NWA Innovative projects within routes

Call for proposals
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1 Introduction

In this Call for proposals information is provided about the application procedure for the “NWA innovative projects within routes” 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. This call yielded an impressive 11,700 questions about a wide variety of subjects. These were consolidated in 140 big issues, the so-called ‘cluster questions’. Around these cluster questions, researchers and societal organisations formed 25 networks that were given the name NWA routes. These networks were given their own route management and, inspired by the cluster questions in the NWA agenda, they develop knowledge agendas and organise meetings and communication activities. The 25 NWA routes and the associated cluster questions can be found via Routes|NWO.

Collaboration between researchers from different disciplines, on the one hand, and knowledge organisations and societal (public and private) organisations, on the other, has added value for the complex issues that are part of the NWA. In these collaborations, new knowledge flows from researcher to user, and new questions from professional practice and from society find a way into new research. In the conviction that people can achieve more together than they can individually, the NWA programme therefore encourages collaboration between different partners.

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;
- Societal organisations, society and citizens have a clear role in the research;
- 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:

a. Research along Routes by Consortia (ORC);

b. Thematic Programming in consultation with government bodies;

c. Innovations and Networks;

d. Science Communication and Outreach.
Chapter 1: Introduction / NWA Innovative projects within routes

The Call for proposals ‘NWA Innovative projects within routes’ is being realised in the context of programme line 3.

1.1.1 Changes since the previous Call for proposals

A number of changes have been made in the 2024 Call for proposals ‘Innovative projects within routes’ compared to the 2022 Call for proposals ‘Small projects for NWA routes’. The main changes are:

- Applicants must submit a proposal for a single project. This project may no longer consist of several sub-projects.
- Proposals no longer necessarily need to be submitted by the NWA route management of the route to which the proposal corresponds. However, applicants must enclose a statement with the proposal stating that the project has been selected by the route in question.
- The Dutch Research Council (NWO) does not review the selection procedure of the routes, but rather NWO will enter into discussions with the management of the NWA routes on the selection procedure prior to the selection by routes. The criteria associated with the assessment of the selection procedure by the route thus no longer apply.
- Each proposal must be submitted by a consortium consisting of at least one main applicant and one societal partner.

1.2 Available budget

The available budget for this Call for proposals is €7,500,000. Within this Call for proposals it is expected that a maximum of 75 proposals will be awarded funding. The maximum amount per proposal is €150,000. For each route, a maximum budget of €300,000 is reserved for the selected projects.

1.3 Submission deadline(s)

The deadline for submitting proposals is 12 September 2024, before 14:00:00 CEST.

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.
Chapter 2: Aim / NWA Innovative projects within routes

2 Aim

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

2.1 Aim of the programme

These routes form self-organising networks that connect 140 cluster questions, foster new networks and put important scientific, societal and economic issues on the research agenda. They play an important role in structuring the field. Important matters come together within the 25 route networks: involvement of the knowledge chain and social organisations and citizens; coordination between applicants and bringing together consortium partners; knowledge sharing and creating societal and scientific impact; and monitoring the core goals of individual routes and of the Agenda as a whole. These activities put arrangements in place for the Ministry of Education, Culture and Science’s Science letter3 which calls for the NWA programme to focus on knowledge utilisation and networking. The role of the routes within the NWA programme has been strengthened following the assessment of the programme4.

Within this Call for proposals, applicants can apply for a grant for innovative projects on behalf of the NWA routes. These projects must contribute to the substantive renewal of the NWA route in question. The proposals made in collaboration with one or more societal organisations must focus on:

- an innovative idea;
- promotion of utilisation of existing knowledge;
- or the synthesis of existing knowledge to identify blank spots in the knowledge agenda, ambitions and gamechangers of the route;
- or a combination of these elements.

New and unexpected connections are made in the projects across the overall knowledge chain of societal organisations. The projects thus contribute to increasing the societal and scientific impact of the route and the activities undertaken as part of the route. Relevance within the NWA programme and thus commitment of society as a whole, including citizens within the projects, is of great importance.

