Advancing Equity in Academia through Innovation

Call for Proposals

Applied and Engineering Sciences
Science
Social Sciences And Humanities
ZonMw

2022 1st round
Chapter 1 Introduction / Advancing Equity in Academia through Innovation

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1 Introduction

In this call for proposals information is provided about the application procedure for the “Advancing Equity in Academia through Innovation” funding instrument. This call for proposals falls under the responsibility of the Dutch Research Council (NWO).

The call includes a sandpit procedure and therefore consists of three phases: 1) call for Expressions of Interest for attending in sandpit workshop, 2) attending the sandpit workshop and 3) call for full proposals.

In this document you will find information about the aim of this programme (Chapter 2), the conditions for participation in a sandpit workshop and the full proposal (Chapter 3) and how applications will be assessed (Chapter 4). This is the information you need to submit an Expression of Interest for sandpit participation and a full proposal. 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

NWO aims to advance world-class research with both scientific and societal impact. Different perspectives and backgrounds foster novel ideas and creative thinking, and generate a deeper, better understanding of the issues we are addressing. Diversity in research therefore drives innovation and promotes inclusive research with meaningful and sustainable impact.\(^1\) Hence NWO is committed to invest in creating diversity and an inclusive academic culture by funding research that addresses existing patterns, structures and processes in order to enable researchers from underrepresented ethnic groups to access and progress in academia: ensuring world-class research by everyone, for everyone.

To promote ethnic diversity and equity in academia, NWO has developed the Impulse programme for Inclusion in Academia, in collaboration with ECHO (Expertise Centre for Diversity Policy) and LanDO (National Dialogue Network of Diversity Officers). The Impulse programme has two main goals. On the one hand, it aims to increase the representation of researchers from underrepresented ethnic groups through the funding instruments Hestia – Impulse for Refugees in Science\(^3\) and Mosaic 2.0\(^4\). On the other hand, it aims to contribute to a cultural change at universities in the Kingdom of the Netherlands and university medical centres (UMCs) in the Netherlands. For this latter aim, NWO has developed the funding instrument “Advancing Equity in Academia through Innovation”. This reinforcing approach of addressing underrepresentation and promoting diversity and inclusion is critical in generating a diversity of talent in academia, and also to nurture and retain this talent.

This call aims to enable successful applicants to develop and implement research-based interventions at universities in the Kingdom of the Netherlands and UMCs in the Netherlands, which contribute to cultural change that advances equity in academia in the Kingdom of the Netherlands. New and creative collaborations are needed to develop and implement interventions that will have an impact. A sandpit workshop will be organised in this call to bring together people with different perspectives. During the sandpit workshop, participants who may otherwise not cross paths will be brought together to facilitate the formation of innovative consortia. Researchers, PhD students and non-researchers from universities and UMCs as well as professionals from outside academia are invited to express their interest and apply to take part in the sandpit workshop.

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\(^1\)https://eua.eu/downloads/publications/web_diversity%20equity%20and%20inclusion%20in%20European%20higher%20education%20institutions.pdf

\(^2\)https://www.rijksoverheid.nl/documenten/rapporten/2020/09/01/nationaal-actieplan-boekje-definitief

\(^3\)https://www.nwo.nl/en/researchprogrammes/hestia-impulse-refugees-science

\(^4\)https://www.nwo.nl/en/calls/mosaic-20-2021
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1.2 Available budget

The available budget for this call for proposals is €1,300,000.

1.3 Submission deadline(s)

The deadline for submitting pre-proposals is March 21, 2022, at 14:00:00 hours CET.
The deadline for submitting full proposals is September 30, 2022, at 14:00:00 hours CET.

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.

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Box 1: What is a sandpit?

A sandpit is an intensive and interactive workshop, where a diverse group of selected participants from a range of disciplines and backgrounds, a team of experts and independent collaboration partners, get together for multiple days, to immerse themselves in collaborative thinking processes about a complex societal challenge. Sandpits include a highly multidisciplinary mix of active researchers, collaboration partners, stakeholders and potential users of research outcomes, to drive lateral thinking and new approaches to address research challenges on a specific topic. Sandpits provide innovative ways of generating research projects coupled with real-time peer review, and unique interdisciplinary consortia.
2 Aim

This chapter describes the aim of the instrument, the sandpit procedure and the societal impact that is envisioned by this instrument.

2.1 Aim of the programme

This funding instrument aims to advance the equity, diversity and inclusion of underrepresented ethnic groups in academia and to realise a cultural change in this regard. In this call, NWO defines underrepresented ethnic groups as Dutch citizens with a migration background from Africa, Asia, the Caribbean, the Middle East, Central and South America and Turkey. The funding instrument is designed to translate NWO’s commitment to equity, diversity and inclusion (EDI) into tangible action and responsible innovation.

Through this funding instrument, funded research projects should embed and/or improve EDI policies and practices at universities in the Kingdom of the Netherlands and UMCs in the Netherlands. The research- and evidence-based interventions can focus on building EDI awareness, new knowledge and/or capacity. These interventions could include trialling new and innovative approaches or the monitoring and adaptation of current processes and interventions. Possible areas of focus are:

- Curricula, courses or trainings on EDI;
- Research or HR policies;
- Professional development on EDI & workforce plans;
- Monitoring & evaluation frameworks & data management plans.

