KIC Greenhouses in transition
Opportunities in water, energy and agriculture

Call for Proposals
1 Introduction

In this Call for Proposals information is provided about the application procedure for the “Greenhouses in transition: Opportunities in water, energy and agriculture.” funding round. This Call for Proposals falls under the responsibility of the Dutch Research Council (NWO) and the Foundation for Food & Agricultural Research (FFAR).

In this Call for Proposals you will find information about the aim of this programme (Chapter 2), the conditions for the grant application (Chapter 3) and how your proposal\(^1\) will be assessed (Chapter 4). This is the information you need to submit a grant application. Chapter 5 states the obligations for grant recipients in the event you are awarded funding. Chapter 6 contains the contact details and Chapter 7 the annexes.

1.1 Background

Through the Knowledge and Innovation Covenant (KIC), NWO contributes to the government’s mission-driven top sector and innovation policy, which is aimed at solving major societal challenges. The ambitions of the KIC have been formulated within the Knowledge and Innovations Agendas (KIA) of the Dutch top sectors.

KIC research funding focuses on initiation of cooperation between researchers from different disciplines, companies and civil society organizations which result in more knowledge and groundbreaking innovations which can contribute to these societal challenges. The contribution of scientific and practice-oriented research is indispensable for realising solutions for the challenges posed. In the vision of NWO, the chances of realizing the intended changes and the impact of these will be greatest if the focus lies with interdisciplinary research in which cooperation is sought with relevant knowledge institutions (including universities of applied sciences), public and private partners, including small and medium-sized enterprises (SMEs). Chapter 2 of this Call for Proposals explains how NWO will encourage and facilitate the route from societal problem via research to impact.

This Call for Proposals falls within the KIC programme line Demand. Wherein NWO cooperates with interested partners to answer knowledge and/or development questions through a thematic Call for Proposals.

Through this thematic Call for Proposals, developed in cooperation with FFAR, NWO contributes to the following three KIA’s: KIA Agriculture, Water and Food mission ‘Circular agriculture’; KIA Energy and Sustainability mission ‘Circular economy’ which aims at closing regional cycles and chains, and the KIA Key Enabling Technologies.

More information about the KIC programmes can be found at KIC 2024-2027 | NWO.

1.1.1 The funding partner

The Foundation for Food & Agriculture Research (FFAR) connects funders, researchers and farmers to pioneer the next frontier of agriculture innovation to provide every person access to affordable, nutritious food grown on thriving farms. FFAR builds public-private partnerships to multiply the US’s public research investment and accelerate actionable solutions to urgent food and agriculture challenges.

Food and agriculture systems are complex, requiring collaboration among many disciplines and experts. FFAR’s Priority Areas include cultivating thriving production systems, sustaining vibrant agroecosystems, bolstering healthy food systems and strengthening the scientific workforce. These Priority Areas target urgent food and agriculture topics framing our strategic research framework.

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\(^1\) In the context of this Call, ‘proposal’ is meant to indicate both sub-proposals as well as full proposals.
FFAR and NWO are partnering around their shared goals to make Controlled Environment Agriculture (CEA) more sustainable. The added value of the US - NL cooperation is an opportunity to strengthen the developments in each nation by an open exchange of ideas and innovations.

1.1.2 Aim of the partnership

As the US and Netherlands transition into more sustainable food production systems aligned with the UN sustainable development goals, both countries are investing in making the agricultural sector more sustainable. Part of these investments are geared towards Controlled Environment Agriculture (CEA).

This partnership aims to fund a new interdisciplinary consortium across the knowledge chain that from the different and relevant areas of knowledge and expertise, jointly develops and carries out one single research project that addresses the transition of CEA. The added value of the US - NL cooperation is the opportunity to strengthen the developments in each nation by an open exchange of ideas and innovations.

This partnership links to the Dutch knowledge and innovation agenda of Agriculture, Water and Food mission ‘Circular agriculture’; to the knowledge and innovation agenda Energy and Sustainability mission ‘Circular economy’ which aims at closing regional cycles and chains; and to the knowledge and innovation agenda Key Enabling Technologies.

Furthermore, this partnership builds on efforts across multiple US agencies aimed at creating a green energy sector, promoting economic development, and mitigating the impacts of climate change within the complex societal context surrounding these ambitions.

1.2 Available budget

The total available budget for this Call for Proposals is €5,475,140 of which €2,737,570 can be applied for by NWO applicants and $2,940,829 (approximately €2,737,5702) can be applied for by FFAR applicants. Within this Call for Proposals it is expected that a maximum of 1 proposal will be awarded funding.

1.3 Submission deadline(s)

The deadline for submitting sub-proposals is 29 October 2024, before 14:00:00 hours CET. (29 October 29 before 09:00:00 EDT)
The deadline for submitting full proposals is 5 June 2025, before 14:00:00 hours CEST. (5 June 2025 before 08:00:00 EDT)

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. All applications for this joint Call for Proposals must be submitted via the NWO system ISAAC. To ensure your application is submitted on time, the NWO recommends Dutch applicants submit their applications at least one day prior to the application deadline. US-based applicants should allow a substantial amount of time to upload proposals to ISAAC, (considerations outlined in section 3.4) and it is recommended to begin the application at least one week prior to the deadline. Applications that are submitted after the deadline will not be taken into consideration.

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2 In accordance with exchange rate April 1, 2024.
2 Aim

The aim of the Demand-driven partnerships instrument is to achieve social (including economic) impact on the societal challenges as defined in the mission-driven top sectors and innovation policy, by financing scientific research that is carried out by knowledge institutions, public and private parties.

This chapter describes the aim of the partnership programme NWO – FFAR.

2.1 Thematic description

This Call for Proposals aims to contribute, through inter-and transdisciplinary research, to knowledge, insights and action-perspectives to accelerate Controlled Environment Agriculture’s (CEA) transition into a circular sustainable industry. Within this Call for Proposals, transition is viewed beyond the perspective of an individual greenhouse or vertical farm, it includes the wider cross-sectoral and societal challenges related to the transitioning in a sustainable manner. This also requires a regional perspective when looking into the sustainable transitioning of CEA.

Addressing the societal challenge to make Controlled Environment Agriculture more sustainable: Controlled Environmental Agriculture, as with other sectors (e.g., water, energy and agricultural sectors) within the Water-Energy-Food (WEF) nexus, are transitioning to become more economically, socially and environmentally sustainable. For CEA this requires effective resource allocation that takes into account the competition for land, water, nutrients and variable renewable energy resources across industries and society while also minimizing its environmental footprint. Other industrial sectors within the WEF nexus are transitioning to reach their sustainability goals and are evaluating the resources available to them to help meet the demands of the future. As these sectors rapidly develop technologies with the aim of greater sustainability, they often work in isolation with limited considerations regarding how resource allocations within their sector will impact other sectors aiming to use these same resources. This puts these sectors at risk of competing for the same resources, impacting our ability to meet future economic demands while also achieving positive climate and environmental goals.

Additionally, sectors within the WEF nexus are often socially and economically embedded in a region, making them essential components of regional systems (communities and infrastructure). Changes within these sectors impact regional systems. Given this, there is a need to ensure that a sustainable transition of the CEA sector both fits within a regional system and minimizes potential negative impacts (socially, economically, environmentally). Balancing technological advancement with ecological sustainability to achieve long-term environmental goals and support decision-making processes are therefore important challenges.

Envisaged societal and economic impact

The inter- and transdisciplinary research to be funded through this Call for Proposals aims to contribute knowledge and insights that will enable the CEA sector to transition into a more circular, sustainable industry that acts cooperatively and synergistically with other sectors within the WEF nexus.

During this transition, technological and societal cooperation across sector boundaries will help ensure efficient and sustainable integration of new cross-sectoral technologies and innovative regional approaches.

Evidence-based information on resource allocation that considers competition for land, water, nutrients, and variable renewable energy across industry and society will enable sector symbioses. Insights on societal and ecological challenges of CEA and related sectors during this transition, will inform ways to institutionally embed cross-sectoral technologies and innovative approaches related to governance, local policy, spatial planning, public opinion and business models.
Knowledge and insights needed to address the societal challenge

Research funded through this call should contribute to a holistic understanding of the sustainable transition of CEA within the WEF nexus. The research should take into account diverse technological, ecological and societal (including economic) aspects of the transition. These aspects can relate to technological innovations, societal dynamics (such as embeddedness within a region), urban planning, governance and decision-making challenges, investments at various scales and existing scientific advancements in the WEF nexus. Based on this knowledge, the research should provide evidence-based advice and recommendations for both public and private practitioners to facilitate the envisaged transition. By integrating the different perspectives related to cross-sectoral challenges, it becomes possible to illuminate how CEA initiatives can address these challenges, potentially leading to new innovations and practices that facilitate the transition to a greener economy.

Research funded through this Call should address and integrate the following three themes needed to tackle the cross-sectoral and societal challenges CEA faces during its transition towards increased sustainability:

**Theme 1: Coupling and designing technologies that bridge CEA, energy, water or urban planning sectors**
To accelerate the transition to a circular and sustainable industry and promote regional CEA-based agricultural economies, it is important to develop disruptive technologies and understand how these can be coupled to existing technologies and designed at a regional scale, optimizing resource use and waste valorization across the different sectors. This requires both insights on how technologies are currently used and their potential impact regarding utilization/competition for renewable energy within different sectors, as well as how new regional technologies can be utilized for a variety of purposes within multiple sectors - thereby creating synergies. For example, new technologies could provide renewable energy for multiple uses including hydrogen-hubs, carbon sequestration, bio-derived chemicals and fuels, green battery production, water purification as well as CEA, potentially creating competition for this resource and negatively impacting the sustainable development of multiple sectors. On the other hand, new technologies and advancements in other sectors could provide new resources (such as within circular economies) that promote synergy and advance higher adoption rates of new technologies.

**Theme 2: Understanding societal complexity of embedding new cross-sectoral technologies/innovative approaches to enable sustainable social innovation**
Gaining an understanding of the societal complexity in which a new cross-sectoral technology/innovative approaches become embedded is pivotal to facilitate the transition of CEA into a more sustainable industry. For example, economic drivers significantly influence innovation adoption, necessitating consideration for regional constraints like capital costs and market adoption of innovations. Similarly, regional design comes with a variety of constraints and huge capital costs. Understanding these societal complexities is essential because this can help identify what planning considerations for the WEF nexus need to be considered. This is particularly important as new cross-sectoral technology and innovative approaches are regionally applied and are potentially utilized widely across society. Models have been developed within specific domains, including models utilized by planners and decision makers. Utilizing or building on these models could help researchers potentially scale findings from research and understand how to achieve long-term impacts.

