

Appendix 1

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International Black Sea University

Regulation for Inner-University Funding for Research Activities

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Article 1. General provisions

1.1. The Regulation for Inner-University Funding (hereinafter referred to as the "Regulation") determines the policy for rewarding grants for scientific-research activities, according which LLC International Black Sea University (hereinafter referred to as the "University") provides financial support (hereinafter referred to as the "Grant");

1.2. The Regulation settles an open and transparent procedures for scientific research "Inner University Funding" and ensures the University's public responsibility, accountability and transparency in financing scientific research within the University;

1.3. The Regulation aims the achievement of goals defined by the University's Strategy.

Article 2. Research Activity

2.1. Research activities include:

2.1.1. Fundamental Research:

- a) Scientific article published in refereed publications;
- b) Published monograph;
- c) Authorship/co-authorship of a scientific book/book chapter;
- d) Publication of an article in the collection of materials of scientific meetings, conferences;
- e) Presentation of a paper at a scientific symposium, conference, research seminar;
- f) Editing of the scientific publication, individual chapters and sub-chapters of the publication.

2.1.2. Applied Research

- a) Preparing a scientific article and publishing it in a magazine, newspaper or electronic edition;
- b) Authorship/co-authorship of a scientific book/book chapter;
- c) Significant contribution to the development of the professional field;
- d) Important presentations at professional meetings, conferences in the field;
- e) Editorship of a professional book, magazine, newspaper or e-edition.

2.1.3. Research related to Learning, Teaching, and Pedagogical Activities:

- a) Preparation of cases (scenarios);
- b) Development of educational guides;
- c) Writing/translation/editing of teaching materials;
- d) Preparation of teaching aids;
- e) Research required for the creation of educational materials, guides, and software;
- f) Preparation of training materials.

Article 3. Purpose and Procedure of issuing Scientific-Research Grants

3.1. The objectives of inner-university scientific-research grants are:

- 3.1.1. Development of scientific research potential of the university and increase of productivity;
- 3.1.2. Providing and supporting the development of scientific-research skills and process;
- 3.1.3. Stimulating, encouraging and supporting the scientific activities of academic staff, young researchers and Doctorate students;
- 3.1.4 Promoting the integration of the institution's academic staff and Doctorate students in the local and international scientific space;
- 3.1.5. Support for participation in research activities and projects;
- 3.1.6. Promoting the integration of the institution's academic staff and Doctorate students in the local and international scientific space;

3.2. Procedure for Issuing Inner-University Scientific-Research Grants:

- 3.2.1 The scientific-research project must correspond to the main educational directions of the university;
- 3.2.2. The scientific-research project must be published in the name of the university;
- 3.2.3. From the submission of the grant application to the end of the research, the standards of ethics and academic honesty of the university apply to all participants of the grant;
- 3.2.4. Scientific-research grants are issued through an open, transparent competition;
- 3.2.5. It is possible to submit an application for obtaining funding for scientific research activities individually and/or in groups;
- 3.2.6. In case of submitting a book printing/translation application, the relevant school confirms the importance of the grant project in order to integrate it into the educational process;
- 3.2.7. Who can apply for Inner-University Grant Competition?
 - a) University affiliated staff;
 - b) Scientific Research centers of the university;
 - c) Doctoral students;
 - d) Master students.
- 3.2.8. During the project, the funding recipient/researcher must be affiliated staff of the institution;
- 3.2.9. If the applicant for funding is a group of researchers, then the head of the research project (principal researcher) must be an academic staff (professor or associate professor) affiliated with the institution;

