

TERMS AND CONDITIONS

for the call for projects for implementation of research and developments
to be held the National Research Foundation of Ukraine

**«Cambridge – NRFU 2022. Individual research (developments) grants for
researchers in Ukraine (supported by the University of Cambridge, UK)»**

I. THEMATIC AREAS OF THE CALL AND DURATION OF IMPLEMENTATION OF THE PROJECTS TO BE SELECTED BASED ON THE RESULTS OF THE CALL. GENERAL INFORMATION ABOUT THE CALL

1.1. The title of the call is ‘**Cambridge - NRFU 2022. Individual research (developments) grants for
researchers in Ukraine (supported by the University of Cambridge, UK)** (hereinafter – the Call).

1.2. The purpose of the Call is to support advanced research and developments by Ukrainian based researchers who were directly affected by the hostilities in Ukraine in 2022, by providing individual grants with the support of the University of Cambridge (Great Britain). The call selection is carried out in accordance with the Procedure for the call selection and financing by the National Research Foundation of Ukraine (hereinafter – the Foundation) of projects for the implementation of research and developments, approved by the Decree of the Cabinet of Ministers of Ukraine of December 27, 2019, No. 1170 (with amendments and additions made by the Decree of the Cabinet of Ministers of Ukraine of May 3, 2022, No. 536).

1.3. Thematic areas of the Call – the Call covers a wide range of fundamental and applied problems in all research areas, related to the solution of the most urgent research tasks aimed at the technological, economic, social and cultural progress of Ukraine.

1.4. The topics of the projects must correspond to at least one of the priority areas of science and technology development (in accordance with Article 3 of the Law of Ukraine "On Priority Areas of Science and Technology Development") and the thematic areas of the Call (taking into account the amendments made to the Laws of Ukraine "On Priority Areas of Science and Technology Development" and "On Priority Areas Of Innovative Activities In Ukraine", based on the Law of Ukraine of February 1, 2022 No. 2031-IX "On Amendments to Certain Laws of Ukraine Regarding Priority Areas of Science and Technology Development and Innovative Activities").

Projects that contain data which are classified as a state secret (according to the Law of Ukraine “On State Secrets”) are not accepted for consideration in the Call.

1.5. Duration of projects to be selected based on the results of the call – 12 months in 2023-2024.

The project implementation period is 12 months (from the moment of concluding the Agreement on the implementation of research and development at the expense of grant support (hereinafter – the Agreement) concluded by the Foundation (Grantor) with the winner of the Call (Grantee)).

II. ELIGIBILITY CRITERIA FOR CALL PARTICIPANTS

***The requirements are formulated in accordance with the Agreement on reforming research assessment (https://coara.eu/app/uploads/2022/09/2022_07_19_rra_agreement_final.pdf)**

2.1. General requirements.

Participants of the Call are researchers (individuals). The implementer is the principal investigator (PI) of the project.

Call participants apply for grant support (hereinafter – the Application) exclusively individually.

One individual may not submit more than one application to this Call. Violation of this requirement is grounds for rejection of all applications where the individual who violated the above requirement is represented.

Participants of the Call can only be researchers employed by research institutions or institutions of higher education of Ukraine (hereinafter – “IHE”) of state ownership and performing their functions there as at the main place of work, which must be confirmed by a certificate from the main place of work (as of the time of submitting the application).

The category of researchers who were directly affected by the war in Ukraine in 2022 includes researchers who fall under at least one of the following criteria:

1. The institution where the researcher works at his/her main place of work has been relocated from its permanent location (IHEs or research institutions from the administrative-territorial units of Ukraine on the territory of which they cannot carry out their activities and have been temporarily relocated to the administrative-territorial units of Ukraine on the territory of which they can carry out their activities in full (as of the date of announcement of the Call). Verified by an official letter signed by the Rector of the IHE or Director of the research institution.
2. The premises of the IHE or research institution where the researcher works at his/her main place of work have been (partially) destroyed as a result of shelling, bombing, other hostilities, and require repairs or reconstruction. Verified by an official letter signed by the Rector of the IHE or Director of the research institution.
3. The researcher has the status of an internally displaced person as a result of Russia’s military aggression, which is to be confirmed by the relevant certificate.

