



## Call for proposals, Dutch Research Agenda

### Knowledge Brokering and Synthesis – SDG Interactions and Policy Interventions in Developing Countries

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## 1 Introduction

### 1.1 Background

The Dutch National Research Agenda (NWA) describes broad, societal challenges which require a national approach whereby the Dutch (and global) knowledge economy as well as society at large can benefit from research performed in The Netherlands. The NWA was created by an innovative process with input from citizens and scientists: every Dutch resident was given the opportunity to submit questions online. The national knowledge community, under the guidance of the Knowledge Coalition, compiled the resulting questions into 140 scientific challenges, which have been translated into 25 pathways, i.e. routes.

The NWA programme above all aims to build bridges: between various scientific fields, between various forms of research (fundamental, applied, practice-oriented) and between diverse national and international knowledge agendas. Interdisciplinarity and transdisciplinarity, an approach spanning the entire knowledge chain and cooperation with societal partners including Ministries, corporations, start-ups and NGOs are therefore crucial features of the consortia involved in NWA projects and programmes.

The overarching ambition of the NWA programme is to make a positive, structural contribution to the global knowledge society of tomorrow, in which new knowledge flows easily from researcher to user and new questions arising from practice and society lead quickly and naturally to new research. This can only be achieved by building bridges today in order to address the scientific and societal challenges together, both locally and globally.

The programme on the theme 'Sustainable Development Goals Interactions and Policy Interventions in Developing Countries' is part of programme line 2 of the NWA programme. In this programme line, NWO is working with relevant ministries. The initiator of this call is the Netherlands Ministry of Foreign Affairs (MFA); the programme is managed by NWO-WOTRO Science for Global Development.

This call for proposals for one knowledge brokering and synthesis project is part of the programme 'Sustainable Development Goals Interactions and Policy Interventions in Developing Countries' and aligns with:



- The call for proposals on the theme ‘Sustainable Development Goals Interactions and Policy Interventions in Developing Countries’<sup>1</sup>.
- The NWA pathway Sustainable Development Goals (SDG) for inclusive global development<sup>2</sup>, a research agenda established in 2016 to promote integrated and comprehensive analyses and understanding of SDG interactions, both synergies and trade-offs.
- The Netherlands’ Ministry of Foreign Affairs and in particular its policy on Foreign Trade and Development Cooperation (BHOS, 2018)<sup>3</sup>, which is guided by the SDG agenda. The policy promotes four closely connected objectives: preventing conflict and instability; reducing poverty and social inequality; promoting sustainable and inclusive growth and climate action worldwide; enhancing the Netherlands’ international earning capacity.

The decision-making body for this NWA call is the NWO executive board. This also means that the NWO Grant Rules 2017 apply to this call.

## **1.2 Available budget**

The budget available with which one knowledge brokering and synthesis project can be funded will be € 300,000.

## **1.3 Validity of the call for proposals**

This call for proposals is valid until the date on which the NWO executive board takes a decision on the proposals.

The deadline for submission of the proposal is stated in Section 3.3 and the expected decision dates are shown in the schedule in Section 4.1.

## **2 Aim**

### **2.1 General aim of the programme**

This call for proposals for a knowledge brokering and synthesis (KBS) project is part of the research programme ‘Sustainable Development Goals Interactions and Policy Interventions in Developing Countries’ (subsequently SDG Interactions programme).

The United Nations defined 17 Sustainable Development Goals (SDGs) to ‘make the world a better place in 2030’<sup>4</sup>. The first and overarching goal is to end extreme poverty, which according to the UN is ‘the biggest challenge of our time’. Other SDGs target for example health, education and potable drinking water, but also sustainable energy, reduced inequality and climate action.

Inclusive global development is a ‘wicked problem’. Insecurities, opposing values, changing conditions and mutual dependencies may complicate the pursuit of coherent solutions; partial solutions in one sector may evoke new challenges elsewhere. The separate goals therefore have to be addressed comprehensively.

What is the impact of specific policy choices and interventions on sustainable development at large?

In the face of the complexity of these global challenges, new approaches are needed. The aim of the SDG Interactions programme is to generate new insights into the ways in which SDG goals interact – both positively and negatively – and about the impact on policy interventions and outcomes. This research programme aims to rigorously map, analyse and explain the complex interactions of SDGs to inform integrated and evidence-based SDG policies in the Netherlands and around the world. Evidence-based knowledge is needed to test and investigate the assumptions of the Netherlands BHOS policy.

The programme has the following focus points, which can be consulted in chapter 2 of the call for proposals ‘Sustainable Development Goals Interactions and Policy Interventions in Developing Countries’:

1. *Thematic focus* on three themes: SDG governance and decision-making; Addressing trade-offs

<sup>1</sup> <https://www.nwo.nl/en/funding/our-funding-instruments/nwa/dutch-research-agenda---theme-sdg-interactions-and-policy-interventions-in-developing-countries/nwa-sdg.html>

<sup>2</sup> <https://wetenschapsagenda.nl/routes/?lang=en>

<sup>3</sup> <https://www.government.nl/documents/policy-notes/2018/05/18/investing-in-global-prospects>

<sup>4</sup> United Nations (2015) *Transforming our world: the 2030 Agenda for Sustainable Development* ([https://www.un.org/ga/search/view\\_doc.asp?symbol=A/RES/70/1&Lang=E](https://www.un.org/ga/search/view_doc.asp?symbol=A/RES/70/1&Lang=E))



between food and nutrition security (SDG2) and other SDGs; and Climate change (SDG13) and conflict (SDG16)

2. *Geographical focus* on developing countries and one or more BHOS focus countries/regions in particular
3. *Integrated research approach*, including interdisciplinarity and transdisciplinarity; complementarity; context analysis; and sustainability and scalability.
4. *Cross-cutting perspectives* of gender equality and the empowerment of women and girls; youth employment; and the opportunities and risks of digitalisation in the context of inclusive and sustainable development.

A maximum of three 2M€ projects will be granted (one per theme) in the SDG Interactions programme; additionally, one cross-cutting KBS project will be granted through this current call for proposals.

The main programme objectives are to:

- generate high-quality knowledge of SDG interactions and the need/scope for synergies between SDGs;
- design, apply and learn from creative, out-of-box research and interactive approaches to systematically integrate, monitor and adapt the interweaving of research, development and policy-making;
- provide evidence-based findings and tailored recommendations to the Netherlands Ministry of Foreign Affairs and local policy makers in the focus regions/countries regarding more coherent and effective SDG policies and interventions;
- create regular flexible and constructive interactions between policy makers and researchers so as to enhance mutual information and inspiration and to contribute to strengthened research capacity in the Netherlands and in the focus regions/countries studied.