- 3.2.10. The winner of the grant project cannot participate in more than two projects at the same time;
- 3.2.11. The fee charged to the author of the project should not exceed 30% of the project;
- 3.2.12. In case of group implementation of the project, if the co-author of the group project is an affiliated staff of another university, he would be paid by International Black Sea University in case he/she will only fulfil a particular type of service, consultation and will not be fixed as the Co-Coordinator of the Scientific Product;
- 3.2.13. The funding seeker is responsible for the implementation of the project within the established terms, the purpose of spending the received funding and the presentation of the final report after the completion of the project;
- 3.2.14. Grant applications for inner-university funding of scientific-research projects can be submitted in an open competition, which will be held at least once in a year;
- 3.2.15. The maximum amount of inner-university funding (budget) for each scientific-research project is 15,000 GEL depending on the specifics of the research project;
- 3.2.16. The maximum term for the implementation of each scientific-research project is defined as a maximum of two years after the approval of the financing of the scientific-research project;
- 3.2.17. The decision to issue a scientific-research grant is made by the persons specified in the article 5.1; The Vice-Rector for Research submits a positive decision to the Rector of the University for the execution of the scientific-research grant, on the basis of which the rector's order is issued;
- 3.2.18. Signing of grant agreements with the involvement of the legal service is ensured by the Vice-Rector for Finance.

Article 4. Stages of Consideration and Decision-Making of Scientific-Research Grants

4.1. The inner-university funding process includes the following stages:

- 4.1.1 Grant competition announcement;
- 4.1.2. Formation of the competition commission for evaluating scientific-research projects;
- 4.1.3. Receiving grant applications;
- 4.1.4. Review and evaluation of grant applications;
- 4.1.5. Decision by the Evaluation Committee;
- 4.1.6 In case of appeal, creation of the appeal commission, review of projects and final decision

making;

- 4.1.7. Publication of results on the university website;
- 4.1.8. Preparation of agreements regarding the financing of research projects;
- 4.1.9. Financing of grant projects;
- 4.1.10. Monitoring the implementation of grant projects.

Article 5. Management of Scientific-Research Grants

- 5.1. The management of scientific-research grants is ensured by the Vice-Rector for Research with the involvement of the Research Facilitation and Project Management Office, Financial Department and Strategic Development Service;
- 5.2. The scientific-research grant must correspond to the research priorities established by the university;
- 5.3. In case the circumstances of the project implementation have changed due to objective reasons, the project manager has the right to request a change for the implementation of the further stage; The service will consider the said request and make a reasoned decision, which will be notified to all interested parties;
- 5.4. In order to administer the scientific-research grants, the Vice-Rector for Research ensures the preparation of the annual grant distribution scheme with the active participation of Financial Department within the framework of the annual funding allocated by the university, taking into account the central budget of the university.

Article 6. Inner-University Scientific-Research Grants Funding Source

- 6.1. In order to ensure scientific and research activities funding, the university establishes an annual budget. The source of inner-university financing of scientific-research activity is the amount allocated annually from the central budget of the university, which is used gradually during the year;
- 6.2. Financial support, accumulation, spending and monitoring of budgetary funds for scientific-research activities are managed by the Financial Department of the University.

Article 7. Documentation that should be submitted for Financing the Grant Project

7.1. Application for inner-university funding of a scientific-research project (*Appendix #1*), which includes:

- a) Information/description of the scientific-research project (short summary in English), indicating clearly defined goals (which are compatible with the strategic goals of the university), tasks, research results, commercialization of research activities and integration into practice;
- b) Information about the individuals involved in the scientific-research project (documentary/confirmations: CV of the persons involved in the research project, in the case of a student, notice of the student's status, teaching semester and academic performance, others);
- c) A time-bound plan of activities necessary for the perfect performance of scientific-research activities;
- d) A letter of consent from the university regarding the use of the material and technical base (if necessary);
- e) The estimated budget of the scientific-research project.

7.2. The specified documents indicated in article 7.1 should be submitted to the Research Facilitation and Project Management Office in a sealed envelope for the period determined for the preparation of competition documents (simultaneously with the expiration of the deadline for receiving competition documents, competition documents shall be submitted to the Competition Committee).

Article 8. The Specifics of the Operation of the Research Grants Committee, the Evaluation and Funding Procedures of Projects.

