



Small projects for NWA routes

Dutch National Research Agenda

Call for proposals

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1 Introduction

In this Call for proposals information is provided about the application procedure for the ‘Small projects for NWA routes’ funding round. This Call for proposals falls under the responsibility of the Dutch Research Council (NWO).

In this Call for proposals you will find information about the aim of this programme (Chapter 2), the conditions for the grant application (Chapter 3) and how your proposal will be assessed (Chapter 4). This is the information you need to submit a grant application. Chapter 5 states the obligations for grant recipients in the event you are awarded funding, Chapter 6 contains the contact details and Chapter 7 the annexes.

1.1 Background

What does the Netherlands want to know? This was the idea behind the creation of the Dutch Research Agenda (Dutch acronym NWA). The NWA has been created by an innovative process with input from scientists and citizens: the Dutch general public was invited to submit questions about science online. The national knowledge community, united in the Knowledge Coalition¹, grouped the questions collected into 140 cluster questions that were used to formulate 25 routes².

The NWA concerns complex issues where alignment and collaboration have added value for realising scientific and societal breakthroughs. The aim of the NWA is to make a positive and structural contribution to the global knowledge society of tomorrow, where new knowledge easily passes from researchers to users and where new questions arise from the field and society that quickly and automatically find their way into new research. The NWA programme therefore encourages collaboration between different partners so that the whole is greater than the sum of its parts.

The key elements of the NWA programme are:

- The Dutch Research Agenda that consists of 25 routes and 140 cluster questions.
- Knowledge-chain-wide and interdisciplinary consortia, in which researchers from different disciplinary backgrounds, knowledge and societal (public and private) organisations and, where relevant, citizens collaborate on complex issues.
- Projects that concern demand-driven research, connect with the routes and cluster questions and thereby adopt a fundamental, application-oriented and field-oriented approach.
- Giving back the results to society through dialogue and interaction.

In 2018, the Ministry of Education, Culture and Science (Dutch acronym) OCW entrusted NWO with implementing the Dutch Research Agenda. The NWA comprises four programme lines³:

1. Research along Routes by Consortia (ORC);
2. Thematic Programming in consultation with government ministries;
3. Innovations and Networks;
4. Science Communication and Outreach.

¹ The Knowledge Coalition consists of Dutch research universities (VSNU), universities of applied sciences (VH), university medical centres (NFU), the Royal Netherlands Academy of Arts and Sciences (KNAW), the Dutch Research Council (NWO), employers (VNO-NCW and MKB-Nederland) and the institutes for applied research (TNO/TO2).

² The 25 routes and corresponding cluster questions can be found in https://2.wetenschapsagenda.nl/wp-content/uploads/2016/12/nwa_deel_eng_digitaal.pdf. The 140 cluster questions can also be found in a PDF file available from <https://2.wetenschapsagenda.nl/publicatie/dutch-national-research-agenda-english/>

³ More information about the different programme lines is available at <https://www.nwo.nl/en/researchprogrammes/dutch-research-agenda-nwa>

1.2 Available budget

The available budget for this Call for proposals is €7,500,000. Each route can apply for a maximum of €300,000.

1.3 Submission deadline(s)

The deadline for submitting full proposals is **April 5, 2022**, at 14:00:00 hours CEST.

When you submit your application in ISAAC, you will also need to enter some details online. Therefore please start submitting your application at least one day before the deadline of this Call for proposals. Applications that are submitted after the deadline will not be taken into consideration.

2 Aim

This chapter describes the aim of the programme and the societal impact.

2.1 Aim of the programme

NWO finds it important to financially support the 25 NWA routes in the organisation of their networks. Routes play a role in the organisation of the field. Important issues are brought together in these 25 routes: alignment between applicants, involvement of the knowledge chain, bringing together consortium partners, facilitating valorisation and safeguarding the core objectives of an individual route and the NWA as a whole. This also gives substance to the Science letter from the Ministry of Education, Culture and Science⁴ to focus on knowledge utilisation and network formation in the NWA programme.

Within this Call for proposals, the management of an NWA route can apply for funding for small projects. Each application consists of a number of subprojects. These subprojects focus on an innovative idea, facilitating the use of existing knowledge or synthesising existing knowledge to identify gaps in the knowledge agenda, ambitions and game changers of the route. These subprojects should ensure that the societal and/or scientific impact of the route activities increase. This programme prioritises involvement of the wider society within the subprojects.

Each subproject within the proposal should contribute to subjects that are relevant for the route and tie in with the knowledge agenda, ambitions and game changers of the route. The route management should complete a transparent process with its route network to realise a selection of the proposed subprojects and should describe this process in the proposal. In addition, new and innovative connections should be made, for example, between disciplines, organisations and research fields.

2.2 Societal impact

New knowledge and insights from scientific research can make an important contribution to solutions for current and future societal issues. Examples are the energy transition, health and care, or climate change. Knowledge utilisation increases the chances of research having a societal impact and is therefore an important aspect of the NWO strategy for 2019-2022.

2.2.1 Knowledge utilisation

NWO defines knowledge utilisation as an iterative process aimed at achieving societal impact. Through interaction and alignment between researchers and possible users of knowledge, the chances of knowledge utilisation and, accordingly, societal impact increase. Via its knowledge utilisation policy, NWO facilitates the possible contribution of research to societal issues by encouraging productive interactions with societal stakeholders during the development and realisation of the research. NWO does this in a manner appropriate to the aim of the funding instrument.

2.2.2 Customisation in approach knowledge utilisation

Depending on the aim of the funding instrument, NWO will select the approach that has the greatest chance of achieving societal impact. The primary aim of the funding instrument determines the method NWO deploys to facilitate knowledge utilisation in various phases of the project (proposal, realisation, project completion) and the effort required from the applicant(s) and partner(s).

