

The Procedure of consideration and reviewing 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 reviewing of research and development projects, submitted to the National Research Foundation of Ukraine for participation in call selections (hereinafter referred to as ‘Procedure’), developed according to the Law of Ukraine ‘On Scientific and Scientific-technical Activity’, the Law of Ukraine ‘On Scientific and Scientific-technical Expertise’, Decree of the Cabinet of Ministers of Ukraine of July 4, 2018 No 528 ‘On the National Research Foundation of Ukraine’ and Decree of the Cabinet of Ministers of Ukraine of December 27, 2019 No 1170 ‘On Approval of the Procedure for Call Selection and Financing of Research and Development Projects by the National Research Foundation (with amendments and additions) (hereinafter referred to as ‘Procedure For Call Selection’).

2. This Procedure determines the procedure for consideration and scientific and technical reviewing (hereinafter referred to as ‘reviewing’) 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 reviewing of projects are:

- maximal openness and transparency;
- independence and objectivity of scientific and technical reviewing of projects on implementation of scientific research and developments;
- competency and objectivity of the persons conducting the reviewing;
- consideration of the world level of research and technological progress;
- responsibility for the accuracy and completeness of the analysis, the validity of the recommendations of the reviewing;
- respect for copyright and related rights, as well as adherence to the principles of research ethics;
- adherence to the principles of fair competition;

- prevention of conflicts of interest during the consideration and reviewing of research and development projects (hereinafter referred – ‘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 (five) people which provides the process of consideration and reviewing 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);

The author of the project on the implementation of research and developments (the author of the project) is a researcher specified in the application for receiving grant support;

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 reviewing of projects, supervision of compliance with all conditions and requirements of this Procedure;

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 reviewing of applications for compliance with established requirements, rules and procedures and immediate notification of the Arbitrator about their violation;

Foreign expert is an expert who has been working outside of Ukraine for at least the last 5 years. Confirmation of the expert's work outside Ukraine is considered to be the fact that only institutions outside Ukraine are indicated the expert's research publications indexed in scientometric databases and search engines as a place of work (affiliation) during the last 5 years. A researcher who works/has worked (affiliation) in an institution of the Russian Federation and/or Belarus in any period since 2014 cannot be an expert.

Sending a project to an expert for scientific and technical reviewing (hereinafter – ‘reviewing’) – official request sent through the Foundation's electronic system for submitting and processing projects (hereinafter referred – ‘Foundation's electronic system’) or by e-mail to a potential expert with a proposal to conduct reviewing of the project, indicating the title, annotation and list of authors of the project, and the period during which the expert is invited to consent to the reviewing (this period is determined by the Call Commission, though it may not exceed 5 working days);

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

Expert’s opinion – a generalized result of reviewing of the project made according to the established form. It contains numerical estimations in points by all evaluation criteria established by call terms and conditions and text substantiations of these estimations. It shall meet requirements concerning completeness, validity and reliability;

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

- publicly available information;
- 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 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 Procedure for Call Selection and this Procedure.

6. Applications and documents for participation in calls are submitted in the electronic form in Ukrainian or Ukrainian and English in accordance with the requirements specified in the terms of the call with a mandatory note of consent of the authors of the project for its implementation.

7. Replacement or clarification of the submitted documents by the participant after the deadline for submission of applications specified in the call announcement is not allowed.

8. Requirements for the format of documents including their scanned copies and the method of their uploading through the Foundation's website when submitting applications in the electronic form are determined by the terms and conditions of calls.

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 system.

11. During registration, each application is assigned a corresponding registration number.

12. A 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 reviewing of applications

13. Consideration and reviewing 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 research ethical principles and prevention of conflicts of interest during reviewing 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 terms and conditions of the call determined by the Scientific Council of the Foundation in its 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 reviewing of projects. In accordance with sub-clause 5 of clause 19 of the Regulation on the National Research Foundation of Ukraine, approved by the Decree of the Cabinet of Ministers of Ukraine of July 4, 2018 No. 528, the Scientific Council of the Foundation monitors implementation of its decisions.

In order to monitor compliance with the requirements of this Procedure and the Regulations on adherence to research ethical principles and to prevent conflicts of interest during the reviewing 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 no later than two working days before the deadline for accepting applications.

