



Extreme Heat and Water Events

Mitigating the Adverse Health Effects of Climate Change in Cities 2024

Cooperation São Paulo - Brazil (FAPESP) - The Netherlands (NWO Merian Fund)

Call for proposals

NWO International Programmes and FAPESP



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1 Introduction

In this Call for proposals information is provided about the application procedure for the ‘Extreme Heat and Water Events: The Adverse Health Effects of Climate Change in Cities 2024’ funding round. This Call for proposals falls under the responsibility of the Dutch Research Council (NWO) and the São Paulo Research Foundation (FAPESP).

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.

FAPESP applicants should also consult the guidelines for São Paulo researchers published by FAPESP at <https://fapesp.br/16632>.

1.1 Background

There is a long history of scientific collaboration between Brazil and the Netherlands. The Dutch Research Council (NWO), through the Merian Fund¹, and the São Paulo Research Foundation (FAPESP) aim to stimulate long-term research collaboration between their two countries by funding joint research, with the purpose of strengthening the international position of research and its potential for global impact. Funding is provided for interdisciplinary and transdisciplinary consortia consisting of FAPESP funded and NWO funded research groups and stakeholder partners, that will be conducting high quality research with the potential for societal and scientific impact.

The Cooperation FAPESP (São Paulo-Brazil) and NWO (the Netherlands) is one of several funding schemes in the bilateral research collaboration between Brazil and the Netherlands. In 2018, NWO and FAPESP agreed on a strategic knowledge and innovation agenda. Funded research should be in alignment with national research agendas, as well as with international initiatives such as the UN Sustainable Development Goals.

1.2 Available budget

The available budget for this Call for proposals is € 2,800,000 at NWO, and R\$ 16,000,000 at FAPESP. Within this Call for proposals it is expected that a maximum of 4 proposals will be awarded funding.

1.3 Submission deadlines

Applications should be submitted to **both** NWO (via [ISAAC](#)) and FAPESP (via [SAGe](#)). 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 week before the deadline of this Call for proposals. Applications that are submitted to either funding agency after the deadline will not be taken into consideration.

The deadline for submitting the partnership request form (*not mandatory*) is **5 November 2024**, at 23:59:00 GMT-3, at FAPESP. The partnership request form must be submitted via email to FAPESP: chamada-nwo@fapesp.br.

¹ The Merian Fund is an initiative of NWO, and aims to stimulate long-term collaboration with important (emerging) science nations. The Merian Fund focuses on broad scientific themes of societal importance that require a mission-oriented approach. The Merian Fund cooperates with seven partners in five countries: FAPESP (Brazil), NSFC and CAS (China), DST and DBT (India), KemendikbudRistek (Indonesia) and NRF (South Africa). For more information, see: www.nwo.nl/merianfund.

The partnership request form is used for matchmaking purposes and its submission is optional. All interested researchers and stakeholders are invited to participate in a virtual matchmaking event as part of the information webinar, which is intended to generate links between potential consortia members. The information webinar will be hosted by FAPESP and therefore the partnership request form only needs to be submitted directly to FAPESP. Additional submission of the form to NWO is not necessary.

The deadline for submitting full proposals is **4 March 2025**, before 14:00:00 CET, at NWO and **4 March 2025** at 23:59:00 GMT-3, at FAPESP.

2 Aim

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

2.1 Aim of the programme

The aim of the programme is to advance scientific knowledge and find innovative solutions to important societal issues through strengthening cooperation between researchers in the State of São Paulo - Brazil, and researchers in the Netherlands by funding joint research projects.

This call 'Extreme Heat and Water Events: The Adverse Health Effects of Climate Change in Cities 2024' invites consortia in which researchers from research institutions from both countries will work with partners from public, semi-public and private organisations (for-profit and not-for-profit), in order to increase the societal relevance and impact of their research.

Project proposals must be jointly written by researchers formally associated with higher education or research institutions in the State of São Paulo and research organisations in the (Kingdom of the) Netherlands (as listed in Section 3.1), and must reflect unison and close cooperation. It is expected that the research activities are conducted on both sides, including the exchange of researchers, and that the project and its intellectual contribution are evenly balanced between the State of São Paulo and the Netherlands.

2.2 Thematic focus

This Call for proposals aims to fund collaborative research that investigates the health effects of climate change; i.e., how extreme heat and/or water events affect human health and wellbeing in an urban context. Researchers can choose to focus their applications on either extreme heat- or water-related events or a combination of both. The collaborative research should be disease-focused, encompass a broad perspective on the dynamics of cities, and advance scientific knowledge, as well as enhance knowledge exchange between researchers and stakeholders. Projects should not only investigate the health impacts of extreme heat and/or water events, but aim for innovative solutions, paying special attention to the lives and environments of high-risk and vulnerable populations. They should ideally be relevant to both countries.

2.2.1 Thematic background

Cities play a key role in driving climate change, as urban activities are primary sources of greenhouse gas emissions. Climate change is already negatively affecting our health through its environmental impact. Some of the biggest foreseen consequences of climate change are: 1) an increasing frequency and intensity of heatwaves and prolonged periods of severe droughts, through the continued rise of global temperatures; and 2) increasing frequency and intensity of heavy rainfall and floods through altering precipitation patterns. These events significantly affect health, essential urban services, (green) infrastructure, housing and human livelihoods.