⁴ [Nieuwsgierig en betrokken | Publication | Rijksoverheid.nl](#)

Involvement of and interaction with the wider society are important in the NWA programme and should be part of the proposals. This can be done by involving society during the realisation of the subprojects, by means of applying Citizen Science in the subprojects or through communication activities aimed at the wider society, in combination with the subprojects. The proposal should clearly specify for each subproject which activities will be deployed in the context of knowledge utilisation and how these activities will contribute to the societal impact of the results. The Impact Plan⁵ approach can be used as a source of inspiration to describe the intended societal impact. However, it is not mandatory to elaborate a complete Impact Plan for each subproject.

⁵ [NWO | Impact Plan Approach](#)

3 Conditions for applicants

This chapter contains the conditions that are applicable to your grant application. Firstly it describes who can apply for funding (Section 3.1) and what you can request funding for (Section 3.2).

Subsequently, you will find the conditions for preparing and submitting the application (Sections 3.3 and 3.4) and the specific funding conditions (Section 3.5).

3.1 Who can apply

Applications are submitted by a main applicant and one or more co-applicants. NWO applies different conditions for main and co-applicants. These are described below.

Main applicants

Only the *boegbeelden* or *trekkers* of the 25 routes from the Portfolio for research and innovation of the Dutch Research Agenda or one of the persons approved by the route may act as a main applicant. See [this list](#) for all routes, *route-trekkers* and *boegbeelden*. Some routes have several *boegbeelden* and/or several *route-trekkers* on this list.

If an approved person acts as the main applicant on behalf of the route, then the route should give written consent for this by means of a statement.

The statement should be signed by a *boegbeeld* or *trekker* included in the aforementioned list. NWO will make a mandatory template available for this.

The person stated above may act as a main applicant if they have a tenured contract (and therefore a salaried position for an indefinite period of time*) or a tenure track agreement with one of the following organisations:

- universities located in the Kingdom of the Netherlands;
- university medical centres;
- Institutes affiliated to the Royal Netherlands Academy of Arts and Sciences (KNAW) or NWO;
- Universities of applied sciences, as meant in Article 1.8 of the Higher Education and Research Act;
- TO2 institutions;
- Netherlands Cancer Institute;
- the Max Planck Institute for Psycholinguistics in Nijmegen;
- Naturalis Biodiversity Center;
- Advanced Research Centre for Nanolithography (ARCNL);
- Princess Máxima Center.

*A comparable position refers to a researcher that has a demonstrable and comparable number of years of experience in carrying out scientific research and supervising other researchers as a full, associate or assistant professor.

Persons with a zero-hour employment agreement or with a contract for a limited period of time (other than a tenure track appointment) may not submit a proposal.

It could be the case that the applicant's tenure track agreement ends before the intended completion date of the project for which funding is applied for, or that before that date, the applicant's tenured contract ends due to the applicant reaching retirement age. In that case, the applicant needs to include a statement from their employer in which the organisation concerned guarantees that the project and all project members for whom funding has been requested will receive adequate supervision for the full duration of the project.

The main applicant submits the proposal via the NWO web application ISAAC. During the assessment process, NWO will communicate with the main applicant.

After a proposal has been awarded funding, the main applicant will become the project leader and point of contact for NWO. The (knowledge) institution of the main applicant is the main beneficiary and will become the official secretary.

Main applicants have an active role in realising the project. Main applicants will usually be a project leader of one of the subprojects. In addition, the main applicants will fulfil a coordinating role with respect to all subprojects that are part of the project proposal.

Extra conditions:

- Each NWA route can have a maximum of one proposal funded within this Call for proposals.
- If more than one proposal is submitted from a route, then the proposal submitted first (in order of registration in ISAAC) that satisfies the conditions in this Call for proposals will be taken into consideration by NWO.

Applicants with a part-time contract should guarantee a adequate supervision of the project and all project members for whom funding is requested.

Co-applicants

Co-applicants have an active role in the realisation of the project. Co-applicants are usually the project leaders of individual subprojects. The (sub)project leader(s) and beneficiary (beneficiaries) are jointly responsible for the realisation of the entire project. Co-applicants do not need to be a *boegbeeld* or *routetrekker* nor do they need to be approved by the route to play a role in the project.

Extra conditions:

- In this call, a co-applicant may participate as a co-applicant in a maximum of two proposals.
- Persons with a zero-hours employment contract are excluded from submitting as a co-applicant.

Co-applicants may be affiliated to the institutions listed in Section 3.1 or to the public knowledge organisations listed in Annex 7.2 but also to other organisations.

If the organisation to which a co-applicant is affiliated is not listed in Section 3.1 or Annex 7.2, then it must meet the cumulative criteria indicated below; the organisation:

- is established in the Netherlands and
- has a public service mission and
- carries out research independently⁶ and
- has no profit motive other than for the purposes of conducting further research.

A private company (such as a B.V.) is always excluded from participating as a co-applicant.

Please note: Before a proposal is submitted, NWO will check whether an organisation satisfies these cumulative criteria and may therefore participate as a co-applicant. NWO partly carries out this assessment to check that there is no provision of prohibited state support⁷. This assessment should still be carried out even if an organisation was tested and permitted as the co-applicant in a previous NWA small projects round or another NWA programme.

To this end, the intended co-applicant's organisation must submit the completed form and at least the following documents by email no later than ten working days before the submission deadline (i.e. no later than 22 March 2022 at 14:00:00 CET):

⁶ This means that carrying out research is one of the (core) task of the organisation, which is apparent from official documentation such as the formal statutes, act of establishment or other formal documentation. Under 'realising the research itself' NWO understands that the research is carried out by an organisation's own employees who have a salaried position at the organisation.