The circumstances that determine that the researcher belongs to the category of researchers directly affected by the war in Ukraine in 2022, are listed in the application (in Section 3.5 and in the CV) and supported by official documents.

Call participants must:

- be employed by research institutions or IHE of Ukraine of state ownership and performing their functions there as at the main place of work (must be confirmed with a respective certificate);
- have a research degree obtained or recognized in Ukraine (must be documentally confirmed);
- belong to the category of researchers who were directly affected by the war in Ukraine in 2022 (must be documentally confirmed and stated in Section 3.5 of the Application and in the CV).

The Head of the Foundation, Members of the Scientific Council and the Supervisory Board of the Foundation, Members of the Call Commission and staff of the Foundation's Directorate are not eligible to be PIs (implementers) of the project information about which is contained in the application submitted for participation in the Call.

Persons who are the PIs (implementers) of the projects submitted for participation in the Call cannot be involved in the scientific and technical reviewing of the projects of the Call.

Persons who were authors of projects for which grant support was terminated by the decision of the Scientific Council of the Foundation due to improper fulfillment of the terms of the contract on the implementation of research and development at the expense of grant support, and to whom the Scientific Council applied Clause 2 of the Restrictive Measures applied to authors of projects grant which support was terminated by the decision of the Scientific Council of NRFU due to improper implementation of research and developments, and based on the results of evaluation of the quality of project implementation and the publication/dissemination of the results, are not eligible to participate in the Call.

Persons who were authors and signed the final report on the implementation of the projects to which Clause 1 of the Restrictive Measures applied to the authors of the projects the grant support for which was terminated by the decision of the Scientific Council of the NRFU due to improper implementation of research and developments, and according to the results of evaluation of the quality of projects implementation, and publication/dissemination of results, are not eligible to participate in the Call until the Scientific Council of the Foundation adopts the appropriate decision regarding the provided information and relevant documents.

The participant of the Call is responsible for the accuracy of the information contained in the application and the documents attached to it. The consequence of providing inaccurate information is withdrawal of the project from the call (as a project that does not meet formal criteria of the Call).

2.2. Aspects of project implementation

A project submitted for participation in the Call may not be submitted simultaneously for participation in another call for the purpose of obtaining funding from the budget and other funds, as well as in case such a project is or was financed from the budget or other funding as a result of another call.

The implementation of the project shall include intensive use of online tools for research processing and systematization of information, remote communication, use of digital programs, online platforms, etc.

At the time of concluding the Agreement, Call participants must be based on the territory of Ukraine.

During the implementation of the project, it is expected that the Grantee is will cooperate with researchers from the University of Cambridge (Great Britain).

The Grantee uses all possible means to popularize the Project financed by the grant funding.

Publications, official announcements, information for the media, social networks, other open sources and speeches at scientific events for the purpose of presenting the research (development) shall indicate:

- the fact of its funding by the National Research Foundation of Ukraine supported by the University of Cambridge (Great Britain);
- project identification number and title.

III. CRITERIA FOR NUMERICAL EVALUATION OF PROJECTS

3.1. The selection of projects is carried out in accordance with the the Procedure for consideration and examination of projects for research and developments submitted to the National Research Foundation of Ukraine for participation in call selections approved by the NRFU Supervisory Board on the 5th of September 2022.

3.2. Algorithm for forming the final numerical evaluation of applications

Curators analyze the set of expert opinions on the project and report on the results at the Panel Meeting. For each project, the indicator R of the discrepancy of the estimates S_1 , S_2 and S_3 , set by three experts:

$$R = \frac{SD}{S} \cdot 100\%$$

where S - the arithmetic mean of the received points, i.e.

$$S = \frac{S_1 + S_2 + S_3}{3}$$

SD - standard deviation:

$$SD = \sqrt{\frac{(S_1 - S)^2 + (S_2 - S)^2 + (S_3 - S)^2}{3}}$$

3.3. If the discrepancy index R does not exceed the critical value of 10%, the final numerical score of the application is defined as the arithmetic mean S of the expert estimates.