Furthermore, to drive change in the academic culture at a national level, the consortia funded will need to actively share their results and experiences with each other. NWO will facilitate an annual knowledge exchange workshop and provide a platform to engage and cross-pollinate new insights and knowledge between the different researchers and projects (see Section 5.1.2).

The intended impact of this funding instrument is a more inclusive academic culture where all individuals are valued irrespective of their ethnic background. If you think you can contribute to the aim of this funding instrument in any way and you would like to participate in the sandpit procedure (see Section 2.2), you are encouraged to submit an Expression of Interest to join the sandpit.

2.2 Sandpit procedure: innovative and joint research development

In the procedure of this funding instrument, research projects will be developed by means of a creative and collaborative model: a sandpit. This is an interactive brainstorm workshop over several days that will be held in the Netherlands (27 June – 1 July 2022). A selected group of researchers, PhD students and professionals from universities in the Kingdom of the Netherlands and UMCs in the Netherlands, will be mobilised to jointly design the research programme. The assessment committee will select sandpit participants based on the submitted Expressions of Interest (see Section 3.4).

A sandpit is an intensive, interactive workshop designed to produce highly innovative research proposals. Participants from a diverse range of disciplines and backgrounds come together in a creative, free-thinking environment – away from their everyday routines and responsibilities – and immerse themselves deeply in a collaborative process around an important challenge. In this case, that challenge is, contributing to an inclusive culture in academia in the Kingdom of the Netherlands for underrepresented ethnic groups (and the objectives as stated in Section 2.1).
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The goal of the sandpit is to design various innovative research projects, including the interventions to be developed into a full proposal after the sandpit. The key objective of the sandpit is to bring together members of universities and UMCs with diverse backgrounds and collaboration partners from outside academia. This should stimulate innovative ideas for research-based interventions that can lead to an inclusive academic culture for underrepresented ethnic groups for the benefit of high-quality research. Through interaction with invited stakeholders, a clearer understanding of the problem concerned can be made and knowledge and research gaps identified. The sandpit is a unique opportunity to share ideas and develop future collaborations, also outside the scope and funding of this call.

It should be noted that participation in the sandpit workshop is mandatory. It is, however, not a guarantee for funding. The process of developing consortia and full proposal outlines in the sandpit is a dynamic process. Research proposal outlines need to be elaborated after the sandpit. Full proposals will be evaluated by the assessment committee.

The granting procedure of this funding instrument consists of three phases:

<table>
<thead>
<tr>
<th>Phase</th>
<th>What</th>
<th>How</th>
<th>When</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phase 1</td>
<td>Sandpit participant selection</td>
<td>Based on Expressions of Interest (EoI); assessed by assessment committee</td>
<td>Deadline submission EoI: 14 April 2022, 14:00:00 CEST</td>
</tr>
<tr>
<td>Phase 2</td>
<td>Sandpit workshop</td>
<td>Workshop over several days to design research projects within the scope of this instrument</td>
<td>27 June – 1 July 2022</td>
</tr>
<tr>
<td>Phase 3</td>
<td>Full proposals</td>
<td>Elaboration of research project outlines that are produced during the sandpit; assessed by assessment committee</td>
<td>Deadline submission full proposal: 29 September 2022, 14:00:00 CEST</td>
</tr>
</tbody>
</table>

During the sandpit workshop, an intensive process will be facilitated to jointly explore the intended impact of this programme and the challenges faced, and to create innovative ways to overcome these. New consortia will be formed and research proposal outlines developed. The sandpit workshop will be held in English.

After the sandpit workshop, each consortium will further elaborate a full proposal. In the foreseen projects, a diverse group of sandpit participants will collaborate, including members of universities (from PhD students to full professors, from diversity officers to administrators to members of boards, from supportive to academic staff) and professionals from outside academia.

More information about the sandpit, including an outline programme and relevant background information will be provided to the participants selected.

*Diversity and inclusivity in the sandpit*
Having a diverse group of participants in the sandpit workshop is crucial for a successful, innovative execution of the sandpit and for the success of the resulting research projects. Expertise from different research disciplines is welcome, as well as expertise from different levels at universities and UMCs: Diversity officers (1), board members of universities/UMCs (2), researchers from different areas (3), human resource managers (4) and PhD students (5). Young researchers, representatives from underrepresented ethnic groups (e.g. laureates of the Mosaic program) and PhD students are especially encouraged to submit an EoI form. Individuals who think they can make a valuable contribution to the sandpit but do not fall into the above categories can also submit an EoI in which they outline what their expected valuable contribution is.

2.3 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.

2.3.1 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.

2.3.2 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).

In this programme, the Impact Plan approach is used. With this approach, NWO facilitates the development of an integrated strategy by researchers and partners with the target of increasing the chances of the desired societal impact.

2.3.3 More information about the Impact Plan Approach

Societal impact is never solely a result of knowledge and insights from research, and is often only realised in the years after a research project has been concluded. However, in order to increase the likelihood of societal impact, this needs to be planned. To this end, applicants, together with relevant societal collaboration partners, are asked to create an Impact Plan together. This plan describes how a consortium thinks their research will contribute to societal impact by sketching a route by which the consortium thinks change will take place. This helps in identifying the parties and knowledge necessary to achieve that societal impact, and to identify assumptions about how your consortium thinks change will happen. The Impact Plan approach aims to facilitate reflection on the described route to societal impact both while writing your application and during your research. This reflective approach also means it can help you make assumptions explicit, and can be adjusted if necessary during your project in order to come to a more realistic route to societal impact.