**Theme 3: Investigating the potential ecological effects of a new cross-sectoral technology/innovative approach**
Understanding the potential ecological effects of new cross-sectoral technologies/innovative approaches within the transition of CEA to a sustainable economy is important to ensure that the transition is both technologically feasible and ecologically sustainable. As innovations are adopted, they might come with unintended environmental consequences. Therefore, environmental impact
ideally is assessed and considered both in advance and in hindsight of developing a disruptive innovation. This may involve technology experimentation, model development and the creation of enabling technologies to ensure a concept is both technologically feasible and ecologically sustainable. In addition, approaches – such as nature-inclusive design - to ensure positive environmental impacts could be investigated.

Additionally, applicants should keep in mind the following points:

- Research projects should take into account that both the US and the Netherlands have infrastructure (testbeds etc.) across sectors that could potentially be utilized.
- Not in scope are projects focusing on a single technology within one sector.

To enable inter-and transdisciplinary cooperations between the US and The Netherlands, this Call for Proposals has two phases. In Phase 1, knowledge institutions and other societal parties will be called to submit sub-proposals in which they propose research ideas to address the aim of this Call for Proposals. In this sub-proposal ideas are presented with emphasis on two of the three themes. Subsequently for Phase 2 of this Call for Proposals, several sub-proposals will be selected and merged into a single full proposal where selected applicants from Phase 1 will jointly write and submit an integrated full proposal. A full explanation of the procedure is provided in Chapter 3.

2.1.1 Consortium composition

The complex challenge addressed in this Call for Proposals cannot be answered from one scientific discipline or scientific perspective alone. It is therefore advised that applicants take into account the role of partners (forming a consortium), including in the design and implementation of the project. For Phase 1 and Phase 2 applicants, the main applicant, and co-applicant(s) (outlined in Chapter 3), together represent at least two of the three scientific areas (alpha, beta, gamma), always including the natural sciences. In addition, at least one expert that can also act as a potential end user with relevant experience in the subject of the application and at least one private partner, must always be represented.

An expert with the relevant experience in the subject is considered a cooperation partner. This could, for example, be someone who is working on technology development, or someone already participating in another study at a participating university.

The private partner(s) must have an active role within the project and make a financial contribution: this could contribute to the 10% co-funding requirement of the total project budget (in kind and/or in cash). In addition, it is also very important that relevant stakeholders are involved as early as possible. This way different perspectives can be taken into account at the beginning of research formulation (co-design), potentially benefiting the implementation of the technological innovations and their feasibility in practice.

2.2 Working together on societal impact

The societal challenges that are central to the mission-driven innovation policy are complex and comprehensive. Societal impact only arises when all involved parties join forces. The connection of these innovations to the economy, people and society is important. That is why NWO encourages cooperation between many different parties in its KIC programming.

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3 NWO definition of societal impact: cultural, economic, industrial, ecological, or social changes that are (partly) the result of knowledge and skills generated by research.
This involves cooperation between researchers across the boundaries of disciplines\(^4\) knowledge institutions, regions and countries. In addition, the cooperation between these researchers and society is also crucial in order to arrive at innovative solutions. Companies, civil society organizations, (vocational) education and the people who will use the innovation (end-)users make an important contribution to consortia and the research proposals.

The cooperation between these parties starts with the preparation of the research proposal. The diverse knowledge, skills and expertise of the parties are necessary for formulating a good problem definition, adequate research questions, and a well-thought-out route to impact (co-design). In the execution of the proposed research, the cooperation in the consortium will be continued through the exchange of new knowledge and the joint creation of new insights (co-creation). The knowledge and innovations that emerge from the research will ultimately be shared and implemented in society. In this way societal impact becomes a common goal.

Consortia increase the chance of achieving the intended societal impact by paying sufficient attention to the people who will be working with the innovations that emerge from the research. Well-trained and well-versed personnel can help innovations move forward, accelerate implementation on a large scale, and thus bring about transitions and changes. This place demands on education and training, including possible retraining, of staff. Human capital, in the form of learning, innovative people, can be given a place in a research proposal within the NWO-KIC programme in various ways. For example, through public-private learning-working practices (learning communities) that closely connect research, innovation, work and learning. In this way, new knowledge is integrated into (education and work) practice. More information and examples can be found on the NWO website.

### 2.2.1 The Impact Plan approach for the Greenhouses in transition Call

Societal impact is never solely an outcome of knowledge and insight from research. To increase the chances of the research’s societal impact, demonstrable involvement is needed from important stakeholders\(^5\) from the moment the consortium is formed until the completion of the project and beyond.

Societal impact is often only realised in the years after a research project has been concluded. By ensuring continuous alignment between researchers and possible knowledge users from the start of the research formulation (co-design) and during the realization of the research (co-creation), the chances of productive interactions\(^6\) and, finally, impact, increase.

During Phase 2 (full proposal), the consortium together with stakeholders draw up an Impact Plan as part of the full proposal. The Impact Plan describes how the consortium expects to achieve societal impact and the role that productive interactions play in this. The sub-proposal form (Phase 1) contains several questions that can serve as an initial step towards the Impact Plan. In the full proposal form (Phase 2), an elaboration of the Impact Plan should be included as an integral part of the proposal. This shows how contributing to the intended impact has been integrated into the research design and what role consortium members and stakeholders from policy, practice and industry play in this impact pathway.

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4. Interdisciplinary cooperation within the KIC involves cooperation between researchers from multiple scientific disciplines and/or practice-oriented domains across the boundaries of scientific fields - alpha, beta or gamma. The cooperation is appropriate to (the intended impact of) the proposed research. If interdisciplinary cooperation is not necessary to achieve the intended impact, this must be convincingly formulated and substantiated in the application.

5. A stakeholder is each person or group that can influence the goals being achieved or can be influenced as a result of these.

6. NWO understands ‘productive interactions’ to be exchanges between researchers and stakeholders in which knowledge is produced and valued that is both scientifically robust and societally relevant.
NWO offers an e-learning module that can help consortia via **NWO Impact - Online workshops**. NWO strongly recommends following the Impact Plan e-learning together with the parties in the consortium. For more information on our policy on impact, please visit the website: [Impact Plan approach | NWO](https://www.nwo.nl). 

### 2.3 Cooperation between FFAR and NWO affiliated partners

In order to facilitating knowledge exchange and accelerating the pace of progress within the research project across the US and the Netherlands, the full proposal (Phase 2, see Chapter 3) is ideally characterised by equitable partnership and sustainable cooperation between the NWO and FFAR affiliated consortium members (organizations). This includes inter-institutional cooperation, a balanced contribution to the proposed research, and frequent exchange between the partners, including exchange visits by both senior and junior researchers. Full proposals should therefore include a work package focusing specifically on synergy and cooperation between the US and the Netherlands.
3 Conditions for applicants

This chapter contains the conditions that are applicable to your grant application. First it presents an overview of the application and assessment procedure (Section 3.1). Second, who can apply for funding (Section 3.2) and what type of funding can be requested (Section 3.3). Subsequently, you will find the conditions for preparing and submitting the application (Sections 3.4 and 3.5) and the specific funding conditions (Section 3.6).

3.1 Steps in the procedure

The application and assessment procedure consists of the following steps that are divided into 2 Phases:

Phase 1 – Sub-proposals
- informational and networking meeting
- sub-proposal submission
- sub-proposal admissibility
- sub-proposal assessment and selection
- invitation to participate in the synergy workshop

Phase 2 – Full proposal
- participation in the synergy workshop
- full proposal submission
- full proposal admissibility
- assessment committee pre-advice
- applicant interview
- assessment committee meeting
- funding decision

Procedural steps
Prior to sub-proposal submission, NWO and FFAR will organize an informational and networking meeting. At this meeting, information will be provided about the application, the selection process, the synergy workshop (see also Chapter 3) and the Impact plan approach (see also Section 2.2.1). The meeting will also provide the opportunity to network and explore possible cooperation between sub-proposals.

In Phase 1, sub-proposals will be submitted to NWO. A sub-proposal is a concise proposal outlining the knowledge questions the applicant, co-applicants, and cooperation partners will address and how these contribute to the objectives and impact described in the Call for Proposals. A sub-proposal puts emphasis on 2 out of the 3 themes (Section 2.1). In addition, the sub-proposals describe on which topics cooperation with other sub proposals is required to fully address the aim of the call.

Phase 1 concerns sub-proposals that address part of the problem of this Call for Proposals and not the entire problem. Applicants of sub-proposals should be prepared to cooperate with applicants of other sub-proposals so that in Phase 2, the selected sub-proposals can be developed into a single integral research project. This means that in Phase 2 their sub-proposals may need to be adapted, so that they form an integral part of this single integral research project. A detailed budget is not yet requested in Phase 1 as the final proposed project activities will only be established in Phase 2. Although, a detailed budget is not required, sub-proposal research activities should be estimated for a maximum of €1,000,000.
The sub-proposals submitted will be assessed according to the procedure described in Section 3.4. Based on this assessment, a number of sub-proposals will be selected that complement each other as much as possible, have potential for cooperation and can form an integral part of a research project on the entire problem stated in the Call (see also Section 4.2.3). The main applicant and co-applicants of the selected sub-proposals will be invited to jointly develop a full proposal in Phase 2.

In Phase 2, a full proposal will be developed and submitted by a consortium consisting of parties from sub-proposals selected as part of Phase 1. In this process, the content of the selected sub-proposals will be the starting point, and this will be integrated into a single project proposal, for which the methodology of the Impact Plan approach is used (see also Section 2.2). Throughout the process of full proposal development, Phase 1 sub-proposal main applicants will jointly determine the full proposal budget. Budget discussions begin with an equal budget allocation for each of the sub-proposals as part of a full proposal and may be adjusted as necessary to ensure the project is successful.

To facilitate full proposal development, NWO and FFAR will organize a synergy workshop, consisting of a limited number of in-person and online sessions in the US and the Netherlands, that facilitate cooperation building between sub-proposal applicants and explore opportunities for integration of selected sub-proposals into a potentially impactful full proposal.

NWO and FFAR anticipate these synergy workshop will occur in the period January - April 2025, led by a facilitator appointed by NWO. To submit a full proposal, selected sub-proposal applicants are obligated to participate in the synergy workshop. Furthermore, other participants, including stakeholders, may be invited for the workshop. The synergy workshop serves to initially support full proposal development. Following the synergy workshop, it is expected that applicants reserve sufficient time and capacity to further develop a project proposal, including aligning sub-proposal objectives and writing the full proposal.

In Phase 2, applicants complete their full proposal and submit them to the NWO. Following submission, a full proposal will be assessed according to the procedure described in Section 3.4.

### 3.1.1 Timetable

Below, you will find the timetable for this Call for Proposals. Throughout the process NWO might find it necessary to make further changes to the timetable for this Call for Proposals. Main applicants will promptly be informed of any changes to the timetable.