⁷ See Directives EU 1407/2013 of 18/12/2013, EU 651/2014 of 17/06/2014 and the communication of the European Commission 2014/C 198/01 to check whether these support roles are complied with.

- a recent extract from the Netherlands Chambre of Commerce;
- the current deed of incorporation or current articles of association or other current formal document evidencing the public task and absence of profit motive;
- the latest available annual accounts accompanied by an audit statement⁸.

Other relevant documentation may be added. NWO may also request additional information if the above documents are not sufficiently conclusive to determine whether it could be the case that forbidden state support would be provided or to determine whether the organisation may act as a co-applicant.

If the co-applicant's organisation does not submit the necessary documents for the assessment in time, NWO cannot accept the organisation as a co-applicant.

3.1.1 Main and co-applicants

The main applicant submits the proposal via the NWO web application ISAAC. During the assessment process, NWO will communicate with the main applicant.

After a proposal has been awarded funding, the main applicant will become the project leader and point of contact for NWO. The (knowledge) institution of the main applicant is the main beneficiary and will become the official secretary.

Co-applicants have an active role in realising the project. The (sub)project leaders and beneficiary/beneficiaries are jointly responsible for realising the entire project.

3.2 What can be applied for

For each route, a maximum of € 300,000 can be requested for a project. A project consists of at most three subprojects that each have a budget of at least €50,000 and at most €150,000. The maximum duration of the total project is two years.

The following choices are available for the subprojects:

- Innovative: investigating a new, out-of-the-box idea; or
- Synthesis: amalgamating existing knowledge to reach new insights that contribute to the knowledge agenda, ambitions and/or game changers of the route; or
- Knowledge utilisation: (research into or for the benefit of) knowledge utilisation, valorisation and implementation of existing knowledge.

It is not permitted to split a single large project into two or more subprojects.

The budget modules available for this Call for proposals (including the maximum amounts) are stated in the table below. A distinction is made between budget modules available for realising the subprojects (personnel, material and knowledge utilisation) and the budget module 'project management' that is only available to the main applicant. You may only request funding that is essential to realise the project. A more detailed explanation of the budget modules is included in the annex to this Call for proposals (Section 7.1).

The table below shows the budget modules available in this Call for proposals to realise the subprojects.

| Budget module | Maximum amount |
|--|--|
| Postdoc | According to VSNU or NFU rates ⁹ |
| Non-scientific staff (NWP) at universities | €100,000, According to VSNU or NFU rates ⁹ , in combination with PhD student(s) and or postdoc(s) |

⁸ Organisations that are not legally obliged to have their annual accounts audited do not have to provide such an auditor's statement. However, they must be able to demonstrate that this legal obligation does not apply to the organisation concerned.

⁹ For staff abroad, local rates are reimbursed up to a maximum of the VSNU rates.

| | |
|--|---|
| Personnel universities of applied sciences, educational institutions and other organisations | Rates based on <i>Handleiding Overheidstarieven 2021</i> (HOT) (Manual for Dutch Government Fees 2021) |
| Material costs | €15,000 per year per FTE scientific position |
| Knowledge utilisation | A minimum of 5% and up to 20% of the total budget of the subproject. |
| Project management | Up to a maximum of 5% of the total budget. <i>This module is only available for the main applicant, and should be included in the budget of his or her subproject.</i> |

Material costs may include funding for activities in the context of knowledge utilisation as described in Section 2.2, such as citizen science/knowledge labs/pilot projects/living labs/field labs.

3.3 Preparing an application

The steps involved in writing your application are:

- download the application form from the NWO web application ISAAC or from the NWO web page (on the grant page of the funding instrument concerned);
- complete the application form;
- save the application form in ISAAC as a PDF file and upload it with any compulsory annexes;
- fill in the requested information online in ISAAC.

Compulsory annexes:

- budget;
- statement from the *trekker* or *boegbeeld* of the route authorising the applicant for submitting the proposal (if applicable, see Section 3.1.1);
- guarantee for continuity in the project supervision (mandatory if applicable, see Section 3.1.1).

Annexes must be uploaded in ISAAC separately from the application. All of the annexes, except for the budget, must be submitted as PDF files (without encryption). The budget must be submitted in ISAAC as an Excel file. Any annexes other than those above-mentioned are not permitted.

You must write your application in English.

An application can only be submitted via the web application ISAAC. Applications that are not submitted via ISAAC will not be taken into consideration.

As the main applicant, you are required to submit the application via your own personal ISAAC account.

It is important to start with your application in ISAAC on time:

- If you do not yet have an ISAAC account, then you should create this on time to prevent any possible registration problems.
- Any new organisations must also be added to ISAAC by NWO.
- You also need to submit other details online.

Applications submitted after the deadline will not be taken into consideration by NWO.

For technical questions, please contact the ISAAC helpdesk, see contact (Chapter 6).

Does a main and/or co-applicant work at an organisation that is not included in the ISAAC database? You can report this via relatiebeheer@nwo.nl so that the organisation can be added. This will take several days. It is therefore important that you report this at least one week before the deadline.

The applicant must inform the organisation where she/he works about the submission of the application, and the organisation must accept the granting conditions of this Call for proposals.

3.4 Conditions for submission

3.4.1 Formal conditions for submission

NWO will assess your application against the conditions listed below. Your application will only be admitted to the assessment procedure if it meets these conditions. After submitting your application, we request you to be available to implement any possible administrative corrections so that you can (still) meet the conditions for submission.

These conditions are:

- the main applicant and co-applicant(s) meet the conditions stated in Section 3.1;
- the application form is, after a possible request to make additions or changes, is correct, complete and filled out according to the instructions;
- the application is submitted via the main applicant's ISAAC account;
- the application is received at or before the deadline set;
- the application is written in English;
- the application budget is drawn up in accordance with the conditions for this Call for proposals;
- the proposed project has a duration of at most 2 years;
- All of the required annexes have been submitted.