An Impact Plan consists of three elements:
- Theory of Change
- Impact Pathway

5 For more information about the NWO knowledge utilisation policy, see the website: www.nwo.nl/en/knowledge-utilisation
- Productive Interactions

Strategic activity planning spells out how the proposed productive interactions contribute to achieving outcomes. This planning should include activities for:

- Stakeholder engagement: who are the relevant stakeholders to engage with according to context analysis, how are the productive interactions organised and when?
- Communication strategy: how are engagement dialogues organised and results exchanged and translated, and whose responsibility is it?
- Monitoring, Evaluation and Learning: how are results of activities monitored and evaluated, such that assumptions can be tested and activities adjusted accordingly and whose responsibility is it?
- Capacity strengthening: how are required capacities (of collaboration partners and stakeholders) strengthened in order to achieve the outcomes, how is this organised and whose responsibility is it?

The Impact Plan approach will be incorporated in the sandpit workshop. At the full proposal stage, it should be integrated into the research design, and budget should be included for the activities in the strategic activity planning. Impact plans should be created and implemented together with stakeholders.

The NWO impact e-learning tool provides more information on the Impact Plan approach, and can help consortia in creating their impact plans. The e-learning is available at: https://impact.nwo.nl/en/working-with-an-impact-plan

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**Box 2: Defining Output, outcome and impact**

*Research outputs* relate to the direct and immediate insights obtained by a research project or programme.

*Research outcomes* relate to the changes in behaviour, relationships, actions, or activities of stakeholders as a result of sharing and uptake of research (who changes what).

*Research impact* is defined as cultural, economic, industrial, ecological or social changes that are (partly) the result of research-generated knowledge and skills.

Change is a complex process that depends on a variety of actors and factors, of which research is only one. Where research outputs fall under the direct sphere of control of a research project or programme, outcomes belong to their sphere of influence, and impact to their sphere of interest.

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**Theory of Change**
Chapter 3: Conditions for applicants / Advancing Equity in Academia through Innovation

3 Conditions for applicants

This chapter contains the conditions that are applicable to your Expression of Interest and the full applications by the sandpit consortia. Firstly, it describes who can submit an Expression of Interest to participate in the sandpit workshop and who can apply for funding (Sections 3.1 and 3.2) and what can be requested for funding (Section 3.3). Subsequently, you will find the conditions for preparing and submitting the Expression of Interest and full proposal (Section 3.4) and the specific funding conditions (Section 3.5).

3.1 Who can apply – Expression of Interest

For this funding instrument, there is a first selection round in which all interested parties express their interest in participating in the sandpit workshop by means of an Expression of Interest (EoI) form.

Expressions of Interest are invited from individual researchers, PhD students and professionals at universities and UMCs who can contribute to the sandpit and the resulting research projects. Furthermore, Expressions of Interest for collaborating partners are invited from interested parties outside academia with relevant expertise that want to contribute to the consortia and the aim of this programme (for more details, see Section 3.2.3).

The EoI form asks for the applicant’s personal details and a description of their potential contribution to the development and the implementation of this research programme that fits the scope and conditions of this call. At this stage no full proposal or plan of approach is requested. The form includes information about the applicant’s professional background and relevant expertise. Furthermore, the EoI form should include a convincing description of the applicant’s motivation to participate in this interactive process of joint research programme development in a sandpit and their competencies required for interdisciplinary research.

At most 40 participants (incl. collaboration partners) will be selected to take part in the sandpit workshop. As described earlier in Section 2.2 (“Diversity and inclusivity in the sandpit”), NWO strives to have a diverse group of participants in the sandpit.

Creative ideas and experience from outside academia will provide valuable input for the research projects. Therefore, relevant parties from outside academia who are willing and eager to contribute to the research projects are welcome to submit their Expression of Interest. These persons can contribute to the consortia as collaboration partners.

By sending in your Expression of Interest form, you commit yourself to attending the sandpit workshop (27 June – 1 July 2022) if the NWO Executive Board, advised by an assessment committee, makes a positive decision about your Expression of Interest form and invites you to the sandpit workshop.

3.2 Who can apply – Full proposal

Full proposals are submitted by main applicants. A full proposal is written by a consortium in which, besides the main applicant and at least one co-applicant, other participants are involved as well. The eligible main- and co-applicants are limited compared to other calls. The call is only open to universities and UMCs because they represent the research environment targeted by this funding instrument. These large knowledge institutions are multidisciplinary and have both teaching and research roles. Individuals who do not fall into the eligible categories of main- and co-applicants may consider applying as a collaboration partner (Section 3.2.3). Each consortium should contain at least
two different universities/UMCs.

3.2.1 Main applicant
Full, associate and assistant professors and other researchers with a comparable position* may submit an application as the main applicant if they have a tenured position (and therefore a paid position for an indefinite period) or a tenure track agreement at one of the following organisations:
- universities located in the Kingdom of the Netherlands;
- university medical centres located in the Netherlands

*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.

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

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.

Each person can act as the main applicant in a maximum of one proposal. The main applicant of one consortium can act as co-applicant in one other consortium as well.