<table>
<thead>
<tr>
<th>Date/Time</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>9 July 2024</td>
<td>Information and network meeting</td>
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<tr>
<td><strong>Phase 1 Sub-proposal</strong></td>
<td></td>
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<tr>
<td>29 October 2024, 14:00:00 CET</td>
<td>Deadline sub-proposals</td>
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<tr>
<td>29 October 2024, 09:00:00 EDT</td>
<td></td>
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<tr>
<td>November-December 2024</td>
<td>Committee assesses sub-proposals</td>
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<tr>
<td>January 2025</td>
<td>Applicants receive a decision on sub-proposals</td>
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<tr>
<td><strong>Phase 2 Full proposal</strong></td>
<td></td>
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<tr>
<td>10-11 February OR 13-14 February 2025</td>
<td><strong>Synergy workshop</strong></td>
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<tr>
<td>Week 10 March OR week 17 March</td>
<td>- Synergy workshop part 1 (in the Netherlands)</td>
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<td>Week 10 March OR week 17 March</td>
<td>- Synergy workshop 2a (NWO applicants in the Netherlands) and,</td>
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<tr>
<td>8-9 May OR 12-13 May</td>
<td>- Synergy workshop 2b (FFAR applicants in the US)</td>
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<td>- Synergy workshop 3 (in the US)</td>
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</table>
3.2 Who can apply

Sub-proposals (Phase 1) and full proposals (Phase 2) are submitted by a main applicant on behalf of their partners (referred to as consortium members or consortium in the section below).

There are four categories of participants within a consortium:
1. Main applicant (section 3.2.1)
2. Co-applicant(s) (section 3.2.1)
3. Co-funder(s) (section 3.2.2)
4. Cooperation partner(s) (section 3.2.3)

The conditions for participants, which may differ between the US and The Netherlands, are detailed in sections 3.2.1 - 3.2.3.

For Phase 1, a sub-proposal consortium should consist of at least one main applicant, a co-applicant and a cooperation partner from a public, semi-public or private organization. Potential co-funders may participate in the development of the sub-proposal.

For NWO applicants, at least 1 cooperation partner and 1 co-funder should be based in the Netherlands. For FFAR applicants at least 1 cooperation partner and 1 co-funder should be based in the US.

For Phase 2, a consortium should consist of a NWO and FFAR main applicant (the 2 main applicants will be the project leads for the NWO and FFAR based aspects of the project respectively), as well as co-applicants and several cooperation partners and co-funders. The consortium should be balanced in participation terms from the US and the Netherlands. Therefore, at minimum, the consortium must consist of co-applicants, cooperation partners and co-funders from organizations based in the US and the Netherlands. Co-applicants are required to be from a different organization than the main applicant’s organization.

Together, consortium members will 1) formulate relevant research questions and approaches; 2) formulate and submit the proposal via the main applicants; 3) conduct the project activities; 4) coordinate knowledge sharing and support the application, dissemination and communication of the project results to a broader group of potential knowledge users that are not a consortium member; and 5) assume appropriate responsibility for adequate and timely reporting.

Each consortium can only submit one proposal.

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Supplementary notes

7 A “main applicant”, also referred to as a Principal Investigator in US, is responsible both for the communication between the consortium and NWO and FFAR respectively during the assessment procedure, as well as bears the main responsibility for the project, such as its technical and administrative coordination, and the scientific and financial reporting.
This Call for Proposals aims for knowledge chain-wide cooperations to enhance demand articulation, ownership and the effective uptake of results. For this reason, all consortium members, as well as relevant stakeholders, are expected to engage in all Phases of project execution from its inception to dissemination of the (emerging) results. Evidence of such active engagement will be an important element in assessing project proposals and may be demonstrated through references to involvement in project preparation and execution, in addition to links between the proposed research project and ongoing projects at NGOs and/or private enterprises, and/or through current policy implementation efforts.

### 3.2.1 Main and co-applicants

**Responsibilities during the assessment process**

Main applicants are responsible for submitting their proposal via the NWO web application ISAAC. During the assessment process, NWO will communicate with the main applicant(s), as indicated in the application form.

Please note due to limitations of the NWO ISAAC Grant Application System, FFAR main applicants will register as a co-applicant for full proposal submission (Phase 2), and the NWO main applicant will serve as the main applicant for full proposal submission. Regardless of this, the FFAR main applicant (listed in the full project proposal as the FFAR-based main applicant) is considered to be the main applicant regarding the US-based aspects of the project. Communications from NWO regarding the assessment process will be sent to both the FFAR and NWO main applicants (as registered by the consortium in the application form).

It is the joint responsibility of the FFAR and NWO main applicants to inform each other and the rest of the consortium of any feedback, requests or decisions received with regard to the consideration and the assessment of the application and the final decision.

**Responsibilities after funding is awarded**

Once a full proposal has been awarded funding, the NWO main applicant will become the project leader and point of contact for NWO and will receive funding from NWO according to NWO funding conditions. The FFAR main applicant (registered in ISAAC as the co-applicant) will become the US-based project leader and point of contact for FFAR and will receive funding from FFAR according to FFAR’s funding conditions. The NWO and FFAR main applicants are the main beneficiaries and will become the official secretaries and are responsible for allocating funds to cooperators in their respective countries.

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

**Extra conditions:**
- The main and co-applicant(s) should conduct the proposed research, as specified in the full proposal, as a member of a consortium that always includes, beside themselves, two or more co-funders (at least 1 organization based in the US and 1 organization based in the Netherlands), and two or more cooperation partners (at least 1 organization based in the US and 1 organization based in The Netherlands).
- The consortium, for both sub- and full proposals should have an interdisciplinary composition. This means that the main applicant and co-applicant(s) together should represent at least two of the three research fields (the humanities, social sciences, and natural sciences). The natural sciences should always be represented (please see this website: [Overview of research disciplines | NWO]).
- The main applicant may only submit one sub-proposal within this Call for Proposals in the role of main applicant. In addition to this, a main applicant may participate as a co-applicant in no more than one other sub-proposal in this Call for Proposals.
- For this Call for Proposals, a co-applicant may participate as a co-applicant in at most two sub-proposals.

Requirements for NWO applicants
Full, associate, and assistant professors, lectors, and other researchers with a comparable position* may submit an application as the main applicant or co-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 organizations.

- universities located in the Kingdom of the Netherlands;
- university medical centers;
- 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);
- institutes affiliated to the Royal Netherlands Academy of Arts and Sciences (KNAW) or NWO;
- Netherlands Cancer Institute;
- the Max Planck Institute for Psycholinguistics in Nijmegen;
- Naturalis Biodiversity Center;
- Advanced Research Centre for NanoLithography (ARCNL);
- Princess Máxima Center.

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

**Lectors appointed by a university of applied sciences may also act as a main or co-applicant if they have a paid fixed-term appointment.

Persons with a zero-hour employment agreement or with a contract for a limited period of time (other than a tenure track appointment and the aforementioned exception for lectors) 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 organization 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.

Requirements for FFAR applicants
The Foundation for Food & Agriculture Research welcomes main applicants from US-based institutions of Higher Education, non-profits, and government-affiliated researchers.

Any individual(s) with the skills, knowledge, and resources necessary to carry out the proposed research as Program Director(s)/Principal Investigator(s) is invited to work with their US-based organization to develop an application for support.

The following conditions apply to main applicants:

- Have at least a PhD or equivalent professional experience;
- A researcher working in regular position in a recognized academic institution or publicly funded R&D institution/laboratory, based in the US;
- Provide a commitment letter from the main applicant’s institution stating their support for the duration of the project.
In keeping with FFAR goals to reach a diverse and broad range of institutions and individuals who participate in its programs, the following types of higher education institutions are encouraged to apply for FFAR programs:

- Hispanic-serving Institutions
- 1890s Land Grant Institutions and other Historically Black Colleges and Universities
- Tribal Colleges and Universities
- Alaska Native and Native Hawaiian Serving Institutions
- Asian American and Native American Pacific Islander Serving Institutions

### 3.2.2 Co-funders

A co-funder is a party that participates in the consortium and contributes to the project in cash and/or in kind. The role that the co-funder plays in the preparation, implementation and translation of the research to society must be described in the full research proposal. During sub-proposal development (Phase 1), ideas on how co-funding can be realised in Phase 2 are required.

A co-funder will not receive any funding in this Call for Proposals. It is also not possible to reimburse costs by hiring these organization as third parties via budget modules. Organizations from which employees may participate as a main applicant or co-applicant in accordance with the description stated in Section 3.2.1, may not participate as a co-funder in this Call for Proposals.

In this Call for Proposals it is mandatory to have a minimum of two co-funders participate in the project resulting from the full proposal (Phase 2): at least one co-funder based in the Netherlands and one co-funder based in the US. Co-funders jointly contribute a net minimum amount of 10% of the total budget for the proposal.

For the full-proposal (Phase 2), the contribution of the co-funder has to be announced by a declaration of co-funding and is a net contribution to the project. Furthermore, in this Call for Proposals a distinction is made between private and public co-funders. For definitions thereof and further specific conditions for co-funding, see section 3.6.6.

### 3.2.3 Cooperation partner(s)

A cooperation partner is a party that receives no funding and contributes no co-funding to the research proposal but is closely involved in the realization of the research and/or knowledge utilization. Possible examples are companies, public and private organizations, and other institutions. The role that these parties play in the preparation, realization, and translation of the research to society should be described in the research proposal.

For the sub-proposal (Phase 1) it is mandatory for NWO applicants to have at least one cooperation partner based in the Netherlands and for FFAR applicants to have at least one cooperation partners based in the US.

For the full-proposal (Phase 2) it is mandatory to have at least one cooperation partner based in the Netherlands and one based in the US.

#### Declarations of commitment of cooperation partners

In a declaration of commitment, a cooperation partner announces support for the project. Declarations of commitment may only be provided in the full proposals Phase. NWO will make a standard letter available on the funding page. If funding is awarded, the cooperation partner must confirm its contribution to the project. Further agreements are also made in this agreement between the cooperation partner(s), the applicant(s) and any co-funders.
Please note:

- NWO applicants may not request funding for salary or research costs for personnel of organizations that participate as a cooperation partner in the consortium. However, it is possible to remunerate costs by hiring these organizations as third parties on the NWO side of the consortium via the NWO budget module ‘material costs’, ‘knowledge utilization’ or ‘project management (see Section 3.3 and Annex 7.1). FFAR applicants may request funding for salary or research costs for personnel of organizations that participate as a cooperation partner in the consortium as part of a budgetary subaward, and should budget for this using the NIH salary caps: Grants & Funding | NIH.
- Public and/or private cooperation partners based either in the US or the Netherlands cannot receive funding directly from the FFAR or NWO aspects of the grant.
- All organizations participating in a consortium must be registered as a legal persona.

3.3 What can be applied for

For an application in this Call for Proposals, a maximum of €2,737,570 can be applied for by NWO applicants and $2,940,829 can be applied for by FFAR applicants. With this, NWO and FFAR finance a maximum of 90% of the respective FFAR and NWO aspects of the total project budget; the rest of the funding must be contributed by compulsory co-funding (see Section 3.6.6). NWO and FFAR never fund less than 50% of the total project budget.