## **2.2 Knowledge brokering and synthesis project**

This call for proposals invites consortia to propose high-quality and relevant knowledge brokering and synthesis expertise, services, activities and products in support of the programme objectives outlined above (section 2.1). The knowledge brokering and synthesis (KBS) project is required to proactively support and collaborate with the research consortia funded in the SDG Interactions programme. The purpose of this collaboration is to facilitate productive interactions and learning, to increase the effectiveness and efficiency of this programme as a whole and to enhance the relevance, impact and sustainability of its results. Policy dialogues with the Netherlands Ministry of Foreign Affairs and local policy makers in developing countries are a key element of this programme. Policy dialogues facilitate mutual learning between research and policy and practice; relevant trends, findings and challenges in policy and practice have to be incorporated in the research projects.

The KBS project and consortia representation together have to form a joint programme group throughout the programme duration. This programme group will initiate and implement the cross-cutting knowledge sharing, synthesis and scaling strategy. The precise operating mechanisms between research consortia and the KBS project are to be designed; the KBS team will likely take the lead in the implementation, facilitation and realisation of cross-cutting programme services, activities and products. Knowledge brokering requires not only effective knowledge sharing, but also linking up with work already (being) done, so as to minimize unintended duplication and redundancy and to contribute to strengthened research capacity in the Netherlands and in the developing countries concerned.

As part of the programme group, the KBS project will be encouraged to formulate innovative ideas for enhancing synthesis and research uptake. It is advised to formulate a programme-level impact plan, including a policy dialogue plan and a theory of change and impact pathway.<sup>5</sup> NWO reserved a programme budget for joint programme activities. Implementation thereof requires prior NWO approval. The KBS project will report to and be monitored by a supervisory committee.

Minimum requirements of the impact plan are to:

- facilitate frequent (semi-annual) *policy dialogues* with the Netherlands Ministry of Foreign Affairs and local policy makers;
- enhance *joint learning* on contents and on approaches;
- promote programme-level *knowledge sharing*;
- facilitate *synthesis, uptake and upscaling* of findings, including the organisation of annual meetings and midterm and final conferences.

<sup>5</sup> See the 'Sustainable Development Goals Interactions and Policy Interventions in Developing Countries' call for proposals, section 2.4.2 for details.



Further to these activities, the KBS project has to facilitate networking among the three research consortia that will be funded in the SDG Interactions programme. The network is envisaged to be a platform for knowledge exchange concerning SDG interactions and policy interventions in developing countries but also for sharing insights regarding how this knowledge is best translated into policy and practice. Network features may include digital tools and infrastructure, joint workshops and seminars and joint publications and/or products (e.g. policy briefs, videos). This will contribute to mutual learning among the funded research projects and will serve to increase the critical mass behind efforts to translate knowledge into policy and practice and to facilitate policy dialogues. The network is intended to stimulate the application of the joint knowledge generated to improve SDG policies in developing countries, in the Netherlands and globally.

Although the KBS project will operate mainly on a cross-cutting programme-level, it will have to function as a linking pin between the three research consortia and the programme as a whole. The KBS project will have to advise and support the research consortia in the effectuation of intermediate adjustments based on e.g. policy dialogues, synthesis and knowledge sharing. Research consortia have to adopt a flexible and stepwise research approach and project management; the same level of flexibility and agility is expected from the KBS project.

### 3 Guidelines for applicants

#### 3.1 Who can apply

NWO invites applications from consortia with relevant experience in the field of knowledge brokering and synthesis, including networking, knowledge translation and policy influence. Among the consortia members can be organisations with an academic or public interest, such as universities, research institutes, think tanks, government departments, NGOs, etc.

Proposals must be submitted and carried out by a consortium of experts. For research partnerships to be effective, they have to be inclusive and fair (see section 3.5.7). All consortium members have to be involved in the development and in the execution of the KBS project. Consortia, consisting of organisations from various disciplines and backgrounds from across the globe, may apply for funding under this call. The *minimum* requirements for an eligible consortium are:

- One main applicant (defined in section 3.1.1) holding a senior position at a research organisation located in the Netherlands;
- One applicant and/or cooperation partner holding a senior position at a research organisation located in a developing country.

Four categories of participants are differentiated within a consortium:

1. Main applicant<sup>6</sup>
2. Applicant(s)
3. Co-funder(s)
4. Cooperation partners

##### 3.1.1 Main applicant

The main applicant submits the proposal on behalf of the consortium and is the point of contact for NWO. The main applicant receives the funding on behalf of the consortium and is responsible for the project coherence, the results and the financial accountability. Researchers from the following knowledge institutions can act as the main applicant:

- Universities located in the Kingdom of the Netherlands;
- University medical centres;
- KNAW and NWO institutes;
- Universities of applied sciences, as referred to in Article 1.8 of the Dutch Higher Education and Research Act (Wet op het hoger onderwijs en wetenschappelijk onderzoek, WHW);
- TO2 institutes;
- the Netherlands Cancer Institute;
- the Max Planck Institute for Psycholinguistics in Nijmegen;
- the DUBBLE Beamline at the ESRF in Grenoble;
- NCB Naturalis;
- Advanced Research Center for NanoLithography (ARCNL);
- Princess Máxima Center for Paediatric Oncology.

The main applicant should:

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<sup>6</sup> See Sections 1.1 and 1.2 of the NWO Grant Rules 2017. Applicants are referred to in the Grant Rules as co-applicants.



- be in the possession of a PhD degree or have a lector/senior researcher appointment, and
- have an appointment for at least the duration of the application process and the proposed project.

An exception to the required duration of appointment can be made for:

- lectors and senior researchers employed at a university of applied science or TO2 institute with a temporary appointment that does not cover the entire duration of the research for which the grant is being applied for. A senior researcher should be able to demonstrate three or more years of research experience. The applicants should demonstrate by means of a letter that adequate supervision is guaranteed for the entire duration of the research for all researchers that they request funding for.
- applicants with a “tenure track” appointment that does not cover the entire duration of the project. The applicants should then demonstrate by means of a letter that adequate supervision is guaranteed for the entire duration of the research for all researchers that they request funding for.

The main applicant may only submit one proposal in this call. In addition, a main applicant may act only once as an applicant for another consortium.

### 3.1.2 Applicant(s)

An applicant participates in the consortium and receives funding via the main applicant. An applicant may participate in this capacity in no more than two consortia.

A consortium may have more than one applicant among its participants. Applicants can be located in the Netherlands and outside the Netherlands.

