Responsible Upscaling of Floating Solar
Research into Ecological, Technical and Social Aspects

Call for proposals
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Chapter 1: Introduction / Responsible Upscaling of Floating Solar

1 Introduction

In this Call for proposals information is provided about the application procedure for the “Responsible Upscaling of Floating Solar” funding round. This Call for proposals falls under the responsibility of the Dutch Research Council (NWO).

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 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

What does the Netherlands want to know? This was the idea behind the creation of the Dutch Research Agenda (Dutch acronym NWA). The NWA has been created by an innovative process with input from scientists and citizens: the Dutch general public was invited to submit questions about science online. The national knowledge community, united in the Knowledge Coalition, grouped the questions collected into 140 cluster questions that were used to formulate 25 routes.

The NWA concerns complex issues where alignment and collaboration have added value for realising scientific and societal breakthroughs. The aim of the NWA is to make a positive and structural contribution to the global knowledge society of tomorrow, where new knowledge easily passes from researchers to users and where new questions arise from the field and society that quickly and automatically find their way into new research. The NWA programme therefore encourages collaboration between different partners so that the whole is greater than the sum of its parts.

The key elements of the NWA programme are:
- The Dutch Research Agenda that consists of 25 routes and 140 cluster questions.
- Knowledge-chain-wide and interdisciplinary consortia, in which researchers from different disciplinary backgrounds, knowledge and societal (public and private) organisations and, where relevant, citizens collaborate on complex issues.
- Projects that concern demand-driven research, connect with the routes and cluster questions and thereby adopt a fundamental, application-oriented and field-oriented approach.
- Giving back the results to society through dialogue and interaction.

In 2018 the Ministry of Education, Culture and Science (Dutch acronym OCW) entrusted NWO with implementing the Dutch Research Agenda. The NWA comprises four programme lines:
1. Research along Routes by Consortia (ORC);
2. Thematic Programming in consultation with government bodies;
3. Innovations and Networks;
4. Science Communication and Outreach.

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1 The Knowledge Coalition consists of Dutch research universities (UNL), universities of applied sciences (VH), university medical centres (NFU), the Royal Netherlands Academy of Arts and Sciences (KNAW), the Dutch Research Council (NWO), employers (VNO-NCW and MKB-Nederland) and the institutes for applied research (TNO/TO2).

2 The 25 routes and corresponding cluster questions can be found in https://2.wetenschapsagenda.nl/wp-content/uploads/2016/12/nwa_deel_eng dialectaal.pdf. The 140 cluster questions can also be found in a PDF file available from https://2.wetenschapsagenda.nl/publicatie/dutch-national-research-agenda-english/ Fout! De hyperlinkverwijzing is ongeldig.

3 The broad knowledge chain comprises the public knowledge institutions: universities of applied sciences, universities, NWO and KNAW institutes, university medical centres and TO2 institutes, as well as other public knowledge organisations such as National Knowledge Institutes (see Chapter 7 for a full list of public knowledge organisations).

4 More information about the different programme lines is available at https://www.nwo.nl/en/researchprogrammes/dutch-research-agenda-nwa
The call for proposals ‘Responsible Upscaling of Floating Solar’ is being realised in the context of programme line 2 of the NWA programme. In this call, the initiators are the Ministry of Economic Affairs and Climate Policy and the Ministry of Agriculture, Nature and Food Quality.

1.2 Available budget

The available budget for this Call for proposals is € 2.865.000. 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 statements of intent is **oktober 13, 2022**, at 14:00:00 hours CET.
The deadline for submitting full proposals is **januari 19, 2023**, at 14:00:00 hours CET.

When you submit your application in ISAAC, you will also need to enter some details online. Therefore please start submitting your application at least one day before the deadline of this Call for proposals. Applications that are submitted after the deadline will not be taken into consideration.
2 Aim

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

2.1 Aim of the programme

The Netherlands faces an energy transition challenge. Achieving the objectives of the Climate Act requires the emission of greenhouse gases to be reduced by 80 to 95 percent compared to the levels of 1990 before 2050. ‘Responsible Upscaling of Floating Solar’ is an opportunity to realise CO$_2$-free energy systems on Dutch waters. The aim of this programme is to develop knowledge to answer societal questions concerning the possibilities and consequences of solar energy systems on inland waters. Floating solar energy systems are so-called socio-ecological technical systems (SETS). The success or failure of these systems is entirely dependent on the underlying relationships between society and solar parks, the surrounding environment and the technical aspects involved.

‘Floating solar’ is a relatively new form of generating solar energy. Important questions are how this new form contributes to the production of solar energy, compared to or in addition to the possibilities of solar parks on land, and which short-term and long-term consequences a potential large-scale rollout will have. Currently, there is still a lack of knowledge about the long-term effects of floating solar energy systems on ecology, biodiversity and water quality.

This Call for Proposals invites knowledge institutions and cooperating partners to jointly develop scientific and practice-oriented research proposals centred on the theme ‘Floating Solar’. Topics may include knowledge gaps concerning the interaction between the ecology in, on and around Dutch inland waters and the physical aspects of solar energy systems on inland waters. This involves the technical aspects, economic feasibility, integration in the landscape and the societal acceptance of such systems. Through new insights into both the positive and negative effects of the interaction between solar energy systems and the ecology involved, the projects will contribute to innovations and evidence-based policy for the further development and upscaling of solar energy systems on inland waters. The consortia will work in a transdisciplinary and interdisciplinary manner and have a knowledge-chain-wide composition, meaning the programme combines fundamental, applied and practice-oriented research. Furthermore, the research must also dovetail with the knowledge needs of the societal parties, which will be proactively involved in formulating, setting up and realising the research.

This Call for Proposals fits within the NWA routes ‘Energy transition’ and ‘Quality of the living environment’. Within the route ‘Energy transition’, the research will contribute to the necessary upscaling in rolling out ‘Floating solar’. Within the NWA route ‘Quality of the living environment’, this upscaling will also pose our society with challenges in the area of ecology, costs (affordability), public support, system integration and space. Research leading to societal and scientific breakthroughs and innovations is vital to tackle these challenges.

2.2 Substantive framework

The Netherlands faces a national challenge of accelerating the rollout of sustainable energy generation. In theory, the rollout of solar energy systems on both larger and smaller bodies of water could mean a huge leap forward in the short term. However, the ecological and societal impact of solar energy systems on both has not yet been sufficiently described.