3.4. If the discrepancy rate exceeds the critical value of 10%, then:

a) each member of the panel, ($j = 1, \dots, N$, where N – number of panel members) determines the degree of validity of k of each of the expert assessments, in points from 1 (bad) to 5; $i = 1, \dots, 3$ (good);

b) the final numerical evaluation of the application is calculated as the weighted average of the expert evaluations:

$$S = S_1\beta_1 + S_2\beta_2 + S_3\beta_3$$

$$\beta_i = \frac{\sum_{j=1}^N k_{ij}}{\sum_{i=1}^3 \sum_{j=1}^N k_{ij}}, \quad i = 1, 2, 3.$$

IV. TERMS AND CONDITIONS, TIME AND PLACE OF THE CALL

The terms and conditions of the call selection are specified in all paragraphs of this document compliance with which is mandatory.

The Call is held from 27/12/2022 till 23/05/2023.

Venue of the Call: Ukraine, Kyiv, Borysa Hrinchenka Street, 1.

V. PROCEDURE FOR ACCEPTANCE (RECEIPT), REGISTRATION AND PRELIMINARY CONSIDERATION OF APPLICATIONS

5.1. Applications and documents for participation in the Call are submitted in the electronic form on the official website of the Foundation (<https://grants.nrfu.org.ua>) in Ukrainian and English (using the 'NRFU Project Call' Software) in accordance with the Terms and Conditions of this Call with a mandatory note of consent of the author of the project to implement it.

Replacement or clarification of the submitted documents by the participant of the Call after the deadline for submission of applications is not allowed.

To apply, the participant of the Call must pre-register on the Foundation's official website.

The identification of the applicant is carried out during registration by using a qualified electronic signature (QES).

The participant of the Call has the right to withdraw the application before the deadline for its submission in their personal account.

5.2. Acceptance and registration of applications shall last 30 calendar days from the date of the start of accepting applications. The first 50 applications (in chronological order of their submission) which meet the formal criteria based on the results of the preliminary consideration of applications will be sent for scientific and technical reviewing.

An application received from a Call participant using the 'NRFU Project Call' Software and signed with a qualified electronic signature (QES) is considered submitted.

5.3. Preliminary consideration of the application regarding compliance with the requirements for its filling out, completeness and accuracy of the submitted information is carried out by the Call Commission (with organizational and technical support of the Directorate of the Foundation) within 15 (fifteen) working days after the application submission deadline.

VI. DEADLINES FOR THE SUBMISSION AND CONSIDERATION OF APPLICATIONS, THE CONDUCT OF SCIENTIFIC AND TECHNICAL REVIEWING OF PROJECTS AND SUMMARIZATION OF THE CALL RESULTS

6.1. Date and time of the beginning of submission of applications: 29/12/2022 , 00:01 (Kyiv time)

Date and time of completion of submission of applications: 27/01/2023, 23:59 (Kyiv time)

Conducting scientific and technical reviewing and summarization of the Call: up to 23/05/2023.

6.2. The Call Commission (consisting of 3 panels) at its meeting reviews the projects taking into account their compliance with the criteria determined by the Scientific Council of the Foundation, the results of the scientific and technical reviewing of the project, after which it forms a rating list of projects with information on their numerical evaluation (from the largest value to the smallest).

Based on the results of consideration of the projects, within five (5) working days after the decision of the Call Commission, a protocol is drawn up, in which the results of the scientific and technical reviewing of the projects and proposals regarding the rating list of the projects and their numerical evaluation are noted.

A list of projects recommended for implementation at the expense of the Foundation's grant support, and a list of Call winners with an indication of the recommended amount of project funding and their distribution within the limits of the Foundation's expenditures, provided for the respective purposes are also attached to the protocol.

The results of the Call are approved by the Scientific Council of the Foundation.