Applicants affiliated to an organisation listed in paragraph 3.1.1 can participate as an applicant. If the applicant is affiliated to an organisation not listed in paragraph 3.1.1, the organisation must meet the following cumulative conditions:

- it must have a public task;
- it must carry out research independently;
- it must have a non-profit status, other than for the purpose of further research.

**Please note:** These conditions will be assessed by NWO prior to submission of the full proposal.

To this end, the applicant’s organisation should submit the following documents by email no later than 10 working days before the full proposal submission deadline:

- a recent extract from the Chamber of Commerce register;
- the deed of incorporation, articles of association or other formal document indicating the public task and the non-profit status;
- the latest available annual accounts accompanied by an auditor’s statement;
- If NWO has not assessed the applicants in advance, it cannot take the proposal into consideration.

An exception to this requirement is made for:

- The 29 Dutch public knowledge organizations as identified by the Rathenau Institute<sup>7</sup>.

### 3.1.3 Co-funder(s)

Co-funding is not mandatory in this call. It is, however, possible to add co-funders to the project proposal. Co-funders are organisations that participate in the consortium and contribute to the project in cash and/or in kind. Co-funders do not receive any funding from NWO. The conditions with respect to co-funding are detailed in section 3.5.

Knowledge institutions permitted to participate in proposals in accordance with the description in section 3.1.1. may not participate as co-funders in this call for proposals. An exception applies in the case of TO2 institutes. A TO2 institute may participate in a consortium as a co-funder, provided it is not also participating in the same consortium as main applicant or applicant.

<sup>7</sup> The 29 Dutch public knowledge organizations (for the list of these national knowledge institutions see: <https://www.rathenau.nl/en/kennisgedreven-democratie/public-knowledge-organisations-netherlands/faq#faq-item1>) and Public Universities in the targeted developing countries do not have to submit the mentioned documents in advance, since NWO assumes that these organizations in principle meet the conditions specified in section 3.1.2. If NWO considers further verification to be necessary after submission of the proposal, then the applicant of such an organization must still submit these documents at the request of NWO.



### 3.1.4 Cooperation partner(s)

A cooperation partner is a party that does not receive funding or contribute co-funding to the proposal, but is closely involved in implementing the project. These could be parties involved through participation in an advisory, supervisory or user committee, or parties that are unable to capitalise their contribution in advance. A template for a declaration of commitment is available on the funding page of this call. The main applicant may also nominate external parties they wish to involve in promoting the uptake and use of knowledge generated.

A cooperation partner from a practitioners organisation is accepted. *Practitioners* organisations include any type of organisation, other than research or higher education organisations, that represent a group of people actively engaged in policies and/or practices, including public organisations (governmental departments of line ministries, local or international governments, extension services, et cetera), as well as private non-profit organisations such as NGOs, cooperatives, social movements, unions and civil society organisations), et cetera.

A practitioners organisation has to meet the following cumulative criteria:

- it must have a public task;
- it must carry out research independently;
- it must have a non-profit status, other than for the purpose of further research.

Please note that personnel of these organisations is excluded from payment of salaries and research costs from the NWO grant, unless they are hired through the module 2 – work by third parties.

Research organisations looking for (private) practitioner partners are advised to contact the *SDG Nederland*

portal: [info@sdgnederland.nl](mailto:info@sdgnederland.nl) (website: [www.sdgnederland.nl](http://www.sdgnederland.nl)).

## 3.2 What can be applied for

### 3.2.1 Available amount

A total budget of 300,000 euros is available to grant one project in this call for proposals. The KBS project has to budget mainly for personnel costs and material costs, such as eventual sub-contracting (work by third parties), goods/services and travel and accommodation costs.

Note that the following costs will be covered by other means within the SDG Interactions programme and do not have to be budgeted by the KBS project:

- Mandatory progress and assessment workshops within the three thematic projects;
- Monitoring, Evaluation & Learning and Synthesis and Scaling work packages within the three thematic projects;
- Annual programme meetings and midterm and final conferences;
- Programme activities and services budgeted by the joint programme group (max. 0.2M€).

The proposed budget build-up is indicative and has to be tuned to the precise work plan of the joint programme group. Prior NWO approval of budget revisions is required. The maximum amount is fixed.

### 3.2.2 Budget

The budget is built up using the NWO-wide standardised building blocks, the so-called budget modules. In the budget, applicants choose the combination of modules needed to answer the research question, and how often each module will be used.

In this call for proposals, the following modules are available:

1. Personnel costs
2. Material costs
3. Knowledge utilisation

In this call, the modules can be used as often as is needed for the proposed research.

The costs estimated need to be provided in the application form. Funding should be compliant or compatible with European legislation on state aid and<sup>8</sup>. Please note that the personal costs are based

<sup>8</sup> See Commission Regulation (EU) 1407/2013 of 18/12/2013, Commission Regulation (EU) 651/2014 of 17/06/2014 and Communication from the European Commission 2014/C 198/01 to check compatibility with European aid legislation. For public procurement





on the collective labour agreements of VSNU (for universities) and NFU (for academic medical centres). The salary tables are due to change after July 1, 2020, which needs to be taken into account in the budget.

A specification of the costs that are covered per module can be found in Annex 6.1. This annex forms an integral part of this call for proposals.

### **3.3 When can applications be submitted**

The deadline for the submission of proposals is **15 September 2020, 14:00:00 CE(S)T**.

When submitting an application via ISAAC, the main applicant will need to enter additional details online. You should therefore start submitting your application at least three working days before the deadline for this call. Applications received after the deadline will not be taken into consideration. For technical questions, please contact the ISAAC helpdesk (see section 5.1.2).

### **3.4 Preparing an application**

#### **3.4.1 Application form**

The form for proposals, and templates for the below specified annexes is available in ISAAC or on the funding page of this call. The instructions for preparing proposals can be found in the proposal form.

- Download the relevant documents from the online application system ISAAC or from the NWO website (at the foot of the web page for the relevant funding instrument).
- Complete the form.
- Save the proposal form as a PDF file and upload it to ISAAC.
- Attach the requested annexes to the proposal.

**Please note:** The language to be used when preparing the proposal is English.

#### **3.4.2 Annexes**

The following annexes have to be attached when submitting a proposal:

- CVs of the consortium members (max. 1 page per member);
- letters of commitment from co-funders (if applicable);
- declarations of commitment from cooperation partners (optional; see section 3.1.4);

Other types of annexes are not accepted. Annexes should be uploaded to ISAAC separately from the proposal. All annexes, with the exception of the budget spreadsheet, should be uploaded as PDF files.