Arbitrators and Observers must notify the Call Commission and the Scientific Council of the Foundation in writing about the absence or existence of a conflict of interest with authors of applications no later than five working days after the deadline for submitting applications.

Observers are authorized to carry out current monitoring of calls at all stages of consideration and reviewing of projects in order to prevent and timely eliminate possible violations. If violations are detected, Observers shall immediately inform the Arbitrator and, if necessary, the Head of the Foundation. Observers do not directly interact with the members of the Call Commission and do not participate in 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 research ethical principles and prevention of conflicts of interest during the reviewing 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 based on confidentiality, Arbitrators, Observers and members of the Call Commission shall, within five working days after their election, sign and give the Foundation's Directorate a non-disclosure agreement (including of confidential call information). Arbitrators and Observers sign a corresponding commitment to non-disclosure of confidential information after their election to Scientific Councils of the Foundation's sections.

The Arbitrator is eligible 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 consideration and reviewing of projects.

In possible violations have been detected (both independently and at the request of the Observers), the Arbitrator is obliged to appeal in writing (by e-mail) to the Chairman of the Panel for consideration and response to the fact of violation. Copies of such an appeal shall simultaneously be sent to the Chairman of the Call Commission. In case of unsatisfactory response to the detected 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 response to the violation (violations).

15. Within fifteen working days from the deadline for submission of applications, the Call Commission conducts (with the technical and organizational support of Referents) their preliminary review on formal grounds and compliance with the criteria determined by the Scientific Council of the Foundation.

The grounds for rejecting an application as for formal requirements are non-compliance of the documents submitted by the participant with the requirements for their list and/or registration, determined by the terms and conditions of the call.

Based on the results of the preliminary consideration, the Call Commission approves the list of applications that are rejected on formal grounds and/or withdrawn from consideration based on non-compliance with the criteria specified in the call terms and conditions.

The decision of the Call Commission to reject an application on formal grounds and/or to withdraw it from consideration due to its non-compliance with the criteria set by the call terms and conditions shall be notified by the Directorate of the Foundation to the relevant applicant electronically (through the Foundation's electronic system and/or by e-mail) no later than three working days after the approval 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 consideration of the application throughout the call.

Each Curator in writing reports absence of a conflict of interest with the authors of the project by submitting an application according to the established form.

Curators search for possible experts for projects assigned with them 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 (formation of a rating list of possible experts) are the compliance of their field of reviewing with the project topic and the general research level, confirmed by the availability of research degrees and relevant research publications.

At the proposal of Curators, the Call Commission, within no more than eight working days from the selection of the Curators, forms and approves a rating list of possible experts for each application taking into account the topic of the project, call terms and conditions and requirements of the Regulations on research ethical principles and conflict of interest prevention during the reviewing and call selection of projects financed by grant support of the National Research Foundation of Ukraine.

If terms and conditions of a call provide for the mandatory involvement of foreign experts in reviewing, there must be at least one foreign expert in the top three of the rating list of possible experts.

Requests for conducting reviewing are sent to potential experts in such a sequence as to satisfy the terms and conditions of the call in terms of involvement of domestic and foreign experts.

The members of the Call Commission are not eligible to conduct reviewing of projects submitted for participation in the relevant call.

Members of the Foundation's Governing Bodies, as well as authors of projects submitted for participation in a call are not eligible to conduct the reviewing of projects of the relevant call.

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

Simultaneously with sending a request for reviewing in the Foundations' electronic system, the Referent communicates with possible experts using the means of communication specified in the expert's personal profile by sending text messages.

In case a possible expert to whom a request for conducting the reviewing was sent did not respond regarding its conduct, on the third working day the Referent, using the means of communication indicated in the personal profile of the expert (by sending text messages), contacts the possible expert again asking for a response to the request within two working days.

If after sending a request for the reviewing to the first three possible experts the required number of experts is not yet available a request for reviewing is sent to the number of experts which is not enough to conduct the reviewing of the project (according to the terms and conditions of the call).

The consents to conduct the reviewing received are registered by the Referents after which the Curators form a group of experts (with the number and composition provided by the terms and conditions of the call) who will conduct the project reviewing.

If the rating list of possible experts approved by the Call Commission for a certain application is exhausted before three experts have given their consent, the Call Commission forms and approves an additional rating list of possible experts containing at least three possible experts no later than within three working days (depending on the terms and conditions of the call).