8.1. Specifics of the work of the Scientific-Research Grants Commission:

8.1.1 After the submission of applications for financing grant projects, with the active involvement of the vice-rector for research, the research promotion and project management service creates a temporary commission for evaluating scientific-research projects;

8.1.2. The evaluation mechanism and criteria are established for the evaluation of intra-university scientific-research projects (*Appendix #2*);

8.1.3. The Commission ensures the impartial identification of the winning projects by protecting

the anonymity of the authors and the confidentiality of the assessment;

8.1.4. The research promotion and project management service ensures the proper work of the temporary project evaluation commission;

8.1.5. The evaluation committee of the scientific-research project includes:

- a) Vice – Rector for Research
- b) The Head of Research Facilitation and Project Management Office;
- c) The Head of Strategic Development Service;
- d) The Dean of the School, whose field of curatorship includes the given research activity;
- e) One or two independent experts related to the field of research activity (including representatives of partner universities, taking into account the scientific-research direction/field);
- f) The Head/Representative of the Financial Department of the University;
- g) Only external independent experts (Field Specialists).

8.2. Evaluation of Scientific-Research Grants:

8.2.1. The evaluation committee for the research project is temporary, and its authority is limited to the announcement of competition results. The committee operates within the framework of its terms of reference and is obliged to ensure privacy, objectivity and adherence to principles of fairness and academic ethics within the university;

8.2.2. Members of the Evaluation Committee for the Research Project will be provided with projects (each project has its own number, code, so that expert does not know whose project is submitted to him/her) and relevant documentation for familiarization. Each member of the committee is obliged to study each project and express their opinions in writing;

8.2.3. The chairman of the scientific-research project evaluation commission is obliged to inform the commission about the circumstances that might interfere with the objective review of the projects and the unbiased decision making; and in case of such circumstances, to declare self-avoidance;

8.2.4. The individual who is the project leader for a specific research project shall not participate in the discussion and decision-making process regarding that project;

8.2.5. The session of the commission is closed and the decision is made by the majority of votes of the members present at the discussion; In the absence of the chairman/secretary of the commission, the chairman/secretary of the meeting is elected by the commission from among its

members by open voting with the majority of votes of the members present at the meeting;

8.2.6. The operation of the commission and the decisions made are documented in the resolution, which includes: the name of the commission; the date and location of the decision; the identity of the chairperson, convener, and members; the agenda of the day; the stated opinions/votes of the members and the results of the open ballot; the resolution is signed by all members of the commission;

8.2.7. Based on the criteria previously established (Appendix #2), the commission evaluates each project, determining the winning project (in order of priority): the best-rated scientific-research project, which receives the highest evaluation and is ranked first; the commission prepares the corresponding report;

8.2.8. The evaluation of the scientific-research project by the Evaluation Commission, along with corresponding recommendations, is electronically sent to both the author and the project manager for review. Upon their approval, within a maximum period of one week, the final evaluation is submitted to the Rector of the University for confirmation/Scientific-research projects and documentation are submitted to the external experts (field specialists); Each expert should study and evaluate the project considering the assessment criterias; Highly assessed projects will be chosen by the parties defined in the article 8.1.5.

8.3. Scientific-Research Grants Appeal Procedure:

8.3.1. If the author of a research project does not agree with the committee evaluation, they have a period of three working days to request a review corresponding to the University's guidelines with the project coordinator;

a) In case of appeal, on the basis of the Rector's Order, a temporary appeal commission of scientific-research grants is established, which includes:

1. Vice-Rector for Research;
2. University Ombudsman;
3. Independent Expert(s)/specialist(s) related to the field of the scientific-research project (relevant field), who was not a member of the temporary commission;

b) The temporary appeals commission considers the issue and makes a final conclusion, which is sent electronically to the author of the scientific-research project/fund seeker, the vice-rector in the research field and the rector of the university for approval;

8.3.2. In case of a positive decision regarding project financing by the Rector of the University,

the directive is sent to the Financial Department and the Project Coordinator for further evaluation;

8.3.3. As a result of the verification of the limits allocated for the scientific-research project by the Financial Department, appropriate funds are allocated to the recipient of funding;

8.3.4. If financing process includes several stages, the allocated amount will be given in tranches based on a pre-signed agreement, where the rights and obligations of the parties and the terms of depositing the financed funds will be written;

8.3.5. The recipient of funding is responsible for the successful implementation of the project and the targeted spending of the received funding.