The route management is responsible for selecting the innovative projects that are submitted as part of the route. The route management of the 25 routes will set up a transparent procedure to decide on the selection of proposals. Applicants must participate in this procedure and be nominated on this basis by the route in question to be considered for funding within this round. For additional information on the NWA routes, the selection procedure and the route management, please contact the relevant NWA route. For an overview of the management of the 25 NWA routes, please see Routes | NWO.

Each route may select a minimum of two and no more than three proposals to be nominated by the route to NOW, up to a maximum of € 300.000. Applicants of selected proposals must be able to submit a statement issued by the route, in which the route states that the submitted proposal has been nominated by the route as one of the proposals selected by the route.

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3 Publicatie Nieuwsgierig en betrokken | Rijksoverheid (Curious and committed publication)

4 Excellentie door verbinding - Externe evaluatie Nationale Wetenschapsagenda (nwo.nl) (Excellence through connection - External evaluation of the Dutch National Science Agenda)
2.2 Societal impact

New knowledge and insights from scientific research can make an important contribution to developing solutions for the various issues society faces, including, amongst other things, the energy transition, health and care, or climate change. By facilitating greater interaction and alignment between researchers and potential knowledge users, the chance of knowledge utilisation increases, as well as the likelihood of generating societal impact. Through its policy on impact, NWO promotes the potential contribution that research can make to societal issues by encouraging productive interactions with societal stakeholders, both during the development stage and the subsequent implementation of research. It does so in a manner that is in accordance with the aim of the particular funding instrument.

For more information on our policy on impact, please visit the website: Knowledge utilisation | NWO.
Chapter 3: Conditions for applicants / NWA Innovative projects within routes

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

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);

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. Applicants may only submit a proposal if the project has been nominated by the NWA route to NWO. To this end, the applicant must provide a statement on submission of the proposal, which has been made available by the route management.

3.1.1 Main and co-applicants

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

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

Main applicants

Full, associate and assistant professors and other researchers with a comparable position* may submit an application 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;
- 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) may not submit a proposal.
Chapter 3: Conditions for applicants / NWA Innovative projects within routes

It could be the case that the applicant’s tenure track agreement ends before the intended completion date of the project for which funding is applied for, or that before that date, the applicant’s tenured contract ends due to the applicant reaching retirement age. In that case, the applicant needs to include a statement from their employer in which the organisation concerned guarantees that the project and all project members for whom funding has been requested will receive adequate supervision for the full duration of the project.

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

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 consortium.

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 consortia 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;
− have a public service mission;
− carry out research independently;
− have no profit motive other than for the purposes of conducting further research.

Based on the above, capital companies\(^{5}\) and partnerships\(^{6}\) are in any case excluded from participating in the consortium as co-applicants. Other legal forms will be assessed against the cumulative criteria.

‘The conduct of research’ from the sub criterion ‘is independent in the conduction of research’ means that conducting research, as defined in the NWO Grant Rules 2017, chapter 5, is the main task of the research organisation; evidenced by official documentation as the statutes, deed of incorporation or other formal documentation. In addition, the research must be conducted by the organisation’s own employees with a salaried employment contract.

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.

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 (before 29th of August, 14:00:00 hours CEST)

\(^{5}\) In Dutch: kapitaalvennootschappen.

\(^{6}\) In Dutch: personenvennootschappen.
Chapter 3: Conditions for applicants / NWA Innovative projects within routes

- 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, because active involvement (from demand articulation up to carrying out the project) from societal stakeholders, both public and private, is of great importance to share knowledge about challenges and possible solutions. A cooperation partner is a party that is closely involved in the implementation of the research and/or knowledge utilisation, but is unable to capitalise its contribution in advance. A cooperation partner is therefore not a main or co-applicant of co-funder.

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).

3.2 What can be applied for

For an application in this Call for proposals, a minimum of €50.000 and a maximum of €150.000 can be applied for in total. The total amount that can be applied for per proposal should be determined in advance together with the NWA route to which your proposal is linked. Each route can select project proposals up to a maximum of €300.000. The maximum term of the proposed project is 24 months.