The maximum duration of the proposed project is 5 years.

3.3.1 Reimbursable costs for NWO applicants:

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 NWO budget modules can be found in the annex to this Call for Proposals (7.1).

<table>
<thead>
<tr>
<th>Budget module</th>
<th>Maximum amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>PhD student</td>
<td>Unrestricted number of positions, according to UNL or NFU rates⁹</td>
</tr>
<tr>
<td>Engineering Doctorate degree (EngD)</td>
<td>Unrestricted number of positions, in combination with PhD student(s) and/or postdoc(s), according to UNL or NFU rates⁸</td>
</tr>
<tr>
<td>Postdoc</td>
<td>Unrestricted number of positions, according to UNL or NFU rates⁸</td>
</tr>
<tr>
<td>Non-scientific staff (NSS) at universities</td>
<td>A maximum budget of €100,000 per four scientific positions (PhD / postdoc / PDEng)</td>
</tr>
<tr>
<td>Other Scientific personnel (OSS) at universities</td>
<td>€100,000, for each PhD student and/or postdoc, in combination with PhD student and/or postdoc</td>
</tr>
<tr>
<td>Research leave</td>
<td>5 months, 1 FTE, according to UNL or NFU rates⁸</td>
</tr>
<tr>
<td>Personnel at universities of applied sciences, educational institutions and other organizations</td>
<td>Unrestricted number of positions, in accordance with the applicable rate at the time of the granting decision as taken from Table 2.2, column ‘Hourly rate productive hours, excl. Dutch VAT’ from the Handleiding Overheidsstarieven [HOT-Manual Dutch Government rates] (Salary tables</td>
</tr>
<tr>
<td>Material costs</td>
<td>€15,000 per year per FTE scientific position</td>
</tr>
</tbody>
</table>

⁸ Based on exchange rate 1 April 2024.
⁹ For personnel outside the Netherlands, the local rates are reimbursed. These rates are capped at a maximum equal to the UNL rates corrected by the NWO Country correction coefficients (CCC) table, see Money Follows Cooperation | NWO.
### Budget module

<table>
<thead>
<tr>
<th>Budget module</th>
<th>Maximum amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investments (up to €150,000)</td>
<td>€150,000</td>
</tr>
<tr>
<td>Investments (€150,000 to €500,000)</td>
<td>Greater than or equal to €150,000 (for data collections, a minimum of €25,000 applies) and less than or equal to €500,000 with 25% contribution by the applying research institution</td>
</tr>
<tr>
<td>Knowledge utilization</td>
<td>Minimum 5% and maximum 20% of the total budget applied for</td>
</tr>
<tr>
<td>Internationalization</td>
<td>€25,000</td>
</tr>
<tr>
<td>Money follows Cooperation</td>
<td>Less than 50% of the total budget applied for</td>
</tr>
<tr>
<td>Project management</td>
<td>Maximum 5% of the total budget applied for</td>
</tr>
</tbody>
</table>

### 3.3.2 Reimbursable costs for FFAR applicants

Key budget considerations are noted below, and additional budgetary guidelines can be found on FFAR’s website. Applicants are encouraged to contact FFAR’s Grant Team to discuss any concerns related to the matching requirements (Matching Guidelines | FFAR).

- Matching funds are required during full proposal stage (10% in total for the full proposal) and must come from a non-US Federal Government entity.

- If matching funds are provided, matching funds cannot supplement or supplant preexisting funds for projects initiated before or during 2023. Matching funds must correspond to line items in the full application budget. At least 50% of matching funds must be a cash match per FFAR’s definition of cash. The remainder may be an in-kind match per FFAR's definition of in kind.

- A maximum of 10% of the total award may be used for indirect costs. FFAR’s indirect cost allotment is not an indirect cost rate applied to the total modified direct costs; instead, it is an overall allotment from the Total Funds Request, also known as the Total Project Costs. This requirement means 90% of the total funds requested must go directly to the proposed research.

- Reasonable budgets work in favor of the applicant. Budgets that are not commensurate with the proposed work or poorly justified will negatively affect the application’s overall evaluation.

The full proposal projected budget by the FFAR main applicant will be reviewed by the Assessment Committee. The Assessment Committee will take into account costs needed for the projected activities. FFAR will assess the formal budget conditions and evaluate the matching efforts for conformity to FFAR guidelines (see Section 3.5.1).

### 3.4 Preparing an application

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 organizations must also be added to ISAAC by NWO;
- you also need to submit other details online.

Applications submitted after the deadline will not be taken into consideration by NWO. For technical questions, please contact the ISAAC helpdesk, see contact (Chapter 6).

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

The applicant must inform their affiliated organization about the submission of the application, and the organization must accept the granting conditions of this Call for Proposals.

### 3.4.1 Preparing and submitting a sub-proposal (Phase 1)

The submission of a sub-proposal is mandatory for this Call for Proposals. A sub-proposal is a concise proposal that outlines the knowledge questions consortium members will address and how it contributes to the objectives and impact described in this Call for Proposals.

Additionally, sub-proposals should: address two out of three themes (Section 2.1.2); provide insights how co-funding can be realised should the sub-proposal be selected for Phase 2; and describe opportunities regarding topics for cooperation with other sub proposals to fully address the aim of the Call for Proposals. Although, a detailed budget is not required, sub-proposal research activities should be estimated for a maximum of € 1.000.000.

For the submission of the sub-proposal, a standard form is available on the funding page of this Call for Proposals on the NWO website. Your complete application form must have been received before the deadline via ISAAC (see Section 1.3). The main applicant will receive a confirmation of receipt after submitting the sub-proposal.

The main applicant submits their sub-proposal via ISAAC.

The steps involved in writing your sub-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;
- fill in the information requested online in ISAAC.

The submission of annexes with the sub-proposal is not permitted. No budget will be submitted for the sub-proposal (Phase 1).

### 3.4.2 Preparing and submitting the full proposal (Phase 2)

A full proposal can only be submitted by main applicants who submitted a sub-proposal that was selected by the assessment committee for Phase 2.

Main applicants of the selected sub-proposals are obliged to take part in the synergy workshop organised by NWO and FFAR in order to develop a full proposal. During the development of the full proposal, applicants will decide who serves as the official secretary.
For full proposal submission (Phase 2), a standard form will be made available. When developing the full proposal, applicants must adhere to the questions stated on this form and to the procedure given in the explanatory notes. Applicants must also adhere to the conditions for the maximum number of words and pages.

Completed application forms must be received via ISAAC before the deadline (see Section 1.3). After this deadline, full proposal submissions will no longer be allowed. Once a full proposal is submitted, main applicants will receive a confirmation of receipt.

The steps involved in writing your full proposal are:
- download the full proposal 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 for full proposal submission (Phase 2) are:
- a FFAR main applicant and NWO main applicant budget form
- co-funding declarations (see Section 3.6.6):
  - for NWO main applicant associated co-funders: Declaration co-funding
  - for FFAR main applicant associated co-funders: Matching funds contribution letter
- “Declarations of commitment” form (section 3.2.3)
- ‘Statement and signature’ form
- confirmation of institutional contribution to investment (compulsory if applicable, see Section 7.1).
- NWO applicants:
  - The annex ‘confirmation of institutional contribution to investments’ is compulsory if in the full proposal funding is requested for investments of more than €150,000 (see also Section 7.1).
  - Letter guaranteeing the continuity of project supervision (if applicable, see Section 3.2.1)

In case NWO and FFAR have made templates available, the annex should be drawn up according to these templates. Templates can be found on the Call for Proposals NWO web page. Annexes must be uploaded in ISAAC separately from the application. All 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.

When submitting the full proposal, the attached declarations of co-funding and matching funds contribution letter should guarantee the full required amount of co-funding in line with the conditions of Section 3.6.6.

Any annexes other than those above-mentioned are not permitted.

### 3.5 Conditions for submission

#### 3.5.1 Formal conditions for submission

Wherever this section refers to ‘application’, it refers to both the sub-proposals (Phase 1) and full proposals (Phase 2), unless explicitly stated otherwise.

NWO and FFAR will assess your application against the conditions listed below. Your application will only be admitted to the assessment procedure if it meets these conditions. After submitting your application, NWO and FFAR request applicants to be available to implement any possible administrative corrections so that applicants 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 applying consortium has an interdisciplinary composition (see Section 3.2);
the application complies with the DORA guidelines as described in Section 4.1;
the application form is, after a possible request to make additions or changes, complete and filled out according to the instructions;
the application is submitted via the main applicant’s ISAAC account (see Section 3.2.1);
the application is received before the deadlines;
the application is written in English;
the proposed project has a duration of at most 5 years;
all of the required annexes are, after a possible request to make additions or changes, complete and filled out according to the instructions.

Extra conditions for the sub-proposal (Phase 1):
the sub-proposal is submitted by a consortium that consists of at least one main applicant, one co-applicant and a cooperation partner.

Extra conditions for the full proposal (Phase 2):
the main applicant has submitted a sub-proposal that was selected for Phase 2 by NWO and FFAR;
the full proposal is submitted by a consortium consisting of a NWO and a FFAR main applicant, and at least: co-applicants from both the US and the Netherlands, two cooperation partner organizations (at least 1 cooperation organization based in the US and 1 cooperation organization based in the Netherlands) and at least two or more co-funders (at least 1 co-funding organization based in the US and 1 co-funding organization based in the Netherlands);
the application budget is drawn up in accordance with the conditions for this Call for Proposals;
after a possible request to make additions or changes, all the required annexes are completed in full and have been written and submitted according to the instructions and conditions of this Call for Proposals;
if applicable: after a possible request to make additions or changes, the co-funding has been pledged correctly and in full by means of a co-funding declaration and/or matching funds contribution letter;
in the case of co-funding: the co-funders satisfy the conditions stated in Section 3.6.6;
the proposed project has a maximum duration of 5 years.

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 NWO applications. For clarity, Sections 3.6.1 through 3.6.5 below apply specifically to NWO applicants and NWO-funded researchers, not to FFAR applicants and FFAR-funded researchers. FFAR guidelines, as listed in the “intent to fund” documents for this Call for Proposals (https://foundationfar.org/grants-funding/resources/forms-and-examples) are applicable to all grants awarded by FFAR. FFAR grantees must execute a FFAR Grant Agreement as a condition to participating in the project and receiving FFAR funding.