The maximum number of applications that can be reviewed 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 in a calendar year.

17. When agreeing to conduct the reviewing, a Ukrainian expert provides the following documents through the Foundation's electronic system:

- 1) a document certifying the award of a research degree (scanned copy);
- 2) a statement on the absence of a conflict of interests (scanned copy according to the established form);
- 3) a civil law contract signed on his/her side for conducting research and technical reviewing (scanned copy);

- 4) obligations regarding confidentiality (a checkbox in the Foundation's electronic system);
- 5) a statement on compliance with research ethical principles and prevention of conflict of interests during the reviewing (a checkbox in the Foundation's electronic system);
- 6) a statement on familiarization with the requirements of this Procedure (a checkbox in the Foundation's electronic system).

Providing the reviewing is carried out on a paid basis the expert provides:

- a paper version of a civil law contract signed on his/her side for conducting research and technical reviewing;
- a self-certified copy of a document certifying the award of a research degree;
- a statement on the absence of a conflict of interests (according to the established form),
- a self-certified copy of the passport of a citizen of Ukraine;
- a self-certified copy of the taxpayer's card;
- a self-certified copy of a certificate from a Ukrainian bank (with details of the current account in Ukrainian hryvnias).

Provided the reviewing is conducted without payment, the expert provides:

- a paper version of a civil law contract signed on his/her side for conducting research and technical reviewing;
- a self-certified copy of a document certifying the award of a research degree;
- a statement on the absence of a conflict of interests (according to the established form);
- a self-certified copy of the passport of a citizen of Ukraine;
- a self-certified copy of the taxpayer's card.

When giving consent to conduct the review under the conditions specified in the accession agreement in the Foundation's electronic system, a foreign expert informs the Call Commission about the absence of a conflict of interests with the authors of the project, and also confirms the correspondence of his/her area (field) of reviewing to the thematic direction of the project and the fact that he/she is familiar with the requirements of this Procedure, the requirements of the Regulation on the observance of research ethical principles and the prevention of a conflict of interests during the reviewing and call selection of projects financed by the grant support of the National Research Foundation of Ukraine, and provides a scanned copy of the document certifying the award of a research degree.

If a foreign expert is a citizen of Ukraine, he/she can provide reviewing on a paid basis, provided he/she provides the same list of documents that are specified above in the same clause for Ukrainian experts.

Note.

The last sentence of Clause 17 of this Procedure shall be enforced from the date of entry into force of the normative legal act, which regulates involvement of foreign experts in research and scientific and technical reviewing at the expense of the state budget.

The Curator provides the project for reviewing through the Foundation's electronic system to the expert who has given consent for the reviewing as well as all the necessary documents no later than within two working days.

If the expert is not yet registered as a user in the Foundation's electronic system, the Referent instructs and consults the expert on the actions necessary for such registration.

In addition to access to project materials, the expert is provided with methodological recommendations for preparing the expert's opinion, as well as the official e-mail address of the Foundation and the e-mail address of the Head of the Foundation.

If the expert at any stage of the review believes that he/she is being pressured or interfered with in his/her work by members of the Call Commission or other persons, he/she must immediately notify the Head of the Foundation in writing, in particular by e-mail.

The Head of the Foundation should be immediately notified of any attempts of pressure or interference by other persons in the work of the members of the Call Commission in writing, in particular by e-mail.

18. The purpose of the application reviewing 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 approved by the Scientific Council of the Foundation.

Research and technical reviewing of projects is carried out taking into account the Regulations on the observance of research ethical principles and prevention of conflicts of interest during reviewing and call selection of projects financed by grant support of the National Research Foundation of Ukraine and this Procedure.

Criteria and form of evaluation of research and development projects (Methodical guidelines for reviewers) are listed in Annex 2 to this Procedure.

19. The reviewing of a 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

reviewing, the expert prepares the expert's opinion, which is submitted through the Foundation's electronic system.

Curators shall check its completeness, reliability, and validity no later than within two working days from the date of submission of the expert's opinion to the Foundation's electronic system. The expert's opinion is considered accepted for consideration by the Call Commission provided that both Curators have achieved a consensus 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 a mandatory indication of the identified deficiencies), which the expert shall complete no later than within three working days.