3.2.2 Co-applicants
All employees of universities in the Kingdom of the Netherlands and university medical centres in the Netherlands who are not eligible as or do not want to act as a main applicant, can act as co-applicant. These include diversity officers, PhD students, administrative staff, human resources managers and board members of universities/UMCs. Note that co-applicants must hold at least a Master’s degree or equivalent qualification and must participate in the project according to the NWO Grant Rules 2017. Co-applicants have an active role in realising the project. The main applicant (project leader), co-applicants and beneficiaries (i.e. the universities of the main applicant and co-applicant(s)) are jointly responsible for realising the entire project as well as for complying with the grant conditions. Each consortium must have at least one co-applicant. There is no maximum number of co-applicants.
3.2.3 Collaboration partners
Collaboration partners are parties from outside the universities/UMCs who are closely involved in the implementation of the research and/or knowledge utilisation. These could be public and private (social) partners such as: knowledge institutions other than universities or UMCs, institutions like ECHO, LNVH, schools, companies, government agencies, consultancy firms, etc. Collaboration partners make a valuable contribution to the consortia with their expertise and experience. As such, a collaboration partner must provide in-kind co-funding (for more information see Section 3.6.5), and cannot receive funding from NWO. Ideally, collaboration partners should participate in the sandpit workshop but they can also join the consortium at a later stage (during the application phase for the full proposal). Note that participation of collaboration partners is preferable but not mandatory.

3.3 What can be applied for
Within this call for proposals NWO strives to grant four proposals with a maximum of € 325,000,- per project. In case less than four consortia are formed during the sandpit workshop, the total maximum budget to be applied for per project will be increased pro rata (i.e. for three consortia the maximum budget to be requested per project is € 433,333, for two consortia € 650,000, and for one consortium € 1,300,000). The maximum amount to be applied for per project will be announced shortly after the sandpit. The duration of the proposed project(s) is at most 3 years. The budget modules (including the maximum amount) available for this call for proposals are listed in the table below. Apply only for funding that is vital to realise the project. A more detailed explanation of the budget modules can be found in the annex to this call for proposals (see Section 7.1).

<table>
<thead>
<tr>
<th>Budget module</th>
<th>Maximum amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Postdoc</td>
<td>1 position per project, according to VSNU or NFU rates</td>
</tr>
<tr>
<td>Non-scientific staff (NSS) at universities</td>
<td>€100,000, non-scientific staff at (NSS) universities, in combination with a postdoc</td>
</tr>
<tr>
<td>Other Scientific personnel (OSS) at universities</td>
<td>€100,000, in combination with a postdoc</td>
</tr>
<tr>
<td>Research leave</td>
<td>5 months (per postdoc), 1 FTE, according to VSNU or NFU rates</td>
</tr>
<tr>
<td>Material costs</td>
<td>€15,000 per year per FTE scientific position</td>
</tr>
<tr>
<td>Investments (up to €150,000)</td>
<td>Maximum €150,000, in combination with a postdoc</td>
</tr>
<tr>
<td>Knowledge utilisation</td>
<td>Maximum €25,000</td>
</tr>
</tbody>
</table>

3.4 Preparing an application

3.4.1 Submission of Expression of Interest
An Expression of Interest (EoI) form accompanied by a letter of commitment should be submitted via ISAAC. The EoI form and the letter of commitment need to be submitted as a PDF. The deadline for applications is 14 April 2022, 14:00:00 hours CEST.
Please note: Expressions of Interest forms received after the deadline will not be considered. Applicants will be notified at the end of May 2022 about the outcome of their application to attend the sandpit.
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The EoI form asks for the applicant’s personal details and a description of their potential contribution to the development and the implementation of this research programme that fits the scope and conditions of this call. At this stage, no full proposal or plan of approach is requested. The form includes information about the applicant’s professional background and relevant expertise. Furthermore, the EoI form should include a convincing description of the applicant’s motivation to participate in this interactive process of joint research programme development in a sandpit and what competences they have with respect to interdisciplinary research. Applicants should ensure they complete all sections of the EoI form, as this is the only information on which potential sandpit attendees will be selected. Applicants should therefore provide evidence of the expertise/interest that they will contribute.

The following points are important:
- A standard EoI form is available on the funding page of this call for proposal on the NWO website. This standard form must be used.
- On the EoI form, the applicant should confirm that, in case of a positive decision of the NWO Executive Board, they will participate in the sandpit.
- Selection for participation in the sandpit workshop is on personal title. Participants cannot delegate a colleague.
- Interested persons should submit the EoI form independently - so not together with others.
- Applicants who are eligible as a main applicant (see Section 3.2.1) and are interested in the role of project leader of a consortium can indicate this on their EoI form.
- An Expressions of Interest is accompanied by a letter of commitment.

**Letter of commitment**

The applicant must inform the organisation where they work about the submission of the Expression of Interest, and the organisation must accept the granting conditions of this funding instrument in the name of the applicant will take part in a consortium from a granted project later in the process. It is important that the consortia can count on verifiable support from their employers for implementing the research-based interventions developed over the course of the project. The Executive Board of the university/UMC should therefore be aware of the participation and express their commitment. To this end, a letter of commitment should be provided, which indicates the support of the Executive board of the university/UMC. A format for a letter of commitment can be found on the funding page and should be used.

Applicants can provide input that may be used in the preparation and scoping of the sandpit workshop. The EoI form asks for the applicant’s ideas about key questions or critical issues in the development of a research programme within the scope of this call, and suggestions for key collaboration partners (see Section 3.2.3) to invite. NWO may invite stakeholders who are suggested in the selected Expressions of Interest to join the sandpit, based on the advice of the assessment committee. Note that this information will not be used for the selection of the sandpit participants but only as input for the sandpit workshop.