The maximum duration of the proposed project is 24 months. 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>Postdoc</td>
<td>€150.000, according to UNL or NFU rates⁶</td>
</tr>
<tr>
<td>Non-scientific staff (NSS) at universities</td>
<td>€150,000, according to UNL or NFU rates⁶</td>
</tr>
<tr>
<td>Research leave</td>
<td>10% of the budget requested from NWO, according to UNL rates or NFU rates⁵</td>
</tr>
<tr>
<td>Personnel at 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 the granting decision as taken from Table 2.2, column ‘Hourly rate productive hours, excl.</td>
</tr>
</tbody>
</table>

⁶ 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.
3.3 Preparing an application

The proposal must be written in Dutch or English.

An application can only be submitted via the web application ISAAC. Applications that are not submitted via ISAAC will not be taken into consideration. As the main applicant, you are required to submit the application via your own personal ISAAC account.

It is important to start with your application in ISAAC on time:
- if you do not yet have an ISAAC account, then you should create this on time to prevent any possible registration problems;
- any new organisations must also be added to ISAAC by NOW;
- 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).

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 Preparing and submitting a 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;
- statement of selection of the NWA route within which the proposal falls;
- declarations of commitment of cooperation partners (see section 3.1.2);
- declaration co-funding 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);
- form "Statement and signature".
Chapter 3: Conditions for applicants / NWA Innovative projects within routes

In case NWO has made a template available, the annex should be drawn up according to the NWO template. Annexes must be uploaded in ISAAC separately from the application. All of the annexes, except for the budget, must be submitted as PDF files (without encryption). The budget must be submitted in ISAAC as an Excel file.

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

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;
− the application complies with the DORA guidelines as described in Section 4.1;
− the application form is, after a possible request to make additions or changes, complete and filled out according to the instructions;
− the application is submitted via the main applicant’s ISAAC account;
− the application is received before the deadline;
− the application is written in Dutch or 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 most 24 months;
− all of the required annexes are, after a possible request to make additions or changes, complete and filled out according to the instructions.

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 Compliance with the National Knowledge Security Guidelines

World-class science can benefit from international cooperation. The National Knowledge Security Guidelines (hereafter: the Guidelines) helps knowledge institutions to ensure that international cooperation can take place securely Knowledge security concerns the undesirable transfer of sensitive knowledge and technology that compromises national security; the covert influence of state actors on education and research, which jeopardises academic freedom and social safety; and ethical issues that may arise in cooperation with countries that do not respect fundamental rights.

Applicants are responsible for ensuring that their project complies and will continue to comply with the Guidelines. By submitting an application, the applicant commits to the recommendations stipulated in these Guidelines. In the event of a suspected breach of the Guidelines in an application submitted to NWO for project funding, or in a project funded by NWO, NWO may ask the applicant to provide a risk assessment demonstrating that the recommendations in the Guidelines have been taken into consideration. If the applicant fails to comply with NWO’s request, or if the risk assessment is in apparent breach of the Guidelines, this may affect NWO’s grant award or decision-making process. NWO may also include further conditions in the award letter if appropriate.

The National Knowledge Security Guidelines can be found on the central government website at: Home | National Contact Point for Knowledge Security (loketkennisveiligheid.nl).
Chapter 3: Conditions for applicants / NWA Innovative projects within routes

3.5.2 Data management

The results of scientific research must be replicable, verifiable and falsifiable. In the digital age, this means that, in addition to publications, research data must also be publicly accessible insofar as this is possible. NWO expects that research data resulting from NWO-funded projects will be made publicly available, as much as possible, for reuse by other researchers. “As open as possible, as closed as necessary” is the applicable principle in this respect. Researchers, at very least, are expected to make the data and/or non-numerical results that underlie the conclusions of the published work resulting from the project publicly available at the same time as the work’s publication. Any costs incurred for this can be included in 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, both during data generation and as part of analysing the data, to make its subsequent storage and dissemination possible. If it is not possible to make all data from the project publicly available, for example due to reasons of privacy, ethics or 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.