Heat

Excessive heat exposure adversely affects the physical and mental well-being of humans, exacerbating pre-existing conditions and leading to reduced productivity, premature mortality, and illness. An increase in temperature and, especially, hotter-than-average conditions, compromise the body's ability to regulate its temperature. This may result in a range of illnesses, most notably heat exhaustion, heat stroke, and hyperthermia. Heat stress may accelerate illness, hospitalization, and death in vulnerable populations, particularly in the event of a heatwave. However, even relatively small variations in temperature, measured against the average seasonal temperature, are associated with increased

illness and death. Temperature extremes potentially worsen chronic conditions, including cardiovascular, respiratory, and cerebrovascular diseases, diabetes-related conditions, and mental health conditions. Furthermore, increased heat exposure, in conjunction with other exposures, may result in cumulative detrimental health effects. For example, an increase in temperature is associated with the formation of secondary pollutants, such as ozone and PM2.5, which can be deleterious for human health. Also, higher temperatures can influence pollen season duration and increase seasonal intensity of the pollen load (the concentration of allergenic pollen produced), which may affect, among others, symptom prevalence and severity.

Water

As global temperatures rise, the atmosphere can hold more moisture, locally leading to more intense and prolonged rainstorms. The increased humidity, standing water or, even worse, severe flooding, can cause a range of health problems. Floods can contaminate drinking water sources, for instance by overflowing sewer systems or cesspools, leading to outbreaks of water-borne diseases, for example cholera, dysentery, and hepatitis A. Changing precipitation patterns can increase the amount of vector organisms, like mosquitoes or ticks, increasing the risk of several vector-borne diseases, such as malaria, Zika, Dengue fever and Lyme disease. Moreover, higher humidity and damper conditions stimulate mould and mildew growth, exacerbating respiratory conditions like asthma and allergies, especially in vulnerable groups. Humidity and heat can have an additive effect, for instance, by making it more difficult for the body to thermoregulate, thereby placing more stress on the body. Another additive effect, for instance, is that humidity and heat stimulate the growth of pathogenic organisms in food or the environment. Prolonged periods of severe drought, and absence of water, can also result in direct and indirect health effects. Direct effects result from an expected increase in airborne and dust-related disease and nutrition-related effects such as malnutrition and mortality. Indirect effects are mental health effects, effects resulting from wildfire, effects of migration and damage to infrastructure.

High-risk and vulnerable populations

In both extreme heat and water events, certain populations are more vulnerable to physiological strain and have an increased exposure to exacerbated illnesses and elevated mortality risks. These populations comprise, but are not limited to, the elderly, infants, pregnant women, outdoor workers, people with pre-existing conditions, and groups under adverse socioeconomic conditions, including Indigenous populations and migrants.

Adverse health effects can be anticipated and averted, or at least mitigated, through targeted public health measures. Therefore, this Call for proposals addresses the negative ongoing and anticipated effects of extreme heat and/or water events due to climate change in an urban context and endeavours to find solutions that minimize the health impacts, mitigate associated health risks, and enhance the resilience of communities, especially in high-risk and vulnerable populations.

2.2.2 Potential research perspectives

Research initiatives should focus on reducing the health impacts of extreme heat and/or water events in cities and mitigating the health risks to safeguard human health, promote resilience to climate change, and foster equitable and sustainable communities. Within this context, potential research perspectives may consider fundamental research questions and/or applied research questions. Examples include, but are not limited to:

- I. What are current and future health effects of rising indoor and outdoor temperatures in cities? Which differences characteristics in between populations might explain different health effects of heat?
- II. How do global warming and urbanization influence the hydrological water cycle and how does this affect human health?

- III. What are the cumulative effects of heat and humidity, for instance on pollution and/or physical stress and/or pre-existing health conditions?
- IV. How to involve and inform the public with reliable information to create awareness and facilitate behaviour to prevent climate-related health effects in cities?
- V. Which changes in human behaviour are most effective within an urban context and under which conditions? What are good practices, and international examples?
- VI. How do we strengthen global public support for urban climate action on health and which action perspectives are crucial in this context?
- VII. What are current urban adaptation measures and possible innovations within cities that are focused on generating positive health outcomes related to extreme heat and/or water events? Has their effectiveness been evaluated?
- VIII. How can (local) health action plans be implemented, and urban planning and design be improved to enhance resilience in cities? Which early warning systems and/or nature-based solutions are needed?
- IX. What do decision-makers need to formulate policies that prioritize urban climate resilience and public health?

N.B. This call will not fund projects that have a sole focus on water or disaster management, drought, or mental health. Applications should revolve around solutions to the adverse health effects of extreme heat and/or water events.

2.3 Integrated research approach and international collaboration

2.3.1 Integrated research approach and co-creation

The challenges addressed in this call are interrelated and multi-scalar, and to reach impact require a holistic approach that spans the entire research and innovation chain. The consortia should crosscut scientific disciplinary boundaries (interdisciplinarity) and integrate scientific and practitioners' knowledge in joint research (transdisciplinarity). Research should focus on the entire knowledge chain, from fundamental to applied and practical research. The proposed research itself should be characterised by integrated perspectives. It should evolve in a process of co-creation with different partners: researchers from both countries and societal partners from public, semi-public and/or private organisations should be actively involved throughout the entire project, in (advising on) defining and conducting the research as well as in communicating the progress and results, in order to jointly produce a mutually valued outcome.

