

TERMS AND CONDITIONS OF RUBICON RESEARCH GRANTS - Deadline 1 April 2010

1. Specific conditions for a research period in the Netherlands

1a Registration form

The research must start between 1 September and 1 December 2010. You must send the completed and signed *Rubicon Grant REGISTRATION FORM for research in the Netherlands* to NWO, four weeks before the starting date. For research in the Netherlands, the host institution must sign the form to confirm that the laureate is to be employed at that institution for at least the duration of the research described in the application. By doing this, the host institute commits itself to providing the laureate with the opportunity to carry out the research funded by Rubicon. The research should be conducted over an uninterrupted period.

1b Date of PhD award

If you have not yet been awarded your PhD and the date of the award is not specified in your application, you must inform NWO of this date before the start of the research. If the date of your PhD award is not known, the Rubicon research cannot start.

1c Payments

At the start of the research, € 44,000 is paid to the research institution. The remaining € 11,000 will be paid after the final statement of accounts has been received from the research institution and NWO has approved the final report and the final statement of accounts.

1d Reporting obligations

Within three months of the end of the research period, NWO expects a short report (maximum two pages of A4, excluding references and publications) of the activities carried out, the results of your research, and your experiences while conducting this Rubicon research. NWO will send you a request to submit this report, together with a form for drafting it.

1e Final statement of accounts

Within three months of the end of the grant period, the host institution must submit a financial accounting report for the research conducted by the laureate. A statement from the host institution that the researcher was appointed to conduct the Rubicon research for the period stated is sufficient; this statement is also signed by the laureate. The grant is covered by the regular audit specified in the university education audit guidelines issued by the Ministry of Education, Culture and Science. NWO reserves the right to request additional information for the financial accounting report.

2. Specific conditions for a research period outside the Netherlands

2a Registration form

The research must start between 1 September and 1 December 2010. You must send the completed and signed *Rubicon Grant REGISTRATION FORM for research outside the Netherlands* to NWO, four weeks before the starting date. For research outside the Netherlands, the host institution must sign the form to confirm that the laureate is to be employed at that institution for at least the duration of the research described in the application. By doing this the host institute commits itself to providing the laureate with the opportunity to carry out the research funded by Rubicon. The research should be conducted over an uninterrupted period.

2b Date of PhD award

If you have not yet been awarded your PhD and the date of the award is not specified in your application, you must inform NWO of this date before the start of the research. If the date of your PhD award is not known, the Rubicon research cannot start.

2c Payments

Payment of the awarded amount shall be made to the host institute in advance in six-monthly instalments. The first payment for international travel expenses will be transferred to your account, well before your departure (see registration form).

If your stay abroad is to last 12 months or longer, a second payment for international travel expenses will be made. This amount shall be paid into your account during the last quarter of your research period.

2d Costs

The host institute uses the grant to pay your salary, including the social security contributions. The host institute shall also manage the 230 euro per month payment for research costs. You may use the budget for research costs for additional travel and accommodation costs for work and congress visits during the grant period, and for any other costs associated with the Rubicon research.

2e Reporting obligations

Within three months of the end of the research period, NWO expects a short report (maximum two pages of A4, excluding references and publications) of the activities carried out, the results of your research, and your experiences while conducting this Rubicon research. NWO will send you a request to submit this report, together with a form for drafting it.

2f Final statement of accounts

Within three months of the end of the grant period, the host institution must submit a financial accounting report for the Rubicon research conducted by the laureate. A statement from the host institution that the researcher was appointed to conduct the Rubicon research for the period stated is sufficient. This statement must also be signed by the laureate.

3. Other conditions applicable to all Rubicon grants

3a Availability

During the grant period and until NWO has received both the financial accounting report and the final research report, you must remain available and cooperate if NWO requests any provisional information. This means that, in addition to the postal address already submitted, NWO needs at least a valid e-mail address. You must also inform NWO as soon as possible of your postal address during your stay at the host institution.

NWO wants to keep track of where Rubicon researchers end up after they have completed their Rubicon-funded research and would therefore like to receive any change of address of the laureates. Then two and five years after the end date of the project, NWO can ask you whether you are still actively involved in scientific research, whether you have published any further papers on the results of the project, et cetera. NWO shall only use these data cumulatively in its reports about the Rubicon programme, and it will not be possible to trace the information back to the individuals concerned.

3b Ethical aspects

Before submitting a Rubicon application, you must determine if your proposed research raises ethical questions and therefore needs to be assessed by an ethics review committee. If such an assessment is required then you are obliged to initiate the procedure in good time. If your research proposal has not gained the necessary ethical approval when the grant is awarded then the Rubicon project cannot be started. The research proposal must at least satisfy the requirements set by the European Commission (see Overview in Appendix 1).

If the research involves human embryo stem cells, the Marie Curie programme committee and the ethics review committee must both approve the research before the project can start.