The installation of floating solar energy systems could influence primary processes in the water. For example, the absorption of oxygen and light could be influenced, affecting the species composition and physicochemical processes and possibly resulting in the release of CO$_2$ and methane.
The research programme ‘Responsible Upscaling of Floating Solar’ wants to provide primary insights into the possible and already observed ecological effects of solar park rollouts on inland waters and the lessons that may be drawn from this with regard to an accelerated rollout of solar parks on all Dutch waters. Furthermore, the programme will investigate opportunities for a nature-inclusive embedding of solar energy systems on inland waters, in which special attention will be paid to the interaction between the ecological, social and technical aspects. The aim is to describe the impact of floating solar energy systems on the overall ecosystem in order to design and maintain future systems in such a way that the negative effects on the ecology, water quality and environment can be compensated or utilised positively. Conversely, the impact of design and management options on the energy yield and the economics of the system, as well as a societal embedding, will be investigated with a view to the business case and the potential of ‘Floating Solar’. A key aspect of this is the need for knowledge development relevant to responsible upscaling of ‘Floating Solar’. This upscaling is currently hindered by knowledge gaps about the (long-term) impact on the ecosystem and the environment and the role that design of the solar energy system and the type of water (e.g., deep versus shallow, large versus small) play in this. As of yet, there are no validated models that can substantiate the risks and opportunities of responsible upscaling. This programme could supply building blocks for assessment frameworks or similar models.

2.2.1 Focus

The research programme focuses on the development and consolidation of knowledge concerning:

- The ecological impact of (design, material, placing, maintenance, management and removal of) solar energy systems in, on and around inland waters.
- The cumulative effects of, for example, placing, maintenance, management and removal or in the case of multifunctional use of space.
- The energy yield, costs and benefits across the lifespan of solar energy systems, so that an indicative relationship between ecological and economic parameters can be established, dependent on the chosen/studied design and management options.
- Spatial integration; how does the landscape maintain its local and regional attractiveness? Maintaining the quality of the living environment and public support.

Based on the questions stated above, there is also a need for:

- The description of the possibilities to mitigate any negative effects and strengthen any positive effects of existing solar energy systems.
- The description of the technical options to adapt or develop current and/or future floating solar energy systems in such a way that these are made nature-inclusive (including a clear definition of ‘nature-inclusive’ means in such contexts) as well as the economic costs and benefits.
- Insights into desirable locations for floating solar energy systems and smart combinations with other functions of these areas.
- Insights into the scalability of the knowledge acquired and the applicability to other solar energy systems and types of inland waters.

The insights acquired and the necessary parameters and design criteria must contribute to an assessment framework to facilitate decision-making and a public debate concerning ‘Floating Solar’. In very concrete terms, this means that the knowledge the programme yields must help make it possible to answer the ecological and environmental issues concerned with acquiring a permit, for example. The knowledge-chain-wide consortia will therefore involve ‘question owners’ such as governments and societal parties like nature conservation organisations in their research. As new knowledge becomes available, the results can contribute to developing nature-inclusive solar energy systems. Besides new knowledge, the programme may also yield measures and concrete solutions which can help guide the desired nature-inclusive impact and, where possible, mitigate the negative impact of floating solar parks.
Within the programme, it is important to connect with current initiatives that are already collecting data and to integrate existing knowledge. That way, previous (research) efforts will not be repeated and some things might be accelerated because a solid foundation of knowledge already exists for certain elements. An important question within the programme will be how existing knowledge can be translated into practice and how a good throughput of knowledge can be guaranteed. This concerns both existing research and knowledge that will be acquired in the course of this programme.

2.2.2 Approach

Consortia are invited to describe the long-term and short-term effects of floating solar systems (including possible combined systems such as a combination with energy storage) on the ecosystem. The consortium will do so based on a combination of perspectives in the areas of ecology, economic feasibility, integration in the landscape and public acceptance and by investigating a deliberately chosen range of very different designs and conditions.

The combination of these perspectives requires expertise from different disciplines (interdisciplinary), from fundamental, applied and practice-oriented research (knowledge-chain-wide) and the active involvement of public and private societal stakeholders (transdisciplinary). The cooperative partners in the consortia will work to consolidate one another. Furthermore, the collaboration will contribute to building a public network around ‘Floating Solar’ in which researchers from different disciplines, together with all societal actors involved, can easily find each other and make use of each other’s insights.

The main components that should be integrated into all research projects are:

- How will existing knowledge and know-how be obtained and integrated into the project?
- How will the knowledge acquired be made available for concrete use by governments and societal stakeholders?
- Which different bodies of water – at least two, of which at least one must be under the authority of a water board – will be investigated and why?
- Which different solar energy systems – at least two – will be investigated?
- Which new or existing measures will be investigated to prevent or minimise any negative effects and to strengthen any possible positive effects?

From the moment the project is developed, an active role of societal actors, from industry to nature conservation organisations and citizen initiatives, will be vitally important to realise an evidence-based public discussion. This will have consequences for both utilising the opportunities and mitigating the negative consequences.

To achieve the intended impact, consortia will need to organise the knowledge, and its development, in an accessible manner so that any relevant stakeholders may contribute to this and make optimal use of this knowledge in the future.
2.3 Societal impact

New knowledge and insights from scientific research can make an important contribution to solutions for current and future societal issues. Examples are the energy transition, health and care, or climate change. Knowledge utilisation increases the chances of research having a societal impact and is therefore an important aspect of the NWO strategy for 2019-2022.

2.3.1 Knowledge utilisation

NWO defines knowledge utilisation as an iterative process aimed at achieving societal impact. Through interaction and alignment between researchers and possible users of knowledge, the chances of knowledge utilisation and, accordingly, societal impact increase. Via its knowledge utilisation policy, NWO facilitates the possible contribution of research to societal issues by encouraging productive interactions with societal stakeholders during the development and realisation of the research. NWO does this in a manner appropriate to the aim of the funding instrument.

2.3.2 Customisation in approach knowledge utilisation

Depending on the aim of the funding instrument, NWO will select the approach that has the greatest chance of achieving societal impact. The primary aim of the funding instrument determines the method NWO deploys to facilitate knowledge utilisation in various phases of the project (proposal, realisation, project completion) and the effort required from the applicant(s) and partner(s).

In this programme, the Impact Plan approach is used. With this approach, NWO facilitates the development of an integrated strategy by researchers and partners with the target of increasing the chances of the desired societal impact. NWO offers an e-learning module to help those interested on their way using the Impact Plan approach. Please visit the NWO website impact.nwo.nl/en for more information.

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

2.3.3 Impact Plan approach in the NWA

The Impact Plan approach is an approach to knowledge utilisation that is integrated into the research design and serves as a tool to increase the chances of impact of the proposed research. The rule is that scientific quality is a precondition for social impact. Societal impact is never solely the result of knowledge and insights gained from the research. Finally, societal impact is often only realised years after a research project has been concluded.

Online e-learning workshop

On the NWO website an e-learning workshop can be found for the Impact Plan approaches. This workshop is meant to help with the elaboration of the approach in the application. The development and realisation of the research project in collaboration with partners is a key element of the NWA. We therefore strongly advise you to jointly follow the workshop with (representatives of) the scientific and societal partners.
Chapter 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

Initiatives and full proposals are to be submitted by the main applicant on behalf of the consortium.