### 3.4.2 Full proposals

The steps involved in writing your full proposal 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

**Optional annexes:** Support letter (Co-funding in-kind, see Section 3.6.5)
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).

### 3.5 Conditions for submission

*Please note that due to the General Data Protection Regulation (GDPR) no special categories of personal data (e.g. personal data regarding racial or ethnic origin) may be included in any submission documentation (EoI form or full proposal) or communication.*

#### 3.5.1 Formal conditions for Expression of Interest

NWO will assess your EoI form against the conditions stated below. You will only be considered for participation in the sandpit workshop if your form meets these conditions. The conditions below hold for all sandpit applicants (from universities/UMCs as well as non-academic collaboration partners).

After submitting your EoI form, we request you to be available to implement any possible administrative corrections so that you can (still) meet the conditions for submission.

- the EoI form is submitted by someone who meet the conditions for applicants for the sandpit workshop as stated in Section 3.1;
- the EoI form is, after a possible request to make additions or changes, correct, complete and filled out according to the instructions;
- the EoI form is submitted in ISAAC
- the EoI form is submitted as a PDF
- the EoI form is received before the deadline set;
- the EoI form is written in English.
- The letter of commitment signed by the chair of the Executive Board of the university/UMC is provided.

#### 3.5.2 Formal conditions for full proposals

NWO will assess your full proposal against the conditions listed below. Your full proposal will only be admitted to the assessment procedure if it meets these conditions. After submitting your full proposal, 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 3.2;
the application form is, after a possible request to make additions or changes, is correct, complete and filled out according to the instructions;
the full proposal is submitted via the main applicant’s ISAAC account;
the full proposal is received at or before the deadline set;
the full proposal is written in English;
the budget of the full proposal is drawn up in accordance with the conditions for this call for proposals;
the proposed project has a maximum duration of 3 years;
all of the required annexes have been submitted.

### 3.6 Conditions on granting

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

#### 3.6.1 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, the committee can issue advice with respect to the data management section.

#### 3.6.2 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](http://www.nwo.nl/en/scientific-integrity).

#### 3.6.3 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.
3.6.4 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.

3.6.5 Co-funding in-kind

Collaboration partners (Section 3.2.3) that want to support the successful implementation of the projects must contribute to the research projects in-kind.

What is permitted as in-kind co-funding?

Personnel and material contributions are permitted as in-kind co-funding, provided that these are capitalised and are fully part of the project. Services and knowhow may not already exist or be available to the applicant. In-kind contributions are only accepted under the condition that the part contributed by the co-funder is an integral part of the work plan and can be tracked as an identifiable effort.

Determine the value of in-kind co-funding

- Personnel deployment is valued on the basis of hours x rate, whereby the hourly rate is based on the actual salary costs (incl. a premium for social benefits and employer costs). Furthermore, 1,400 hours is taken as the standard number of productive hours per year for the calculation of the hourly rate. This hourly rate may be no more than 119 euros per hour;
- The value for material in-kind contributions is determined on the basis of the cost price of consumables. The value of investments/equipment is determined based on standard depreciation costs bearing in mind the intensity of use and any existing depreciations according to applicable reporting principles;
- For in-kind contributions in the form of services or knowhow (knowledge, software, access to databases or cell lines) the economic value must be established and only the actual costs that can be directly attributed to the project may be counted as co-funding. This is always without a profit margin. Furthermore, the service or knowhow must not already be present at or available to the applicant.

In the letters of support, co-funders must justify the structure and size of the in-kind contributions provided, including hourly rates. NWO may request explanation and documented evidence of the rates used and can also request their adjustment.

Accounting for in-kind co-funding

The main applicant reports to NWO on the in-kind co-funding that he or she has received from a co-funder. The main applicant provides accountability in accordance with the NWO Grant Rules 2017 on an annual basis. If a co-funder fails to partly or entirely fulfil its obligations to the main applicant and/or NWO, then this can have consequences for the grant settlement (see Article 3.4.5 of the NWO Grant Rules 2017).

Not allowable as co-funding:

- Funding granted by NWO;
- PPP allowance;
- Co-funding may not come from parties that on the basis of this call for proposals can submit a funding proposal to NWO;
- Discounts on commercial rates, including materials, equipment and services;
- Costs relating to overhead, guidance, consultancy and/or participation in the supervisory committee;
- Costs related to overheads, supervision and/or consultancy;

Funding awarded by NWO is understood to mean funding obtained by awarding an application to NWO. In this context it is not relevant in which programme this funding was obtained, or who receives the grant.
– 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 expresses support for the project and it confirms the co-funding that has been promised. The letters of support must be signed by a person authorised to sign on behalf of the co-funder and must contain the co-funder’s letterhead. NWO will make a standard guide for the support letter available.
4 Assessment procedure

This chapter first of all describes the course of the assessment procedure (Section 4.2). It then states the criteria that the assessment committee will use to assess your Expression of Interest and the full proposals of the consortia (Section 4.3).