Once the project has started then your research must be conducted in compliance with the Dutch ethical guidelines applicable to your scientific discipline. If you fail to do this then NWO shall reserve the right to stop your grant immediately.

3c Other funding

Other funding may be received in addition to the Rubicon grant. Only if such funding is clearly intended to cover the same costs as the Rubicon grant (General Terms and Conditions of NWO Grants, Article 21) shall NWO reduce the amount of the Rubicon grant. However, finance offered by another source to fund the Rubicon research may not be accepted without prior consent from NWO.

If a researcher receiving a Rubicon grant is going abroad and wishes to retain all or part of his/her appointment at a Dutch university, the following options are available:

- a. to freeze the current appointment (zero hours appointment). The researcher should sign a statement to this effect.
- b. to transfer management of the grant to the Dutch university (as the researcher's employer). The university is then responsible for complying with the General Terms and Conditions of NWO Grants (Article 21) and must issue a statement that it will not reimburse costs covered by the Rubicon grant and that it will enable the researcher to conduct the Rubicon research in full. This clause may only be deviated from in exceptional cases and with prior approval from NWO.

3d Part-time research

Rubicon research may be conducted on a part-time basis provided that this amounts to at least 75% of the normal 40-hour working week. The researcher may spend the remaining 25% of the normal 40-hour working week (or part of it) in paid employment. In that case, there will be a proportionate extension of the grant period or a proportionate reduction in the grant sum.

3e Stopping before the project is completed

If the laureate is unable, either fully or partly, to complete the planned research or comply with the NWO's terms and conditions due to illness or other causes then NWO can withdraw the grant or, if payments have already been made, stop further payments. If the researcher is abroad at the time when the grant is withdrawn or payments are stopped, the costs of the return journey will be paid by NWO. If at a later date the circumstances change such that the researcher can once again be expected to complete the programme, NWO may consider making the grant, or the unused part of it, available again.

3f Progress and publications

The researcher must send every research publication and other form of output from the Rubicon-funded research to NWO using the Iris system on the NWO website.

In any publication of the research results, mention must be made of the support received from NWO and the Marie Curie Cofund Action. NWO's name is to be translated as follows:

French - Organisation Néerlandaise pour la Recherche Scientifique (NWO)

German - Niederländische Organisation für Wissenschaftliche Forschung (NWO)

Italian - Organizzazione Nazionale Olandese per la Ricerca Scientifica

Spanish - Organización Neerlandesa de Investigaciones Científicas (NWO)

4. NWO General Terms and Conditions

The [General Terms and Conditions of NWO Grants 2007](#) apply, except where they are at variance with these specific terms and conditions of Rubicon research grants.

Appendix 1: Conditions stipulated by the European Commission for the ethical aspects

1. **Informed consent:** When describing issues relating to informed consent, an appropriate level of ethical sensitivity will need to be shown, and due consideration given to the issues of insurance, incidental findings and the consequences of leaving the study.
2. **Data protection issues:** Avoid the unnecessary collection and use of personal data. Identify the source of the data and describe whether it is collected as part of the research or if previously collected data is being used. Consider issues of informed consent for any data being used. Describe how the identities of individuals providing the data are protected.
3. **Use of animals:** Where animals are used in research then the application of the 3Rs (Replace, Reduce, Refine) must be convincingly addressed. Numbers of animals should be specified. Describe what happens to the animals after the research experiments.
4. **Human embryonic stem cells:** Research proposals that will involve human embryonic stem cells (hESC) will have to address all the following specific points:
 - 4.1. the applicants should demonstrate that the project serves important research aims to advance scientific knowledge in basic research or to increase medical knowledge for the development of diagnostic, preventive or therapeutic methods to be applied to humans.
 - 4.2. the necessity to use hESC in order to achieve the scientific objectives set forth in the proposal. In particular, applicants must document that appropriate validated alternatives (in particular, stem cells from other sources or origins) are unsuitable and/or unavailable to achieve the expected goals of the proposal. This latter provision does not apply to research comparing hESC with other human stem cells.
 - 4.3. the applicants should take into account the legislation, regulations, ethical rules and/or codes of conduct in place in the country or countries where the research using hESC is to take place, including the procedures for obtaining informed consent;
 - 4.4. a project involving hESC cannot start before the Marie Curie programme committee has given its consent.
 - 4.5. the applicants should ensure that all hESC lines to be used in the project have been derived from embryos:
 - for which the donor's/donors' express, written and informed consent was provided freely, in accordance with national legislation prior to the procurement of the cells.
 - that result from medically-assisted *in vitro* fertilisation designed to induce pregnancy, and were no longer to be used for that purpose.
 - for which the measures to protect personal data and privacy of the donor(s), including genetic data, are in place during the procurement and for any use thereafter. Researchers must accordingly present all data in such a way as to ensure donor anonymity;
 - for which the conditions of donation are adequate, and that no pressure was put on the donor(s) at any stage, that no financial inducement was offered to donation for research at any stage and that the infertility treatment and research activities were kept appropriately separate.