NWO Hop-On Call for Proposals for Researchers Based in Ukraine:

NWO-NRFU Partnership Initiative

Call for proposals
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1 Introduction

In this Call for proposals information is provided about the application procedure for the “NWO Hop-On Call for Proposals for Researchers Based in Ukraine: NWO-NRFU Partnership Initiative” 2023 funding round. This Call for proposals falls under the responsibility of the Dutch Research Council (NWO) and is executed in collaboration with the National Research Foundation of Ukraine (NRFU).

1.1 Background

NRFU and NWO have agreed on cooperation and joining forces. Scientists in Ukraine will have the opportunity to cooperate with scientists in the Kingdom of the Netherlands and thus continue their scientific careers under difficult conditions.

1.2 Available budget

The available budget for this Call for proposals is € 250,000. The maximum amount per grant is € 25,000 on a “first come – first served” basis.

1.3 When can applications be submitted

Applications may be submitted at any time after the Call for proposals has been opened. The ultimate deadline is April 8 2024 at 14:00 CET.

Applications must reach NWO at least 2 months before the intended start of the Ukrainian partner’s participation in the on-going NWO project. Applications are to be awarded on a first come first serve basis.
2 Aim

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

2.1 Aim of the programme

The aim of “NWO Hop-On Call for Proposals for Researchers Based in Ukraine: NWO-NRFU Partnership Initiative” 2023 is to stimulate online participation of qualified researchers in Ukraine in ongoing NWO projects and to extend their professional network in the Dutch research community. The NWO project team can provide consulting, information, mentoring and/or other assistance to the individual Ukrainian based researcher.
3 Conditions for applicants

This chapter contains the conditions that are applicable to your grant application. Firstly it describes who can apply for funding (Section 3.1) and what you can request funding for (Section 3.2). Subsequently, you will find the conditions for preparing and submitting the application (Sections 3.3 and 3.4) and the specific funding conditions (Section 3.5).

3.1 Who can apply

The grant provides financial support of a Ukraine-based research partner. Applications can be submitted to NWO by the main applicant (principal investigator) of ongoing NWO scientific research projects. To be able to spend an NWO grant in Ukraine, the beneficiary’s Ukrainian-based research partner must always act as co-applicant. The Ukrainian-based research partner can never be the main applicant.

The principle investigator (PI) in the Kingdom of the Netherlands (main applicant):
- is the project leader of an ongoing NWO project in the Kingdom of the Netherlands;
- is the main applicant of an application in this Call for proposals.

The Ukraine-based research partner (co-applicant):
- is based in Ukraine;
- holds at least a PhD research degree (obtained or recognized in Ukraine);
- is employed as (associate) professor or (principal /leading /senior) researcher at one of the following types of Ukrainian institutions of state ownership:
  - an institution of higher education
  - a research institution;
- is employed at the Ukrainian institution of higher education/research institution of state ownership that is registered and functions in compliance with the legislation of Ukraine;
- has a formal labour appointment (has the main place of employment) at a Ukrainian institution of higher education or research institution;
- is the co-applicant of an application in this Call for proposals;
- is not employed at a knowledge institution that falls under international and national sanction legislation and rules. The EU Sanctions Map is guiding in this respect. https://www.sanctionsmap.eu/

3.1.1 Main and co-applicants

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

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

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

3.2 What can be applied for

The grant can be requested to help meet the remuneration costs of the Ukrainian-based research partner and relevant material costs. Ukrainian knowledge institutions may receive only one grant per institution in this Call for proposals.
The requested financial support of the Ukraine-based research partner falls entirely within the duration of the NWO project and covers the remuneration of one part-time or full-time researcher for 6 to 24 months and material costs. The material costs can be used for project-related goods/services, travel and accommodation costs for the personnel positions applied for and implementation costs. The eligibility of material costs follows the NWO regulations for the associated NWO ongoing project.

Maximum costs for remuneration of one Ukraine-based research partner (full time equivalent workload) is € 1,040 per month, including material costs. Maximum costs for materials is € 315 per month per one full time equivalent workload. The sum of the remuneration and material costs, i.e. the total grant, is maximized at € 25,000.00.