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 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. http://www.nwo.nl/diversiteit-en-inclusie

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 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 Expression of Interest form
- Consideration of the Expression of Interest form
- Assessment of the Expression of Interest form
- Sandpit workshop
- Submission of the full proposal
- Consideration of the full proposal
- Written response by assessment committee
- Rebuttal
- Assessment committee meeting
- Decision-making
Due to the expertise present in the assessment committee and the small number of full proposals submitted, NWO has decided for the assessment of the applications to make use of the possibility given in Article 2.2.4, paragraph 2, of the NWO Grant Rules 2017, to realise the assessment procedure without involving referees.

4.2.1 Submission of the Expression of Interest

The submission of an EoI form (see Sections 3.3.1 and 3.4.1) is compulsory for this call for proposals. For the EoI form submission, a standard form is available on the funding page of this call for proposals on the NWO website. The EoI form completed by you must have been received before the deadline in ISAAC. After submitting the EoI form, the applicant will receive a confirmation of receipt by mail. The Expression of Interest is accompanied by a letter of commitment.

4.2.2 Consideration of the Expression of Interest

After the deadline for the EoI forms, NWO will determine whether or not your EoI form will be taken into consideration based on several administrative-technical criteria (see the formal conditions for submission, Section 3.5.1). NWO can only take your EoI form into consideration if it meets these conditions.

Please bear in mind that within two weeks after the submission deadline, we may approach you with any possible administrative corrections that need to be made so that your EoI form can (still) meet the conditions for submission. You will be given one opportunity to make the corrections, and you will be given 5 working days to do this.

4.2.3 Assessment of the Expression of Interest

All eligible Expressions of Interest will be assessed by an independent assessment committee appointed by the NWO Executive Board. This assessment committee consists of international experts in the areas of equity, diversity and inclusion who have an overview of current international innovation in these fields.

The intention is that (largely) the same assessment committee will assess both the EoI forms and the full proposals. However, the exact composition of the committee may differ in the two phases of the procedure, for practical reasons and/or to ensure that the expertise available in the committee optimally matches the applications being assessed.

The assessment committee will meet to assess the Expressions of Interest and select at most 40 participants for the sandpit workshop based on the criteria in Section 4.3.1. Each Expression of Interest will receive 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). The Expression of Interest must receive an overall qualification of at least “good” to be eligible for participation in the sandpit.

After discussion, the assessment committee will come to a written recommendation to the NWO Executive Board on the selection of participants. The NWO Executive Board will then make the decision on the selection. After the selection, all applicants will be informed about whether they have been selected for the sandpit workshop or not.

4.2.4 Sandpit Workshop

From 27 June – 1 July 2022, the sandpit workshop as described in Section 2.2 will take place in the Netherlands. Only individuals who are invited by the NWO Executive Board can participate in the sandpit and the rest of the procedure. It is important that participants attend the sandpit in person. Invited participants who cannot attend at the sandpit are excluded from the further procedure. If government measures in relation to COVID-19 do not allow for a physical workshop, the sandpit workshop will be held online. If this is the case, the sandpit workshop will be extended by two days (23 and 24 June 2022). Participants will be informed about any changes upon the notification of their acceptance in May 2022. Only participants of the sandpit workshop are allowed to act as main and co-applicants. During the sandpit workshop, consortia will be formed that will elaborate full proposals together.
The sandpit workshop will be led by a moderator who has expertise in the field of the call. Prior to and during the sandpit, the selected parties will first present themselves and get acquainted with each other’s expertise, as the topic “advancing equity in academia through innovation” is broad. Subsequently, consortia will be formed. During the sandpit, these consortia will start elaborating a research question that they identify during the sandpit. On the last day, the consortia formed will present their preliminary research proposal outlines. The assessment committee will be (digitally) present during the presentation(s). After the sandpit meeting, the consortia will continue to write the full proposal and submit it to NWO no later than 29 September 2022. Participation in the sandpit is not reimbursed. However, standard travel and accommodation expenses of the invited individuals will be reimbursed. In due course, it will be communicated which costs can be claimed and how.

4.2.5 Submission of a full proposal
For the submission of the full proposal, a standard form will be made available on the funding page of this call for proposals on the NWO website. When you write your full 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 Section 1.3). After this deadline, you can no longer submit a full proposal. After submitting the full proposal, the main applicant will receive a confirmation of receipt.

4.2.6 Consideration of the full proposal
As soon as possible after you have submitted your full proposal, you will hear from NWO whether or not your full proposal will be taken into consideration. NWO will determine this based on several administrative-technical criteria (see the formal conditions for submission, Section 3.5.2). NWO can only take your full proposal into consideration if it meets these conditions. You are asked to be available during the two weeks after submitting your full 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.

4.2.7 Written response by assessment committee
The full proposal will be submitted to the assessment committee for assessment. For each full proposal, two members of the assessment committee will provide a written substantive and reasoned response to the full proposal. They will formulate these comments based on the substantive assessment criteria (see Section 4.3.2).

4.2.8 Rebuttal
The main applicant subsequently receives the written response by the assessment committee. You then have the opportunity to formulate a rebuttal. You will be given 5 working days to submit your rebuttal via ISAAC. If you decide to withdraw the proposal, then you should do this as quickly as possible by sending an email stating this to the office and withdrawing the proposal in ISAAC. If NWO receives your rebuttal after the deadline, then it will not be included in the rest of the procedure.
4.2.9 Meeting of the assessment committee

After receiving the rebuttal, the assessment committee will discuss all full proposals and the rebuttals during a plenary discussion. Each full proposal will receive 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). Following the discussion, the committee draws up a written recommendation addressed to the NWO Executive Board about the quality and ranking of the full proposals. This recommendation is based on the assessment criteria. The full proposal must receive an overall qualification of at least “very good” to be eligible for the funding. The full proposal must also receive at least the qualification “very good” for each of the separate assessment criteria.