There are four categories of participants within a consortium:

1. Main applicant;
2. Co-applicant(s);
3. Cooperation partner(s);
4. CO-funder(s) (optional).

A consortium should consist of at least a main applicant, a co-applicant and cooperation partner. The conditions for each type of participant are explained in more detail in the following sections.

3.1.1 Main and co-applicants

Main applicant

Full, associate and assistant professors, lectors employed by an university of applied sciences (HBO) and other researchers with a comparable position* may act as main applicant if they have a tenured position (and therefore a paid position for an indefinite period) or a tenure track agreement at one of the following organisations:

- universities located in the Kingdom of the Netherlands;
- university medical centres;
- institutes affiliated to the Royal Netherlands Academy of Arts and Sciences (KNAW) or NWO; Netherlands Cancer Institute;
- Universities of applied sciences as referred to in Article 1.8 of the Higher Education and Scientific Research Act (WHW);
- TO2 institutes;
- 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 employed at a university of applied sciences and researchers employed at a TO2 institute may also submit as a main applicant provided that they have at least a salaried position for a limited period of time.

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 exception stated above for lectors and researchers employed at a TO2 institute) are not allowed to submit a proposal as main applicant.
It could be the case that the main 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 main applicant’s tenured contract ends due to the applicant reaching retirement age. In that case, the main applicant needs to include a statement from their employer in which the organisation concerned guarantees that the project and all project members for whom funding has been requested will receive adequate supervision for the full duration of the project. A main applicant employed by a university of applied sciences or a TO2 institute whose employment ends before the intended completion date of the project for which funding is applied must also include such a statement.

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.

**Extra conditions:**
- The main applicant may submit only one proposal in the role of main applicant;
- The main applicant may participate a maximum of one time as co-applicant in another proposal.

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

**Co-applicants**
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:**
- A co-applicant can participate in up to two proposals in that capacity;
- Persons with a zero-hours contract are excluded from submitting as a co-applicant.

Co-applicants can be affiliated to the institutions stated in Section 3.1.1 and the public knowledge organisations stated in Annex 7.3, but also to other organisations.

If the organisation to which a co-applicant is affiliated is not listed in Section 3.1.1 or Annex 7.3, then it must meet the cumulative criteria indicated below:
- Be established in the Netherlands and
- Have a public service mission and
- Carry out research independently and
- Have no profit motive other than for the purposes of conducting further research.

A private company (i.e. B.V.) is always excluded from participating as an applicant in the consortium.

**Please note:** prior to the submission of an application, NWO will assess whether an organisation satisfies these cumulative criteria and may therefore participate as a co-applicant. NWO carries out this assessment amongst other things to check there is no provision of forbidden state support. This assessment should also be carried out if an organisation was previously assessed and permitted as a co-applicant within another NWA programme.

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5 This means that carrying out independent research is one of the (key) tasks of the organisation; this is apparent from official documentation, such as the formal statutes, act of establishment or other formal documentation. NWO understands ‘carry out independent research’ to mean research that is carried out by employees with a salaried position.

6 See Commission Regulations EU 1407/2013 of 18/12/2013 and EU 651/2014 of 17/06/2014 and the Communication of the European Commission 2014/C 198/01 to check whether there is compliance with these aid regulations.
Chapter 3: Conditions for applicants / Responsible Upscaling of Floating Solar

The organisation of the intended co-applicant should submit at least the following documents by email no less than 10 working days before the submission deadline (meaning no later than January 5, 2023, at 14:00:00 CET):

- a recent extract from the Netherlands Chamber of Commerce;
- the deed of incorporation or current articles of association or other formal document evidencing the public service mission and absence of profit motive;
- the latest available annual accounts accompanied by an audit statement.  

Other relevant documentation may be added. NWO may request additional information if the above documents are not sufficiently conclusive to determine whether there would be the provision of forbidden state support or whether the organisation may act as a co-applicant.

If the applicant’s organisation does not submit the necessary documents for this check in time, NWO cannot accept the organisation as a co-applicant.

3.1.2 Cooperation partners

Cooperation partners are mandatory in this call for proposals. A cooperation partner is a party that is closely involved in conducting the research and/or in knowledge utilisation but that is not a main- nor co-applicant and does not contribute co-funding to the proposal. This may include parties that are involved via participation in an advisory, guidance or user committee, or parties that are unable to capitalise their contribution in advance.

Please note: no funding may be requested for salary or research costs as a co-applicant for personnel of organisations that participate as a cooperation partner in the consortium. However, it is possible to remunerate costs by hiring in these organisations as third parties via the modules ‘material costs’, ‘knowledge utilisation’ or ‘project management’ (see Section 3.2 and Annex 7.1).

3.1.3 Co-funders

Co-funding is not compulsory within this call. Co-funders are organisations that participate in the consortium and contribute to the project in cash and/or in kind. Co-funders do not receive any funding from NWO. The conditions regarding co-funding are specified in Annex 7.4 to this call.

Organisations whose employees are permitted to act as main applicants in accordance with the description given in Section 3.1.1 may not participate as co-funders in this call for proposals.

An exception will be made for TO2 institutes. They may participate in a consortium as co-funders, unless they also participate as a main applicant or co-applicant in the same consortium.

3.1.4 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.

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7 Organisations that are not legally obliged to have their annual accounts audited do not need to provide such an auditor’s statement. They must however be able to demonstrate that this legal requirement is not applicable to the organisation concerned.
### 3.2 What can be applied for

For an application in this Call for proposals, a minimum of €2,500,000 and a maximum of €2,865,000 can be applied for.

The maximum duration of the proposed project is 6 years. The budget modules (including the maximum amount) available for this Call for proposals are listed in the table below. Apply only for funding that is vital to realise the project. A more detailed explanation of the budget modules can be found in the annex to this Call for proposals (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 rates^8</td>
</tr>
<tr>
<td>Professional Doctorate in Engineering (PDEng)</td>
<td>Unrestricted number of positions in combination with PhD student(s) and or postdoc(s), according to UNL or NFU rates^8</td>
</tr>
<tr>
<td>Postdoc</td>
<td>Unrestricted number of positions, according to UNL or NFU rates^8</td>
</tr>
<tr>
<td>Non-scientific staff (NSS) at universities</td>
<td>€100,000, non-scientific staff at (NSS) universities, in combination with PhD student(s) and or postdoc(s), up to a maximum of €300,000 per application^8</td>
</tr>
<tr>
<td>Other Scientific personnel (OSS) at universities</td>
<td>€100,000, in combination with PhD student and/or postdoc^8</td>
</tr>
<tr>
<td>Research leave</td>
<td>Per budget item 5 months, 1 FTE,. According to UNL or NFU rates^8. The total amount of funds requested for research leave may not exceed 10% of the total requested budget.</td>
</tr>
<tr>
<td>Personnel universities of applied sciences, educational institutions and other organisations</td>
<td>Unrestricted number of positions, 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] (<a href="https://www.nwo.nl/en/salary-tables">https://www.nwo.nl/en/salary-tables</a>).</td>
</tr>
<tr>
<td>Material costs</td>
<td>€15,000 per year per FTE scientific position^10</td>
</tr>
<tr>
<td>Investments (up to €150,000)</td>
<td>Maximum €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.</td>
</tr>
<tr>
<td>Knowledge utilisation</td>
<td>Mandatory to apply for; minimum 5% and maximum 20% of the total budget applied for.</td>
</tr>
<tr>
<td>Internationalisation</td>
<td>Maximum €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>

^8 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 https://www.nwo.nl/en/money-follows-cooperation.