### **3.5 Conditions on granting**

The NWO Grant Rules 2017 and the Agreement on the Payment of Costs for Scientific Research apply to all applications.

#### **3.5.1 Duration**

The granted project has a maximum duration of 5 years and will have to run in parallel to the three thematic projects funded under the SDG Interactions programme.

#### **3.5.2 Conditions project start**

The applicant is expected to participate in a programme launch workshop of the SDG Interactions programme immediately after his/her project has been awarded a grant (in October 2020) and to simultaneously initiate a project-level inception phase. The KBS project team is expected to outline a detailed work plan during the inception phase and to submit this plan to NWO for approval.

The project should formally start within three months after the date of the grant letter. At least one researcher must be appointed to the project at the time of its start. If the project has not started within three months, NWO can decide to revoke the granting decision.

The main applicant is responsible for ensuring the necessary documents for the start of the project are submitted to NWO, so that the project in its entirety can start on time.

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regulations, please see: <http://wetten.overheid.nl/BWBR0032203/2016-07-01> (in Dutch)



The project can start if the following documents have been approved by NWO:

- A project notification form with information of project staff;
- A data management plan;
- A consortium agreement, signed by all consortium organisations<sup>9</sup>;
- (If applicable) approval of relevant ethics committees;
- (If applicable) receipt by NWO of the first tranche of cash co-funding.

### 3.5.3 Co-funders

Co-funding is not mandatory in this call. It is, however, possible to add co-funders to the project proposal. A distinction is made between in cash co-funding, which serves to cover the budget for the project activities described in the proposal, and in kind co-funding, which can consist of the use of resources from the organisations involved.

After a proposal has been awarded funding, NWO will invoice the private or public party that has pledged an in cash contribution. After the contribution has been received, the money will be allocated to the project.

#### Conditions for in kind co-funding

In kind co-funding should be capitalised, i.e. expressed in cash terms, consisting of the number of units against cost price or hours x hourly rate, and is part of the proposal budget.

The co-funding organisation must justify the rates used and provide evidence for them. NWO will determine whether the rates need to be adjusted.

#### Determining the value of in kind co-funding

The hourly rate can be determined on the basis of the maximum cost-covering rate including the associated premiums. The maximum rates are based on the standard productive hours of the organisation concerned. The following elements can be included to arrive at a cost-covering hourly rate:

- (average) gross salary for the post of the employee who will contribute to the project;
- holiday pay and 13th month (if applicable in the current collective labour agreement) in proportion to the deployment in terms of FTE;
- social security contributions;
- pension contributions.

Co-funders should justify the structure and amount of the quoted hourly rates in the letter of support. The maximum hourly rates for personnel in kind contributions from co-funders are € 125 per hour regardless of the applicable fiscal rules and regulations of the co-funder.

NWO may request justification and evidence for the rates applied, and may request adjustments. A maximum rate of € 25 per hour applies for the use of students.

#### The following are permitted as in kind co-funding:

- The use of personnel and material contributions are accepted as co-funding on the condition that these are capitalised and are fully part of the project. This will be made clear in the description and the planning/phasing of the research. For equipment pledged, the actual current value will be used.
- It is possible that part of the research will be carried out by third parties. In the case of the use of personnel, the condition is that the expertise provided in the form of man-hours is not already available at the research institution(s) and is therefore specifically deployed for the project. The capitalisation of personnel deployed by third parties is subject to the value determination for in kind co-funding described above.
- A condition for material contributions in the form of services provided is that these can be identified as a new effort. The service should not already be available at the research knowledge institution(s) carrying out the research. It might be the case that a party wishes to use services already provided (for example a database or software) as in kind co-funding. However, this will not be automatically accepted. In such cases, the main applicant should contact NWO in advance. NWO will determine whether a concrete value can be established for the service provided.

<sup>9</sup> A format will be made available on the funding page of this call.



## Accountability for in kind co-funding

Private and public parties should justify their in kind contributions to NWO by providing the main applicant with an overview of costs contributed to the project. This should be submitted within three months of completion of the research project to which the contribution was made. The main applicant should submit the accountability overview from the co-funder(s) to NWO, together with the financial statement for the project, for the purpose of determining the funding. If the in kind contribution to be accounted for by a single co-funder is higher than € 125,000, then that co-funder should submit an auditor's statement; in other cases, a written declaration from the main applicant stating that the in kind efforts contributed were actually allocated to the project will suffice.

If no accountability overview is provided for the pledged co-funding or if the pledged co-funding is not delivered, NWO has the right to withdraw all funding.

### The following may not be contributed as co-funding (both in cash and in kind):

- funding awarded by NWO<sup>10</sup>;
- PPP allowance;
- co-funding originating from organisations where the main applicant or applicant(s) are employed;
- discounts on commercial rates, e.g. on materials, equipment and services;
- costs related to overhead, supervision, consultancy and/or participation in the user committee;
- costs of services that are conditional. The co-funding provided may not be subject to any conditions. The provision of the co-funding does not depend on whether a certain stage in the research plan is achieved (e.g. go/no-go moment);
- costs that are not reimbursed according to the call for proposals;
- costs of equipment if one of the (main) objectives of the proposal is the improvement or creation of added value for this equipment.

### Letter of support from participating co-funders

In a letter of support, the co-funder declares support for both the content and financial aspects of the project and confirms the co-funding pledge. The letter of support from all co-funders is a compulsory annex to the full proposal. The letter should be signed by an authorised signatory of the co-funder and printed on the co-funder's headed stationery. If the proposal is awarded funding, NWO will ask the co-funder to confirm the contribution(s) (e.g. for invoicing purposes). NWO will make a standard template available for the letter of support.

#### 3.5.4 Declarations of commitment from cooperation partners

Cooperation partners (see Section 3.1.4) cannot provide letters of support as they do not contribute co-funding to the project. However, cooperation partners may provide a declaration of commitment in which they state their reasons for acting as a cooperation partner in the research and what their role within the project will be. Declarations of commitment are not compulsory.

#### 3.5.5 Accountability and project closure

During the project, the main applicant will be responsible for reports on the project's progress. With a view to monitoring the progress of the project, NWO will request interim- reports on its content (see section on Monitoring and Evaluation below).

Upon completion of a project, final reports will be requested on both the content and the finances of the project. The final amount of funding (and co-funding) will be determined after approval.