The decision to approve the results of the Call, the list of projects recommended for implementation at the expense of grant support of the Foundation, and the amount of their funding is posted on the official website of the Foundation within five working days.

A text reasoning of the scores which estimates the results of scientific and technical reviewing that the project received is sent to the Call participants via email. The rating list of projects with an indication of the points received by each project is posted on the official website of the Foundation.

6.3. After the Foundation decides on the grant provision, the Foundation and the winner of the Call enter into an Agreement on research and development through grant support. The Agreement defines all the necessary conditions for the project implementation, including the responsibility of the Grantee and application of penalties for non-performance or late implementation of the Grantee's obligations.

The term of concluding the Agreement shall not exceed 30 calendar days from the moment of making the decision on providing the grant. If the Agreement between the winner and the Foundation is not concluded within the specified period due to the fault of the winner, it is considered that the winner has refused to further implement the project.

VII. TOTAL BUDGET FOR FUNDING OF PROJECTS TO BE SELECTED ACCORDING TO THE RESULTS OF THE CALL

7.1. The total budget and general information regarding the procedure for financing research and developments to be selected according to the results of the Call.

The total budget for funding of projects to be selected according to the results of the Call is equivalent to EUR 144,000 in the national currency of Ukraine.

The maximum budget of funding for one project is equivalent to EUR 12,000 in the national currency of Ukraine and is divided into 12 months (equivalent to EUR 1,000 in the national currency of Ukraine per one month) including taxes, charges and fees provided for this type of allocations.

The terms and procedure of financing projects depend on the amount of the voluntary contributions (donation) from the University of Cambridge (UK), provided to the National Research Foundation of Ukraine for the organization and conducting of the Call.

The grant is provided to the Grantee in the amount of the full cost of the works necessary for the implementation of the project.

Financing of the Project is carried out by regular transfers of funds by the Foundation from its registration account to the Grantee's personal account in accordance with the Project Calendar Plan for the implementation of research (development) (hereinafter – the Calendar Plan) and Financing Schedule of the Project for research and development (hereinafter – the Financing Schedule), Terms of Reference for the project on the implementation of scientific research and development, Information and monitoring certificate on the progress of scientific research and development at the expense of the grant support of the National Research Foundation of Ukraine within the limits of the funding actually received by the Foundation.

The project is implemented during one stage.

In this Call, the NRFU is the Grantee's tax agent who accrues, withholds and pays taxes, assessments and fees. The Grantee receives funds on his/her personal account after payment by the Foundation of all mandatory taxes, charges and fees.

The costs of the Grantee related to the implementation of the project include only labor costs (direct costs).

7.2. Funds transferred by the Foundation to the Grantee's personal account may be used exclusively to implement the research (development). The following cannot be financed with grant funds: preparation of a project application for receiving grant support; expenses not directly related to the implementation of the project (in particular, payment of intermediary services, purchase of goods, performance of works, provision of services not related to the implementation of the project); payment for works and services that were or will be financed from other sources before or after the conclusion of the Agreement.

7.3. Based on the results of the work done and within the deadlines specified in the Agreement, the Grantee submits to the Foundation:

- the final report on project implementation (research report), prepared in accordance with DSTU 3008: 2015 'Information and documentation. Reports in the field of science and technology. Structure and rules of design' -- in electronic form and in one paper bound copy;
- the financial report on the use of funds for the project implementation – in electronic form and in one paper copy (prepared according to the recommended sample);
- annotated report on the work performed within the project with reference to research publications (in two languages – Ukrainian and English) in electronic form and in one paper copy (prepared according to the recommended sample);
- other documentation provided for in the Agreement.

The final report on project implementation of the project (research report) and financial report on the use of funds are considered and approved by the Scientific Council of the Foundation. The approval of these documents by the Scientific Council of the Foundation is the basis for signing the Project Implementation Act.

VIII. THE NUMBER OF EXPERTS CONDUCTING SCIENTIFIC AND TECHNICAL REVIEWING OF THE PROJECT

Evaluation of projects is carried out by three (3) independent experts, at least one of whom is a foreign expert (a representative of the University of Cambridge).