3.5.3 Scientific integrity

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

3.5.4 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. The absence or presence of an ethical statement or licence at the time of the application process has no effect on the assessment of the application. If the project is awarded funding, then the grant is issued under the condition that 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.

3.5.5 Declarations of commitment of cooperation partners

In a declaration of commitment a cooperation partner enounce support for the project and describes their role within the project. NWO make a letter available on the funding page. In case of awarding funding the cooperation partner must confirm its contribution in the project. Further agreements are also made in this agreement between the cooperation partner(s) and the applicant(s) (see also section 5.5).
Chapter 4: Assessment procedure / NWA Innovative projects within routes

4 Assessment procedure

This chapter first describes the assessment according to the DORA principles (Section 4.1) and the course of the assessment procedure (Section 4.2). Second, it states the criteria that the assessment committee will use to assess your application (Section 4.3).

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

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

4.1 The San Francisco Declaration (DORA)

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

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

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

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

For more information on how NWO is implementing the principles of DORA, see DORA | NWO.

4.2 Procedure

The application procedure consists of the following steps:

- submission of the proposal;
- admissibility of the proposal;
- pre advice assessment committee;
- assessment committee meeting;
- decision on proposals with positive recommendation;
- request viewpoint in case of intended negative recommendation;
- assessment committee meeting about proposals with viewpoint;
- decision on proposals with viewpoint.

Assessment committee
Chapter 4: Assessment procedure / NWA Innovative projects within routes

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.

Due to both the expertise present in the assessment committee and the small size of the grant, NWO has decided with regard to the assessment of these applications to exercise the option outlined in Article 2.2.4, paragraph 2, of the NWO Grant Rules 2017, to assess all applications without involving referees.

4.2.1 Submission of a proposal

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

Your complete application form must have been received before the deadline via ISAAC (see Section 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.

4.2.2 Admissibility of the proposal

As soon as possible after you have submitted your proposal, you will hear from NWO whether or not your proposal will be taken into consideration. NWO will determine this based on several administrative-technical criteria (see the formal conditions for submission, Section 3.4). NWO can only take your proposal into consideration if it meets these conditions.

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

Prior to the assessment committee considering your proposal, NWO will request input from at least two external referees. These are independent advisers who are experts in the subjects of the proposal. They will assess the proposals based on the assessment criteria outlined in the Call for proposals (Section 4.3).

4.2.3 Pre-advice assessment committee

After this, your proposal 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).

4.2.4 Meeting of the assessment committee

The committee will make its own assessment based on the available material. Although the pre-advises will ‘guide’ the final assessment to a large extent, it will not be blindly accepted without question by the committee. The committee will consider and compare the arguments of the pre-advisers (also amongst each other) and examine whether the rebuttal contains a well-formulated response to the critical comments from the pre-advises.
Following the discussion, the committee draws up a written recommendation addressed to the NWO Executive Board about the quality and ranking of the proposals. This recommendation is based on the assessment criteria. The proposal must receive an overall qualification of at least “good” to be eligible for funding. The proposal must also receive at least the qualification “good” for each of the individual assessment criteria.

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

4.2.5 Decision on proposals with positive recommendation

Proposals with a positive recommendation will be submitted to the NWO Executive Board for decision-making. The NWO Executive Board will review the procedure followed and the recommendation of the assessment committee. It will then determine the final qualifications and take a decision about granting or rejecting the proposals.

For proposals to which the assessment committee intends to issue a negative recommendation, based on the assessment meeting, applicants are approached to submit a viewpoint on the substantive assessment of the assessment committee. Decision-making by the NWO Executive Board on these proposals will take place at a later date.

4.2.6 Request viewpoint in case of intended negative recommendation;

Applicants who submitted proposals to which the assessment committee intends to issue a negative recommendation will be given the opportunity by the NWO to respond to the substantive assessment by submitting a viewpoint. Applicants will be given five working days to submit their viewpoint, starting from the date on which the request for the viewpoint was sent. The standard form provided by NWO should be used to submit a viewpoint. This form will be included with the request to submit a viewpoint.