^9 This budget category is not intended to fund the hours of main or co-applicants. For this, either the research leave grant (for institutions that use UNL or NFU rates), or personnel universities of applied sciences, educational institutions and other organisations grant (for institutions that use the HOT rates) is available.

^10 This also includes positions at universities of applied sciences, educational institutions and other applying organisations.
3.3 Preparing and submitting application

This Call for proposals has two phases:

1. Registering an initiative (mandatory to submit a full proposal).
2. Submitting a full proposal.

For a complete overview of all submission requirements, please see Section 3.4.1.

Initiatives are registered via the NWO website. A full proposal can only be submitted via the online application system ISAAC. Applications that are not submitted via ISAAC will not be taken into consideration.

The initiative may be written in Dutch or English. The full proposal must be written in English.

It is important to start with your application in ISAAC on time:
- If you do not yet have an ISAAC account, then you should create this on time to prevent any possible registration problems.
- Any new organisations must also be added to ISAAC by NWO.
- You also need to submit other details online.

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

Does a main and/or co-applicant work at an organisation that is not included in the ISAAC database? You can report this via relatiebeheer@nwo.nl so that the organisation 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 the organisation where she/he works about the submission of the application, and the organisation must accept the granting conditions of this Call for proposals.

3.3.1 The registration of initiatives

Prior to the submission of a pre-proposal, the intended main applicant must register an initiative. The initiatives will be published on the website of NWO. An initiative consists of a brief explanation of the research question, an initial indication of the parties involved in the consortium, the name of the main applicant and contact details.

To register an initiative, main applicants should complete the online initiative form. A link to this form can be found on the programme page of this call on the website of NWO. Following a check, registered initiatives will be published online by NWO.

After the deadline for registering initiatives NWO will organise a matchmaking in October (see Section 4.2.2 and the time table in Section 4.2.12). More information will be announced in due time on the programme page on the NWO website.

It is mandatory that at least one representative from each initiative submitted should participate in the whole matchmaking meeting.

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11 Contact details are only published online with consent of the submitter of the initiative.
3.3.2 Preparing and submitting a full proposal

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.

Compulsory annexes:
- budget;
- declarations of commitment of cooperation partners (see section 3.1.2);
- letters of support from co-funders (mandatory if applicable, see section 3.1.3);
- letter guaranteeing the continuity of the project supervision (compulsory if applicable, see paragraph 3.1).

Annexes must be uploaded in ISAAC separately from the application. All of the annexes, except for the budget, must be submitted as PDF files (without encryption). The budget must be submitted in ISAAC as an Excel file. Upon submission of the application, the attached letters of support should state the fully co-funding pledged according to the conditions described in Section 3.5.5 / 7.4. Any annexes other than those above-mentioned are not permitted.

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 you to be available to implement any possible administrative corrections so that you can (still) meet the conditions for submission. These conditions are:

- the main applicant and co-applicant(s) meet the conditions stated in Section 3.1;
- if applicable: the co-funders satisfy the conditions stated in Section 3.1.3;
- 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 at or before the deadline set;
- 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 4 and at most 6 years;
- All of the required annexes are, after a possible request to make additions or changes, complete and filled out according to the instructions;
- the proposal was previously registered by means of an initiative (see Section 3.3.1);
- a representative from the associated initiative was present at the matchmaking meeting (see Sections 3.3.1 and 4.2.2);
- the full proposal is an elaboration of the initiative;
- If applicable: the co-funding is, after a possible request to make additions or changes, correct pledged entirely by means of letters of support.
3.5 Conditions on granting

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

3.5.1 Data management

The results of scientific research must be replicable, verifiable and falsifiable. In the digital age, this means that, in addition to publications, research data must also be publicly accessible insofar as this is possible. NWO expects that research data resulting from NWO-funded projects will be made publicly available, as much as possible, for reuse by other researchers. “As open as possible, as closed as necessary” is the applicable principle in this respect. Researchers are at least expected to make the data and/or non-numerical results that underlie the conclusions of work published within the project publicly available at the same time as the work’s publication. Any costs incurred for this can be included in the project budget. Researchers should explain how data emerging from the project will be dealt with based on the data management section in the proposal and the data management plan that is drawn up after funding is awarded.

Data management section

The data management section is part of the proposal. Researchers are asked before the start of the research to consider how the data collected will be ordered and categorised so that this can be made publicly available. Measures will often already need to be taken, during the creation of data and analysis of the data, to make its later storage and dissemination possible. If it is not possible to make all data from the project publicly available, for example due to reasons of privacy, ethics or valorisation, then the applicant is obliged to list the reasons for this in the data management section.

The data management section in the proposal is not evaluated and will therefore not be weighed in the decision whether to award funding. However, both the referees and the committee can issue advice with respect to the data management section.

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: www.nwo.nl/en/scientific-integrity.https://www.nwo.nl/integriteit

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 (www.absfocalpoint.nl). NWO assumes that researchers will take all necessary actions with respect to the Nagoya Protocol. http://www.absfocalpoint.nl/

3.5.5 Co-funding

Co-funding is not compulsory within this call. However, co-funders may be included in the project proposal. A distinction is made between in cash co-funding, which serves to cover the budget for the project activities described in the proposal, and in kind co-funding, which can consist of the use of resources from the organisations involved. Conditions for co-funding are specified in Annex 7.4 to this call.

Letter of support

In a letter of support, the co-funder expresses both substantive and financial support for the project and confirms the pledged co-funding. In the letter of support, the co-funder also states whether the support pledged originates from private sources. The letters of support from all co-funders are mandatory annexes to the full proposal. The letter of support must be signed by an authorised signatory of the co-funder and be printed on the co-funder’s headed paper. NWO will provide a mandatory template for the letter of support. Letters of support in which co-funding is pledged are without conditions and may not contain any resolutive provisions. In the case of funding being awarded, the co-funder should state their contribution(s) in the project agreement (amongst other things for invoicing in the case of in cash co-funding). In this agreement, further agreements are also made between the co-funder(s) and the applicant(s) (see Section 5.1.3).