3.6.1 NWO Applicants: Compliance with the National Knowledge Security Guidelines
World-class science can benefit from international cooperation. The National Knowledge Security Guidelines (hereafter: the Guidelines) helps knowledge institutions to ensure that international cooperation can take place securely. Knowledge security concerns the undesirable transfer of sensitive knowledge and technology that compromises national security; the covert influence of state actors on education and research, which jeopardizes academic freedom and social safety; and ethical issues that may arise in cooperation with countries that do not respect fundamental rights.
Applicants are responsible for ensuring that their project complies and will continue to comply with the Guidelines. By submitting an application, the applicant commits to the recommendations stipulated in these Guidelines. In the event of a suspected breach of the Guidelines in an application submitted to NWO for project funding, or in a project funded by NWO, NWO may ask the applicant to provide a risk assessment demonstrating that the recommendations in the Guidelines have been taken into consideration. If the applicant fails to comply with NWO’s request, or if the risk assessment is in apparent breach of the Guidelines, this may affect NWO’s grant award or decision-making process. NWO may also include further conditions in the award letter if appropriate.

The National Knowledge Security Guidelines can be found on the central government website at: Home | National Contact Point for Knowledge Security (loketkennisveiligheid.nl).

3.6.2 NWO Applicants: 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, at the very least, are expected to make the data and/or non-numerical results that underlie the conclusions of the published work resulting from the project publicly available at the same time as the work’s publication. Any costs incurred for this can be included in both the NWO and FFAR funded parts of the project budget. Researchers should explain how data emerging from the project will be dealt with based on the data management section in the full 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 full 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, both during data generation and as part of analysing the data, to make its subsequent 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 valorization, 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.

3.6.3 NWO Applicants: 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: Scientific integrity | NWO.
3.6.4 NWO Applicants: Ethical statement or license

The applicant is responsible for determining whether an ethical statement or licence is needed for the realization of the proposed project. The applicant should ensure that this is obtained from the relevant institution or ethics committee on time. The absence or presence of an ethical statement or licence at the time of the application process has no effect on the assessment of the application. If the project is awarded funding, then the grant is issued under the condition that for the NWO funded part of the project, the necessary ethical statement or license is obtained before the latest start date for the project. As such the NWO funded part of the project cannot start until NWO has received a copy of the ethical statement or license.

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

3.6.5 NWO Applicants: 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 (ABS Focal Point - ABS Focal Point). NWO assumes that researchers will take all necessary actions with respect to the Nagoya Protocol.

3.6.6 NWO and FFAR Applicants: Co-funding

This research programme requires at least 10% of the total budget of the application in co-funding at the project level (full proposal, Phase 2). Co-funding must be provided by at least 1 organization based in the Netherlands and 1 organization based in the US.

The compulsory 10% co-funding must be from private sources. This may be provided as both in cash and in-kind support. Additional co-funding can come from other sources. The definition of private co-funding: see below under Definition private co-funding. The pledged co-funding is the net amount received by the applicant. If VAT is applicable to pledged co-funding, this is additional to the pledged amount.

Definition private co-funding

The relevant definition of private (co-)funding used is deduced from the definition used by the Netherlands Enterprise Agency (Definitions PPP allowance research and Innovation | RVO) (only available in Dutch). A private contribution is thus defined as an in cash or in-kind contribution that does not directly or indirectly originate from a research institution or public body. If pledged co-funding does not meet this definition, it cannot be classified as a private contribution. Pledged co-funding by a research institution or a public body is classified as a public contribution.

NWO Guidelines co-funding

Invoicing in cash co-funding

After the proposal has been awarded funding, NWO will invoice the private or public party, that has pledged an in-cash contribution to the NWO funded part of the consortium. After these funds have been received, NWO will allocate the funding to the project.

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

The use of personnel and material contributions is permitted on the condition that these are capitalised and are fully part of the project. Services and know how 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 made visible as an identifiable effort.

Determining the value of in-kind co-funding
- The use of personnel 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, 1400 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 125 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 know-how (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 know how must not already be present at or available to the applicant;
- Co-funders should specify the structure and size of the in-kind contributions provided (including hourly rates) in the declaration co-funding. NWO can request substantiation and documented evidence of the rates used and can also request their adjustment.

The following may not be contributed as co-funding (both in cash and in kind):
- funding awarded by NWO\textsuperscript{10};
- 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, e.g., on materials, equipment and services;
- costs related to overheads, supervision, consultancy and/or participation in the user committee (see Section 3.6.6);
- 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.

Accounting for in kind co-funding
The main applicant reports to NWO about the in-kind co-funding that has been 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).

Declaration co-funding from participating co-funders
In a declaration co-funding, the co-funder declares both substantive and financial support for the project and confirms the co-funding pledged. The co-funder also states in this declaration whether the contribution is a private or public contribution. Declarations co-funding from co-funders involved in the proposal are compulsory annexes to the full proposal. These must be signed by an authorised signatory of the co-funder. NWO will make a standard template available for the declaration co-funding.

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\textsuperscript{10} Funding awarded by NWO is understood to be funding obtained through a proposal submitted to NWO that is granted funding. In this regard it does not matter from which programme this funding was obtained or who the recipient of the funding is.
In the event that the project is awarded funding, the co-funder should confirm its contribution(s) in the consortium agreement (for example, for invoicing in the case of in cash contributions). In this agreement, further agreements are also made between the co-funder(s), applicant(s) and cooperation partners. (see Section 5.1).

**FFAR matching guidelines**

External matching funds (co-funding) are required for this project. The required 10% co-funding (in cash and/or in kind) of the total project budget for full proposal (Phase 2) submission must be provided by private co-funders (see the definition private co-funding above).

Additional co-funding may be included, but is not limited to, private and public corporations, non-profits, foundations, commodity and trade groups, and state and local governments. Unique partnerships with organizations that may not typically work in agriculture are strongly encouraged.

FFAR will invoice the co-funder, as part of the FFAR side of the consortium that has pledged an in-cash contribution. After these funds have been received, FFAR will allocate the funding to the project.

FFAR matching funds guidelines and contribution template letter can be found here: FFAR Matching/Co-Funding Guidelines

### 3.6.7 Contributing to knowledge sharing beyond the consortium

The projects awarded under this Call for Proposals should contribute to the understanding of “Greenhouses in transition. Opportunities in water, energy and agriculture”. To this end, researchers and other consortium members are expected to contribute to knowledge exchange and knowledge utilization beyond the consortium, and to participate in and contribute to the meetings organised for that purpose.

This includes a joint kick-off and mid-term workshop with representation from all consortium member aspects of the project, as well as a final conference. This is in addition to the activities organised by the individual projects for this purpose. Consortia should budget for their participation in these meetings in their application. See Section 5.1.1. and 5.1.2.
4 Assessment procedure

This chapter first describes the assessment according to the DORA principles (Section 4.1) and the course of the assessment procedure (Section 4.2). Second, it states the criteria that the assessment committee will use to assess your application (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-making process (Code for Dealing with Personal Interests | NWO).

NWO strives to achieve an inclusive culture where there is no place for conscious or unconscious barriers due to cultural, ethnic or religious background, gender, sexual orientation, health or age (Diversity and inclusion | NWO). NWO encourage members of an assessment committee to be actively aware of implicit associations and to try to minimise these. NWO will provide them with information about concrete ways of improving the assessment of an application.

4.1 The San Francisco Declaration (DORA)

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 in this Call for Proposals, NWO make use of a broad definition of scientific output.

NWO request 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 DORA | NWO.

4.2 Procedure

The application procedure consists of the following steps:
- submission of the sub-proposal;
- admissibility of the sub-proposal;
- assessment and selection of the sub-proposal;
- synergy workshop
- submission of the full proposal;
- admissibility of the full proposal;
- pre-advice assessment committee;
- interview;
- meeting of the assessment committee;
- decision-making.
Assessment committee

For this Call for Proposals, the NWO Executive Board will appoint an external, independent, assessment committee composed of broad, but relevant, expertise. This committee will be made up of representatives from science and the entire knowledge chain, including societal stakeholders and representatives from target groups, with knowledge of the relevant disciplines. The task of the assessment committee is to assess the applications and the relevant documents that are submitted, in conjunction with each other and with regard to both the respective merits of each application and the selection criteria outlined in this Call for Proposals.

Owing to the particular nature of the Call for Proposals and the expertise present in the assessment committee, NWO has decided with regard to the assessment of these applications to exercise the option outlined in Article 2.2.4, paragraph 2, of the NWO Grant Rules 2017, to assess all applications without involving referees.

4.2.1 Submission of the sub-proposal (Phase 1)

The submission of a sub-proposal is compulsory for this Call for Proposals. The sub-proposal is a concise proposal. For the sub-proposal submission, a standard form is available on the funding page of this Call for Proposals on the NWO website. The sub-proposal form completed by applicants must have been received before the deadline via ISAAC (see paragraph 1.3). After submitting the sub-proposal, the main applicant will receive a confirmation of receipt.

4.2.2 Admissibility of the sub-proposal (Phase 1)

After sub-proposals have been submitted and after assessment on admissibility, NWO will inform (in a timely fashion) the main applicant as to the status of their application (whether the sub-proposal will be taken into consideration). NWO will make this admissibility assessment based on several administrative-technical criteria (see the formal conditions for submission, Section 3.5.1). FFAR will check the administrative-technical criteria applicable to FFAR applicants. NWO and FFAR can only take a sub-proposal into consideration if it meets these conditions.

Please bear in mind that within two weeks after the submission deadline, NWO may approach the main applicant with any possible administrative corrections that need to be made so that the sub-proposal can (still) meet the conditions for submission. Applicants will be given one opportunity to make the corrections, and you will be given five working days to complete this.

4.2.3 Assessment and selection of the sub-proposal (Phase 1)

Admissible sub-proposals will be assessed by the assessment committee and ranked on the quality according to the steps described below. Subsequently, the sub-proposals ranked good or higher will be sorted in which the complementarity of the sub-proposals in respect with the highest scored sub-proposal will be taken into account.

The last step of sorting the sub-proposals based on complementarity is in order to form a complete consortium in Phase 2, which is diverse in research themes and consortium composition while being complementary within the selected research themes and balanced research activities between the Netherlands and the US.

Based on the submitted material, the assessment committee will appraise the sub-proposal and will award the sub-proposal with a numerical score for each assessment criterion. For this, the NWO score table will be used (on a scale of 1 to 9, where ‘1’ is excellent and ‘9’ is unsatisfactory).
Overall, the sub-proposal must receive at least the qualification ‘good’ for it to be selected for Phase 2. Due to the requirements of this Call for Proposals, at least two sub-proposals, of which one from FFAR applicants and one from NWO applicants, must receive a score of ‘good’ or better, and there must be at least two sub-proposals from FFAR applicants and two sub-proposals from NWO applicants to select from for the Call for Proposals. If less than two sub-proposals receive a score of ‘good’ or better, or there are not two viable applications to select from both FFAR and NWO applicants, then Phase 2 will not take place and the Call for Proposals will be closed.

For more information about the qualifications, see: Applying for funding, how does it work? | NWO.