4.2.7 Assessment committee meeting about proposals with viewpoint

The assessment committee will meet to discuss the proposals for which NWO has received a viewpoint. The committee will make its own assessment based on the available material.

Following their deliberations, the committee will prepare a written recommendation for the Executive Board with regard to the quality of the proposals. These recommendations will be based on the assessment criteria. A proposal must achieve an overall rating of ‘good’ or better to be eligible for the grant. The proposal must also have received a rating of ‘good’ or better for each of the individual assessment criteria.

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

4.2.8 Decision on proposals with viewpoint

Proposals for which the NWO has requested a viewpoint based on the recommendation of the assessment committee will be submitted to the NWO Executive Board for decision-making.

The NWO Executive Board will review the procedure followed and the recommendation of the assessment committee. It will then determine the final qualifications and take a decision about awarding or rejecting the proposals.

4.2.9 Timetable

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

<table>
<thead>
<tr>
<th>Proposals</th>
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### 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 objectives of the Call (50%)**
2. **Quality of the project (50%)**

The two assessment criteria have been broken down into the following aspects:

1. **Alignment with the objectives of the Call (50%)**
   a. The extent to which the project is aimed at achieving substantive innovation within the route;
   b. The extent to which the project contributes to increasing the societal and scientific impact of the route;
   c. The extent to which societal organisations/citizens are involved in the development of the project (co-design) – from articulation of the problem definition and the knowledge questions to the implementation (co-creation).

2. **Quality of the project (50%)**
   a. The proposed approach is suited to achieving the specifically stated objectives and finding a solution to the problem;
   b. The proposed allocation of project funding is realistic and supports the design of the project;
   c. The appropriate parties are involved in the projects to achieve these project objectives.
Chapter 5: Obligations for grant recipients / NWA Innovative projects within routes

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 Connection with the NWA route

The lead applicant must maintain good connections with the NWA programme secretariat and the NWA route under which the project falls. This will be reflected in:

- Active participation in the meetings that will be organised by the NWA programme secretariat for the spearheads and route leaders to share the activities within the route, exchange experiences and to learn from each other;
- Active contact with the relevant NWO/ZonMw route contact person on the progress of the NWA route.

5.2 Accountability and project completion

The project managers are responsible for reporting on the project. NWO does not request interim substantive and financial reports for projects funded in this programme, but a final substantive and financial report will be requested upon completion of these projects.

5.3 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 must describe in the plan whether existing data will be used, or whether new data will be collected or generated, and how this data will be made FAIR: Findable, Accessible, Interoperable, Reusable. Before submission, the data management plan should be checked by a data steward or similar officer of the 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: Research data management | NWO.

5.4 Intellectual property and and consortium 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.
Chapter 5: Obligations for grant recipients / NWA Innovative projects within routes

After a proposal has been awarded funding, the conclusion of a consortium agreement is one of the conditions for starting the project. In this agreement, arrangements are made about intellectual property and publication, knowledge transfer, confidentiality, co-financing payments, progress reports, and final reports. Uploading in ISAAC is required before the project can start. The responsibility for arranging the consortium 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.

5.5 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 “19.4511_Ten_principles_for_Socially_Responsible_Licensing_v19-12-2019.pdf (nfu.nl)”.

5.6 Open Access

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

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

- publication in a fully Open Access journal or platform registered in the DOAJ;
- publication in a subscription journal and the immediate deposition of at least the author accepted manuscript of the article in an Open Access repository registered in Open DOAR;
- publication in a journal for which a transformative Open Access agreement exists between UNL and a publisher. For further information, see Open Access |.

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

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

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

For more detailed information about NWO’s Open Access policy, see Open Science | NWO.
Chapter 6: Contact and other information / NWA Innovative projects within routes

6 Contact and other information

6.1 Contact

6.1.1 Specific questions

For specific questions about this Call for proposals, please contact:
Anne Boeter – Programme Secretary of NWA Innovative projects within routes
nwa-routes@nwo.nl
070-3494338

6.1.2 Technical questions about the web application ISAAC

For technical questions about the use of ISAAC, please contact the ISAAC helpdesk. Please read the manual first before consulting the helpdesk. The ISAAC helpdesk can be contacted from Monday to Friday between 10:00 and 17:00 hours on +31 (0)70 34 40 600. However, you can also submit your question by email to isaac.helpdesk@nwo.nl. You will then receive an answer within two working days.