3.5.6 Declarations of commitment of cooperation partners

Cooperation partners (see Section 3.1.2) provide a declaration of commitment with the full proposal in which they state what their reason is to act as a cooperation partner in the research and what their role within the project shall be. This is not a letter of support for co-funding, as cooperation partners do not contribute co-funding to 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.
Chapter 4: Assessment procedure / Responsible Upscaling of Floating Solar

4 Assessment procedure

This chapter first of all describes the course of the assessment procedure (Section 4.2). It then states the criteria that the assessment committee will use to assess your application (Section 4.3).


NWO strives to achieve an inclusive culture in which there is no place for conscious or unconscious barriers due to cultural, ethnic or religious background, gender, sexual orientation, health or age (www.nwo.nl/en/diversity-and-inclusion). NWO encourages referees and members of an assessment committee or jury to be actively aware of implicit associations and to try to minimise these. NWO will provide them with information about concrete ways of improving the assessment of an application. http://www.nwo.nl/diversiteit-en-inclusie

4.1 The San Francisco Declaration (DORA)

NWO is a signatory to the San Francisco Declaration on Research Assessment (DORA). DORA is a worldwide initiative that aims to improve the way research and researchers are assessed. DORA contains recommendations for research funders, research institutions, scientific journals and other parties.

DORA aims to reduce the uncritical use of bibliometric indicators and obviate unconscious bias in the assessment of research and researchers. DORA’s overarching philosophy is that research should be evaluated on its own merits rather than on the basis of surrogate measures, such as the journal in which the research is published.

When assessing the scientific track record of applicants, NWO makes use of a broad definition of scientific output.

NWO requests committee members and referees not to rely on indicators such as the Journal Impact Factor or the h-index when assessing applications. Applicants are not allowed to mention these in their applications. You are, however, allowed to list other scientific products besides publications, such as datasets, patents, software and code, et cetera.

For more information on how NWO is implementing the principles of DORA, see www.nwo.nl/en/dora. http://www.nwo.nl/dora

4.2 Procedure

The application procedure consists of the following steps:
- Registering an initiative
- Matchmaking meeting(s)
- Submission of the proposal
- Consideration of the proposal
- Peer review by referees
- Rebuttal
- Pre-advice assessment committee
- Interview
- Final assessment
- Decision-making
Chapter 4: Assessment procedure / Responsible Upscaling of Floating Solar

Assessment committee
For this NWA call for proposals, an assessment committee will be appointed by the NWO Executive Board. The assessment committee will have a broad composition. This means that not only scientific expertise will be represented in the assessment committee, but also expertise from the entire knowledge chain, including societal stakeholders who are highly familiar with the subject and representatives from the target group.

4.2.1 Registration or withdrawal of an initiative
With the registration of an initiative, you indicate that you want to submit an application in this Call for proposals. The registration of the initiative is mandatory to be able to submit a proposal in a later phase. For more information, see Section 3.3.1. You can withdraw an initiative at any time. You can do this by sending an email to NWO. After withdrawing an initiative, it is no longer possible to submit a proposal. The initiatives will be published on the website of NWO.

4.2.2 Matchmaking meeting(s)
In the period following the registration of initiatives, NWO will facilitate an(a) (online) matchmaking meeting(s) for this call. The consortia who submitted an initiative will be invited. Matchmaking serves to make applicants aware of all ongoing initiatives around the call and provides an opportunity for possible cooperation, merging or connection.

These meetings also serve as a good opportunity for parties not yet involved in an initiatives but interested to take part in a consortium to explore opportunities to connect with existing initiatives. These parties can therefore also register for this meeting so that they can come into contact with and possibly join a consortium.

Finally at the matchmaking meeting, further information will be provided regarding the application process and the Impact approaches (see Section 2.3).

4.2.3 Submission of a full 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.

4.2.4 Consideration 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.
4.2.5 Peer review by referees
Before the assessment committee considers your proposal, NWO will request input from at least two external referees. These are independent advisers who are expert in the subject of the proposal. They will assess the proposal based on the assessment criteria stated in the Call for proposals (Section 4.3).

A maximum of three non-referees can be registered. Applicants can register these non-referees in ISAAC when submitting the proposal. NWO will not approach these non-referees to assess the proposal as external referees.

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

4.2.7 Pre-advice assessment committee
After this, your proposal, the referees’ reports and your rebuttal 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 proposal. They 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).

4.2.8 Interview
In principle, all consortia that submitted a full proposal will be invited for an interview by the assessment committee. If the total number of admissible full proposals exceeds three times the number of projects that can be funded within the available budget, the assessment committee can decide to invite only a selection of consortia to the interview.

In such situation, the assessment committee will set a provisional ranking based on their written assessment and discuss this provisional ranking in a meeting. Subsequently, only the highest ranking proposals will receive an invitation for an interview; this will at least three proposals, or less if less proposals were submitted.

During the interview, the assessment committee has the opportunity to pose questions, including new questions that the referees have not yet asked. A representation of the consortium can respond to these 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 initial assessment and the score of the full proposal.
4.2.9 Final assessment

After the interviews, the committee will reach its own independent assessment of the quality of each proposal based on the criteria under Section 4.3. In this deliberation, the committee will include its assessment of the proposal, the referees’ reports, the rebuttal, and the interview. Unlike the referees, the committee has an overview of the quality of the other proposals submitted. As a result, the committee may arrive at a different assessment than the referees. The result of the assessment translates into a qualification of each full proposal and an advise to the NWO Executive Board on awarding or rejecting funding for the proposal.

The full proposal must receive an overall qualification of at least ‘good’ to be eligible for the funding. The proposal must also receive at least the qualification ‘good’ for each of the separate assessment criteria. For more information about the qualifications, see www.nwo.nl/en/apply-funding-how-does-it-work.

<table>
<thead>
<tr>
<th>Score’s 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>Insufficient</td>
</tr>
</tbody>
</table>

If, after the discussion of the full proposals, it transpires that two or more of the proposals based on their weighted total score cannot be distinguished from each other, then there is an ex aequo situation (see Section 4.2.7).