Applications should be based on a thorough review of existing knowledge and should preferably be complementary to existing research initiatives and reinforce these where possible. Project teams are encouraged to use a combination of quantitative and qualitative and quasi-experimental research methods, including operational research, and should include research-into-use approaches.

Projects are also expected to collaborate with other projects awarded in this call, so as to enhance the impact of the call as a whole. As a part of this, projects will be invited to attend a joint kick-off and midterm workshop, as well as a final meeting. Projects should budget for this accordingly, in the NWO budget using the budget module "Knowledge Utilisation", and in the FAPESP budget using "costing expenses>travel".

2.3.2 Fair research collaboration

For research partnerships to be effective, they have to be fair.² Proposals should be characterised by equitable partnership, equal gender distribution and sustainable collaboration among the partners in the consortium and with relevant stakeholders. Evidence of such active and significant engagement will be an element in the assessment of project proposals.

² NWO adheres to the *Research Fairness Initiative* of COHRED.

Consortium members, in close collaboration with team members and stakeholders, will steer the process of clarifying the demand; translate knowledge gaps into relevant research questions and approaches; formulate and submit the proposal; conduct, guide and advise on the research activities; coordinate and carry out communication and (possible) capacity strengthening activities; share (intermediary) research outputs with relevant practitioner communities; support and enhance the communication of the research outputs to a broader group of (local) stakeholders outside the consortium, and support the application of new knowledge and insights.

2.3.3 International collaboration

Applications should include inter-institutional cooperation, a balanced contribution to the proposed research, and frequent exchange between the partners, including exchange visits by both senior and junior researchers. Projects must organise a maximum of four research visits (in total) of a minimum of three months for PhD students and/or postdocs. Senior researchers should spend at least three weeks in total, over the duration of the project, on research visits (either to the state of São Paulo or to the Netherlands or both). Projects should budget for this accordingly, using the NWO budget module “Material” and using FAPESP’s “costing expenses”.

2.4 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. Societal impact here stands for changes that (partly) result from research-generated knowledge and skills. These changes contribute to the well-being of people, planet and society for this and future generations. Through its policy on impact, NWO and FAPESP promote 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. NWO and FAPESP encourage researchers to reflect on the potential desired and undesired impact of their research from a broad perspective.

2.4.1 Tailor-made impact

This call defines knowledge utilisation as an iterative process aimed at achieving societal impact, meaning cultural, economic, industrial, ecological or social changes that are (partly) the result of research-generated knowledge and skills. Through interaction and alignment between researchers and possible users of knowledge, the chances of knowledge utilisation and, accordingly, societal impact increase. NWO and FAPESP facilitate the possible contribution of research to societal challenges by encouraging productive interactions with societal stakeholders during the development and realisation of the research.

In this programme, the Impact Plan approach is applied. With this, NWO facilitates the development of an integrated strategy that will enable researchers and partners to purposefully increase the likelihood of achieving the desired societal impact.

NWO offers an e-learning module that can help interested parties via [Online impact workshops | NWO](#). For more information on our policy on impact, please visit the website: [Knowledge utilisation | NWO](#)

2.4.2 Impact plan approach

Applicants are asked to include an Impact Plan integrated into the research design that sets out the potential pathways for impact of the proposed research. In addition to having a societal or industry

partner within the consortium, consortia should consider how relevant stakeholders can be involved in, or benefit from, the design and realisation of the proposed project.

The Impact Plan consists of the following elements:

- A *Theory of Change* is a comprehensive description and illustration of how and why a desired change (impact) is expected to occur in a particular context. A Theory of Change is the missing link between what one does in a research study (the activities or interventions) and how that will lead to the realisation of the intended impact. Developing a Theory of Change is a joint effort with research partners as well as stakeholders, to allow for making explicit which (and whose) problem is being tackled, and how the desired change is perceived to happen through research efforts. Projections on expected change will be based on a myriad of assumptions; documenting these assumptions allows for reflection on whether and how expected pathways to impact remain adequate or need adjustment. A Theory of Change is not fixed, but rather reflected on continuously throughout the research process. For this reason, it is also used as part of the monitoring, evaluation and learning trajectory.
- The *Impact Pathway*, which is part of the Theory of Change, is the visualisation of the change process following from research execution as described in the Theory of Change (see the visualisation Box 1: Defining Output, outcome and impact, annex 7.3). It makes explicit how the research activities will lead to new insights (outputs), and how exchange of knowledge and the uptake of research output will contribute to desired changes in behaviour, relationships, actions and activities of partners and stakeholders (outcomes) that are considered essential to achieving the desired impact.
- *Productive interactions*: Exchanges between researchers and stakeholders in which knowledge is produced and valued that is both scientifically robust and socially relevant. Productive interactions are relational factors that promote (intermediate) knowledge utilisation and that can be consciously steered. The productivity of the interaction determines whether it contributes to knowledge utilisation. Examples of productive interactions are: formulation of research questions and approaches jointly with potential end-users such as practitioners, policy makers and industry (co-design), joint execution of research projects (co-creation), and interactive dialogue on research results. Interactions can be direct/personal, indirect or financial.
- A *Strategic Activity Planning* spells out how the proposed productive interactions contribute to achieving outcomes. Outputs do not automatically lead to outcomes; therefore, strategies are needed to plan and monitor how the consortium's efforts will enhance the potential for outcomes. This planning should include specific activities for:
 - *Stakeholder engagement*: who are the relevant stakeholders to engage with according to your context analysis, how are the productive interactions organised and when?;
 - *Communication strategy*: how are engagement dialogues organised and results exchanged and translated, and whose responsibility is it?;
 - *Monitoring, Evaluation and Learning*: how are results of activities monitored and evaluated, such so that assumptions can be tested and activities adjusted accordingly, and whose responsibility is it?;
 - *Capacity strengthening*: how are required capacities (of consortium partners and stakeholders) strengthened in order to achieve the outcomes, how is this organised and whose responsibility is it?