6.2 Other information

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

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

NWO might approach applicants for an evaluation of the procedure and/or research programme.
Chapter 7: Annex(es): NWA Innovative projects within routes

7 Annex(es):

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 (Salary tables | NWO).
- For university medical centres, the salary costs are funded in accordance with the NFU salary tables applicable at the moment the grant is awarded (Salary tables | NWO).
- For personnel from universities of applied sciences, educational institutions and other 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] (Salary tables | NWO).
- For the Caribbean Netherlands, the Dutch government employs civil servants on Bonaire, Sint Eustatius and Saba under different conditions than in the European part of the Netherlands Employment terms and conditions | Working at the Rijksdienst Caribisch Nederland | Rijksdienst Caribisch Nederland (rijksdienstcn.com).

NWO will apply a mandatory one-off indexing of the salary costs with respect to:

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

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

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

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

The available budget modules are explained below.

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.

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8 1 July, 1 August and 1 January are the dates on which the relevant rates are generally adjusted, in the case of indexation the date of actual annual adjustment will be taken into account.
Non-scientific staff (NSS) at universities

A maximum of €150,000 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.

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 total funding requested for research leave in the NWA-call may not exceed 10% of the total budget requested from NWO. NWO funds the research leave in accordance with the salary tables for a senior scientific employee (scale 11) at the time the grant is awarded (Salary tables | NWO).

Personnel universities of applied sciences, educational institutions and other 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] (Salary tables | NWO).

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

Explanation of budget module Material

The applicant is responsible for distributing the total amount of materials budget across the NWO-funded personnel positions, up to a maximum of €100,000. The material budget that can be applied for is specified according to the three categories below:

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

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

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

Costs that cannot be applied for are:

- basic facilities within the institution (e.g. laptops, office furniture, etc.);
- maintenance and insurance costs.

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

Citizen science

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

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.

As knowledge utilisation takes many different forms in different scientific fields, the applicant needs to specify the required costs, e.g. costs of producing a teaching package, conducting a feasibility study into potential applications, or filing a patent application.

The budget applied for should be adequately specified in the proposal. Applicants can use the ‘material, project-related goods/services’ budget module to request a remuneration for knowledge utilisation.

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.

7.2 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.

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9 In this budget module, the definition for “knowledge transfer” as used by the European Commission in the Framework for State aid for research and development and innovation (PbEU, 2014, C198) applies.
Chapter 7: Annex(es): / NWA Innovative projects within routes

National knowledge institutes (from: Knowledge and data center | KNMI) - Dutch only): https://www.rivm.nl/rijkskennisinstellingen

3. CBS – Centraal Bureau voor de Statistiek (Statistics Netherlands)
4. CPB – Centraal Planbureau (Netherlands Bureau for Economic Policy Analysis)
5. KiM – Kennisinstituut voor Mobiliteitsbeleid (Netherlands Institute for Transport Policy Analysis)
6. KNMI – Koninklijk Nederlands Meteorologisch Instituut (Royal Netherlands Meteorological Institute)
7. NFI – Nederlands Forensisch Instituut (Netherlands Forensic Institute)
8. PBL – Planbureau voor de Leefomgeving (Netherlands Environmental Assessment Agency)
9. RCE – Rijksdienst voor het Cultureel Erfgoed (Cultural Heritage Agency of the Netherlands)
11. RKD – Nederlands Instituut voor Kunstgeschiedenis (Netherlands Institute for Art History)
12. RWS – Rijkswaterstaat (Directorate-General for Public Works and Water Management)
13. SCP – Sociaal en Cultureel Planbureau (Netherlands Institute for Social Research)
14. WODC – Wetenschappelijk Onderzoek- en Documentatiecentrum (Research and Documentation Centre)

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