4.2.10 Ex aequo

NWO understands ex aequo to be a situation in which two or more proposals based on their weighted score cannot be distinguished from each other. An ex aequo situation is relevant with respect to the boundary of the available budget or the selection boundary. The existence of an ex aequo situation is determined as follows. The starting point is the ranking drawn up by the assessment committee, with the final scores rounded down to two decimal points. The reference score is the score of the lowest-ranked proposal within the boundary of the available budget or the selection boundary. All proposals with a score that is within 0.05 or less of the reference score will be considered. Subsequently, 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 boundary of available budget or the selection boundary, then the proposal with a better assessment pertaining to criterion ‘Alignment with the objectives of the programme’, will end as the highest. If the ex aequo situation is not resolved with this, then the proposal with the highest score for the criterion ‘Quality of the consortium’ will end highest. If the proposals subsequently still end in a tie, the assessment committee, with the help of an (anonymous) majority vote, will determine the ranking (in accordance with Article 2.2.7, third paragraph, sub a, part iv of the NWO Grant Rules 2017). If this vote provides no resolution either, or is not desirable to vote, the ex aequo situation will be send on to the decision-making body.

4.2.11 Decision-taking

Finally, the NWO Executive Board will assess the procedure followed and the advice from the assessment committee. It will subsequently determine the final qualifications and take a decision about awarding or rejecting the proposals.
4.2.12 Timetable

Below, you will find the 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, of course, be informed about this in time.

<table>
<thead>
<tr>
<th>Registering initiatives</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>October 13, 2022, at 14:00.00 CEST</td>
<td>Deadline registering initiatives</td>
</tr>
<tr>
<td>End of October 2022</td>
<td>Mandatory matchmaking meeting(s)</td>
</tr>
<tr>
<td>Full proposals</td>
<td></td>
</tr>
<tr>
<td>January 19, 2023 at 14:00.00 CET</td>
<td>Deadline proposals</td>
</tr>
<tr>
<td>January/February 2023</td>
<td>Referees consulted</td>
</tr>
<tr>
<td>February/March 2023</td>
<td>Applicants can submit a rebuttal</td>
</tr>
<tr>
<td>March/April 2023</td>
<td>Interviews and assessment committee meeting</td>
</tr>
<tr>
<td>May/June 2023</td>
<td>Decision by the board</td>
</tr>
</tbody>
</table>
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:

1. Alignment with the objective of the programme (33,3%)
2. Quality of the consortium (33,3%)
3. Quality of the research proposal (33,3%)

Within the three evaluation criteria, the following aspects are distinguished:

1. Alignment with the objectives of the programme:
   - The research proposal ties in well with the scientific and societal problem definition and objectives of this Call (Section 2). The alignment with and contribution to these objectives are clearly substantiated in the application.
   - The consortium indicates clearly and convincingly how it will work to achieve scientific and societal breakthroughs. The intended breakthroughs are also clearly defined.
   - The expected impact and route to impact are described convincingly. A clear approach is presented for involving stakeholders and wider society in the research. Their role and the knowledge utilisation activities to be used are clearly described.

2. Quality of the consortium:
   - Interdisciplinarity: All disciplines necessary to address the problem appropriately are included in the consortium and their roles are described convincingly.
   - Knowledge-chain-wide: It is convincingly demonstrated that the parties from the knowledge chain (fundamental, applied and practice-oriented) necessary in order to address the problem appropriately, are included in the consortium and their roles are described convincingly.
   - Societal involvement: The cooperation partners necessary for the project are included in the consortium, and their roles are described convincingly.
   - The consortium is coherent, complementary and diverse.
   - There is a strong, logical and clearly designed organisational structure within the consortium, with attention to factors such as management, diversity and knowledge utilisation.

3. Quality of the research proposal:
   - The scientific question is clear and specific.
   - The objectives are clear and specific.
   - The proposed approach and methodology are appropriate to achieve the intended objectives and answer the question. Approach and methodology are coherent and well (clear) formulated.
   - The individual work packages are clearly described, and it is clear how the work packages cohere to contribute to the intended breakthrough.
   - The consortium convincingly describes the feasibility of the proposed research.
   - The budget is appropriate to the proposed activities and reflects the knowledge-chain-wide nature of the proposal in terms of the division between fundamental research on the one hand and applied and practice-oriented research on the other. There is a clear and specific justification of costs.
5  Obligations for grant recipients

This chapter details the various obligations that - in addition to the conditions stated in Section 3.5 - apply after funds have been awarded.

5.1.1 Content monitoring

NWO will assume responsibility for the substantive monitoring of the proposals awarded funding. For the duration of this programme NWO will organise programme meetings. All projects within this call theme will be invited to participate.

Supervisory committee

To strengthen the monitoring and to increase the support for the realisation of the projects, a supervisory committee will be appointed (see section 5.1.6). The committee will monitor the connection between the different themes, the progress of all projects and the results achieved with a focus on knowledge transfer, knowledge utilisation and the application of the results. After granting, regular follow-up meetings will be organised. Representatives from all consortia will be asked to provide input and to take part in the meetings of the supervisory committee. Whenever that is desirable, additional experts will also be invited to the meetings.

5.1.2 Accountability and project completion

Accountability during the project

During the project, the main applicant is responsible for reports on the project’s progress. With a view to monitoring project progress, NWO may request interim reports on a project’s content and finances, as well as an account of co-funding provided. More information about this will follow in the grant award letter.

Project closure

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

5.1.3 Data management

After a proposal has been awarded funding, the researcher should elaborate the data management section into a data management plan. For this, applicants can make use of the advice from the referees and committee. The applicant describes in the plan whether use will be made of existing data, whether new data will be collected or generated, and how the data will be made FAIR: Findable, Accessible, Interoperable, Reusable. Before submission, the data management plan should be checked by a data steward or similar officer of the organisation where the project will be realised. The plan should be submitted to NWO via 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: www.nwo.nl/en/research-data-management.
5.1.4 Intellectual property and project agreement
With respect to intellectual property (IP), the NWO IP policy applies. This can be found in Chapter 4 of the NWO Grant Rules 2017.

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 project agreement is one of the conditions for starting the project. In this agreement, arrangements are made about intellectual property and publication, knowledge transfer, confidentiality, co-financing payments, progress reports, and final reports. Approval from NWO is required before the project can start.

The responsibility for arranging the project agreement lies with the applicant. The model agreement that NWO makes available must be used and can be found on the funding page of this Call for proposals. This model agreement has been drawn up in accordance with the NWO Grant Rules 2017. Parties can choose to use the standard text from NWO in the model agreement but the may also can choose to make their own agreement or to apply existing agreements for the component parts of intellectual property and publication procedure. The model project agreement provides for this. NWO will subsequently check whether the project agreement meets the conditions.

5.1.5 Socially responsible licensing
The knowledge that emerges from the project could be suitable for use in society. When agreements about licensing and/or the transfer of research results developed under this Call for proposals are made, due consideration should be given to the ten principles for socially responsible licensing, as stated in the NFU factsheet “Socially Responsible Licensing Toolkit for knowledge institutions” (www.nfu.nl/sites/default/files/2020-09/200902-NFU%20Factsheet%20Toolkit%20SRL.pdf).