An important part of your Theory of Change and Impact Pathway is to identify assumptions and make them explicit. This concerns assumptions of the members of the consortium as well as stakeholders. Making these assumptions explicit can help you identify where change may happen in a different way than you envision, and where you may find that you need adjustment. Activities that are related to the Impact Plan should be placed under the budget module ‘Knowledge utilisation’ in the NWO budget, and/or can be requested from the FAPESP budget.

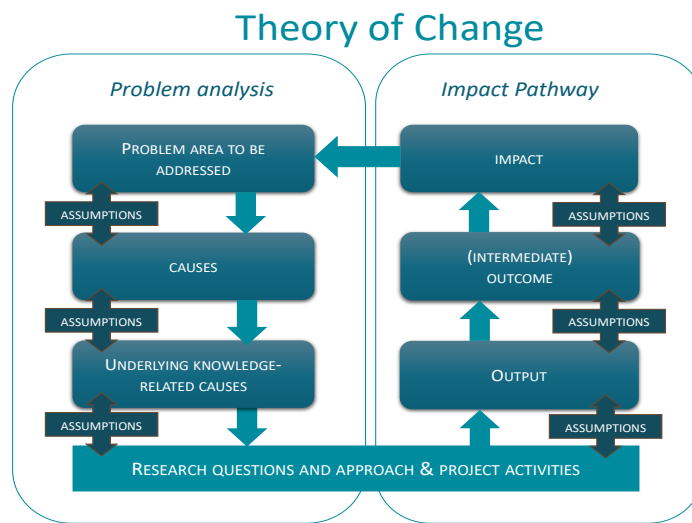
Box 1: Defining Output, outcome and impact

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

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

Research impact is defined as changes in economic, environmental and social conditions that a project or programme aims to contribute to. It is the “dot on the horizon” and often only realised years after the project has concluded.

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



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

Eligible consortia are composed of the following key members: one main applicant based at an organisation in the (Kingdom of the) Netherlands, as listed in section 3.1.1, one main applicant based in the State of São Paulo and at least one collaboration partner from a public, semi-public or private practitioner organisation (for-profit or not-for-profit) from the Netherlands or from Brazil. Proposals may also include one or more co-applicants based at an organisation in the Netherlands as listed in section 3.1.2, or based in the State of São Paulo.

All consortium partners, as well as relevant stakeholders, are expected to be engaged in all phases of the project execution, from its inception to sharing the (emerging) results. Evidence of such active engagement will be an important element in the assessment of project proposals and may be demonstrated through references to involvement in project preparation, active involvement as a project partner and links between the proposed research project and ongoing projects of NGOs, private enterprises, and/or policy implementation.

Each main applicant and consortium can only submit one proposal. A main applicant cannot participate as a co-applicant in other proposals. A co-applicant can participate in max. 2 proposals.

3.1.1 Main applicant / Principal Investigator (PI)

A “main applicant”, also referred to as a Principal Investigator (PI), is responsible both for the communication between the consortium members and NWO and FAPESP during the assessment procedure, as well as is bearing the main responsibility for the project, such as its technical and administrative coordination, and the scientific and financial reporting.

NWO main applicants

Researchers 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 research organisations:

- universities and universities of applied sciences (UAS) as referred to in Article 1.8 paragraph 1 of the Higher Education and Scientific Research Act and universities listed in the [Policy Rules for Universities](#) located in the Kingdom of the Netherlands;
- university medical centres by which is meant academic hospitals as referred to in Article 1.13 paragraph 1 of the Higher Education and Scientific Research Act;
- 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.

Main applicants may also be affiliated to other research organisations as referred to in Article 1.1, paragraph 4 of the NWO Grant Rules and which meet the following cumulative conditions.

The organisation must:

- be established in the Netherlands;
- be a foundation, association or legal entity governed by public law;

- have as its primary goal the independent conduct of its own fundamental research, industrial research or experimental development;
- be able to state that the organisation keeps separate accounts with regard to economic/non-economic activities and that undertakings with decisive influence on the organisation do not enjoy preferential access to the organisation's results.

NWO will not fund research organisations under this Call for proposals that are primarily engaged in the wide dissemination of the results of research activities by way of teaching, publication or knowledge transfer.

Please note: Prior to the submission of an application NWO assesses on the basis of the above-mentioned conditions whether an organisation complies with Article 1.1, paragraph 4 of the NWO Grant Rules and may therefore participate as a main applicant. NWO performs this assessment to preclude the granting of prohibited state aid. This assessment must also be conducted if an organisation was assessed within another NWO programme and was permitted as a main applicant.