3.5 Conditions on granting

The [NWO Grant Rules 2017](#) and the Agreement on the Payment of Costs for Scientific Research are applicable to all applications.

3.5.1 Data management

The results of scientific research must be replicable, verifiable and falsifiable. In the digital age, this means that, in addition to publications, research data must also be publicly accessible insofar as this is possible. NWO expects that research data resulting from NWO-funded projects will be made publicly available, as much as possible, for reuse by other researchers. 'As open as possible, as closed as necessary' is the applicable principle in this respect. Researchers are at least expected to make the data and/or non-numerical results that underlie the conclusions of work published within the project publicly available at the same time as the work's publication. Any costs incurred for this can be included in the project budget. Researchers should explain how data emerging from the project will be dealt with based on the data management Section in the proposal and the data management plan that is drawn up after funding is awarded.

Data management Section

The data management Section is part of the proposal. Researchers are asked before the start of the research to consider how the data collected will be ordered and categorised so that this can be made publicly available. Measures will often already need to be taken, during the creation of data and analysis of the data, to make its later storage and dissemination possible. If it is not possible to make all data from the project publicly available, for example due to reasons of privacy, ethics or valorisation, then the applicant is obliged to list the reasons for this in the data management Section.

The data management Section in the proposal is not evaluated and will therefore not be weighed in the decision whether to award funding. However, both the referees and the committee can issue advice with respect to the data management Section.

3.5.2 Scientific integrity

In accordance with the NWO Grant Rules 2017, the project that NWO funds must be carried out in accordance with the nationally and internationally accepted standards for scientific conduct as stated in the Netherlands Code of Conduct for Research Integrity (2018). By submitting the proposal, the applicant commits to this code. In the case of a (possible) violation of these standards during a project funded by NWO, the applicant should immediately inform NWO of this and should submit all relevant documents to NWO. More information about the code of conduct and the policy regarding research integrity can be found on the website: www.nwo.nl/en/scientific-integrity.

3.5.3 Ethical statement or licence

The applicant is responsible for determining whether an ethical statement or licence is needed for the realisation of the proposed project. The applicant should ensure that this is obtained from the relevant institution or ethics committee on time. If the project is awarded funding, then the grant is issued under the condition that the necessary ethical statement or licence is obtained before the latest start date for the project. The project cannot start until NWO has received a copy of the ethical statement or licence.

3.5.4 Nagoya Protocol

The Nagoya Protocol ensures an honest and reasonable distribution of benefits emerging from the use of genetic resources (Access and Benefit Sharing; ABS). Researchers who make use of genetic sources from the Netherlands or abroad for their research should familiarise themselves with the Nagoya Protocol (www.absfocalpoint.nl). NWO assumes that researchers will take all necessary actions with respect to the Nagoya Protocol.

4 Assessment procedure

This chapter first of all describes the course of the assessment procedure (Section 4.1). It then states the criteria that the assessment committee will use to assess your application (Section 4.2).

The NWO Code for Dealing with Personal Interests applies to all persons and NWO employees involved in the assessment and/or decision-taking process (www.nwo.nl/en/code-dealing-personal-interests).

NWO strives to achieve an inclusive culture in which there is no place for conscious or unconscious barriers due to cultural, ethnic or religious background, gender, sexual orientation, health or age (www.nwo.nl/en/diversity-and-inclusion). NWO encourages referees and members of an assessment committee or jury to be actively aware of implicit associations and to try to minimise these. NWO will provide them with information about concrete ways of improving the assessment of an application.

4.1 The San Francisco Declaration (DORA)

NWO is a signatory to the San Francisco Declaration on Research Assessment (DORA). DORA is a worldwide initiative that aims to improve the way research and researchers are assessed. DORA contains recommendations for research funders, research institutions, scientific journals and other parties.

DORA aims to reduce the uncritical use of bibliometric indicators and obviate unconscious bias in the assessment of research and researchers. DORA's overarching philosophy is that research should be evaluated on its own merits rather than on the basis of surrogate measures, such as the journal in which the research is published.

When assessing the scientific track record of applicants, NWO makes use of a broad definition of scientific output.

NWO requests committee members and referees not to rely on indicators such as the Journal Impact Factor or the h-index when assessing applications. Applicants are not allowed to mention these in their applications. You are, however, allowed to list other scientific products besides publications, such as datasets, patents, software and code, et cetera.

For more information on how NWO is implementing the principles of DORA, see www.nwo.nl/en/dora.

4.2 Procedure

The application procedure consists of the following steps:

- Submission of the proposal
- Consideration of the proposal
- Initial advice assessment committee
- Assessment committee meeting
- Decision-taking

Assessment committee

For this NWA Call for proposals, an assessment committee will be appointed by the NWO Executive Board. The assessment committee will have a broad composition. This means that the assessment committee will not only include scientific expertise but also expertise from across the entire knowledge chain, including societal stakeholders that have a thorough knowledge of the subject and representation from the target group.

4.2.1 Submission of a proposal

For the submission of the proposal, a standard form is available on the funding page of this Call for proposals on the NWO website. When you write your proposal, you must adhere to the questions stated on this form and the procedure given in the explanatory notes. You must also adhere to the conditions for the maximum number of words and pages.

Your complete application form must have been received before the deadline via ISAAC (see paragraph 1.3). After this deadline, you can no longer submit a proposal. After submitting the proposal, the main applicant will receive a confirmation of receipt.

4.2.2 Consideration of the proposal

As soon as possible after you have submitted your proposal, you will hear from NWO whether or not your proposal will be taken into consideration. NWO will determine this based on several administrative-technical criteria (see the formal conditions for submission, Section 3.4). NWO can only take your proposal into consideration if it meets these conditions.