During sub-proposal assessment, the assessment committee completes the following steps:

1. A provisional ranking is initially determined based on criteria 1 to 3 described in Section 4.3.1–Phase 1 sub-proposals.
2. For sub-proposals that receive at minimum the score of ‘good’, the assessment committee will include in their advice the following equivalent aspects of complementarity:
   - Diversity of the research themes in the selected sub-proposals.
   - Complementarity of selected sub-proposals in terms of contribution to the research themes.
   - Complementarity and/or diversity of the applicant sub-proposals consortia with respect to already selected sub-proposals.
   - Diversity in involvement of public and private organizations.
   - Complementarity leading to a balanced research activities in the Netherlands and the US.

In its advice to the Executive Board, the assessment committee will accord the first position to the sub-proposal with the highest score. The assessment committee will compare the remaining sub-proposals with at least the qualification ‘good’ for complementarity to the top proposal. If the second highest ranking proposal complements the top proposal, then the assessment committee provides advice to include the second highest ranking proposal as part of the synergy workshop (Phase 2) to explore opportunities as a component of a full proposal. If the assessment committee determines the second highest ranking proposal does not complement the top proposal, then the committee can decide not to recommend the second highest proposal for selection for full proposal development. In this case, the assessment committee will look for complementarity with the third top ranking proposal and so forth. As a point of clarification, the NWO and FFAR anticipate that a full proposal (Phase 2) will consist of multiple sub-proposals (Phase 1).

For their recommendation, the assessment committee will meet to internally discuss their observations regarding the quality of the sub-proposals and discuss recommendations for the integration of sub-proposals into one full proposal. The recommendation may include expertise that is missing, where if included would benefit a full proposal. Selected sub-proposal consortia should respond to this recommendation during full proposal development (Phase 2).

Following the discussion, the assessment committee will provide a written recommendation to the decision-making body.
Decision-making: Phase 1 sub-proposals

Finally, the NWO Executive Board and the FFAR Executive Board will assess the procedure followed and the assessment committee’s advice. The NWO Executive Board and FFAR Executive Board will subsequently determine the final qualifications and take a decision about which participants will be able to participate in Phase 2.

A maximum of five main applicants of a sub-proposal will receive a positive decision. Both boards have to reach the same decision for the main applicant to be invited to participate in Phase 2. The written recommendation of the assessment committee may include a request to sub-proposal applicants to jointly ensure that the missing expertise is included during Phase 2. Main applicants who are not selected will receive a rejection decision about the sub-proposal and cannot participate in Phase 2.

4.2.4 Submission of a full proposal (Phase 2)

For the submission of the full proposal, a standard form is available on the funding page of this Call for Proposals on the NWO website. Applicants must adhere to the questions stated on this form and the procedure given in the explanatory notes during full proposal development. Applicants must also adhere to word and page limit conditions.

Completed full application forms must have been received before the deadline via ISAAC (see Section 1.3). After this deadline, applicants can no longer submit a proposal. After submitting the proposal, the main applicant will receive a confirmation of receipt.

4.2.5 Admissibility of the full proposal (Phase 2)

Following full proposal submission, NWO will inform the applicants on whether or not the full proposal will be taken into consideration. NWO and FFAR will determine this based on several administrative-technical criteria (see the formal conditions for submission, Section 3.5.1). NWO and FFAR can only take your full proposal into consideration if it meets these conditions.

4.2.6 Pre-advice assessment committee

Full proposals will be submitted for comments to several members of the assessment committee, the pre-advisers. The pre-advisers will provide a written substantive and reasoned response to the full proposal. The pre-advisers will formulate these comments based on the substantive assessment criteria (see Section 4.3.1) and will give the proposal a numerical score per assessment criterion. For this, the NWO score table will be used (on a scale of 1 to 9, where “1” is excellent and “9” unsatisfactory). In addition, the pre-advisers identify which aspects of the full proposal need to be clarified, explained or deepened during the interview (Section 4.2.7).

4.2.7 Interview

During the interview, the assessment committee has the opportunity to pose questions, including new questions to the consortium. During the interview, the consortium can respond to these questions in the discussion with the committee. In this manner, the principle of hearing and rebuttal is applied. The interview is an important part of the assessment and can lead to an adjustment of the assessment and the score of the proposal.

4.2.8 Meeting of the assessment committee

The committee will make its own assessment based on the available material and based on the discussion, draw up a written recommendation addressed to the NWO Executive Board and the FFAR Executive Board about the quality and ranking of the proposals. This recommendation is based on the assessment criteria – Phase 2 Full proposal (Section 4.3.1). The full proposal must receive an overall qualification of at least “very good” to be eligible for funding. The full proposal must also receive a score of at least 4.0 (or better) for each of the separate assessment criteria.
<table>
<thead>
<tr>
<th>Score range</th>
<th>Qualification</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0-1.4</td>
<td>Excellent</td>
</tr>
<tr>
<td>1.5-3.4</td>
<td>Very good</td>
</tr>
<tr>
<td>3.5-5.4</td>
<td>Good</td>
</tr>
<tr>
<td>5.5-9.0</td>
<td>Unsatisfactory</td>
</tr>
</tbody>
</table>

In cases where the assessment committee does not recommend funding for the full proposal, they will state in writing which elements are unsatisfactory and suggest points for improvement. The consortium will be given one opportunity to submit a revised proposal that addresses the points for improvement. The main applicants will then be given one month from the date of the announcement to submit the revised proposal. The assessment committee can advise augmenting missing expertise by appointing one or more new participants in the consortium. In that case, the main applicant will be given two months to submit the revised proposal. After the revised proposal has been received, an interview will be planned to discuss the proposal with the assessment committee, after which the selection committee will produce a final recommendation.

For more information about the qualifications, see Applying for funding, how does it work? | NWO.

If, after the discussion of the full proposals, two or more of the full proposals cannot be distinguished from each other based on their weighted total score, then there is an ex aequo situation (see section 4.2.9).

### 4.2.9 Ex aequo

NWO and FFAR understand ex aequo to be a situation in which two or more proposals based on their weighted score cannot be distinguished from each other. For this Call of Proposals, an ex aequo situation is relevant with respect to the selection borders. The existence of an ex aequo situation is determined as follows. The starting point in this process is the ranking drawn up by the assessment committee, with the final scores rounded down to two decimal points. The reference score here is the score of the lowest-ranked proposal within the borders of the available budget or the selection borders. All proposals with a score that is within 0.05 or less of the reference score will be considered. In this way, the proposals that are equal within a score of 0.1 will be selected. If an ex aequo situation occurs at the borders of the available budget or the selection borders, the scores for criteria 1 and 2 (see Section 4.3.1) are added together. The proposal with the lowest sum of the scores for criteria 1 and 2 will be prioritized highest. If the proposals subsequently still remain tied, then 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 also fails to provide a resolution, or if it is deemed to be undesirable to vote, then the ex aequo situation will be sent onto the decision-making body.

### 4.2.10 Decision-making

Finally, the NWO Executive Board and the FFAR Executive Board will assess the procedure followed and the assessment committee’s advice. The NWO Executive Board and FFAR Executive Board will subsequently determine the final qualifications and take a decision about awarding or rejecting the full proposals. Both boards have to reach the same decision for the proposal to be awarded funding.

### 4.3 Criteria

#### 4.3.1 Substantive assessment criteria

The applications submitted within this Call for Proposals will be substantially assessed on the basis of the following criteria. These are described for each phase below:

**Phase 1 – Sub-proposals**

1. Problem definition and analysis (40%)
2. Envisaged impact and route to impact (40%)
3. Quality of the consortium (20%)

The following specific aspects of the three assessment criteria will be assessed:

1. Problem definition and analysis
   – Clearly formulated definition of the problem and resulting research questions, logically related and contributing to the objective of the Call for Proposals.
   – Connection with and contribution to the aim of the Call for Proposals:
     ▪ At least two out of three themes are addressed
     ▪ The sub-proposal addresses knowledge questions that align with the aim of the Call for Proposals
     ▪ The sub-proposal addresses knowledge questions that align with at least two out of three themes formulated in this Call for Proposals.
     ▪ The sub-proposal addresses how applicants envisage cooperation between the Netherlands and the US to be of added value.
   – The proposed research approach builds upon already available knowledge and expertise.
   – The proposed research approach complements existing initiatives.

2. Envisaged impact and route to impact (project approach)
   – Clearly formulated vision of and contribution to the desired impact.
   – Clearly described and logical route to impact.
   – Clearly described and logical outcomes and output related to the desired impact and the knowledge gaps addressed.
   – Clearly described opportunities to cooperate with respect to the knowledge gaps not addressed in the sub-proposal.
   – Quality of the overall research approach.

3. Quality of consortium
   – The composition of the consortium is a logical fit with the intended approach of the sub-proposal: interdisciplinary, involvement of relevant societal stakeholders.
   – Complementarity of the potential consortium members in terms of the knowledge, skills and expertise required to execute the project.
   – Potential for cooperation across the knowledge chain.
   – Potential for cooperation with relevant societal stakeholders.
   – Relevance of the intended private parties to the sub-proposal, including the role foreseen in the design and execution of the sub-proposal.

Phase 2 – Full proposal
1. Problem definition and analysis (20%)
2. Envisaged impact and route to impact (20%)
3. Quality of the consortium (30%)
4. Quality of the research (30%)

The following specific aspects of the four assessment criteria will be assessed:

1. Problem definition and analysis
   – Clearly formulated definition of the problem and resulting research questions, logically related and contributing to the objective of the call.
   – Societal and scientific urgency and relevance of the defined problem.
   – Interdisciplinary and transdisciplinary character of the problem definition and the research questions.

2. Envisaged impact and route to impact
   – The envisaged scientific and societal impact is clearly defined and follows logically from the identified problem or question.
The Impact pathway describes a clear route to the societal, including economic, impact, as well as the role of the partners involved.

Appropriate strategic activities to achieve the impact, such as stakeholder engagement, communication, monitoring and evaluation, and capacity development and deployment and use of Human Capital. Suitable and well-substantiated budget to undertake strategic activities.

3. Quality of consortium
   - The composition of the consortium is a logical fit with the proposed project: interdisciplinary, involvement of relevant societal stakeholders.
   - Complementarity of the consortium members in terms of the knowledge, skills and expertise required to execute the project.
   - Active involvement of the partners in the development of the project (co-design), from the articulation of the problem definition and the research questions, and in its execution (co-creation).
   - A clear division of tasks and roles within the consortium with respect to the execution of the research and the governance of the project.
   - Sufficient balance in the involvement of Netherlands based and US based consortium members in the development and execution of the proposed project.

4. Quality of the research
   - The scientific research question follows logically from the analysis of the problem and is original and innovative for the disciplines concerned.
   - The proposed approach and methodology are suitable for achieving the specified objectives and answering the research question.
   - The integrated character of the interdisciplinary research.
   - The structure of the proposed research plan: clearly defined and logically coherent work packages; suitable and well-substantiated budget; risk analysis; and, if necessary, a back-up plan.