The organisation of the prospective main applicant must provide the following documents no less than 10 working days prior to the submission deadline (meaning no later than **18 February 2025**, before 14:00:00 CET, at NWO) by email to Brazil-MF@nwo.nl.

- a recent extract from the Netherlands Chamber of Commerce;
- the deed of incorporation or current articles of association;
- the latest available annual accounts accompanied by an audit statement³;
- the completed Declaration Research organisation, available on funding page of this Call for proposals.

Other relevant documentation may be added. NWO may request additional information if the above documents are not sufficiently conclusive to determine whether the organisation may act as a main applicant.

If the organisation of the prospective main applicant does not submit the necessary documents for this assessment in time, NWO cannot accept the organisation as a main applicant.

Persons with a zero-hour employment agreement or with a contract for a limited period of time (other than a tenure track appointment) may not submit a proposal.

It could be the case that the applicant's tenure track agreement ends before the intended completion date of the project for which funding is applied for, or that before that date, the applicant's tenured contract ends due to the applicant reaching retirement age. In that case, the applicant needs to include a statement from their employer in which the research 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.

FAPESP main applicants

FAPESP funds researchers from eligible research and higher education institutions based in the State of São Paulo. Funding from FAPESP will be through the Thematic Project or Young Investigator Grant.

Eligibility requirements for the support modalities offered are available in the links below:

- Thematic Project Grant Proposal: www.fapesp.br/tematico;
- Young Investigator Grant Proposal: www.fapesp.br/jp.

³ 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.

3.1.2 Co-applicants

Co-applicants have an active role in realising the project.

NWO co-applicants

Co-applicants may be affiliated to the research organisations listed in Section 3.1.1, and to other research organisations as referred to in Article 1.1, paragraph 4 of the NWO Grant Rules and which meet the following cumulative conditions.

The organisation must:

- be established in the Netherlands;
- be a foundation, association or legal entity governed by public law;
- have as its primary goal the independent conduct of its own fundamental research, industrial research or experimental development;
- be able to state that the organisation keeps separate accounts with regard to economic/non-economic activities and that undertakings with decisive influence on the organisation do not enjoy preferential access to the organisation's results.

NWO will not fund research organisations under this Call for proposals that are primarily engaged in the wide dissemination of the results of research activities by way of teaching, publication or knowledge transfer.

Please note: Prior to the submission of an application NWO assesses on the basis of the above-mentioned conditions whether an organisation complies with Article 1.1, paragraph 4 of the NWO Grant Rules and may therefore participate as a co-applicant. NWO performs this assessment to preclude the granting of prohibited state aid. This assessment must also be conducted if an organisation was assessed within another NWO programme and was permitted as a co-applicant.

The organisation of the prospective co-applicant must provide the following documents no less than 10 working days prior to the submission deadline (meaning no later than **18 February 2025**, before 14:00:00 CET, at NWO) by email to Brazil-MF@nwo.nl.

- a recent extract from the Netherlands Chamber of Commerce;
- the deed of incorporation or current articles of association;
- the latest available annual accounts accompanied by an audit statement⁴;
- the completed Declaration Research organisation, available on funding page of this Call for proposals.

Other relevant documentation may be added. NWO may request additional information if the above documents are not sufficiently conclusive to determine whether the organisation may act as a co-applicant.

If the organisation of the prospective co-applicant does not submit the necessary documents for this assessment in time, NWO cannot accept the organisation as a co-applicant.

Persons with a zero-hour employment agreement or with a contract for a limited period of time (other than a tenure track appointment) may not submit a proposal.

It could be the case that the co-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 co-applicant's tenured contract ends due to the co-applicant reaching retirement age. In that case, the co-applicant needs to include a statement from their employer in which the organisation concerned

⁴ 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.

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.

NWO will not award funding if, in its view, the provision of funding would constitute State aid within the meaning of Article 107 of the Treaty on the Functioning of the European Union.

FAPESP co-applicants

- A. To hold a PhD or equivalent title;
- B. To have a formal employment with a São Paulo research institution.
 - B.1.) FAPESP might accept, under certain conditions, a non-employment type of affiliation. This association, however, must prove solidity in the academic dedication in a Research Institution of the State of São Paulo. In such cases, a consultation must be sent to FAPESP;
- C. Demonstrate an outstanding research record;
- D. Proven experience and competence in the field of the project, demonstrated by:
 - D.1.) Quality, regularity and impact of scientific and technological results of his/her research;
 - D.2.) Experience in training investigators at the graduate level;
 - D.3.) Experience in scientific exchange and research project development in collaboration with investigators from institutions in Brazil and other countries;
 - D.4.) Ability to form research groups that have delivered results recognized by the scientific community in the field.

3.1.3 Collaboration partner from a practitioner organisation

A consortium includes at least one partner from a public, semi-public or private practitioner organisation (for-profit or not-for-profit). They are closely involved with the research and impact plan, and can be from either the Netherlands or Brazil (not limited to the State of São Paulo). The collaboration consortium partners are jointly responsible for realising the entire project and should be included in the application form. This consortium member may or may not provide co-financing (financial or in kind) for the project proposal.

Please note: personnel of collaborating partners are excluded from payment of salaries and research costs from the NWO grant, unless they are hired through the NWO module “Material”. A public and/or private collaboration partner cannot receive funding from the FAPESP grant.

