiality.

If all or part of the members of the Commission / Panel participate in a meeting by audio / video conference or online voting, the Secretary of the Commission / Panel is personally responsible for documenting the authenticity of the voting results, by video or audio recording, etc.

The votes are counted by the Secretary of the Commission / Competition Panel. If the results of voting for different proposals receive an equal number of votes, the chairman of the Commission / Panel of the call puts the question to a second vote after additional discussion. In case of repeated equal distribution of votes, the vote of the Chairman of the Call Commission / Panel is decisive.

It is not allowed to vote on behalf of or transfer the vote to another member of the Call Commission / Panel.

9. Based on the results of the project review within five working days after the decision of the all Commission, a protocol indicating the results of scientific and technical expertise of each project and proposals for the rating list of projects is drawn up.

The protocol is accompanied by a list of projects recommended for implementation with the grant support of the Foundation, as well as a list of winners of the call indicating the recommended amount of project funding and distribution of funds by year within the Foundation's expenditures provided for the respective purposes.

These materials are submitted to the Scientific Council of the Foundation for approval of the results of the call.

10. Remuneration of members of the Call Commission is carried out taking into account the Procedure for formation and use of funds of the National Research Foundation of Ukraine and Norms of remuneration of experts involved in state scientific and technical expertises conducted at the expense of the state budget.

Annex 2
to the Procedure of consideration and expertise
of research and development projects,
submitted to the National Research Foundation of Ukraine
for participation in call selections

1. Projects are evaluated by independent experts according to the form and criteria approved by the Scientific Council of the Foundation.
2. Each project is evaluated on the following aspects with appropriate weighting factors:
 - Quality of the planned research;
 - Significance of the project for further development of science / technology / technology / society (according to the direction of the project);
 - Quality and realism of the proposed project implementation plan;
 - Scientific achievements of the project.
3. Each aspect includes several evaluation criteria that have their own weights.
4. Evaluation of each criterion is carried out by an expert on a 5-point scale with the obligatory provision of appropriate justification.

5. The number of points for an aspect is calculated as the arithmetic mean of the weighted points according to the evaluation criteria for this aspect.
6. The total number of project points is calculated as the arithmetic mean of the weighted points by aspects, multiplied by 20.
7. During the evaluation of the project for each criterion a 5-point scale with the following value of points is used:

0	The project does not meet the criteria or can not be assessed due to lack of or incomplete information provided by this criterion.
1. Bad	Information on the criteria evaluated is not presented properly or it has critical flaws.
2. Satisfactorily	In general, the project meets the criteria, but there are significant shortcomings.
3. Good	The project meets the criteria, but there are some shortcomings.
4. Very good	The project meets the criteria very well, but improvements are possible.
5. Excellent	The indicator fully meets the criteria.

The following criteria, weights and form are used to evaluate a research and development project:

Evaluation criteria	Rating scale	Weighting factor
<p>1. The quality of the planned research</p> <p>This section provides an assessment of the justification of the research project, its focus on solving current (urgent) scientific problems, clarity of goal and objectives, their compliance with the current level of scientific achievements, novelty of scientific ideas, originality of scientific hypothesis, correct choice of methodology and research methods hypotheses.</p>	<p>From 0 to 5</p> <p>The number of points on the aspect is calculated as the arithmetic mean of the weighted points on the criteria</p>	<p>Aspect weight factor – determined by the terms of the call</p>
<p>1.1. Motivation and validity of the scientific concept: whether the current state of research and the problems that need to be solved are adequate and with appropriate references.</p>	<p>0-5</p>	<p>0.3</p>
<p><i>Comments:</i></p>		
<p>1.2. Novelty of scientific ideas (including from the standpoint of interdisciplinarity if the research is multidisciplinary)</p>	<p>0-5</p>	<p>0.3</p>
<p><i>Comments:</i></p>		

<p>1.3. Clarity and relevance of the stated purpose and objectives of the study</p>	<p>0-5</p>	<p>0.2</p>
<p><i>Comments:</i></p>		
<p>1.4. Adequacy of the proposed approaches and research methods, their compliance with the purpose and objectives of the project</p>	<p>0-5</p>	<p>0.2</p>
<p><i>Comments:</i></p>		
	<p>Average weighted score</p>	

<p>2 Significance of the project for further development of science / technology / technology / society (according to the direction of the project)</p> <p>This section provides an assessment of the clarity of definition and argumentation of the prospects for further application of research results for the development of science and new technologies, as well as the possibility of implementing research results in the economic and social spheres. The completeness and potential efficiency of publication of research results, the possibility of commercialization of project achievements are taken into account.</p>	<p style="text-align: center;">From 0 to 5</p> <p>The number of points on the aspect is calculated as the arithmetic mean of the weighted points on the criteria</p>	<p style="text-align: center;">Aspect weight factor – determined by the terms of the call</p>
<p>2.1. Potential importance of expected results and acquisition of new knowledge, development of new approaches and technologies and / or their significance for solving current practical scientific / technical / social problems.</p>	<p style="text-align: center;">0-5</p>	<p style="text-align: center;">0.5</p>
<p><i>Comments:</i></p>		
<p>2.2. Effectiveness and relevance of planned ways of publishing / using research results (expected professional publications, presentations at international scientific conferences, dissemination of research results to the public).</p>	<p style="text-align: center;">0-5</p>	<p style="text-align: center;">0.5</p>

<i>Comments:</i>		
	Average weighted score	
<p>3. Quality and realism of the proposed project implementation plan</p> <p>Within this section, the validity of the work plan and the clarity of intermediate goals, their logical sequence are assessed; clarity of the description of the planned tasks with the indication of concrete results which can be checked; consistency of complexity of tasks with their time frame; compliance of equipment and materials specified as necessary for the project implementation, implementation of its purpose and objectives; clarity of description of equipment and materials and adequacy of their price in the budget.</p>	<p>From 0 to 5</p> <p>The number of points on the aspect is calculated as the arithmetic mean of the weighted points on the criteria</p>	<p>Aspect weight factor – determined by the terms of the call</p>
<p>3.1. Compliance of the work plan, compliance with the time frame of complexity of the formulated stages and tasks, clarity of intermediate goals, their logical sequence,</p>	<p>0-5</p>	<p>0.25</p>

<i>Comments:</i>		
3.2. Correspondence of material and technical base, equipment (available and planned) to the set task	0-5	0.25
<i>Comments:</i>		
3.3. Balance and validity of the overall project budget	0-5	0.25
<i>Comments:</i>		
3.4. Availability and validity of assessment of possible risks and anticipation of ways to prevent or resolve them.	0-5	0.25
<i>Comments:</i>		
	Average weighted score	

4. Scientific achievements of the project executors	From 0 to 5 The number of points on the aspect is calculated as the arithmetic mean of the weighted points on the criteria	Aspect weight factor - determined by the terms of the call
4.1. Quality of publications of the project supervisor for the last 5 years.	0-5	0.3
4.2. Quality of publications of project executors for the last 5 years	0-5	0.3
4.3. Balance of the team of executors: correspondence of the number of executors and the level of their qualification to the purpose and tasks of the project.	0-5	0.2
4.4. Participation of the project supervisor and executors in research programs funded by domestic and international organizations and institutions (including grants) for the last 5 years.	0-5	0.2
	Average weighted score	

	Total project score: arithmetic mean of weighted points by aspects, multiplied by 20	
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