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

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 a decision shall be submitted to the Call Commission, which shall make a final decision within no more than 5 working days.

If the Call Commission does not accept the expert's opinion for consideration, a new expert is selected to replace the one whose opinion was not accepted. The new expert gives consent to conduct the reviewing within three working days. If such a consent is received, he/she is given five working days to carry out the project reviewing.

In communication with experts (exclusively through the Foundation's electronic system) Curators and other members of the Call Commission do not have the right to express their 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 Foundation's electronic system is prohibited.

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

the proposal of the final numerical evaluation the procedure for determining which is established by the terms and conditions of the call.

21. After receiving all experts' opinions and making decisions on their acceptance for consideration, the Call Commission considers projects no later than within 10 working days:

- 1) reviews projects taking into account their compliance with the criteria set by the Scientific Council of the Foundation, the results of research and technical reviewing of the project;
- 2) accepts the recommended amount of funding before forming the list of call winners;
- 3) based on the proposals of the Panels forms a rating list of projects with information on their numerical evaluation (from the largest value to the lowest) and a list of call winners with an indication of the recommended amount of project financing and their distribution by year within the limits of the Foundation's expenditures, provided for the respective purposes.

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

After repeated consideration by the Panel, the Call Commission makes a final decision on the numerical evaluation of this project, taking into account the Panel's proposal.

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 research and technical reviewing.

Within no more than five working days after the formation of the rating list of projects and the relevant decision of the Call Commission, the Secretary of the Call Commission draws up a protocol stating the results of research and technical reviewing of projects and proposals for the rating list of projects and their numerical evaluation.

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 PI's, 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 violated the procedures specified in this

Procedure, it shall return the relevant projects to the Call Commission for immediate reconsideration.

23. Decisions on approval of call results, a list of projects recommended for implementation by the grant support of the Foundation, and a rating list of all projects with an 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 within 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 PI are also made public.

24. The textual substantiation of the evaluations received by the project based on the results of research and technical reviewing shall be sent to the relevant call participant through the electronic cabinet or/and by e-mail no later than 10 working days from the approval of the results of the call by the Scientific Council of the Foundation.

Annex 1

**to the Procedure of consideration
and reviewing of research and developments 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 Decree of the Cabinet of Ministers of Ukraine of December 27, 2019 No. 1170 (with amendments and additions) (hereinafter – the Procedure), the terms and conditions of a specific call, the Procedure for consideration and reviewing of research projects submitted to the National Research Foundation of Ukraine for participation in call selections, Regulations on adherence to research ethical principles and prevention of conflicts of interest during the reviewing and call selection of projects funded by grant support of the National Research Foundation of Ukraine, other legal acts of Ukraine and these Regulations.

3. The Call Commission ensures transparent and impartial selection of experts who will be involved in research and technical reviewing 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 developments with the grant support of the Foundation.

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

1. Within ten working days from the date of publication of the announcement of the call on the official website of the Foundation, the Scientific Council of the Foundation's section elects at its meeting the Call Commission from among recognized researchers in the area (with their consent) by open vote consisting of at least seven people. In case of announcing a call common to different sections of the Foundation, the composition of the Call Commission is approved by a jointly agreed proposal of the Scientific Councils of the sections of the Foundation.

Structurally, the Call Commission consists of Thematic Panels (hereinafter 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 established by the terms and conditions of the call.

The announcement on the election of the Call Commission is published on the official 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 researchers recognized in a certain field of research (upon their consent) taking into account the following main criteria:

- availability of a research degree;
- wide citation of research publications in the relevant field or research;
- high qualification and experience;
- experience in conducting research and technical reviewing;
- impeccable professional reputation and academic integrity (in particular, if at least two members of the Scientific Council of the Foundation's section have objections to a particular candidate due to reasonable doubts about its reputation and/or academic integrity, such a candidate is not eligible for consideration).

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:

- staff 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 research institutions, organizations and institutions of higher education, as well as persons holding other full-time administrative positions above the level of head of a structural unit (department, laboratory, chair) of a research institution or institution of higher education.

All members of the Call Commission confirm in writing the requirements of the Procedure for consideration and reviewing of projects for research and developments submitted to the National Research Foundation of Ukraine for participation in call

selections, the requirements of the Regulations on research ethical principles and prevention of conflicts of interest during the 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. Members of the Call Commission at its first meeting which is held no later than five working days before the deadline for submitting applications elect from among its members Chairman and Deputy Chairman of the Call Commission. The decision is made by a majority vote of the general membership of the Commission. 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 at a video conference.