3.1.4 Main and co-applicants

The NWO main applicant submits the proposal via the NWO web application ISAAC and the FAPESP main applicant submits the proposal via SAGE, the electronic application and reporting system of FAPESP. They are both responsible for sharing the reviewer reports, information regarding the rebuttal and any further information with the rest of the consortium. The NWO and FAPESP main applicants will be informed of the grant decision by their respective funding agencies. They are responsible for informing each other and the rest of the consortium about this decision.

The research organisation 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.

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.

3.2 What can be applied for

Per project, a grant amount of at most € 700,000 can be applied for from NWO and a maximum of R\$ 4,000,000 can be applied for from FAPESP. The maximum duration of the proposed project is 5 years.

Reimbursable costs from NWO may include costs for personnel, equipment, knowledge utilisation and project management (See sections 3.2.1 to 3.2.5). The available budget modules for the NWO budget (including the maximum amounts) are listed below. Apply only for funding that is vital to realise the project. The rates and an explanation of the NWO budget modules are given in annex 7.1.

Applicants should complete two budgets, one specifying the costs to be covered by the NWO grant (by uploading a budget form via ISAAC) and one specifying the costs to be covered by the FAPESP grant (via SAGe).

Applications should display a balanced partnership, not specifically in monetary terms, but with equivalent research commitment and efforts from both sides of the consortium. Each country has different currencies and costs, therefore please do not strive to have an exact equal amount from the NWO and FAPESP budgets, but rather focus on a balanced partnership in terms of research efforts.

3.2.1 Personnel

Funding may be requested for salary costs of personnel contributing to the project. The amount depends on the type of appointment and the organisation where the personnel is employed.

3.2.1.1 Personnel at a university in the Kingdom of the Netherlands, umc or a research organisation

For personnel working at a university in the Kingdom of the Netherlands, university medical centre (umc) or another research organisation, as referred to in Article 1.1, first paragraph, subparagraphs c to h of the NWO Grant Rules salary costs can be claimed for the following positions: PhD student, Engineering Doctorate, postdoc, physician-researcher, non-scientific personnel (NWP) and for research leave of the applicants.

Research leave can be requested for up to 5% of the grant amount.

Funding for the Engineering Doctorate (EngD) position can only be applied for if funding for a PhD student or postdoc is also applied for.

3.2.1.2 Personnel of universities of applied sciences, educational institutions, TO2 institutes and other organisations

It is possible to claim salary costs of personnel of universities of applied sciences, educational institutions, TO2 institutes and other organisations.

3.2.1.3 Students

It is possible to engage students in the project if they are studying at a research organisation as referred to in Section 3.1. You can enter the costs of this as material costs within the project. There is no maximum on the number of students who can participate in the project.

3.2.1.4 Scientific personnel at a research organisation abroad

It is possible to claim salary costs for scientific personnel from foreign research organisations. A maximum of 50% of the grant amount can be requested for personnel at research organisations abroad.

N.B.: In this call, NWO budget for personnel at research organisations abroad may not be requested for researchers based in the State of São Paulo. Costs for researchers based in the State of São Paulo should be budgeted to the FAPESP budget.

3.2.2 Material

Funding may be requested for all project-specific material costs. These costs are subject to a maximum of 25% of the grant amount allocated for personnel costs. A maximum of 50% of the grant amount for material costs can be requested for research organisations abroad.

N.B.: In this call, NWO budget for project-specific material costs may not be requested for research organisations based in the State of São Paulo. Costs for project-specific material costs for research organisations based in the State of São Paulo should be budgeted to the FAPESP budget.

3.2.3 Knowledge utilisation

Funding can be requested for activities that promote the use of knowledge from the research,⁵ in order to increase the societal impact of the research.

Impact Plan: it is mandatory to include an amount for knowledge utilisation. These costs are at least 5% and maximum 20% of the grant amount. A maximum of 50% of the grant amount for knowledge utilisation can be requested for research organisations abroad.

N.B.: In this call, NWO budget for knowledge utilisation costs may not be requested for research organisations based in the State of São Paulo. Knowledge utilization costs for research organisations based in the State of São Paulo should be budgeted to the FAPESP budget.

3.2.4 Project management

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

3.2.5 Eligible costs from FAPESP

Funding and costs requested by the São Paulo researcher to FAPESP must be in accordance with FAPESP norms for (i) Thematic research project or (ii) Young Investigator Award. Research projects can have a maximum duration of 5 years, respecting norms of each modality as exposed in mentioned types of funding by FAPESP. Exceptionally in this Call for proposals the maximum amount requested is R\$4,000,000 (including all overheads and scholarships).

Thematic Research Project

Requests can include equipment, consumables, services, travel allowances and the fellowships: Post-doctoral, Masters, PhD, Direct PhD, Scientific Initiation, Technical Training, Scientific Journalism and Pedagogical Skills. Exceptionally for this call for proposals, FAPESP will allow the request for Master and PhD scholarships. All other guidelines must adhere to the rules of the respective funding scheme (www.fapesp.br/tematico).

Young Investigator Award

Request can include equipment, consumables, services, travel allowances and the fellowships: Masters, Direct PhD, Scientific Initiation, Technical Training, Scientific Journalism and Pedagogical Skills. Exceptionally for this call for proposals, FAPESP will allow the request for PhD and post-doctoral

⁵ All activities applied for under this budget module must fit within the definition of "Knowledge Transfer Activities" used by the European Commission in the Framework for State Aid for Research, Development and Innovation (OJEU 2022, C 414).

scholarships. All other guidelines must adhere to the rules of the respective funding scheme (www.fapesp.br/jp).