5.1.6 Supervisory committee
After the proposal has been awarded funding, a supervisory committee will be appointed. This supervisory committee will supervise and advise the project. More information about this committee will be provided in the award letter.

5.1.7 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 www.openaccess.nl/en.http://www.openaccess.nl/

Books

CC BY licence
To ensure the widest possible dissemination of publications, at least a Creative Commons (CC BY) licence must be applied. Alternatively – in case of substantial interest – the author may request to publish under a CC BY-ND licence. For books, book chapters and collected volumes, all CC BY licence options are allowed.

Costs
Costs for publication in fully Open Access journals can be budgeted in the application using the budget module for “material costs”. Costs for publications in hybrid journals are not eligible for reimbursement by NWO. For Open Access books, a separate NWO Open Access Books Fund is available.

For more detailed information about NWO’s Open Access policy, see www.nwo.nl/en/open-science.http://www.nwo.nl/openscience
6 Contact and other information

6.1 Contact

6.1.1 Specific questions
For specific questions about this Call for proposals, please contact:

Drs. R. (Rachid) Chafi,
Tel.: +31 70 349 43 71,
E-mail: NWA-ZonOpWater@nwo.nl

6.1.2 Technical questions about the web application ISAAC
For technical questions about the use of ISAAC, please contact the ISAAC helpdesk. Please read the manual first before consulting the helpdesk. The ISAAC helpdesk can be contacted from Monday to Friday between 10:00 and 17:00 hours on +31 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, www.nwo.nl/en/privacyverklaring. NWO might approach applicants for an evaluation of the procedure and/or research programme.
Chapter 7 Annexe(s): / Responsible Upscaling of Floating Solar

7 Annexe(s):

7.1 Explanation of budget modules

It is possible to apply for the funding of the salary costs of personnel who make a substantial contribution to the research. Funding of these salary costs depends on the type of appointment and the organisation where the personnel are/will be appointed.

- For university appointments, the salary costs are funded in accordance with the UNL salary tables applicable at the moment the grant is awarded (www.nwo.nl/en/salary-tables) http://www.nwo.nl/salaristabellen
- For university medical centres, the salary costs are funded in accordance with the NFU salary tables applicable at the moment the grant is awarded (www.nwo.nl/en/salary-tables) http://www.nwo.nl/salaristabellen
- For personnel from universities of applied sciences, educational institutions and other organisations, 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] (https://www.nwo.nl/en/salary-tables).
- For the Caribbean Netherlands, the Dutch government employs civil servants on Bonaire, Sint Eustatius and Saba under different conditions than in the European part of the Netherlands www.rijksdienstcn.com/werken-bij-rijksdienst-caribisch-nederland/arbeidsvoorwaarden.

NWO will apply a mandatory one-off indexing of the salary 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 has no influence on the level of the grant ceiling or on the maximum amount of the grant awarded per proposal. 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-taking about awarding or rejecting proposals has been 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”, “PDEng” 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 realisation 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.

In line with the NWO strategy, Industrial and Societal Doctorates are included in this category under this call. Conditions regarding Industrial and Societal Doctorates are explained in Annex 7.2.
Professional Doctorate in Engineering (PDEng)
Funding for the appointment of a PDEng can only be applied for if funding for a PhD student or postdoc is also applied for.
The appointment for a PDEng position is a maximum of 1.0 FTE for 24 months. The PDEng trainee is employed by the institution applying for funding and can realise activities 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. A maximum of €100,000 can be requested for NSS. This includes personnel such as student assistants, programmers, technical assistants or analysts. Depending on the level of the position, the appropriate salary table for NSS at MBO, HBO or university level applies.
The size of the appointment is at least 6 full-time months and at most 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 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 (www.nwo.nl/en/salary-tables). http://www.nwo.nl/salaristabellen
Personnel universities of applied sciences, educational institutions and other organisations

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 organisations 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] (www.nwo.nl/en/salary-tables). 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, PDEng) applied for, a maximum of €15,000 material budget can be applied for per year of the appointment. Material budget for smaller appointments can be applied for on a proportionate basis and will be made available by NWO accordingly. Per 0.2 FTE scientific employee applied for at a university of applied sciences, educational institution or other organisation (with a minimum appointment of 0.2 FTE for 12 months) a maximum of €15,000 in material budget can be applied for per year. The applicant is responsible for distributing the total amount of material budget across the NWO-funded personnel positions. The material budget that can be applied for is specified according to the three categories below:

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

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

Implementation costs
- national symposium/conference/workshop organised by the project researchers
- costs 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).

Researchers must ensure the responsible use of citizens\(^\text{12}\) and guarantee the quality of the work/data. This means that public involvement in the research entails obligations and requires constant time and attention. With regard to managing citizen science, NWO recommends that researchers:

- organise sufficient interaction, ideally by combining virtual and physical events;
- ensure regular feedback to participating citizens, for example from the project manager.

The effective implementation of citizen science also requires:

- that researchers are transparent towards the citizens/participants about the goals, working methods and phases of those parts of the research project in which the citizens are involved.
- That researchers explicitly state and monitor the quality standards. The same principles and standards apply to citizen science as to the assessment of scientific practice in general. The Netherlands Code of Conduct for Research Integrity also applies to citizen science. This means that participating citizens must also comply with privacy legislation.

That researchers should fully recognise the participation of citizens involved in research, for example through acknowledgements in scientific publications.

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 project-related investments in scientifically innovative equipment and/or data collections of national and international importance. The costs for these project-related investments should be adequately specified and justified in the proposal. The minimum amount that can be applied for is €150,000. The maximum amount that can be applied for is €500,000.

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 digitisation 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.

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\(^{12}\) By “responsible use”, NWO means that the use of citizens must have a clear added value for the research, that occupational health and safety and privacy legislation must be complied with, and that clear agreements must be made concerning hours to be contributed, supervision and further training. One way in which this can be implemented is by a volunteer agreement (for a model agreement in Dutch, see [https://www.movisie.nl/tool/model-vrijwilligersovereenkomst](https://www.movisie.nl/tool/model-vrijwilligersovereenkomst)).
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 utilisation**

The aim of this budget module is to facilitate the use of the knowledge that emerges from the research. At least 5% but no more than 20% of the total budget applied for should be spent on knowledge utilisation activities via this budget module.

Knowledge utilisation takes many different forms in different scientific fields. Examples include producing a teaching package, conducting a feasibility study into potential applications, filing a patent application, or employing a business developer.

It is up to the consortium to specify in the proposal which costs are required.