#### 3.5.6 Monitoring, Evaluation and Learning

NWO will be responsible for the content monitoring of proposals that have been awarded funding. To reinforce this and to increase support for implementation of the projects, NWO will set up an international supervisory committee. The supervisory committee will have a broad membership, including researchers, societal stakeholders, representatives from NWO-WOTRO and the Netherlands Ministry of Foreign Affairs, and other key stakeholders. The committee will monitor the progress of the KBS project and the three thematic projects and the results achieved, focusing on knowledge transfer, knowledge utilisation, also in the shape of application of results for policy dialogue. Progress

<sup>10</sup> Funding awarded by NWO is defined as funding obtained as the result of acceptance of a proposal submitted to NWO. It is irrelevant under which programme this funding was obtained or who the funding recipient was.



reports and assessments thereof will be used as input for programme meetings and workshops and for the policy dialogues and synthesis/upscaling trajectories.

### **Annual progress reports**

Annually, a progress report has to be submitted to inform NWO on the overall project progress. The main applicant will receive instructions and a format for this report in advance. The annual reports will be assessed by the supervisory committee.

### **Midterm evaluation**

Two years after the start of the project, a midterm evaluation will take place. The first step in this procedure is a self-assessment by the project team. The supervisory committee will evaluate the progress of the project based on midterm reports submitted by the consortium. An interview may be organised to evaluate the progress and potential for impact of the project. The supervisory committee will give recommendations based on their evaluations. Results of the midterm review will be used as input for a midterm programme conference.

### **Final reporting**

A substantive final report should be submitted within three months after the end of the project's duration, detailing how the project has achieved change, in terms of output as well as outcomes. As part of this, the project will be asked to complete a self-assessment. The final substantive report will be evaluated by the supervisory committee. The final workshop should be taken into account in the consortium's budget.

Simultaneously, the main applicant and the controller/financial manager of the main applicants' institution should submit a signed financial end report, organised according to the budget lines of the approved NWO budget. The report should detail, among others, the effective duration (period) and size (fte) of the personnel appointed to the project using the module Personnel, and, if applicable, how eventual replacements were arranged. The realised in cash and in kind co-financing should also be accounted for.

NWO reserves the right to conduct an external financial audit.

NWO reserves the right to externally evaluate projects financed under this call. The project ends with the issuing of the grant settlement decision. This decision is taken after approval of the final document(s) by NWO.

### **3.5.7 Fair research collaboration and Consortium Agreement**

For research partnerships to be effective, they have to be fair.<sup>11</sup> Proposals should be characterised by equal partnership and sustainable collaboration among the partners in the consortium and with relevant stakeholders. This includes gender equality. Evidence of such active engagement will be an element in the assessment of project proposals.

The consortium partners must sign a Consortium Agreement before the start of a project which has been awarded funding. A Consortium Agreement regulates consortium governance, task division, resource management and ownership of results between the collaborating consortium organisations. The initiative for producing these agreements lies with the main applicant. NWO will assess the agreements made for compliance with the NWO Grant Rules 2017 and the specific conditions in this call for proposals.

### **3.5.8 Intellectual Property & Publications (IP&P)**

To increase the likelihood of new inventions and innovations, the acquisition, maintenance and use of intellectual property rights (patents and copyrights) by knowledge institutions is encouraged. It is important that research results are treated responsibly with a view to contributing to science and applying the knowledge concerned. The aim is both to ensure that the research results can be exploited and published as widely as possible, and to encourage collaboration between the knowledge chain and (semi-)public partners and industry. The NWO Grant Rules 2017 provide possibilities for the applicants to acquire intellectual property (IP) rights and possibly to transfer or license these to co-funders.

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<sup>11</sup> NWO adheres to the *Research Fairness Initiative* of COHRED.



Further to the principles of *Socially Responsible Licensing*<sup>12</sup>, ownership of and access to Results will be regulated in such a way as to encourage consortium partners to strive for knowledge transfer to Partners and/or third parties from developing countries and/or to translate the knowledge and discoveries that emerge from the research as quickly as possible into products or services that are accessible, applicable and affordable for developing countries. The following additional regulations apply:

1. All Results are and will continue to be available to all Parties for the purpose of execution of the Project and for non-commercial research and education and to stimulate research and innovation systems, in particular in developing countries.
2. Intellectual Property Rights to Results are owned by the Party that generated such Result. In the event Parties generate Results jointly, the Intellectual Property Rights to such Results are owned jointly by those Parties.
3. In the event a Result is capable of protection by Intellectual Property Rights and one or more of the Parties wish to protect such Result, the Parties, together with NWO-WOTRO will consult and agree who will bear the cost of such protection. Intellectual Property Rights are applied for in the name of the owning Party(ies).
4. In the event a Private Party wishes to obtain or (non)exclusively license Results that are protected by Intellectual Property Rights for commercial purposes, such Private Party, the Party(ies) owning the Intellectual Property and WOTRO shall negotiate an agreement in which at least the following issues are incorporated:
  - a. compensation in conformity with the market price of such Results. 50% of the revenues received is allocated to the Academic Party that generated the Results, the other 50% is allocated to WOTRO, to be reinvested in future research funding;
  - b. an obligation for the Private Party to enhance the accessibility, affordability and applicability of Results in developing countries and, where relevant, include support of humanitarian use licenses, independent of any market value;
  - c. an obligation for the Private Party to grant affordable licenses to the Results to third parties from developing countries that need such licenses to exploit results from follow up research.
5. All Results of the Project for which it is decided not to apply for a patent and/or which have appeared to be not patentable or otherwise protected through intellectual property rights, shall become public knowledge and be made available through Open Access.

### 3.5.9 Publications

When publishing the results of the subsidised research, the support by NWO should be mentioned.

### 3.5.10 Open Access

As a signatory to the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities (2003), NWO is committed to making the results of scientific research funded by NWO freely available in open access on the internet. In doing so, NWO is implementing the ambitions of the Dutch government to make all publicly funded research openly available. All scientific publications of research funded on the basis of this call for proposals should therefore be available in open access immediately (at the time of publication). NWO accepts various routes:

- publication in an full open access journal,
- depositing a version of the article in a repository or
- publication in a hybrid journal covered by one of the agreements between the VSNU and publishers. See [www.openaccess.nl](http://www.openaccess.nl).

Any costs for publication in full open access journals can be incurred in the project budget. NWO does not reimburse costs for publications in hybrid journals. These conditions apply to all forms of scholarly publications arising from grants awarded on the basis of this call for proposals. Also academic monographs, edited volumes, proceedings and book chapters. For more information on the NWO's open access policy, see: [www.nwo.nl/openscience](http://www.nwo.nl/openscience)

### 3.5.11 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 freely accessible. As much as possible, NWO expects that research data resulting from NWO-funded projects will be made publicly available for reuse by other researchers. "As open as possible, as closed as necessary" is the guiding principle in this respect. As a minimum, NWO requires that the data underpinning research papers should be made available at the time of the article's publication. The costs for doing so are eligible for

<sup>12</sup> [https://www.nfu.nl/img/pdf/19.4511\\_Ten\\_principles\\_for\\_Socially\\_Responsible\\_Licensing.pdf](https://www.nfu.nl/img/pdf/19.4511_Ten_principles_for_Socially_Responsible_Licensing.pdf)



funding and can be included in the project budget. In the data management section, and in the data management template if the project is awarded funding, researchers explain how they plan to manage the data expected to be generated by the project.