3.2.6 Program level meetings

Consortia should budget for their participation in program-level meetings in their application, in both FAPESP and NWO budgets (NWO requires that at least € 15,000 of the NWO grant be allocated to this). Please include travel costs for PIs and Co-PIs to attend 2 programmatic meetings in the other country. See also sub-heading 'Reporting and meetings', under Section 5.1. Consortia are advised to also request funds for hosting one of the Program level meetings, so covering basic workshop organisation costs.

3.3 Preparing an application

Submission of the partnership request form (not mandatory);

In the partnership request form potential applicants can indicate their expertise and whether they are looking for:

- partners to join your research initiative;
- a consortium to join as a co-applicant;
- a consortium to join as collaboration partner.

The forms will be used for matchmaking purposes. All applicants are invited to participate in a virtual matchmaking event as part of the information webinar, which is intended to generate links between potential consortia members. Prior to the event, the research initiatives will be placed online on the event webpage. Filling in the partnership request form and attending the matchmaking is not mandatory.

Webinar (not mandatory)

A webinar on the Call for proposals and the Impact Plan approach will be held in December 2024. In this webinar, participants will be given more information regarding the Impact Plan approach, as well as have the opportunity to ask questions and participate in a virtual matchmaking. More information, including the link to join the webinar, will be made available on the Cooperation Brazil-the Netherlands programme [page](#).

Application

The steps involved in writing your application are:

- download the application form from the NWO web application ISAAC, or from the NWO web page (on the grant page of the funding instrument concerned);
- complete the application form;
- NWO main applicant saves the application form in ISAAC as a PDF file and uploads it with any compulsory annexes;
- fill in the requested information online in ISAAC.
- FAPESP main applicant fills in the requested information in SAGE, including the budget (online form only), and also uploads the proposal and required documentation in SAGE.

Compulsory annexes:

- excel budget form for NWO;
- letters of commitment from the organisations of the main applicants and co-applicant(s) (see funding page); in which the institution or organisation confirms that they agree to the conditions required for the execution of the project and that the main- and co-applicants have the necessary appointment.
 - This letter may also confirm any contributions by the organisation (in FTE and/or financially), such as the fourth year of a PhD trajectory or additional time from main applicants and/or co-applicants not covered by the NWO grant. If it concerns a contribution to a PhD or postdoc position in the Netherlands, please confirm the numerical amount that is contributed in accordance with the UNL salary tables.

- The letter must be signed by the Dean of the faculty or director of the organisation and be printed on the letterhead of the institution or organisation (see funding page);
- declaration of support from collaboration partner(s) (see funding page);
 - in case of co-funding: a declaration co-funding from the co-financing institution confirming the numeric amount that will be provided as co-financing (see funding page);
 - a draft consortium agreement (see funding page);
 - CVs of the main applicants, co-applicant(s) and collaboration partner(s) (each max 1 A4 page).

The appendix must be drawn up in accordance with the template provided by NWO and FAPESP. Annexes must be uploaded in ISAAC separately from the application. The budget must be submitted in ISAAC as an Excel file. All of the other annexes, except for the budget, must be submitted as PDF files (without encryption). Any annexes other than those stated above are not permitted.

You must write your application in English.

Submission to NWO

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 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 research 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 research organisation that is not included in the ISAAC database? You can report this via relatiebeheer@nwo.nl so that the research organisation can be added. This will take several days. It is therefore important that you report this at least one week before the deadline.

Applicants are expected to have informed the research organisation where they work about submitting the application and that the research organisation accepts the grant conditions of this Call for proposals.

Submission to FAPESP

The FAPESP main applicant in the State of São Paulo must submit the proposal to FAPESP via SAGe. All the documents required by the SAGe platform must be attached to the online submission. Proposals lacking mandatory documents will be returned without merit review.

The NWO main applicant must also create a complete login in SAGe, and confirm their participation in the project. This can be done by accessing SAGe in English in the option "Not registered?". The researcher must fill out all fields marked as mandatory " * ".

After having been nominated as a participant in the research proposal, the NWO main applicant must confirm participation in the project in SAGe. It is not required that other members of the NWO funded consortium register in SAGe.

When submitting the proposal, pay attention to the mandatory completion of all items marked with " * ".

IMPORTANT: It is strongly recommended to complete and submit the proposal in the system well in advance and that the researcher periodically checks the pending proposals using the "Validate" option in SAGE. This can be done repeatedly as the proposal is constructed, allowing all necessary changes for submission to be made on time. When selecting the "Validate" option, the SAGE system will present the pending issues that impede the submission of the proposal considering the items that were inserted. Within SAGE, under the "Guides" link, it is possible to find documents that explain how to register users. In case of doubts about the use of SAGE, in addition to the Manuals, FAPESP also provides assistance through the Converse with FAPESP service at [converse \(https://fapesp.br/converse\)](https://fapesp.br/converse).

3.4 Conditions for submission

3.4.1 Formal conditions for submission

NWO and FAPESP will assess your application against all the conditions set out in this Call for proposals, including the conditions listed below. Your application will only be admitted to the assessment procedure if it meets these conditions. After submitting your application, NWO and FAPESP request you to be available to implement any possible administrative corrections so that you can (still) meet the conditions for submission.