IX. CRITERIA OF PROJECTS SELECTION (IN PARTICULAR, COMPLIANCE WITH THE PURPOSE, THEMATIC, THE TERMS AND CONDITIONS OF THE CALL)

9.1. Evaluation of projects is carried out according to the form and criteria approved by the Scientific Council of the Foundation.

9.2. Each project is evaluated on the following aspects with appropriate weights:

- Quality of the planned research;
- Significance of the project for further development of research and technology (according to the field of the project);
- Quality and realism of the proposed project implementation plan.

9.3. Each aspect includes several evaluation criteria that have their own weights.

9.4. Evaluation of each criterion is carried out by an expert on a 5-point scale with the obligatory provision of appropriate justification.

9.5. 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.

9.6. The total number of project points is calculated as the arithmetic mean of the weighted points by aspects, multiplied by 20.

9.7. To evaluate the project in the Call ‘**Cambridge - NRFU 2022. Individual research (developments) grants for researchers in Ukraine** (*supported by the University of Cambridge, UK*), a 5-point scale with the following values of points is being used: (*see below*)

0 – Poor	The project does not meet the criteria or can not be assessed due to lack of or incomplete information provided by this criterion
1 – Unsatisfactory	Information on the criteria evaluated is not presented properly or it has critical flaws.
2 – Satisfactory	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 – Fully satisfactory	The project fully meets the criteria.

The following aspects, their weights and form are used to evaluate the project in this Call:

Aspects of evaluation	Rating scale	Weighting factor
1. Quality of the planned research This section provides an assessment of the justification of the	From 0 to 5 The number of points	0,3

research project, its focus on solving current (urgent) research problems, clarity of goal and objectives, their compliance with the current level of research achievements, novelty of scientific ideas, originality of scientific hypothesis, correct choice of methodology and research methods for verification of the research hypothesis.	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 described adequately and with appropriate references.	0-5	0.25
1.2. Relevance and novelty of research ideas (including from the standpoint of interdisciplinarity if the research is multidisciplinary)	0-5	0.25
1.3. Clarity and relevance of the stated purpose and objectives of the study	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/ research / technology /society (according to the field of the project)</p> <p>This section covers assessment of the clarity of definition and argumentation of the prospects for further application of research results for the development of research and new technologies, and for solution of social problems, as well as completeness and potential efficiency of publishing the results of the research.</p>	<p>From 0 to 5</p> <p>The number of points for the aspect is calculated as the arithmetic mean of the weighted points for the criteria</p>	0,3
2.1. Potential importance of expected results and acquisition of new knowledge in comparison with 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 research / technical / social problems.	0-5	0,4
2.2. Effectiveness and relevance of the planned ways of publication / application of research results (expected professional publications, presentations at international scientific conferences, dissemination of research results to the public etc.)	0-5	0,3
2.3. The prospect of continuing the research of the specified problem in the future	0-5	0,3
3. Quality and realism of the proposed project implementation plan	From 0 to 5	0,4

Within this section, validity of the work plan and 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 (if relevant); implementation of its purpose and objectives; clarity of description of equipment and materials and adequacy of their price in the budget (if relevant).	The number of points for the aspect is calculated as the arithmetic mean of the weighted points for the criteria	
3.1. Validity of the work plan, the methodology of its implementation and the time frame of complexity of the formulated stages and tasks, clarity of intermediate goals, their logical sequence.	0-5	0,3
3.2. Consistency of complexity of tasks with their time frame, as well as the balance and validity of the overall project budget	0-5	0,2
3.3. Clarity of construction of the logical-structural scheme of the research	0-5	0,2
3.4. Quality of publications of the PI for the last 5 years	0-5	0,3

X. LIST OF DOCUMENTS TO BE SUBMITTED BY THE CALL PARTICIPANT TOGETHER WITH THE APPLICATION

The application for grant support is submitted electronically (in Ukrainian and English) and certified by the electronic digital signature of the Call participant.