If a grant application does not meet the criteria, the assessment committee will offer the respective consortium a one-time opportunity to submit a revised application. The applicant will be given 3 weeks from the announcement. The recommendations and feedback will be communicated in written form by the assessment committee. Following this, a second meeting will be scheduled. If the revised application does not meet the conditions and quality criteria, no subsidy will be provided.

For more information about the qualifications, see [www.nwo.nl/en/apply-funding-how-does-it-work](http://www.nwo.nl/en/apply-funding-how-does-it-work).

4.2.10 Ex aequo

NWO understands ex aequo to be a situation in which two or more proposals based on their weighted score cannot be distinguished from each other. An ex aequo situation is relevant with respect to the boundary of the available budget or the selection boundary. The existence of an ex aequo situation is determined as follows. The starting point is the ranking drawn up by the assessment committee, with the final scores rounded down to two decimal points. The reference score is the score of the lowest-ranked proposal within the boundary of the available budget or the selection boundary. All proposals with a score that is within 0.05 or less of the reference score will be considered. Subsequently, the proposals that are equal within a score of 0.1 will be selected. If an ex aequo situation occurs at the selection boundary during the selection of the sandpit participants, then the Expression of Interest with a higher score pertaining to the criterion Academic / professional attributes will end as the highest. If the proposals subsequently in a tie, the assessment committee, with the help of an (anonymous) majority vote, will determine the ranking (in accordance with Article 2.2.7, third paragraph, sub a, part iv of the NWO Grant Rules 2017). If this vote provides no resolution either, or is not desirable to vote, the ex aequo situation will be sent on to the decision-making body.

4.2.11 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.

4.2.12 Timetable

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

<table>
<thead>
<tr>
<th>Expression of Interest</th>
<th>Deadline Expression of Interest</th>
</tr>
</thead>
<tbody>
<tr>
<td>14 April 2022, 14:00:00 CEST</td>
<td>Assessment committee assesses Expression of Interest forms and writes an advice to the NWO Executive Board</td>
</tr>
<tr>
<td>May 2022</td>
<td>Decision on selected participants by NWO Executive Board</td>
</tr>
<tr>
<td>25 May 2022</td>
<td></td>
</tr>
</tbody>
</table>
26 – 31 May 2022 | Participants will be informed about participation in sandpit workshop
---|---
Sandpit Workshop
27 June – 1 July 2022 | Sandpit Workshop
Proposals
29 September 2022, 14:00:00 CEST | Deadline full proposals
17 – 21 October 2022 | Written response from assessment committee
21 October – 4 November, 2022 | Applicants can submit a rebuttal
14 – 18 November 2022 | Assessment committee meeting
14 December 2022 | Decision by the NWO Executive Board

4.3 Criteria

4.3.1 Assessment criteria Expression of Interest
Expressions of Interest to attend the sandpit will be considered by the assessment committee. Applicants will not only be assessed on their professional background and expertise, but also on the personal skills that are needed in this interactive process of joint research development. Within the pool of applicants selected on the basis of these assessment criteria, the assessment committee will look to ensure a balanced mix of discipline, experience, gender and background (Section 2.2).

Overall, the selection will be based on two specific criteria outlined below:

1. **Academic / professional attributes (50%)**
   - Level of expertise and/or experience relevant to the thematic EDI focus as defined in this call
   - (Demonstrated) interest in topics relevant to the aims defined in this call for proposals (Section 2.1);
   - The ability to develop and implement innovative and high quality (research) ideas;

2. **Personal attributes (50%)**
   - The ability to thrive in a diverse team with people with different views, backgrounds, experience and expertise.
   - The motivation and capacity to relate and collaborate in a sandpit workshop, requiring openness to new ideas and other ways of thinking and working, creativity and curiosity.

4.3.2 Substantive assessment criteria full proposals
The full proposals submitted within this call for proposals will be substantially assessed based on the following criteria:

1. **Scientific quality of the proposal (40%)**
   - Scientific merit of the proposed project and its potential to make a significant contribution to the advancement of the field.
   - Extent to which the proposal makes an inventory of knowledge that has already been developed and demonstrably builds on that knowledge.
   - Clarity of the problem definition and research questions.
• Clarity and justification of described research methods and research design.
• Clarity of the original and innovative scientific elements.
• Appropriateness of the budget for the research to be carried out and extent to which the different budget items are justified.
• Risk analysis and mitigation plan.

2. **Quality of the consortium (30%)**

- Inclusion of relevant disciplines and expertise and convincing description of the roles
- Clarity of the description of coherence, complementarity and diversity of expertise of the consortium in relation to the proposed research
- Project management and embedding: does the research have a good project organisation and is the research properly embedded in the relevant organisations?
- Clear allocation of duties and responsibilities within the research project.
- Stakeholder Engagement: manner in which relevant groups are involved in the execution of the proposal and have a role in its possible implementation of the interventions.