You are asked to be available during two weeks after submitting your proposal to enter any possible administrative corrections so that your proposal can (still) meet the conditions for submission. You will be given one opportunity to make the corrections, and you will be given five working days to do this.

4.2.3 Pre-advice assessment committee

After this, your proposal will be submitted for comments to several members of the assessment committee (the pre-advisers). The pre-advisers will provide a written substantive and reasoned response to the proposal. They will formulate these comments based on the substantive assessment criteria (see Section 4.3.1) and will give the proposal a numerical score per assessment criterion. For this, the NWO score table will be used (on a scale of 1 to 9, where '1' is excellent and '9' unsatisfactory).

4.2.4 Meeting of the assessment committee

The pre-advice for each proposal is the starting point for the plenary discussion of the proposals by the assessment committee. Following the discussion, the committee will draw up a written recommendation addressed to the NWO Executive Board about the quality and ranking of the proposals. This recommendation is based on the assessment criteria. The proposal must receive an overall qualification of at least 'good' to be eligible for the funding. The proposal must also receive at least the qualification 'good' for each of the separate assessment criteria.

For more information about the qualifications, see www.nwo.nl/en/apply-funding-how-does-it-work.

If the proposal does not satisfy the criteria, the assessment committee will indicate which elements are insufficient. The main and co-applicants will be given a one-off chance to revise the proposal for these elements. The applicants will receive 3 months to do this from the moment of the request to the assessment of the revised version by NWO. The assessment committee will inform the main applicant of the recommendations and instructions in writing. The assessment committee will assess the revised proposal in writing. If the revised proposal does not satisfy the conditions and quality criteria, then the assessment committee will advise the NWO Executive Board to reject the proposal.

4.2.5 Decision-taking

Finally, the NWO Executive Board will assess the procedure followed and the advice from the assessment committee. It will subsequently determine the final qualifications and take a decision about awarding or rejecting the proposals.

4.2.6 Timetable

Below, you will find the timetable for this Call for proposals. During the current procedure, NWO might find it necessary to make further changes to the timetable for this Call for proposals. You will, of course, be informed about this in time.

| | |
|-----------|--|
| Proposals | |
|-----------|--|

| | |
|-------------------------------|--|
| 5 april 2022, 14:00.00 CE(S)T | Deadline proposals |
| May 2022 | Assessment committee meeting |
| June 2022 | Decision by the board |
| September 2022 | If applicable, chance to resubmit the revised application. |

4.3 Criteria

4.3.1 Substantive assessment criteria

The applications submitted within this Call for proposals will be substantially assessed on the basis of the criteria mentioned below. In this assessment, the first criterion applies to the entire proposal. Criteria 2, 3 and 4 apply to the subprojects within the proposal.

1. Alignment with the route (25%)
 - a. Degree to which a transparent process has been followed so that a selection of the proposed subprojects was made in consultation with the network and support for these was created. This means that the route network is involved in the realisation of the proposal and that there is agreement between the route network and route management about the subprojects put forward.
2. Connection (25%)
 - a. The degree to which the subprojects contribute to new and unexpected connections;
 - b. The degree to which the connection with society is made within the subprojects by means of involving society in the research, Citizen science and/or communication activities aimed at the wider society.
3. Relevance (25%)
 - a. The degree to which the subprojects give shape to subjects relevant for the route and accordingly connect with the route agenda, the ambitions and/or game changers of the route;
 - b. The degree to which subprojects increase the scientific and/or societal impact of the route.
4. Project design (25%)
 - a. The proposed subprojects have a design that allows the proposed idea to be realised;
 - b. The proposed project budget is realistic and supports the design of the subprojects;
 - c. The proposed subprojects connect with the ambitions of the route.

5 Obligations for grant recipients

This chapter details the various obligations that - in addition to the conditions stated in Section 3.5 - apply after funds have been awarded.

5.1.1 Connection with the NWA programme office

The applicant must maintain a good connection with the NWA programme office. Amongst other things, this includes:

- Active participation in the meetings that shall be organised by the NWA programme office for the *boegbeelden* and *routetrekkers* to share activities within the route, exchange experiences and learn from each other.
- Communicate actively with the relevant NWO/ZonMw route contact person about the progress of the NWA route.

5.1.2 Duration project

The project should start within six months after the award decision. The maximum duration of the entire project is two years. Subprojects may also have a maximum duration of two years and do not need to start at the same time.

5.1.3 Accountability and conclusion of the project

The main applicant is responsible for reports about the project. NWO will not request any interim substantive or financial reports for the projects funded in this programme. However, substantive and financial final reports will be requested with the completion of these projects.

5.1.4 Data management

After a proposal has been awarded funding, the researcher should elaborate the data management Section into a data management plan. For this, applicants can make use of the advice from the referees and committee. The applicant describes in the plan whether use will be made of existing data, whether new data will be collected or generated, and how the data will be made FAIR: Findable, Accessible, Interoperable, Reusable. Before submission, the data management plans should be checked by a data steward or similar officer of the organisation where the project will be realised. The plan should be submitted to NWO via ISAAC within 4 months after the proposal has been awarded funding. NWO will approve the plan as quickly as possible. Approval of the data management plan by NWO is a condition for disbursement of the funding. The plan can be adjusted during the research.

More information about the data management protocol of NWO can be found at:

www.nwo.nl/en/research-data-management.

5.1.5 Intellectual property

With respect to intellectual property (IP), the NWO IP policy applies. This can be found in Chapter 4 of the NWO Grant Rules 2017.

Applicants must carry out a project funded by NWO during the time that they work for the knowledge institution. If an applicant or a researcher funded by NWO is appointed by more than one employer, then the other employer should relinquish any possible IP rights that emerge from the project of the applicant.