3. Members of Panels at the first meeting of each Panel which is held no later than five working days before the deadline for submitting applications elect from among their members Chairman and Deputy Chairman of the Panel. 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.

The Scientific Council of the section shall make the appropriate decision to elect two Curators who will be responsible for the application throughout the entire call selection process.

5. The functions of the Secretary of the Call Commission are performed by an 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 the technical and organizational support of Referents) preliminary consideration of applications for their compliance with the criteria set by the Scientific Council of the Foundation in terms and conditions of the call;

2) approves of 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 a project is declared by the authors or determined by the decision of the Call Commission as interdisciplinary, the Panel whose subject belongs to the field of knowledge specified in the application first is responsible for consideration of the project.

4) determines from among its members two Curators for applications on proposals of the relevant Panel;

5) forms and approves of rating lists of possible experts for each project at the request of the Curators;

6) instructs Referents to communicate with possible experts to form a final list of three experts for each project (upon their consent), as well as to send projects (send requests for reviewing) to experts for research and technical reviewing;

7) removes experts from conducting research and technical reviewing of projects and cancels an experts' opinion in case a conflict of interests not declared by the experts is detected during or after the completion of the reviewing;

8) manages the work of groups of experts (consulting on individual issues of reviewing, proper preparation by the expert of the results of the project reviewing in the form of a conclusion during its preparation);

9) accepts or does not accept the expert's opinion for consideration due to compliance/non-compliance with the established requirements for completeness, reliability and validity;

10) based on the results of the review expressed in points, forms a rating list of projects with information on their numerical evaluation (from the highest value to the lowest).

11) compiles a list of projects recommended for implementation at the expense of the Foundation's grant support, and a list of winners of the call with an indication of the recommended volume of project financing and their distribution by year within the limits of the Foundation's expenditures, provided for the respective purposes.

12) submits the results of the call for approval by the Scientific Council of the Foundation;

13) carries out other powers related to holding of calls, determined by the Procedure for call selection, this Procedure and these Regulations.

2. Panels form proposals for Curators of applications, proposals to the list of applications that are proposed to be withdrawn based on non-compliance with the criteria by which the selection of projects is carried out, determined by the terms and conditions 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 work of the Call Commission, convenes meetings of the Call Commission, and 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 proper and timely response of the Chairman of the Panel to requests of the Arbitrator;
- 6) exercises other powers defined by these Regulations.

4. In case Chairman of the Call Commission is absent his/her functions are performed by his/her Deputy.

Members of the Call Commission are eligible to:

- 1) make proposals to the agenda of meetings of the Call Commission and meetings of the Panels which they are members of;
- 2) get acquainted with the documents considered at meetings of the Call Commission, to take part in their preparation and research during the period between the meetings;
- 3) in agreement with the Chairman of the Call Commission, prepare for consideration at meetings of the Call Commission certain issues necessary for the implementation of its activities, holding of the call, 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, and 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 that a member of the Call Commission cannot vote due to a conflict of interests 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 interests or other circumstances affecting his / her impartiality;
- 10) carry out other powers specified in the Procedure for the Call Selection, this Procedure.

6. Secretary of the Call Commission:

- 1) in agreement with the Chairman of the Call Commission, prepares drafts of agenda of the Call Commission's meetings;

2) prepares 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 Chairman of the Call Commission related to the organization of the Call Commission's meetings;

3) prepares draft minutes of the Call Commission's meetings.

7. Secretary of the Panel:

1) in agreement with the Chairman of the Panel, prepares drafts of the agenda of the Panel's 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 Chairman of the Panel related to the organization of the Panel's meetings;

3) prepares draft minutes of the Panel meetings.

IV. Support for 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 interests during the reviewing and call selection of projects, members of the Call Commission after familiarizing with the list of projects and the list of possible experts shall 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 interests after the decision of the Call Commission is made, it must meet for another meeting to consider the identified conflict. If there is a conflict of interests, 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, another voting 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 the second voting. The Scientific Council of the Foundation considers 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) are not eligible 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 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 case of this Procedure does not have provisions that determine the procedure for holding a meeting or consideration of any of the procedural issues, the Call Commission shall make a decision that ensures objectivity, impartiality and timeliness of the call selection and other principles of the 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 about the time and place of the meeting of the Call Commission or about the time of the meeting online or through audio/video conference by phone.