### Data management section

The data management section is part of the research proposal. Researchers are asked to prospectively consider how they will manage the data the project will generate and plan for which data will be preserved and be made publicly available. Measures will often need to be taken during the production and analysis of the data to make their later storage and dissemination possible. If not all data from the project can be made publicly available, the reasons for not doing so must be explained in the data management section. Due consideration is given to aspects such as privacy, public security, ethical limitations, property rights and commercial interests.

### Data management plan

After a proposal has been awarded funding, consortia should elaborate the data management section into a data management plan. In this plan, consortia describe 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. The data management plan must be completed in consultation with a data steward or equivalent research data management support staff at the home institution of the project leader. The plan should be submitted to NWO via ISAAC within four 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.

Further information on the NWO data management protocol can be found at [www.nwo.nl/datamanagement-en](http://www.nwo.nl/datamanagement-en).

### 3.5.12 Data analytics

In case external primary data regarding developing countries are used in the research, consortia have to give priority to datasets collected by local public institutes, such as National Statistics Bureaus (NBSs) and National Resource Mapping Organisations (NRMOs). If possible and relevant, consortia are encouraged to proactively involve these institutes in elements of the research process, and, by doing so, to contribute to their strengthened institutional capacity.

### 3.5.13 Research Integrity and Research Ethics

As stipulated in the 2017 NWO Grant Rules, researchers funded by NWO have to act in accordance with the nationally and internationally accepted standards of scientific activity, as set out in *the Netherlands Code of Conduct for Research Integrity*<sup>13</sup>. In order to guide research activities in – and with partners from – developing countries, consortia funded in this call also have to adhere to the *Global Code of Conduct for Research in Resource-Poor Settings*<sup>14</sup>. In case research is conducted in fragile states, it is advised to consult the *Security Guidelines for field research in complex, remote and hazardous places*<sup>15</sup>.

Any research proposal that raises ethical issues must be carefully considered in advance. The applicants need to assess what ethical challenges will be met in the proposed research, consider how these will be addressed, and how ethical clearance will be obtained. In the Netherlands, certain research projects require a statement of approval from a recognised (medical) ethics review committee or an animal experiments committee. In addition, some research proposals require a licence under the Population Screening Act (WBO). Similar laws and regulations in the respective developing countries must be adhered to if required and applicable. Applicants must subscribe to and comply with the prevailing codes.

For complex questions related to ethical issues, NWO reserves the right to consult an external adviser. If after consulting the applicant, NWO is of the opinion that an ethical assessment is needed for the application, then the applicant is obliged to take the necessary measures for such an assessment. If the applicant fails to obtain the necessary statement of approval from an ethics review committee then the grant shall be immediately withdrawn.

<sup>13</sup> <https://www.vsnw.nl/files/documents/Netherlands%20Code%20of%20Conduct%20for%20Research%20Integrity%202018.pdf>

<sup>14</sup> <http://www.globalcodeofconduct.org/>

<sup>15</sup> [https://www.eur.nl/sites/corporate/files/manual\\_security\\_guidelines\\_def\\_2.dd\\_juli\\_2016.pdf](https://www.eur.nl/sites/corporate/files/manual_security_guidelines_def_2.dd_juli_2016.pdf)



### **3.5.14 Nagoya Protocol**

The Nagoya Protocol became effective on 12 October 2014 and 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 resources from the Netherlands or abroad for their research should familiarise themselves with the Nagoya Protocol ([www.absfocalpoint.nl](http://www.absfocalpoint.nl)). NWO assumes that researchers will take all necessary actions with respect to the Nagoya Protocol.

### **3.5.15 Sustainability impact strategy**

In order to reduce their carbon footprint, consortia are advised to develop a *sustainability impact strategy*, including an explicit less-flying strategy and novel attempts at more virtual, remote collaboration.

## **3.6 Submitting an application**

An application can only be submitted to NWO via the online application system ISAAC. Applications not submitted via ISAAC will not be taken into consideration.

A main applicant must submit his/her application via his/her own ISAAC account. If the main applicant does not have an ISAAC account yet, then this should be created at least three days before the application is submitted to ensure that any registration problems can be resolved on time. If the main applicant already has an NWO-account, then he/she does not need to create a new account to submit an application.

For technical questions please contact the ISAAC helpdesk, see Section 5.1.2.

## **4 Assessment procedure**

### **4.1 Procedure**

The NWO Code for Dealing with Personal Interests applies to all persons and NWO staff involved in the assessment and/or decision-making process ([www.nwo.nl/en/documents/nwo/legal/nwo-code-of-conduct-on-conflicts-of-interest](http://www.nwo.nl/en/documents/nwo/legal/nwo-code-of-conduct-on-conflicts-of-interest)).

#### **4.1.1 Admissibility**

The first step in the assessment procedure is to test whether a proposal is admissible. Only those proposals that satisfy the criteria stated in Chapter 3 are admissible and will be taken into consideration.

If correction of a proposal is necessary and possible, the main applicant will be given the opportunity once to adjust his or her proposal. If the proposal is not corrected within the given time frame of five working days, NWO will not include the proposal in the assessment process. Corrected proposals will, after approval of eligibility by NWO, be included in the assessment procedure. The main applicant will receive written confirmation of receipt within two weeks after the deadline for submitting proposals of this call, stating whether or not the application has been accepted into the selection procedure.

#### **4.1.2 Selection procedure**

If eligible, proposals will be reviewed by an International Advisory Committee (IAC) on the basis of the selection criteria mentioned in section 4.2. Note that no external peer review will be sought in this assessment procedure.

The IAC will provide preliminary assessments for each proposal. Each consortium will subsequently be offered an opportunity in writing (rebuttal letter of a maximum of 2 pages A4, five working days) to the preliminary assessments of the IAC. During a subsequent assessment meeting, the IAC will discuss all proposals and rebuttal letters, will assess the overall quality of each proposal and subsequently will rank the proposals. Based on the ranking, the IAC will present an advice on funding to the executive board of NWO.