3. **Potential for societal impact (30%)**

- The proposal sets out clear and achievable outcomes that demonstrate evidence of the research’s planned impact and that go beyond a list of outputs
- Potential of the project to contribute to the advancement of a sustainable, inclusive academic culture in the Kingdom of the Netherlands.
- Evidence of carefully considered and realistic plans for engagement and knowledge exchange, which maximise opportunities for academic and societal impact.
- Quality of the Impact Plan:
  i. a clear problem statement, analysis and vision on the desired societal impact;
  ii. a logical impact pathway presenting plausible pathways to societal impact;
  iii. appropriate and feasible strategic activity planning;
  iv. relevant stakeholder involvement in the development and execution of the Impact Plan.
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 General information

Start of the project
The latest start date of the research of the consortia is 1 September 2023 all starting documents must be submitted and approved by this date. The project has a duration of at most 3 years.

5.1.2 Monitoring, Evaluation and Learning

NWO is responsible for monitoring the content of proposals awarded funding. NWO will monitor the connection between the various projects, the progress of all projects and the results achieved, with a focus on knowledge transfer, knowledge utilisation and application of the results. Regular meetings with the consortia and, if required, site visits should be organised by the consortia. If desired, experts should be invited to the meetings. Please be aware that the costs of these meetings should be included in the budget.

Projects are required to organise a project-specific kick-off and final workshop, as well as attend a joint kick-off and annual workshops, as part of the monitoring, evaluation and learning trajectory. The project-specific kick-off and final workshop should be taken into account in the proposed budget.

Kick-off workshop
At the start of the project, the consortia should organise a project-specific kick-off workshop with stakeholders from outside of the consortia. In this workshop, the project team can discuss their plans with stakeholders, and jointly reflect on and strengthen the project’s Impact Plan.

Projects will also be required to attend a joint kick-off workshop with the other projects in the call.

Annual workshop
Consortia should actively share and discuss their results with the other groups. NWO will facilitate this content-related discussion by organising an annual workshop. These annual workshops will last one day each year. Each annual workshop will have another focus, for example on the development, implementation and evaluation of the interventions. Participants from all consortia must participate in these workshops. All relevant parties will give (peer) recommendations to the projects based on the discussions during the workshop and information shared in preparation before the meetings.

Final report
Upon completion of a project, final reports will be requested on both the content and finances of the project. These should be submitted within three months after the end of the project’s runtime, detailing the research done and results achieved, as well as a reflection on the project’s Impact Plan and its indicators. The final amount of funding will be determined after these final reports have been approved.

Accountability during the project
During the project, the main applicant will be responsible for reporting on the project (final report). With a view to monitoring the progress of the project, NWO can request interim substantive and financial reports.
5.1.3 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 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 plan 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 ISAAAC 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.

5.1.4 Intellectual property and project agreement

With respect to intellectual property (IP), the NWO IP policy applies. This can be found in Chapter 4 of the NWO Grant Rules 2017 (https://www.nwo.nl/en/nwo-grant-rules).

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.

After a proposal has been awarded funding, the conclusion of a project agreement is one of the conditions for starting the project. In this agreement, arrangements are made about intellectual property and publication, knowledge transfer, confidentiality, co-financing payments, progress reports, and final reports. Approval from NWO is required before the project can start. The responsibility for arranging the project agreement lies with the applicant. NWO will subsequently check whether the project agreement meets the conditions and will not itself sign the agreement. A format of the project agreement will be provided on the funding page of this call for proposals on the NWO website. It is mandatory to use this format.

5.1.5 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/2020-08/19.4511_Ten_principles_for_Socially_Responsible_Licensing_v19-12-2019.pdf).

5.1.6 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

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.
Chapter 6: Contact and other information

6 Contact and other information

6.1 Contact

6.1.1 Specific questions
For specific questions about this call for proposals, please contact:
Dr Olivia Muthsam
Email: equity-in-academia@nwo.nl

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


NWO might approach applicants for an evaluation of the procedure and/or research programme.
Annexe(s):

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 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-rijkstdienst-caribisch-nederland/arbeidsvoorwaarden).

The rates for all budget modules are incorporated in the budget template that accompanies the application form. For the budget modules “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.

*N.B. Please remember to include budget for the activities in your strategic activity planning, as well as for your project’s kick-off and final workshop, as well as participation in the programme-wide annual workshops.*

Postdoc

The size and duration of the postdoc appointment is at least 6 full months and at most 36 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 36 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.

Other Scientific personnel (OSS) at universities

Budget for OSS 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 student 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 at most 36 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 costs of the research leave of the main and/or co-applicant(s). The employer of the applicant(s) 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.

The maximum amount of research leave that can be applied for is the equivalent of 5 full-time months. NWO funds the research leave in accordance with the salary tables for a senior scientific employee (scale 11) at the time the grant is awarded (www.nwo.nl/en/salary-tables).

Explanation of budget module Material

For each FTE scientific position (postdoc) 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.
Explanation of budget module Investments (up to €150,000)
In this budget module, funding can be requested up to a maximum of €150,000 for investments in equipment, datasets and/or software (e.g. lasers, specialised computers or computer programs).

Explanation of budget module Knowledge utilisation
The aim of this budget module is to facilitate the use of the knowledge that emerges from the research. The budget applied for may not exceed €25,000.
As knowledge utilisation takes many different forms in different scientific fields, the applicant needs to specify the required costs, 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.

\[\text{In this budget module, the definition for “knowledge transfer” as used by the European Commission in the Framework for State aid for research and development and innovation (PbEU, 2014, C198) applies.}\]