Article 9. Grant Projects Monitoring

9.1. The progress/implementation/results of scientific-research grant projects are monitored by the Research Facilitation and Project Management Office. In particular, the following are subject to monitoring:

- a) Allocation of budget/resources designated for scientific-research activities;
- b) Information on actual expenditures for budget preparation deadlines;
- c) Comparison of planned and actual data on a quarterly/yearly basis;
- d) Information about remaining available funds.

9.2. If the financing of the scientific-research project is planned in several tranches, then the recipient of the financing is obliged to submit an interim report on the progress of the scientific-research activity to the Research Facilitation and Project Management Office 2 weeks before the request deadline for each next tranche;

9.3. If the scientific-research project is funded in one tranche, but the completion of the project and the receipt of results exceed 6 months, then the recipient of funding is obliged to submit a report on the progress of scientific-research activities to the Research Facilitation and Project Management Office every 6 months after the project is funded;

9.4. The Research Facilitation and Project Management Office, together with the recipient of funding, reviews the project in order to implement it effectively and successfully; evaluates the progress of the project and makes the appropriate conclusion; The final reports will be submitted to the Research Facilitation and Project Management Office and the Vice-Rector for Research;

9.5. Upon completion of the research, the grantee writes a final report that includes:

- a) information on the achievement of the goals and results stated in the application;

- b) the financial report, with a brief description of the spending of the allocated funds.

9.6. Based on the final report submitted by the recipient of funding, The Head of the Research Facilitation and Project Management Office and the Vice-Rector for Finance electronically send the final conclusion about the project to the Vice-Rector for Research, who is accountable to the Rector of the University;

9.7. After completing the research project, an acceptance-delivery act will be drawn up.

Article 10. Conflict of Interest

10.1. Conflict of Interest arise when the person seeking financing or the circle of relatives defined by Georgian Legislation, receives financial or other benefits from the given project.

Article 11. Terms of Contract Termination

11.1. The termination of the contract is carried out under the following circumstances:

- a) Submission of a written withdrawal notice by the participating individual in the project;
- b) In the case of academic personnel, expiration of the employment contract period and absence of a new employment contract;
- c) For master's and doctoral students, termination of educational services (external mobility).
- d) Violation of academic ethics (plagiarism, falsification of data/information, etc.);
- e) In the circumstances mentioned above, the project leader has the right to nominate another candidate for participation in the project evaluation, who responds to the research project's defined requirements and, in case of agreement, modifies the corresponding agreement accordingly;
- f) In cases of violation of the grant competition rules and/or other requests, the project leader formally notifies the principal investigator/project manager in writing and provides a reasonable deadline for addressing the issue or requests project modification for further consideration.

Article 12. Final Provision

12.1. Specific Procedures for Granting Inner-University Research Grants, which are not covered by existing regulations, may be developed by the project director and submitted to the university rector for approval in accordance with the purpose of this provision;

12.2 The Financial Department is authorized to carry out the estimation of relevant expenses on the basis of the fully comprehensive financial statements prepared by the Research and Projects Management Service for the initiation and management of research and projects;

12.3. The project will be considered completed if the conditions stipulated in the contract within the framework of the grant project are fulfilled and an interim report is submitted at the moment of project completion/the project is not suspended or terminated;

12.4. This provision shall enter into the force upon its approval by the Rector; Any changes or additions to this document are included in the manner established for its adoption.