#### **4.1.3 Decision**

The executive board of NWO will verify that the procedure has been conducted properly before taking a decision on granting. A maximum of one proposal can be granted. Only proposals that have an overall qualification of at least 'very good' will be taken into account for funding. The executive board of NWO will decide on funding of a KBS project, taking advice from the IAC into consideration.





All main applicants will be informed in writing about the outcome of the selection procedure. NWO gives all proposals a qualification. The applicant is informed of this qualification when the decision about whether or not to award funding is announced. For further information about the qualifications see [www.nwo.nl/qualifications](http://www.nwo.nl/qualifications).

The data management section in the proposal is not evaluated and is therefore not included in the decision on whether to award funding. However, the committee can issue advice with respect to the data management section. After a proposal has been awarded funding, the applicant should elaborate the data management section into a data management plan. Main applicants can draw on the committee's recommendations when writing the data management plan. The project which have been awarded funding can formally start as soon as the data management plan has been approved by NWO.

#### **4.1.4 Composition of the committee**

The IAC has an advisory role and consists of international members, both with academic and practitioner background. Members have broad expertise regarding SDGs interactions and policy interventions in developing countries and specific expertise regarding one or more of the programme themes. A representative of the Netherlands Ministry of Foreign Affairs will be an observer member of the IAC. The composition of the IAC will be published on the programme website after the assessment procedure has been completed.

The IAC will be dissolved after the project grant has been awarded.

Subsequently, NWO will install a supervisory committee that will supervise, monitor and evaluate the KBS project granted throughout project duration.

#### **4.1.5 Indicative timetable**

15 September 2020 14:00.00 hrs CE(S)T  
September-early November 2020

October 2020  
November 2020

November 2020  
February 2021  
April 2021

Deadline for submitting proposals  
Assessment of proposals: IAC preliminary assessments, rebuttal and final IAC assessments  
Rebuttal  
Decision on funding by NWO executive board; NWO informs the applicants about the decision  
Project begins inception phase  
Latest administrative start of the funded project  
Programme start: opening workshop

Whilst NWO aims to meet the target dates provided above, it reserves the right to change these at any stage, e.g. due to the COVID-19 crisis. Substantial deviations will be published on the programme website.

#### **4.2 Criteria**

Proposals will be assessed on the basis of the following two criteria:

- I. Quality of the proposal
- II. Quality of the consortium

The criteria are weighted equally. The assessment criteria are operationalised below on a number of sub-aspects.

- I. Quality of the proposal
  - Innovativeness of the knowledge brokering and synthesis approach.
  - Adequacy and coherence of the work plan and the proposed services, activities and products, including policy dialogues.
  - Feasibility and effectiveness of the proposed knowledge exchange and learning network.
  - Relevance and adequacy of the connection to existing knowledge and (digital) networks and to relevant policy actors and strategies, in developing countries, in the Netherlands and globally.
  - Flexibility and appropriateness of project management to support the joint programme group and to realise their deliverables.
- II. Quality of the consortium
  - Track record of the consortium members regarding knowledge brokering, policy dialogue and research uptake for research to policy and evidence-informed decision-making.
  - Track record of the consortium regarding research synthesis and upscaling, in particular for SDG-related research.
  - Expertise of the consortium regarding the thematic and geographic focus of the programme.
  - Relevant experience of the consortium, both in the Netherlands and in developing countries.
  - Fairness of the consortium: gender equality, equitable governance, task division, resource management and ownership of results.





## 5 Contact details and other information

### 5.1 Contact

#### 5.1.1 Specific questions

For specific questions on this call for proposals please contact:

- Dr Martijn Wienia (nwa-sdg@nwo.nl, +31 (0)70-3494352, available Monday, Thursday and Friday);
- Dr Nadine Herold (nwa-sdg@nwo.nl, +31 (0)70-3440910, available Monday-Thursday).

#### 5.1.2 Technical questions about the electronic application system 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 CE(S)T on +31 (0)20 346 71 79. However, you can also submit your question by e-mail to isaac.helpdesk@nwo.nl. You will then receive an answer within two working days.

## 6 Annex

### 6.1 Budget modules

A maximum amount of € 300,000 is available in the call for proposal. For a proposal in this round, a maximum of € 300,000 can be applied for. The budget modules (including the maximum amounts) that are available within this call for proposals are stated in the table below. You should only request that which is essential for realising the research.

Budget module	Maximum amount
PhD	according to VSNU or NFU rates <sup>1</sup>
Professional Doctorate in engineering (PDEng)	in combination with PhDs and/or postdoc(s), according to VSNU or NFU rates <sup>1</sup>
Postdoc	according to VSNU or NFU rates <sup>1</sup>
Non-scientific staff (NSS) at universities	according to VSNU or NFU rates <sup>1</sup> in combination with PhDs and/or postdoc(s)
Other scientific staff (OSS) at universities	in combination with PhDs and/or postdoc(s)
Research leave	
Personnel universities of applied sciences and other institutions (such as applied research organisations (TO2) and SMEs)	rates based on <i>Handleiding Overheidstarieven 2017</i> (HOT)
Material costs	€ 15,000 per year per scientific position
Knowledge utilisation	

<sup>1</sup> For personnel outside the Netherlands, the local rates are reimbursed up to a maximum of the VSNU rates.

When the budget for the proposal is drawn up, arguments should be provided about how the proposed expenditures in the various categories will contribute to the proposal. NWO will make a budget form available which must be submitted as an annex to the proposal. The funding should be in agreement with the European legislation for state support and tendering<sup>16</sup>.

#### 6.1.1 Personnel costs

Funding for the salary costs of personnel who make a substantial contribution to the research can be applied for. A distinction is made between personnel appointed at an academic institute<sup>17</sup> and personnel appointed at other institutes<sup>18</sup>.

<sup>16</sup> See Directive EU 1407/2013 dated 18/12/2013, EU 651/2014 dated 17/06/2014 and the announcement of the European Commission 2014/C 198/01 to check whether there is compliance with these rules for state support. For the tendering rules, we refer you to: <http://wetten.overheid.nl/BWBR0032203/2016-07-01>

<sup>17</sup> Universities and university medical centres located in the Kingdom of the Netherlands, NWO- and KNAW institutes, the Netherlands Cancer Institute, the Max Planck Institute for Psycholinguistics, researchers from the DUBBLE Beamline at the ESRF in Grenoble, NCB Naturalis, Advanced Research Centre for NanoLithography (ARCNL), Princes Máxima Center for pediatric oncology.

<sup>18</sup> Universities of applied sciences, TO2 institutes, Governmental Knowledge Institutes and other organisations that participate as applicant and are not the academic institutes mentioned above.