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11 For the principles for interdisciplinary cooperation, see section 2.3.
5 Obligations for grant recipients

This chapter details the various obligations that - in addition to the conditions stated in Section 3.6 - apply after funds have been awarded.

5.1.1 Start of the project

Additional terms and conditions
The project should start within six months of the project being awarded. If the project has not started within six months, the Executive Board of NWO and the Executive Board of FFAR can decide to revoke the granting decision.

Documents prior to project start
The NWO affiliated project lead and the FFAR affiliated project lead are responsible for ensuring that the necessary documents for the start of the project are submitted to their respective funding agencies so that the project in its entirety can start on time.

NWO
The NWO funded part of the consortium can begin 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 organizations;
- (If applicable) approval of relevant ethics committees;
- (If applicable) receipt by NWO of the first tranche of in cash co-funding.

FFAR
The FFAR funded part of the consortium can start if the following documents have been approved by FFAR:
- List of key personnel including biosketch/cv and list of current and pending support for key personnel;
- A data management plan including a Gant chart with deliverables;
- A consortium agreement, signed by all consortium organizations—FFAR funds will be released only after the consortium agreement has been signed;
- Match Certification;
- Representations & Certifications Form.

Project kick-off
At the start of the project, a joint kick-off meeting will be organized with the project consortium members. During this meeting, consortium members will further discuss how they will cooperate throughout the duration of the project. FFAR and NWO will be in attendance at this meeting and will discuss the approach for substantive monitoring, learning and evaluation and for knowledge sharing activities beyond the projects scope. Consortia should include budget for this project kick-off meeting (full proposal development, Phase 2).

5.1.2 Substantive monitoring, learning and evaluation

The following monitoring, learning and evaluation moments apply. To this end NWO and FFAR may organise programme meetings.

Annual reporting
Once a year, the project must submit a written report (in English) to inform NWO and FFAR of the overall project progress, experiences and output. This also includes a financial report. The project leaders from both countries will receive instructions and a format for this report in advance.
Mid-term reporting
The projects will also be evaluated by a self-assessment around the mid-term of the projects’ lifetime. This includes a workshop, organised by the consortium, and sharing and discussing the results with stakeholders from outside the project team. Consortia should include this workshop in their budget (full proposal, Phase 2). The mid-term report will be based on the conclusions of the workshop, including a reflection on and, if required, revision of the Impact Plan, the underlying assumptions and the indicators. The advisory committee will evaluate the progress of the projects based on mid-term reports submitted by the consortia. The advisory committee will give recommendations to the project based on their evaluation.

A draft version of the mid-term report of the project needs to be submitted before the joint mid-term workshop and will be used as input for organising this mid-term workshop. The mid-term report replaces the annual reporting obligations for the year in which mid-term review takes place.

Final report and final accountability to NWO and FFAR
A substantitive final report should be submitted within three months after the end of the project, detailing the research done and the results achieved, as well as a reflection on the project’s Impact Plan and its indicators.

As part of this, projects will be asked to again complete a self-assessment and hold a final workshop and a discussion with stakeholders from outside the project team. The final substantive report will be evaluated by the advisory committee, appointed by FFAR and NWO. The final workshop should be taken into account in the consortium’s budget.

Simultaneously, the NWO affiliated project leader and the controller/financial manager of the affiliated project leader’s institution should submit a signed financial end report, organised according to the budget lines of the approved NWO budget. Similarly, the FFAR affiliated project leader must submit a signed financial final report to FFAR, organized according to approved FFAR budget template.

The report should detail, among others, the effective duration (period) and size (FTE) of the personnel appointed to the project, and, if applicable, how eventual replacements were arranged. The realised in cash and in-kind co-funding should also be accounted for.

If the NWO affiliated project leader is not based at a knowledge institution that is subject to the education accountants’ protocol of the Ministry of Education, Culture and Science, an external audit report must also be submitted.

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

5.1.3 Activities to enhance potential to contribute to impact

User committee meetings
Every 6 months a user committee meeting will be organised by the consortium. During this meeting, the users involved in the project will provide advice on the progress of the project, and the project relevance for their work is discussed – with the aim to enhance potential for impact. The project should account for these meetings in the project budget (full proposal development, Phase 2). More information on the appointment of the user committee is provided in Section 5.1.7.
Knoweldge sharing beyond the consortium

During the project’s lifetime, the consortium will organise at least two knowledge sharing activities to inform stakeholders beyond the consortium of (interim) project results and provide advice to different stakeholder audiences (i.e., policy makers, private sector). These activities could also be used to soundboard project developments with a broader group of practitioners and/or to gain input on challenges which the project aims to tackle. These activities should take place halfway the project’s lifetime in addition to near the end of the project. The project should account for these meetings in the project budget (full proposal development, Phase 2).

5.1.4 Data management

After a proposal has been awarded funding, the researcher should elaborate the data management section into a data management plan for both the FFAR-funded and NWO-funded side of the consortium. For this, applicants can make use of the advice from the assessment committee. The applicant must describe in the plan whether existing data will be used, or whether new data will be collected or generated, and how this 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 organization where the project will be realised. The plan should be submitted to NWO via ISAAC within 4 months after the proposal has been awarded funding. NWO will check 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: Research data management | NWO.

5.1.5 Intellectual property and consortium agreement

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

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

NWO’s ambition is that research results can be applied by partners involved in the project. NWO aims that all research results from projects it funds are made publicly accessible while at the same time encouraging parties to further develop the research results by giving them the possibility to exploit these. For the exploitation of results, it can be desirable to transfer intellectual property rights or to license the use of these to (one of) the private parties involved in the project. The basic premise is that all research results can be published with due consideration for agreements made about publication procedures.

After a proposal has been awarded funding, the conclusion of a consortium 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-funding payments, progress reports, and final reports and the tasks and working methods of the user committee. Uploading in ISAAC is required before the project can start.

The responsibility for arranging the consortium agreement lies with the consortium. NWO and FFAR do not sign the agreement. A model Consortium Agreement can be found on the funding page of this Call for Proposals. This model Consortium Agreement may be modified with regards to intellectual property, including FFAR IP Policy (FFAR IP Policy), publication and confidential information to the extent that any modifications to be made shall fit within the framework of NWO Grant Rules 2017 and European legislation on state aid. The model consortium agreement provides for this.
5.1.6 Socially responsible licensing

The knowledge that emerges from the project could be suitable for use in society. When agreements about licensing and/or the transfer of research results developed under this Call for Proposals are made, due consideration should be given to the ten principles for socially responsible licensing, as stated in the NFU factsheet “Ten principles for Socially Responsible Licensing | NFU”.

5.1.7 User committee

After the project has been awarded funding, a user committee will be appointed in accordance with Article 3.3.2.a of the NWO Grant Rules 2017. The committee will follow the execution of the project and advise on its the progress. More information about this committee will be provided in the award letter.

5.1.8 Open Access

NWO and FFAR are committed to making the results of the research it funds openly accessible via the internet (Open Access).

NWO is a signatory to the Berlin Declaration (2003) and a member of cOAlition S (2018). 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 UNL and a publisher. For further information, see Open Access |.

Books
Different requirements apply to scholarly books, book chapters and edited collections. See the Open Access Policy Framework at Open Science | NWO.

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 NWO budget module for “material costs” or FFAR budget module ‘publications’ category. 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 Open Science | NWO.
Publications
When publishing the results of the subsidised research, the support by NWO and FFAR should be mentioned.
6 Contact and other information

6.1 Contact

6.1.1 Specific questions

For specific questions about this Call for Proposals, please contact:
NWO: Maria Verschoor or Steef de Valk via kic-cea@nwo.nl
FFAR Grants Department: John Reich via grants@foundationfar.org

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 (0)70 34 40 600. However, you can also submit your question by email to isaac.helpdesk@nwo.nl. You will then receive an answer within two working days.

6.2 Other information

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

NWO processes data from applicants received in the context of this Call in accordance with the NWO Privacy Statement, Privacy Statement | NWO. NWO and FFAR conduct this programme together. This will involve the exchange of data conform the jointly concluded GDPR.

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

7.1 Explanation of NWO 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 organization where the personnel are/ will be appointed.

For university appointments, the salary costs are funded in accordance with the UNL salary tables applicable at the moment the grant is awarded (Salary tables | NWO).

For university medical centres, the salary costs are funded in accordance with the NFU salary tables applicable at the moment the grant is awarded (Salary tables | NWO).

For personnel from universities of applied sciences, educational institutions and other organizations, salary costs will be funded based on the collective labour agreement pay scale of the employee concerned in accordance with the applicable rate at the time of awarding the grant as taken from Table 2.2, column ‘Hourly rate productive hours, excl. Dutch VAT’ from the Handleiding Overheidstarieven [HOT- Manual Dutch Government Rates] (Salary tables | NWO).

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 Employment terms and conditions | Working at the Rijksdienst Caribisch Nederland | Rijksdienst Caribisch Nederland (rijksdienstcn.com).

NWO will apply a mandatory one-off indexing of the salary\textsuperscript{12} costs with respect to:

- UNL rates: for proposals submitted before 1 July and that are awarded funding after 1 July;
- NFU rates: for proposals submitted before 1 August that are awarded funding after 1 August;
- HOT rates: for proposals submitted before 1 January that are awarded funding after 1 January.

The mandatory one-off indexing does not affect the level of the grant ceiling or the maximum amount of the grant awarded for each proposal. Both the level of the grant ceiling and the maximum amount of the grant awarded will remain unchanged during the assessment procedure. The mandatory one-off indexing will be applied after the decision-making process about awarding or rejecting proposals is completed.

If co-funding is required or permitted then the one-off mandatory indexing will have no consequences for the co-funding requirement or the IP rights that can emerge from the co-funding.

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

The available budget modules are explained below.

**PhD student (including MD-PhD student)**

A PhD student 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 realization of the proposed research, then the standard time can be deviated from as long as this is properly justified. However, the duration of appointment must always be at least 48 months.

\textsuperscript{12} 1 July, 1 August and 1 January are the dates on which the relevant rates are generally adjusted, in the case of indexation the date of actual annual adjustment will be taken into account.
In line with the NWO strategy, this category is also understood to include Industrial and Societal Doctorates. The conditions for this are described in Section 7.2.

**Engineering Doctorate degree (EngD)**

Funding for the appointment of a EngD can only be applied for if funding for a PhD student or postdoc is also applied for. The appointment for a EngD position is a maximum of 1.0 FTE for 24 months. The EngD trainee is employed by the institution applying for funding and can realise activities that are part of 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” must be described in the proposal.

**Postdoc**

The size and duration of the postdoc appointment is at least 6 full months and at most 48 full-time months. The size and duration of the appointment is at the applicant’s discretion, but the appointment is always for at least 0.5 FTE or for a duration of at least 12 months. The product of FTE x duration of appointment should always be a minimum of 6 full-time months. The material budget is available to cover the costs of a more limited appointment of a postdoc.