The list of documents to be submitted by the Call participant together with the application:

- Consent of the author of the project for its implementation (provided automatically by superimposing a qualified electronic signature (QES)).
- Certificate (in Ukrainian) from the place of work of the Call participant, indicating that he/she works at the main place of work at research institution or IHE of Ukraine of state ownership dated with the relevant time of submission of documents for the Call, a scanned copy to be submitted in PDF format)*.
- A document confirming that the PI has a research degree (a scanned copy in PDF format to be submitted)*.
- A document that verifies the status of the researcher as the one that has been directly affected by the hostilities in Ukraine in 2022 (a scanned copy in PDF format to be submitted)*.

* *By the time of signing the Agreements with the winners of the Call, an updated version of the certificate must be submitted to the Foundation in paper form (original, certified by signatures and seals), as well as a copy of the passport of a citizen of Ukraine, ITN (Individual Tax Identification Number) (properly certified).*

Together with the above-mentioned supporting documents participants of the Call must submit: a concise summary (CV) of the researcher in Ukrainian and English, which includes a list of research publications, as well as a brief description of the circumstances (see Clause 2.1 of the Terms and Conditions) that, in the opinion of the Call participant, can qualify him/her as a researcher who was directly affected by the war in Ukraine in 2022.

XI. GROUNDS FOR REJECTING THE APPLICATION ON FORMAL GROUNDS

Based on the results of the preliminary consideration of applications, the Call Commission approves a list of applications that are rejected on formal grounds and/or withdrawn from consideration on the basis of non-compliance with the criteria by which projects are selected, determined by the Terms and Conditions of the Call.

Grounds for rejecting an application on formal grounds:

- inconsistency with the thematic direction and purpose of the Call;
- non-compliance of the application submitted by the participant with the form, conditions and requirements established by the Foundation, including its content;
- submission of documents by the participant of the Call is not complete;
- indication of inaccurate information in the documents submitted by the participant of the Call;
- lack of information provided by the terms of the competition in the documents submitted by the Call participant.

The decision of the Call Commission to reject the application on formal grounds and/or withdraw the application from consideration on the basis of non-compliance with the criteria by which projects are selected is notified by the Directorate of the Foundation to the relevant Call participant in electronic form no later than three (3) working days after the adoption of such a decision.

XII. INFORMATION ON PROCEDURE OF SUBMITTING DOCUMENTS FOR PARTICIPATION IN THE CALL AND PROCEDURE OF WITHDRAWING THE APPLICATION BY THE CALL PARTICIPANT BEFORE THE APPLICATION DEADLINE

12.1. Applications and documents for participation in the Call are submitted in the electronic form on the official website of the Foundation (<https://grants.nrfu.org.ua>) in Ukrainian and English (using the “NRFU Project Call” Software) in accordance with the Terms and Conditions of this Call with a mandatory note of consent of the author of the project to implement it.

To apply, the participant of the Call must pre-register on the Foundation's official website. Identification of the applicant is carried out during registration by using a qualified electronic signature (QES).

Participants of the Call have the right to withdraw the application before the deadline for its submission.

12.2. For obtaining information related to competitive selection and project submission, please contact the Foundation:

Questions regarding submission of projects in Natural and Technical Sciences, Mathematics and IT – Grant Support Department in the Field of Technical and Natural Sciences, Mathematics, and IT:
tel.: +38 044 298-16-25

e-mail: natsci.2022.02@nrfu.org.ua

Questions regarding the submission of projects in Biology, Healthcare and Agricultural Sciences – Grant Support Department in the Field of Biology, Healthcare and Bioresources:

tel.: +38 044 298-16-33

e-mail: lifesci.2022.02@nrfu.org.ua

Questions regarding the submission of projects in Social Sciences and Humanities – Grant Support Department in the Field of Social Sciences and Humanities:

tel.: +38 044 298-16-31

e-mail: socsci.2022.02@nrfu.org.ua

For technical support, please contact support@nrfu.org.ua.

Email for general inquiries: nrfu@nrfu.org