5.1.6 Socially responsible licensing

The knowledge that emerges from the project could be suitable for use in society. When agreements about licensing and/or the transfer of research results developed under this Call for proposals are made, due consideration should be given to the ten principles for socially responsible licensing, as stated in the NFU factsheet 'Socially Responsible Licensing Toolkit for knowledge institutions' (www.nfu.nl/sites/default/files/2020-09/200902-NFU%20Factsheet%20Toolkit%20SRL.pdf).

5.1.7 Open Access

As a signatory to the Berlin Declaration (2003) and a member of cOAlition S (2018), NWO is committed to making the results of the research it funds openly accessible via the internet (Open Access). By doing this, NWO gives substance to the ambitions of the Dutch government to make all publicly funded research available in Open Access form. Scientific publications arising from projects awarded on the basis of this Call for proposals must therefore be made available in Open Access form in accordance with the Open Access Policy.

Scientific articles

Scientific articles must be made available in Open Access form immediately at the time of publication (without embargo) via one of the following routes:

- publication in a fully Open Access journal or platform registered in the DOAJ;
- publication in a subscription journal and the immediate deposition of at least the author accepted manuscript of the article in an Open Access repository registered in Open DOAR;
- publication in a journal for which a transformative Open Access agreement exists between VSNU and a publisher. For further information, see www.openaccess.nl/en.

Books

Different requirements apply to scholarly books, book chapters and edited collections. See the Open Access Policy Framework at www.nwo.nl/en/open-science.

CC BY licence

To ensure the widest possible dissemination of publications, at least a Creative Commons (CC BY) licence must be applied. Alternatively – in case of substantial interest – the author may request to publish under a CC BY-ND licence. For books, book chapters and collected volumes, all CC BY licence options are allowed.

Costs

Costs for publication in fully Open Access journals can be budgeted in the application using the budget module for 'material costs'. Costs for publications in hybrid journals are not eligible for reimbursement by NWO. For Open Access books, a separate NWO Open Access Books Fund is available.

For more detailed information about NWO's Open Access policy, see www.nwo.nl/en/open-science.

6 Contact and other information

6.1 Contact

6.1.1 Specific questions

For specific questions about this Call for proposals, please contact:

Joep van Wijk

NWA-routes@nwo.nl

+31 70 349 4459

6.1.2 Technical questions about the web application ISAAC

For technical questions about the use of ISAAC, please contact the ISAAC helpdesk. Please read the manual first before consulting the helpdesk. The ISAAC helpdesk can be contacted from Monday to Friday between 10:00 and 17:00 hours on +31 20 346 7179. However, you can also submit your question by email to isaac.helpdesk@nwo.nl. You will then receive an answer within two working days.

6.2 Other information

The whole text of this Call for proposals has been published in both Dutch and English. The Dutch version is deemed authentic. For legal interpretation, the text of the Dutch version will be decisive.

NWO processes data from applicants in accordance with the NWO Privacy Statement, www.nwo.nl/en/privacyverklaring.

NWO might approach applicants for an evaluation of the procedure and/or research programme.

7 Annexes:

7.1 Explanation of budget modules

It is possible to apply for the funding of the salary costs of personnel who make a substantial contribution to the research. Funding of these salary costs depends on the type of appointment and the organisation where the personnel are/ will be appointed.

- For university appointments, the salary costs are funded in accordance with the VSNU salary tables applicable at the moment the grant is awarded (www.nwo.nl/en/salary-tables).
- For university medical centres, the salary costs are funded in accordance with the NFU salary tables applicable at the moment the grant is awarded (www.nwo.nl/en/salary-tables).
- For personnel from universities of applied sciences and other institutions, the salary costs are funded on the basis of the collective labour agreement salary scale of the employee concerned, in accordance with the *Handleiding Overheidstarieven (HOT) 2021*.
- For the Caribbean Netherlands, the Dutch government employs civil servants on Bonaire, Sint Eustatius and Saba under different conditions than in the European part of the Netherlands www.rijksdienstcn.com/werken-bij-rijksdienst-caribisch-nederland/arbeidsvoorwaarden.

The rates for all budget modules are incorporated in the budget template that accompanies the application form. For the budget modules 'PhD student', 'PDEng' and 'Postdoc', a one-off individual bench fee of €5,000 is added on top of the salary costs to encourage the scientific career of the project employee funded by NWO. Remunerations for PhD scholarship students ('bursalen') at a Dutch university are not eligible for funding from NWO.

The available budget modules are explained below.

Postdoc

The size and duration of the postdoc appointment is at least 6 full months and at most 48 full-time months. The size and duration of the appointment is at the applicant's discretion, but the appointment is always for at least 0.5 FTE or for a duration of at least 12 months. The product of FTE x duration of appointment should always be a minimum of 6 full-time months.

The material budget is available to cover the costs of a more limited appointment of a postdoc.

Non-scientific staff (NSS) at universities

Funding for the appointment of NSS required to realise the research project can only be applied for if funding for a PhD student or postdoc is also applied for. A maximum of €100,000 can be requested for NSS. This includes personnel such as student assistants, programmers, technical assistants or analysts. Depending on the level of the position, the appropriate salary table for NSS at MBO, HBO or university level applies.

The size of the appointment is at least 6 full-time months and at most 48 full-time months. The size and duration of the appointment is at the applicant's discretion, but the appointment is always for at least 0.5 FTE or for a duration of at least 12 months. The product of FTE x duration of appointment should always be a minimum of 6 full-time months.

The material budget is available to cover the costs of a more limited appointment of NSS.