6. Minutes indicating the voting results are kept at each meeting of the Commission / Call Panel. 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/her 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 within three working days from the day of the end of the meeting. The minutes are considered approved by the members of the Commission / Panel if they do not submit written comments to them 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 within 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 Head of the Foundation of all identified cases of possible violation by experts or members of the Call Commission of the Regulations on adherence to research ethical principles and prevention of conflicts of interests during the reviewing 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 for the Scientific Council of the Foundation's section to decide to prevent these persons from further participation in research and technical reviewing and/or call selection of projects submitted to the National Research Foundation Ukraine; such decisions are referred 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 that a member of the Call Commission / Panel cannot vote due to his / her conflict of interests or other circumstances affecting his / her impartiality.

If all or part of the members of the Call 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 / Call Panel. If the results of voting for different proposals receive an equal number of votes, the Chairman of the Call Commission / Panel 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 reviewing within five working days after the decision of the Call Commission is made, a protocol indicating the results of research and technical reviewing 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. The remuneration for members of the Call Commission is carried out by taking into account the Procedure for the formation and use of funds of the National Research Foundation of Ukraine and the Norms of remuneration of experts involved in state research and technical reviewing conducted at the expense of the State Budget.

Annex 2

**to the Procedure of consideration
and reviewing of research and developments projects
submitted to the National Research Foundation of Ukraine
for participation in call selections**

**Criteria and form of evaluation of research and developments project
(Methodical guidelines for of reviewers)**

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 research/engineering/technologies/society (according to the area of the project);
- quality and realism of the proposed project implementation plan;
- research achievements of the project executors.

3. Each aspect includes several evaluation criteria that have their own weighting factors.

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 a 5-point scale with the following value of points is used for each criterion:

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

The following criteria, weights and forms are used to evaluate a research and developments project:

Evaluation criteria	Rating scale	Weighting factor
1. Quality of the planned research This section provides an assessment of the justification of the research project, its focus on solving a current (urgent) research problem, clarity of goal and objectives formulation, their compliance with the current level of research achievements, novelty of the research ideas, originality of the research hypothesis, correctness of the choice of methodology and research methods for testing the research hypothesis.	From 0 to 5 The number of points on the aspect is calculated as the arithmetic mean of the weighted points on the criteria	The weight factor of the aspect is determined by the conditions of the call
1.1. Motivation and validity of the research concept: whether the current state of research and the problems that need to be solved are adequate and with appropriate references.	0-5	0.3
<i>Comments</i>		
1.2. Novelty of the research ideas (including from the standpoint of interdisciplinarity if the research is multidisciplinary)	0-5	0.3
<i>Comments</i>		
1.3. Clarity and relevance of the stated purpose and objectives of the research	0-5	0.2
<i>Comments</i>		

<p>1.4. Adequacy of the proposed approaches and research methods, their compliance with the purpose and objectives of the project</p>	0-5	0.2
<p><i>Comments</i></p>		
	Average weighted score	
<p>2. Significance of the project for further development of science/engineering/technology/society (according to the area of the project) This section provides an assessment of clarity of definition and argumentation of the prospects for further application of the research results for the development of research and new technologies, as well as the possibility of implementing research results in the economic and social spheres. Completeness and potential efficiency of publications of research results, the possibility of commercialization of the 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>The weight factor of the aspect is determined by the conditions 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>	0-5	0.5
<p><i>Comments</i></p>		
<p>2.2. Effectiveness and relevance of planned ways of publishing / using the research results (expected professional publications, presentations at international research conferences, dissemination of research results to the public).</p>	0-5	0.5
<p><i>Comments</i></p>		
	Average weighted score	
<p>3. Quality and realism of the proposed project implementation plan Within this section, validity of the work plan and clarity of intermediate goals and their logical sequence are assessed; clarity</p>	<p style="text-align: center;">From 0 to 5</p> <p>The number of points on the aspect is calculated</p>	<p>The weight factor of the aspect is determined by the conditions of the call</p>