**Non-scientific staff (NSS) at universities**

Funding for the appointment of NSS required to realise the research project can only be applied for if funding for a PhD student or postdoc is also applied for. In particular, for NSS, a maximum of €100,000 can be applied for per four PhD or postdoc positions. 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. This includes personnel such as student assistants, programmers, technical assistants or analysts. Depending on the level of the position, the appropriate salary table for NSS at MBO, HBO or university level applies. The size of the appointment is at least 6 full-time months and at most 48 full-time months. The size and duration of the appointment is at the applicant’s discretion, but the appointment is always for at least 0.5 FTE or for a duration of at least 12 months. The product of FTE x duration of appointment should always be a minimum of 6 full-time months. The material budget is available to cover the costs of a more limited appointment of NSS.

**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 per PhD or postdoc can be applied for. 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.

**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 (Salary tables | NWO).

Personnel universities of applied sciences, educational institutions and other organizations

With the exception of personnel that fall under UNL or NFU rates, costs for the funding of personnel employed at a university of applied sciences, educational institution or at other organizations will be remunerated in accordance with Table 2.2, column ‘Hourly rate productive hours, excl. Dutch VAT’ from the Handleiding Overheidstarieven [HOT- Manual Dutch Government Rates] (Salary tables | NWO).

For the calculation you should use the number of productive hours stated in the valid volume of the Handleiding Overheidstarieven.

Explanation of budget module Material

For each FTE scientific position (PhD student, postdoc, EngD) 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 (with a minimum appointment of 0.2 FTE for 12 months) a maximum of €15,000 in material budget can be applied for per year.

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

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

Travel and accommodation costs for the personnel positions applied for
travel and accommodation costs;
conference attendance (maximum of two per year per scientific position applied for);
fieldwork;
work visit.

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

Costs that cannot be applied for are:
basic facilities within the institution (e.g., laptops, office furniture, etc.);
maintenance and insurance costs.

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

Citizen science

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

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 Investments (€150,000 to €500,000)

In this budget module, funding can be requested for investments in scientifically innovative equipment and/or data collections of national and international importance. The minimum amount that can be applied for is €150,000.

NWO funds a maximum of 75% of the total investment costs, up to a maximum of €500,000. The applying institution must contribute at least 25% of the total costs of the investment. This contribution to the investment must be confirmed in writing by the applying institution when the proposal is submitted.

The costs for investments should be adequately specified and motivated in the proposal. Funding can be requested for:

- costs for investments in scientific equipment;
- costs for investments in datasets;
- personnel costs for the setting up of databases and the initial digitization of the bibliographical equipment, if these cannot be purchased;
- personnel costs for employees with essential technical expertise that is necessary in order to build or develop an investment.

If funding for personnel costs is applied for, then the need for these personnel costs must be justified. If the applicant does not have this expertise available, then it must be stated that this expertise needs to be procured with these costs. The internal procurement procedures and/or guidelines of the applicant are applicable.

Funding cannot be requested for:

- costs of infrastructure facilities that can be regarded as part of the usual infrastructure;
- data collections and any associated software and bibliographies that are already available in other ways;
- other personnel costs, including personnel costs required to operate and conduct research with the facility;
- costs for maintenance and use of the equipment on a project. The costs for researchers using equipment for a project can be applied for via the material budget.
Explanation of budget module Knowledge utilization

The aim of this budget module is to facilitate the use of the knowledge that emerges from the research\(^\text{13}\). At least 5% and at most 20% of the total budget requested from NWO should be used for knowledge utilization activities via this budget module.

Knowledge utilization assumes very different forms in the various science domains. Examples are producing a teaching package, a feasibility study into application possibilities, costs for the submission of a patent application, or a business developer.

In the proposal, the applicant should specify which costs are needed.

In the context of the Impact Plan Approach applicants can use this module to cover costs for the following activities:

- Specific activities to facilitate knowledge utilization towards (intermediary) parties that are not funded in the project, such as knowledge platforms. These activities cover, amongst other things, joint learning activities, training courses and communication activities.
- Involving interested parties (stakeholders)\(^\text{14}\): activities organized by the consortium aimed at involving stakeholders, such as consultation workshops, expert meetings, roundtable meetings, et cetera.
- Communication: activities organized by the consortium such as (international) learning events, development of videos, blogs, newsletters and other types of media. The hiring of communication expertise can also be included here.
- Development of skills: activities aimed at the development of skills that go further than the levels of the individual student, PhDs or postdocs, such as the development of courses for stakeholders or master students.
- Monitoring and evaluation moments: in which knowledge utilization is a subject of discussion: such as interim evaluations and the meetings of the user committee (see also Section 5.1.1; 5.1.2 and Section 5.1.5).

Travel costs for co-funders are explicitly not fundable in this module, but the travel costs of cooperation partners and external parties from everyday practice can be funded from this module. The budget requested should be satisfactorily specified in the proposal.

If the knowledge utilization activities are realised by a party outside of the consortium, then during the tendering procedure for the selection of such a party due consideration should be given to the procurement rules of the government and, when necessary, a European tendering procedure should be followed.

Explanation of budget module Internationalization

The budget for internationalization is intended to encourage international cooperation. The budget applied for may not exceed €25,000. The amount requested must be specified. If the maximum amount is not sufficient for realising the research, then it may be deviated from if an adequate justification is provided in the proposal.

Funding can be requested for:

- travel and accommodation costs in so far as these concern direct research costs emerging from the international cooperation and additional costs for internationalization that cannot be covered in another manner, for example from the bench fee;
- travel and accommodation costs for foreign guest researchers;
- costs for organising international workshops/symposia/scientific meetings.

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\(^{13}\) 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.

\(^{14}\) A stakeholder is any person or group that can influence the goals being achieved or can be influenced as a result of these.
Explanation of the budget module Money follows Cooperation (MfC)

The module Money follows Cooperation provides the possibility of realising a part of the project at a publicly funded knowledge institution outside of the Netherlands.

The applicant must convincingly argue how the researcher from the foreign knowledge institution will contribute specific expertise to the research project that is not available in the Netherlands at the level necessary for the project.

This condition does not apply if NWO has concluded a bilateral agreement concerning Money follows Cooperation with the national research council of the country where the foreign knowledge institution is located. At Money Follows Cooperation | NWO you will find an overview of research councils that signed a bilateral MfC agreement with NWO.

The budget applied for within this module must be less than 50% of the total budget applied for.

The co-applicant from the participating foreign knowledge institution must meet the conditions set for co-applicants in Section 3.2.1 of this Call for Proposals, with the exception of the condition that the co-applicant must be employed in the Kingdom of the Netherlands.

The rates for the personnel costs of researchers at the foreign knowledge institution are calculated on the basis of the NWO Country Correction Coefficients (CCC). The table can be found at Money Follows Cooperation | NWO.

The main applicant receives the grant and is responsible for transferring the amount to the foreign knowledge institution and for providing accountability for the MfC part of the grant. The MfC part will be part of the overall financial accountability of the project.

The exchange rate risk lies with the applicants. Therefore, gains or losses due to the exchange rate are not eligible for funding.

The applicant is responsible for:

- the financial accountability for all costs in both euros and the local currency, for which the exchange rate used must be visible;
- a reasonable determination of the size of the exchange rate. If requested by NWO, the applicant must always be able to provide a description of this reasonable determination.

- If more than €125,000 is requested within this module, then the final financial statement must be accompanied by an audit report.

NWO will not award any funding to co-applicants that fall under national or international sanction legislation and rules. The EU Sanctions Map (EU Sanctions Map) is guiding in this respect.

Explanation of the budget module Project management

The module project management provides a possibility to request a budget for project management that is at most 5% of the total budget requested from NWO. This budget can only be used for activities that solely support the project for which the grant is requested. The applicant must satisfactorily justify this budget.

Amongst other things, project management is understood to mean the optimal shaping of the organization structure of the consortium, support of the consortium and the main applicant, monitoring coherency, progress and unity of the project, and alignment between the sub-projects within the project. This task may also be realised by external parties insofar as the expertise is not available at the knowledge institution of the main and/or co-applicant(s). During the tendering procedure for the selection of a third party, knowledge institutions should take into account the procurement rules of the government and, where necessary, follow a European tendering procedure. The activities of the main applicant and co-applicants in the context of the project (management) may not be funded from this budget module.
The budget to be requested for project management can consist of material costs, realization costs and personnel costs. For personnel costs a maximum rate of 121 euros per hour may be used. The hourly rate of personnel to be appointed is based on the cost-covering rate (kostendekkend) and is calculated in accordance with the standard productive number of hours used by the organization. The cost-covering rate includes:

- (average) gross salary for the post of the employee who will contribute to the project (based on the collective labour agreement scale of the employee concerned);
- holiday allowance and 13th month (if applicable in the relevant collective labour agreement) in proportion to the use in fte;
- social security contributions;
- pension costs;
- overheads.

Third parties may realise tasks in the context of project management, but the part of the (commercial) hourly rates that exceeds the hourly rates stated above is not fundable and can therefore not be included in the budget.

7.2 Industrial and Societal Doctorates

Industrial and Societal doctorates are understood to be PhD students who will do their research at both the knowledge institution and an organization that is not a (co-)applicant. If an organization and the knowledge institution closely cooperate, then this increases the chance that the knowledge will actually find its way into everyday practice. The research should be an integral part of the project. In the case that an Industrial or Societal Doctorate is appointed, the private or public organization which is involved in the doctorate should assume responsibility for at least 25% of the salary costs. This contribution may be part of the minimum required co-funding and in that case should always be in cash.

The intended PhD student may be employed by the knowledge institution and the organization. The activities realised by the PhD student must always fall under fundamental or industrial research. The salary costs of the PhD student are always remunerated in accordance with the valid UNL rate. NWO will fund a maximum of 75% of this amount and at least 25% of the amount must be contributed by the organization that is not a (co-)applicant. Any additional salary costs – due to an actual salary that is above the UNL rate – should be covered by the employer and may be contributed to the project in the form of in-kind funding. For the calculation of a surplus, the employer costs minus the UNL rates for an appointment of the same size is assumed. The support/grant may not be transferred to the organization that is not a (co-)applicant.

If an industrial doctorate or societal doctorate PhD position is applied for, then the parties should make agreements about possible IP rights that are generated by the PhD student concerned. With this, allowance should be made for possible access to the research results by other project participants, under FRAND (fair, reasonable and non-discriminatory) conditions or otherwise.

The NWO grant is only awarded to the knowledge institution for the purpose of the PhD research project. In this context, it is relevant to state that in accordance with the application of the NWO Grant Rules 2017, all research results should be published as soon as possible in Open Access form and accordingly serve the public interest. Furthermore, all other provisions from Section 5, such as those stated in Section 5.1.5 (Intellectual Property & Consortium agreement) apply.