The organisation where the personnel is appointed determines according to which rates the salary costs will be granted:

- 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/salary-tables](http://www.nwo.nl/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/salary-tables](http://www.nwo.nl/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, based on the *Handleiding Overheidstarieven 2017*.
- 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. (<https://www.rijksdienstcn.com/werken-bij-rijksdienst-caribisch-nederland/arbeidsvoorwaarden>)
- For personnel employed outside the Netherlands, the local rates are reimbursed up to a maximum of the VSNU rates (max. 4,500 euros per month).

### Personnel academic institutes

For the budget modules “PhD”, “PDEng” and “Postdoc”, a one-off individual bench fee of € 5,000 is added on top of the salary costs. This bench fee is intended to encourage the scientific career of the project employee funded by NWO. Remunerations for PhD students/PhD scholarship students at a Dutch university are not eligible for funding from NWO.

### PhD (including MD-PhD)

A PhD<sup>19</sup> is appointed for 1.0 fte for a duration of 48 months. The equivalent of 48 full-time months, for example an appointment of 60 months for 0.8 fte is also possible. If a different duration of appointment is considered necessary for the realisation of the proposed research, then as long as this is properly justified, the standard time can be deviated from. However, the duration of appointment must always be at least 48 months.

For the employment of PhD students from abroad, three possible modalities are in place:

- Full employment by a research organisations in the Netherlands in accordance with the VSNU salary tables applicable at the moment the grant is awarded.
- Employment by a research organisation abroad with a net monthly living allowance to cover all personal costs, including housing, organisational overhead, medical costs, insurances, travel to and from work, et cetera. The regulations of the research organisations involved should be guiding for determining the amount of the living allowances. The local rates are reimbursed up to a maximum of the VSNU rates.
- Sandwich PhD students from developing countries: PhD students with affiliation to research organisations both abroad and in the Netherlands will be remunerated as follows: whilst in the Netherlands, PhD students have to be employed in accordance with the VSNU salary tables. Whilst in developing countries, costs are reimbursed according to in-country regulations and up to a maximum of the VSNU rates. These different tariffs should be specified in the budget.

The following additional conditions are:

- a. PhD students are offered full participation in the applicable Graduate School training and services offered by the respective research organisation(s);
- b. Students have to stay in the Netherlands for at least 12 months during at least two visits;
- c. Both research organisations in the Netherlands and abroad commit to effective and fluent support and supervision of the project and the student. Next to these conditions, the pursuit of a double degree – a PhD degree from both research organisations – is encouraged. Fulfilment of these conditions has to be explained in the project notification form upon funding.

### Professional Doctorate in Engineering (PDEng)

Funding for the appointment of a PDEng can only be applied for if funding for a PhD or postdoc is also applied for. The appointment for a PDEng position is a maximum of 1.0 fte for 24 months. The PDEng trainee is employed by the institution applying for funding and can realise activities within the research at an industrial partner for a specified time. If the research proposal is awarded funding, then an agreement must be concluded with the industrial partner(s) concerned. The underlying “Technological Designer Programme” should be described in the funding proposal.

<sup>19</sup> In line with the NWO strategy, Industrial and Societal Doctorates are also understood to fall under this category. If an Industrial or Societal Doctorate is appointed, the private or public organisation where the doctorate will obtain his or her PhD will be responsible for (part of) the salary costs.



## Postdoc

The size of the appointment of a postdoc 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 a postdoc.

## Non-scientific staff (NSS) at universities

Funding for the appointment of non-scientific personnel necessary for the realisation of the research project can only be applied for if funding for a PhD or postdoc is also applied for. This includes personnel such as student assistants, programmers, technical assistants or analysts. Depending on the level of the position, the appropriate salary table for non-scientific staff 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 non-scientific personnel.

## Other scientific staff (OSS) at universities

Budget for other scientific personnel such as AIOS (doctor training to be a specialist), ANIOS (doctor not training to be a specialist), scientific programmers or employees with a master's degree can only be applied for if funding for a PhD or postdoc is also applied for. For this category, a maximum of € 100,000 can be applied for.

The size of the appointment is at least 6 full-time months and 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.

## Research leave for applicants

With this budget module, funding can be requested for the research leave costs of the main and/or co-applicant(s). The employer of the applicant concerned can use this to cover the costs of relinquishing him or her from educational, supervisory, administrative or management tasks (not research tasks). The time that is released through the research leave grant can only be used by the applicant(s) for activities in the context of the project. The proposal must describe which activities in the context of the project the applicant(s) will carry out in the time relinquished.

## Personnel universities of applied sciences and other institutes

For the funding of salary costs of personnel employed at a university of applied sciences, TO2 institute, government knowledge institutions and other non-academic organisations in the category applicants (see paragraph 3.1.2), the following maximum rates (hours/day) are used in accordance with the Handleiding Overheidstarieven 2017 (HOT). The HOT table *kostendekkend* is used.

### 6.1.2 Material costs

For academic institution, for each fte scientific position (PhD, postdoc, PDEng) applied for, a maximum of € 15,000 material budget can be applied for per year of the appointment.

For universities of applied sciences and other institutes, per 0.2 fte scientific employee (junior, medior and senior level, with a minimum appointment of 0.2 fte for a period of 12 months), a maximum of € 15,000 material budget can be applied for each 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.

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 (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), 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, etc.)
- personnel costs for the appointment of a post-doc and/or non-scientific personnel for a smaller appointment size than those offered in the personnel budget modules

#### **Travel and accommodation costs for the personal 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 within the research project
- costs for Open Access publishing (solely in full gold Open Access journals, registered in the “Directory of Open Access Journals” <https://doaj.org/>)
- data management costs
- 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, desks, etc.);
- maintenance and insurance costs.

Applicants employed by a research organisation in developing countries may apply for overhead costs up to a maximum of 5% over the overall project budget dispersed to their organisations.

If the maximum amount of € 15,000 per year per fte scientific position is not sufficient for realising the research, then it may be deviated from if a clear justification is provided in the proposal.

#### **6.1.3 Knowledge utilisation**

The aim of this budget module is to facilitate the use of the knowledge that emerges from the research<sup>20</sup>. Because knowledge utilisation takes many different forms in different scientific fields, it is up to the applicant to specify the costs required, e.g. costs of producing a teaching package, conducting a feasibility study into potential applications, or filing a patent application. The budget applied for should be adequately specified in the proposal.

<sup>20</sup> In this budget module, the definition for “knowledge transfer” used by the European Commission in the Framework for State Aid for research and development and innovation applies (PbEU, 2014, C198).