The Ukraine-based research partner receives the grant directly from the Dutch knowledge institution of the main applicant. The PI in the Kingdom of the Netherlands is responsible for:

- the financial accountability for all costs in both euros and the Ukrainian 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 PI in the Kingdom of the Netherlands must always be able to provide a description of this reasonable determination.

The exchange rate risk lies with the research partner in Ukraine. Therefore, gains or losses due to exchange rates are not taken into account.

The exchange rate is determined by the bank serving the Ukrainian institution of higher education/research institution of state ownership at the date of the currency exchange transaction. Check the exchange rate in banks and a certain date by following the link: https://minfin.com.ua/ua/currency/.

### 3.3 Preparing an application

The steps involved in writing your application are:

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

The application must contain:

- The application form, filled out and signed by the main applicant from the Kingdom of the Netherlands and the Ukraine-based research partner; The main applicant is the PI of the associated ongoing NWO project in the Kingdom of the Netherlands;
- A brief description of the contribution of the Ukraine-based research partner to the specified NWO project;
- CV of the Ukraine-based research partner (in English);
- A letter of support of the head of the beneficiary Ukrainian institution of higher education/research institution (on the official letterhead, in English);
- A scan-copy of the PhD/Doctoral diploma of the Ukraine-based research partner;
- An official certificate verifying the Ukraine-based research partners’ position and the main place of employment at the Ukrainian institution of higher education/research institution (in Ukrainian);
- A financial overview of the personnel and material costs;
- The intended starting date, the duration of collaboration and planning of the workload per month.

An application can only be submitted to NWO via the online application system ISAAC. Applications not submitted via ISAAC will not be taken into consideration.
Main applicants must submit their applications via their own ISAAC account. If the main applicant does not have an ISAAC account yet, then this should be created at least one day before the application is submitted to ensure that any registration problems can be resolved on time.

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

For technical questions please contact the ISAAC helpdesk, see the section Contact.

### 3.4 Conditions for submission

#### 3.4.1 Formal conditions for submission

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

These conditions are:

- the main applicant and co-applicant meet the conditions stated in Section 3.1;
- 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;
- the application is received before the deadline;
- the application is written in English;
- the application budget is drawn up in accordance with the conditions for this Call for proposals;
- the proposed project has a duration of at least 6 months and at most 24 months;
- all of the required annexes are, after a possible request to make additions or changes, complete and filled out according to the instructions;
- The Ukrainian knowledge institution hasn’t already received a grant in this Call for proposals.

### 3.5 Conditions on granting

Upon receiving the application, NWO will request from the NRFU a letter of recommendation for NWO’s consideration of the application for the Call for proposals (as described in Section 4.1 Procedure). Only the applications which will be recommended by the NRFU for NWO’s consideration can potentially be awarded the grant.

An application will not be accepted for consideration if the applicant fails to comply with a written request from NWO to supply additional information/documentation by a specified date.

The granted application is started after the grant decision. Applications will not qualify for consideration if the request is for retrospective funding.

The granted application is started within 3 months after the intended starting date mentioned in the application.

The granted application is completed and finished by the end of the NWO on-going project.

This form of grant does not imply any contract of employment with NWO nor with the NRFU. All grant conditions that apply to specified associated ongoing NWO project of the main applicant also apply in full to the contribution to the project of the research partner in Ukraine. The NWO grant rules 2017 are in any case part of those grant mandatory conditions.

Proposals may be submitted at any time. The ultimate deadline is April 8 2024 at 14:00 CET. Proposals must reach NWO at least 2 months before the intended start of the Ukrainian partner’s participation in the on-going NWO project.
Proposals are to be awarded on a ‘first come first serve’ basis.

3.5.1 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 jeopardises 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).

3.5.2 Scientific integrity

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

3.5.3 Ethical statement or licence

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

3.5.4 Nagoya Protocol

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

This chapter describes the assessment and the course of the assessment procedure (Section 4.1).

The NWO Code for Dealing with Personal Interests applies to all persons and NWO employees involved in the assessment and/or decision-taking process (Code for Dealing with Personal Interests | NWO).