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, realization of its purpose and objectives; clarity of description of equipment and materials and adequacy of their price in the budget.	as the arithmetic mean of the weighted points on the criteria	
3.1. Validity of the work plan, compliance of the time frame with the complexity of the formulated stages and tasks, clarity of intermediate goals, their logical sequence.	0-5	0.25
<i>Comments</i>		
3.2. Correspondence of material and technical base, equipment (available and planned) to the tasks set.	0-5	0.25
<i>Comments</i>		
3.3. Balance and reasonableness of the overall project budget	0-5	0.25
<i>Comments</i>		
3.4. Availability and validity of the assessment of possible risks and prediction of ways to prevent or resolve them.	0-5	0.25
<i>Comments</i>		
	Average weighted score	
4. Research 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	The weight factor of the aspect is determined by the conditions of the call
4.1. Quality of publications of the project PI for the last 5 years.	0-5	0.3
4.2. Quality of publications of the 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	0-5	0.2

qualification to the purpose and tasks of the project.		
4.4. Participation of the project PI 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 the weighted points by aspects multiplied by 20	

**Criteria and form of evaluation of research and development project for individual grants
(Methodical provision of the reviewing)**

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:

- the quality of the planned research;
- the significance of the project for further development of research/techniques/technologies (according to the direction of the project);
- quality and realism of the proposed project implementation plan.

3. Each aspect includes several evaluation criteria that have their own weighting factors.

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 a 5-point scale with the following value of points is used for each criterion:

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

The following criteria, weights and forms are used to evaluate a research and developments project:

Evaluation criteria	Rating scale	Weighting factor
1. Quality of the planned research This section provides an assessment of the justification of the research project, its focus on solving a current (urgent) research problem, clarity of goal and objectives formulation, their compliance with the current level of research achievements, novelty of the research ideas, originality of the research hypothesis, correctness of the choice of methodology and research methods for testing the research hypothesis.	From 0 to 5 The number of points on the aspect is calculated as the arithmetic mean of the weighted points on the criteria	—
1.1. Motivation and validity of the research concept: whether the current state of research and the problems that need to be solved are adequate and with appropriate references.	0-5	0.25
<i>Comments</i>		
1.2. Relevance and novelty of the research ideas (including from the standpoint of	0-5	0.25

interdisciplinarity if the research is multidisciplinary)		
1.3. Clarity and relevance of the stated purpose and objectives of the research.	0-5	0.25
1.4. Adequacy of the proposed approaches and research methods, their compliance with the purpose and objectives of the project.	0-5	0.25
<p>2. Significance of the project for further development of science/ engineering/ technologies/ society (according to the area of the project)</p> <p>This section provides an assessment of clarity of definition and argumentation of the prospects for further application of the research results for the development of research and new technologies, as well as solving the problems of society. Completeness and potential efficiency of the publications of research results are taken into account.</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>	–
2.1. Potential importance of expected results and acquisition of new knowledge compared to the best world achievements in the development of the specified research problem, development of new approaches and technologies and/or their significance for solving current practical scientific/technical/social problems.	0-5	0.4
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).	0-5	0.3
2.3. The prospect of continuing the research of the specified problem in the future.	0-5	0.3
<p>3. Quality and realism of the proposed project implementation plan</p> <p>Within this section, validity of the work</p>	From 0 to 5	–

<p>plan and clarity of intermediate goals and 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 (if there is a need to purchase them and in accordance with the terms and conditions of the call), implementation of its purpose and objectives; clarity of description of equipment and materials and adequacy of their price in the budget (if there is a need to purchase them and in accordance with the terms and conditions of the call).</p>	<p>The number of points on the aspect is calculated as the arithmetic mean of the weighted points on the criteria</p>	
<p>3.1. Validity of the work plan, methodology of its implementation, compliance of the time frame with the complexity of the formulated stages and tasks, clarity of intermediate goals, their logical sequence.</p>	<p>0-5</p>	<p>0.3</p>
<p>3.2. Consistency of the complexity of the tasks with their time frames, as well as balance and reasonableness of the overall project budget.</p>	<p>0-5</p>	<p>0.2</p>
<p>3.3. Clarity of construction of the logical and structural scheme of the research.</p>	<p>0-5</p>	<p>0.2</p>
<p>3.4. Quality of the project PI's publications over the last 5 years.</p>	<p>0-5</p>	<p>0.3</p>