In the context of the Impact Plan, consortia are expected to earmark budget for the following activities:
- Specific activities to promote knowledge utilisation towards intermediary or other parties not funded in the projects, e.g. knowledge platforms. These activities include joint learning, training and communication activities.
- Stakeholder engagement: activities organised by the consortium aimed at involving stakeholders, such as consultation workshops, expert meetings, round table meetings, etc. Communication: activities organised by the consortium such as national and international learning events, development of videos, blogs, newsletters and other media communications. This may include the hiring in of communication expertise.
- Skills development: Activities aimed at developing skills beyond the levels of individual students, PhD students or postdocs, such as developing courses for stakeholders or Master’s students.
- Monitoring and evaluation moments in which knowledge utilisation is discussed, such as interim evaluations and supervisory committee meetings (see Section 5.1.1 and 5.1.7).

Travel expenses for co-funding partners are explicitly not eligible for funding in this module. However, travel expenses for cooperation partners and external parties in the social practice of the project are eligible. The budget applied for should be adequately specified in the proposal.

**Explanation of budget module Internationalisation**

The budget for internationalisation is intended to encourage international collaboration. 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 collaboration and additional costs for internationalisation that cannot be covered in another manner, for example from the bench fee;

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13 In deze budgetmodule wordt aangesloten bij de definitie voor “kennisoverdracht” die de Europese Commissie hanteert in de Communautaire kaderregeling inzake staatssteun voor onderzoek, ontwikkeling en innovatie (PbEU 2014, C 198).
travel and accommodation costs for foreign guest researchers;
- costs for organising international workshops/symposia/scientific meetings.

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 www.nwo.nl/en/money-follows-cooperation 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 3.1 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 correction coefficients table of the Marie Skłodowska-Curie grants (EU, Horizon 2020), based on the Dutch UNL rates. The table can be found at www.nwo.nl/en/money-follows-cooperation.

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 in countries that fall under national or international sanction legislation and rules. The EU Sanctions Map (www.sanctionsmap.eu) is guiding in this respect.

Explanation of the module Projectmanagement
The Project Management module offers the opportunity to request a project management post up to a maximum of 5% of the total budget requested from NWO. The main applicant must adequately justify this post.
Project management includes the following: optimising the organisational structure of the consortium, supporting the consortium and the main applicant, safeguarding the coherence, progress and unity of the project, and coordinating between the sub-projects within the project. These tasks may also be carried out by external parties if they are not available within the main applicant’s knowledge institution. Knowledge institutions should take account of public procurement rules in the tender procedure for selecting a third party and, where appropriate, follow a European procurement procedure. The activities of main applicants and co-applicants themselves in relation to the project or project management may not be funded under this budget module.

The budget to be requested for project management can consist of material or implementation costs and personnel costs. For personnel costs, a maximum rate of €121 per hour can be claimed. The hourly rate of personnel to be appointed must be based on a cost-covering rate and is calculated on the basis of the standard productive number of hours used by the organisation. The cost-covering rate includes:

- (average) gross salary corresponding to the position of the employee who will contribute to the project (based on the collective labour agreement grade of the employee concerned);
- holiday allowance and 13th month (if applicable in the relevant collective labour agreement) in proportion to the FTE deployed;
- social security charges;
- pension costs;
- overheads.

Project management tasks may be carried out by external parties, but the part of (commercial) hourly rates that exceeds the rates stated is not eligible for funding and therefore cannot be included in the budget.

### 7.2 Explanation of conditions regarding 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 organisation that is not a (co-)applicant. If an organisation and the knowledge institution closely collaborate, 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 organisation 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 or the organisation. 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 VSNU rate. NWO will fund a maximum of 75% of this amount and at least 25% of the amount must be contributed by the organisation that is not a (co-)applicant. Any additional salary costs – due to an actual salary that is above the VSNU 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 VSNU rates for an appointment of the same size is assumed. The support/grant may not be transferred to the organisation 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 3.5, such as Consortium agreement and Intellectual Property & Publications, apply.

7.3 Public Knowledge Organisations

The public knowledge organisations listed below may act as co-applicants in a consortium. The check mentioned in Section 3.1.1 is not required for these organisations.

National knowledge institutes (https://www.knmi.nl/kennis-en-datacentrum/project/rki):
1. CBS – Centraal Bureau voor de Statistiek (Statistics Netherlands)
2. CPB – Centraal Planbureau (Netherlands Bureau for Economic Policy Analysis)
3. KiM – Kennisinstituut voor Mobiliteitsbeleid (Netherlands Institute for Transport Policy Analysis)
4. KNMI – Koninklijk Nederlands Meteorologisch Instituut (Royal Netherlands Meteorological Institute)
5. NFI – Nederlands Forensisch Instituut (Netherlands Forensic Institute)
6. PBL – Planbureau voor de Leefomgeving (Netherlands Environmental Assessment Agency)
7. RCE – Rijksdienst voor het Cultureel Erfgoed (Cultural Heritage Agency of the Netherlands)
8. RIVM – Rijksinstituut voor Volksgezondheid en Milieu (National Institute for Public Health and the Environment)
9. RKD – Nederlands Instituut voor Kunstgeschiedenis (Netherlands Institute for Art History)
10. RWS – Rijkswaterstaat (Directorate-General for Public Works and Water Management)
11. SCP – Sociaal en Cultureel Planbureau (Netherlands Institute for Social Research)
12. WODC – Wetenschappelijk Onderzoek- en Documentatiecentrum (Research and Documentation Centre)

13. Boekman Foundation – Institute for arts, culture and related policy
14. Clingendael – Netherlands Institute of International Relations
15. Geonovum – Knowledge organisation for geographic information
16. Movisie – Centre for social issues
17. Mulier Institute – Centre for sports research
18. (N) IFV – (Netherlands) Institute for Safety
19. NIVEL – Netherlands Institute for Health Services Research
20. NJi – Nederlands Jeugdinstituut (Netherlands Youth Institute)
21. Police Academy – Training, knowledge and research for the Dutch National Police
22. SWOON-NLDA – Stichting Wetenschappelijk Onderwijs en Onderzoek Nederlandse Defensieacademie (foundation for scientific education and research of the Netherlands Defence Academy)
23. SWOV – Stichting Wetenschappelijk Onderzoek Verkeersveiligheid (Institute for Road Safety Research)
24. Trimbos Institute – Institute for mental health, drug abuse and addiction
25. VeiligheidNL – Organisation to promote safe behaviour
26. Vilans – Research into long-term care
Chapter 7: Annexes: Responsible Upscaling of Floating Solar

7.4 Conditions for 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. 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 119 euros per hour;
– The value for material in-kind contributions is determined on the basis of the cost price of consumables. The value of investments/equipment is determined based on standard depreciation costs bearing in mind the intensity of use and any existing depreciations according to applicable reporting principles;
– For in-kind contributions in the form of services or 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 justify the structure and size of the in-kind contributions provided (including hourly rates) in the letter of support. 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;¹⁴
– 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 supervisory committee (see Section 5.1.5);
– 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 he or she has received from a co-

¹⁴ 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.
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).