NWO strives to achieve an inclusive culture in which there is no place for conscious or unconscious barriers due to cultural, ethnic or religious background, gender, sexual orientation, health or age (Diversity and inclusion | NWO).

4.1 Procedure

The application procedure consists of the following steps:
- submission of the proposal;
- admissibility of the proposal;
- decision-making.

The first step in the assessment procedure is to determine the admissibility of the application. This is done by NWO using the conditions stated in paragraph 3.4 and 3.5 of this Call for proposals. NWO will request a letter of recommendation (issued by the NRFU) for NWO’s consideration of the application for the Call for proposals.

The NRFU will recommend the application for NWO’s consideration based on the results of analysis of documents and information contained in them as of the following:
- a letter of support of the head of the Ukrainian institution of higher education/research institution the Ukrainian applicant is affiliated to (in English);
- the research partner is based in Ukraine;
- the Ukraine-based research partner holds at least a PhD degree (a scan-copy of the diploma);
- is employed (has the main place of employment) as (associate) professor at a Ukrainian institution of higher education of state ownership, or as principal researcher/leading researcher/senior researcher/researcher at a Ukrainian research institution of state ownership (an official certificate in Ukrainian);
- the Ukrainian institution of higher education/research institution of state ownership is registered and functions in compliance with the legislation of Ukraine;
- (according to the Unified State Register of Legal Entities, Individual Entrepreneurs and Public Organizations).

As stated in section 3.5, all admissible applications will be awarded by NWO on a ‘first come first served’ basis and the Call for proposals will be closed once the available budget is spent or when the deadline is reached.

The admissibility procedure may take up to 2 months to complete.

The main applicant informs NWO about the starting date of the Ukrainian part of the NWO project.

The NWO Code for Dealing with Personal Interests applies to all persons and NWO staff involved in the admissibility and/or decision-making process.

4.1.1 Submission of a proposal

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

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

As soon as possible after you have submitted your proposal, you will hear from NWO whether or not your proposal will be taken into consideration. NWO will determine this based on several administrative-technical criteria (see the formal conditions for submission, Section 3.4). NWO can only take your proposal into consideration if it meets these conditions. Please bear in mind that within two weeks after the submission deadline, NWO may approach you with any possible administrative corrections that need to be made so that your proposal can (still) meet the conditions for submission. You will be given one opportunity to make the corrections, and you will be given five working days to do this.

4.1.3 Decision-making

Finally, the board of the NWO will take a decision about awarding or rejecting the proposals.

4.1.4 Timetable

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

<table>
<thead>
<tr>
<th>Proposals</th>
<th>Deadline proposals</th>
</tr>
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| 11 September 2023 to April 8 2024 at 14:00 CET | }
5 Obligations for grant recipients

This chapter details the various obligations that, in addition to the conditions stated in Section 3.4, apply after funds have been awarded.

5.1.1 Intellectual property

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

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

5.1.2 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 “19.4511_Ten_principles_for_Socially_Responsible_Licensing_v19-12-2019.pdf (nfu.nl).”

Open Access

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

Scientific articles

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

- publication in a fully Open Access journal or platform registered in the DOAJ;
- publication in a subscription journal and the immediate deposition of at least the author accepted manuscript of the article in an Open Access repository registered in Open DOAR;
- publication in a journal for which a transformative Open Access agreement exists between 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 budget module for “material costs”. Costs for publications in hybrid journals are not eligible for reimbursement by NWO. For Open Access books, a separate NWO Open Access Books Fund is available.
For more detailed information about NWO’s Open Access policy, see Open Science | NWO.
6 Contact and other information

6.1 Contact

6.1.1 Specific questions

For specific questions about the ‘NWO Hop-On Call for Proposals for Researchers Based in Ukraine 2023’ please contact:

In The Netherlands: Barbara Dammers-Szenasi, +31 (0)70 3440980, NWO_NRFU_Partnership@nwo.nl

In Ukraine: Tetiana Machulina, T.Machulina@nrfu.org.ua

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 CE(S)T on +31 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 English.

NWO processes data from applicants received in the context of this Call for proposals in accordance with the NWO Privacy Statement, Privacy Statement | NWO.

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