Personnel universities of applied sciences, educational institutions and other organisations

For the funding of salary costs of personnel employed at a university of applied sciences, educational institutions (with the exception of personnel that fall under the VSNU or NFU) or other organisations, the following rates (hours/day) are used. These are in accordance with the *Handleiding Overheidstarieven (HOT) 2021* (Table 2.2; column 'Uurtarief productieve uren, excl. btw').

| Scale | rate per hour | rate per day | rate per year | Scale | rate per hour | rate per day | rate per year |
|-------|---------------|--------------|---------------|-------|---------------|--------------|---------------|
| 1 | € 39 | € 312 | € 54.300 | 10 | € 70 | € 560 | € 98.300 |
| 2 | € 40 | € 320 | € 57.300 | 11 | € 77 | € 616 | € 109.300 |
| 3 | € 44 | € 352 | € 62.300 | 12 | € 87 | € 696 | € 122.300 |
| 4 | € 47 | € 376 | € 66.300 | 13 | € 96 | € 768 | € 135.300 |
| 5 | € 50 | € 400 | € 70.300 | 14 | € 105 | € 840 | € 148.300 |
| 6 | € 52 | € 416 | € 73.300 | 15 | € 113 | € 904 | € 159.300 |
| 7 | € 55 | € 440 | € 78.300 | 16 | € 121 | € 968 | € 171.300 |
| 8 | € 59 | € 472 | € 83.300 | 17 | € 130 | € 1.040 | € 184.300 |
| 9 | € 64 | € 512 | € 90.300 | 18 | € 140 | € 1.120 | € 198.300 |

Explanation of budget module Material

For each FTE scientific position (PhD student, postdoc, PDEng) applied for, a maximum of €15,000 material budget can be applied for per year of the appointment. Material budget for smaller appointments can be applied for on a proportionate basis and will be made available by NWO accordingly. Per 0.2 FTE scientific employee applied for at a university of applied sciences, educational institution or other organisation (with a minimum appointment of 0.2 FTE for 12 months) a maximum of €15,000 in material budget can be applied for per year.

The applicant is responsible for distributing the total amount of material budget across the NWO-funded personnel positions. The material budget that can be applied for is specified according to the three categories below:

Project-related goods/services

- consumables (e.g. glassware, chemicals, cryogenic fluids, etc.)
- measurement and calculation time (e.g. access to supercomputer, etc.)
- costs for acquiring or using data collections (e.g. from Statistics Netherlands [CBS]), for which the total amount may not be more than €25,000 per proposal
- access to large national and international facilities (e.g. cleanroom, synchrotron, etc.)
- work by third parties (e.g. laboratory analyses, data collection, citizen science, etc.)
- personnel costs for the appointment of a postdoc and/or non-scientific personnel for a smaller appointment size than those offered in the personnel budget modules

Travel and accommodation costs for the personnel positions applied for

- travel and accommodation costs
- conference attendance (maximum of two per year per scientific position applied for)
- fieldwork
- work visit

Implementation costs

- national symposium/conference/workshop organised by the project researchers
- costs for Open Access publishing (solely in full gold Open Access journals, registered in the 'Directory of Open Access Journals' <https://doaj.org/>)
- costs data management
- costs involved in applying for licences (e.g. for animal experiments)
- audit costs (only for institutions that are not subject to the education accountants protocol of the Ministry of Education, Culture and Science), maximum €5,000 per proposal; for projects with a duration of three years or less, a maximum of €2,500 per proposal applies

Costs that cannot be applied for are:

- basic facilities within the institution (e.g. laptops, office furniture, etc.)
- maintenance and insurance costs

If the maximum amount is not sufficient for realising the research, then this amount may be deviated from, if a clear justification is provided in the proposal.

Citizen science

Involving citizens (citizen science) can contribute to the quality of the research. With the help of citizens, data and insights can be acquired that would not otherwise be available for research. NWO also funds citizen science. Applicants can use the budget module 'material, project-related goods/services, work by third parties' to request a remuneration for the involvement of citizens in projects. The budget module offers a possibility and is not a requirement. Applicants are free to decide whether it is worthwhile involving citizens in the project and what exactly they use this budget for (for example, reimbursement of expenses of citizens, skills training for citizens or technical devices for the participating citizen).

Researchers are responsible for ensuring the responsible use of citizens¹⁰ and for safeguarding the quality of the work and data. This means that involving citizens in the research is not without obligations and continuously requires time and attention. With respect to the management of citizen science, NWO gives the following advice to researchers:

- Organise enough interaction moments, preferably by combining virtual and physical events;
- Ensure regular feedback to participating citizens, for example through the project manager.

A good implementation of citizen science also requires that:

- The researchers are transparent towards citizens/participants about the objectives, methods and phases of those parts of the research project that citizens are part of.
- The researchers explicitly state and safeguard the quality standards. For citizen science, the same principles and standards apply as for the assessment of scientific practice in general. The Netherlands Code of Conduct for Research Integrity also applies to citizen science. This therefore means that participating citizens must comply with privacy legislation.
- Researchers should fully recognise the participation of citizens who take part in the research, for example through acknowledgements in scientific publications.

Explanation of budget module Knowledge utilisation

The aim of this budget module is to facilitate the use of the knowledge¹¹ that emerges from the research. For each subproject, at least 5% but no more than 20% of the total (sub)project budget requested should be spent on knowledge utilisation activities via this budget module.

Knowledge utilisation takes many different forms in different scientific fields. Examples include producing a teaching package, conducting a feasibility study into potential applications, filing a patent application, or employing a business developer.

It is up to the consortium to specify in the proposal which costs are required.

Under the Impact Plan approach, consortia are expected at least to estimate costs within this module for the following activities:

- Specific activities to promote knowledge utilisation towards intermediary or other parties not funded in the projects, e.g. knowledge platforms. These activities include joint learning, training and communication activities.
- Stakeholder engagement: activities organised by the consortium aimed at involving stakeholders¹², such as consultation workshops, expert meetings, round table meetings, etc.

¹⁰ By 'responsible use', NWO means that the use of citizens must have a clear added value for the research, that consideration is given to health & safety and privacy legislation, for example, and that clear agreements are made about the hours worked, supervision and training. This can, for example, be realised by means of a volunteer's agreement (see for example <https://www.movisie.nl/tool/model-vrijwilligersovereenkomst> - in Dutch).

¹¹ In this budget module, the definition for 'knowledge transfer' as used by the European Commission in the Framework for State aid for research and development and innovation (PbEU, 2014, C198) applies.

¹² A stakeholder is any person or group that can influence or is influenced by the achieving of goals.

- Communication: activities organised by the consortium such as national and international learning events, development of videos, blogs, newsletters and other media communications. This may include the hiring in of communication expertise.
- Skills development: Activities aimed at developing skills beyond the levels of individual students, PhD students or postdocs, such as developing courses for stakeholders or Master's students.
- Monitoring and evaluation moments in which knowledge utilisation is discussed, such as interim evaluations and Advisory Committee meetings (see Annex 6.3.5).

The above elements can also be included under the Impact Outlook approach. In addition, applicants can specify costs for seeking unforeseen opportunities and/or costs to advance existing prospects. Only within the Impact Outlook approach 50% of the budget requested for knowledge utilisation can be reserved without a more detailed specification. In that case, this part can be used only to exploit unforeseen opportunities.

Travel expenses for co-funders are explicitly not eligible for funding in this module. However, travel expenses for cooperation partners and external parties in the social practice of the project are eligible. The budget applied for should be adequately specified in the proposal.

Explanation of budget module Project management

The module Project management provides the possibility to request a budget category for project management up to a maximum of 5% of the budget requested from NWO. This module is only available to the main applicant. They must satisfactorily justify this budget category.

Amongst other things, project management is understood to include coordinating the accountability for the (sub)projects, fulfilling the role of contact person for the (sub)projects for NWO, support of the (sub)projects and providing the reports requested by NWO, alignment between the subprojects and monitoring the progress of the (sub)projects.

Knowledge institutions should take account of public procurement rules in the tender procedure for selecting a third party and, where appropriate, follow a European procurement procedure. The activities of main applicants and co-applicants themselves in relation to the project (management) may not be funded under this budget module.

The budget to be requested for project management can consist of material or implementation costs and personnel costs. For personnel costs, a maximum rate of €121 per hour can be claimed. The hourly rate of personnel to be appointed must be based on a cost-covering rate and is calculated on the basis of the standard productive number of hours used by the organisation. The cost-covering rate includes:

- (average) gross salary corresponding to the position of the employee who will contribute to the project (based on the collective labour agreement grade of the employee concerned);
- holiday allowance and 13th month (if applicable in the relevant collective labour agreement) in proportion to the FTE deployed;
- social security charges;
- pension costs;
- overheads.

Project management tasks may be carried out by external parties, but the part of (commercial) hourly rates that exceeds the rates stated is not eligible for funding and therefore cannot be included in the budget.

7.2 Public knowledge organisations

The public knowledge organisations listed below may act as co-applicants in a consortium. The check mentioned in Section 3.1.1 is not required for these organisations.

National knowledge institutes (from: <https://www.knmi.nl/kennis-en-datacentrum/project/rki>) - Dutch only):

1. CBS – Centraal Bureau voor de Statistiek (Statistics Netherlands)
2. CPB – Centraal Planbureau (Netherlands Bureau for Economic Policy Analysis)

3. KiM – Kennisinstituut voor Mobiliteitsbeleid (Netherlands Institute for Transport Policy Analysis)
4. KNMI – Koninklijk Nederlands Meteorologisch Instituut (Royal Netherlands Meteorological Institute)
5. NFI – Nederlands Forensisch Instituut (Netherlands Forensic Institute)
6. PBL – Planbureau voor de Leefomgeving (Netherlands Environmental Assessment Agency)
7. RCE – Rijksdienst voor het Cultureel Erfgoed (Cultural Heritage Agency of the Netherlands)
8. RIVM – Rijksinstituut voor Volksgezondheid en Milieu (National Institute for Public Health and the Environment)
9. RKD – Nederlands Instituut voor Kunstgeschiedenis (Netherlands Institute for Art History)
10. RWS – Rijkswaterstaat (Directorate-General for Public Works and Water Management)
11. SCP – Sociaal en Cultureel Planbureau (Netherlands Institute for Social Research)
12. WODC – Wetenschappelijk Onderzoek- en Documentatiecentrum (Research and Documentation Centre)

Other public knowledge institutions (from: <https://www.rathenau.nl/en/kennisgedreven-democratie/public-knowledge-organisations-netherlands>):

13. Boekman Foundation – Institute for arts, culture and related policy
14. Clingendael – Netherlands Institute of International Relations
15. Geonovum – Knowledge organisation for geographic information
16. Movisie – Centre for social issues
17. Mulier Institute – Centre for sports research
18. (N) IFV – (Netherlands) Institute for Safety
19. NIVEL – Netherlands Institute for Health Services Research
20. NJi – Nederlands Jeugdinstituut (Netherlands Youth Institute)
21. Police Academy – Training, knowledge and research for the Dutch National Police
22. SWOON-NLDA – Stichting Wetenschappelijk Onderwijs en Onderzoek Nederlandse Defensieacademie (foundation for scientific education and research of the Netherlands defence academy)
23. SWOV – Stichting Wetenschappelijk Onderzoek Verkeersveiligheid (Institute for Road Safety Research)
24. Trimbos Institute – Institute for mental health, drug abuse and addiction
25. VeiligheidNL – Organisation to promote safe behaviour
26. Vilans – Research into long-term care

Publication: January 2022

Dutch Research Council

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