These conditions are:

- the main applicants and co-applicant(s), as well as the composition of the consortium as a whole, meet the conditions stated in Section 3.1;
- the application complies with the DORA guidelines as described in Section 4.1;
- the application is submitted via the NWO main applicant's ISAAC account;
- the application is submitted via the FAPESP main applicant's SAGE account;
- the NWO main applicant has confirmed their participation in the project via SAGE;
- the application is received before the deadline;
- the application is written in English;
- the application budget is drawn according to the terms of this Call for proposals (using the format made available which includes the most recent rates);
- the proposed project has a duration of maximum 5 years;
- all required annexes, after a possible request for additions or changes, have been completed and submitted completely and according to the instructions and in accordance with the terms of this Call for proposals.

3.5 Conditions on granting

The [NWO Grant Rules](#) and the Agreement on the Payment of Costs for Scientific Research are applicable to all grants awarded by NWO. The FAPESP grant rules are applicable to all grants awarded by FAPESP.

3.5.1 Compliance with the National Knowledge Security Guidelines

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

Applicants are responsible for ensuring that their project complies and will continue to comply with the Guidelines. By submitting an application, the applicant commits to the recommendations stipulated in these Guidelines. In the event of a suspected breach of the Guidelines in an application

submitted to NWO for project funding, or in a project funded by NWO, NWO may ask the applicant to provide a risk assessment demonstrating that the recommendations in the Guidelines have been taken into consideration. If the applicant fails to comply with NWO's request, or if the risk assessment is in apparent breach of the Guidelines, this may affect NWO's grant award or decision-making process. NWO may also include further conditions in the award letter if appropriate.

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

3.5.2 Data management

Responsible data management is part of good research. NWO and FAPESP want research data that emerges from publicly funded research to become freely available. Furthermore NWO and FAPESP want to raise awareness among researchers about the importance of responsible 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 and FAPESP expect 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 and considered an integral part of the project. Though the evaluation of this section will not receive a separate weight, its compatibility with the proposal and feasibility will be taken into consideration in the overall assessment. Both the referees and the committee can issue advice with respect to the data management section.

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. Proposals that are awarded will be requested to submit a Data Management Plan (DMP) to NWO that should be compatible with the project's data management section. This DMP will be evaluated as to compatibility and feasibility, and researchers may be asked to correct it to ensure appropriate data handling during the project. DMPs can be updated during the project. A detailed DMP should also be submitted to FAPESP.

3.5.3 Scientific integrity

In accordance with the NWO Grant Rules, the project that NWO funds under this Call for proposals 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) (for NWO applicants) and in addition in accordance with the FAPESP Code of Good Scientific Practice (for FAPESP applicants). By submitting the proposal, the applicant commits to the applicable standard for scientific conduct. In the case of a (possible) violation of these standards during a project funded by NWO and FAPESP, the applicant should immediately inform NWO or FAPESP of this and should submit all relevant documents to NWO or FAPESP. More information about the code of conduct and the policy regarding research integrity can be found on the website: [Scientific integrity | NWO](#) and [Boas Práticas Científicas \(fapesp.br\)](#).

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.

It is the responsibility of the main applicants, in conjunction with their institutions, to ensure that all research activities comply with the laws and regulations of the country in which the research activities are conducted.

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

3.5.5 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 ([Home - ABS Focal Point](#)). NWO assumes that researchers will take all necessary actions with respect to the Nagoya Protocol.

3.5.6 Co-funding

All applications are subject to the Co-funding Scheme.

Additional definitions:

- Co-funding in kind: capitalised personnel and/or material contributions from users;
- Co-funding in cash is used to cover part of the total project costs and together with the grant provided by NWO constitutes the required financial resources.

Co-funding is not mandatory in this Call for proposals. However, it is possible to add co-funders in the proposal. A distinction is made between co-funding in cash (to be invoiced by the applicant), which serves to cover the budget of the project activities described in the proposal, and co-funding in kind, which may consist of personnel and/or material contributions from the organisations involved.

The following principles apply to co-funding:

- NWO is the main funder of an application. Applications of which the co-funding from co-funders exceeds 49% of the total project costs will not be taken into consideration;
- Co-funding in cash, is the net amount paid by a co-funder to the applicant. The applicant invoices co-funding in cash and, if applicable, VAT to the co-funder.

Not eligible as co-funding in cash are⁶:

- Grant provided by NWO;
- Co-funding may not come from parties that according to this Call for proposals can apply for funding to NWO.

⁶ Ineligible co-funding in kind is described in the Co-funding Scheme

Co-funding declaration of participating co-funders

In a co-funding declaration the co-funder expresses financial support for the project and confirms the co-funding promised. Co-funding declarations from co-funders, which are mentioned in the application, are compulsory as attachments when submitting the proposal. The co-funding declaration must be signed by an authorised signatory of the co-funder. NWO provides a compulsory format for the co-funding declaration on the funding page of this Call for proposals on the NWO website and in ISAAC.

If the application is awarded, the co-funder must confirm its contribution(s) in the consortium agreement. This agreement also contains further agreements between the co-funder(s) and the applicant(s) (see Section 5.3).

Justification co-funding in cash and in kind

The ratio of co-funding (both in cash and in kind) to the grant provided by NWO in this Call for proposals, applies from submission of an application until the grant is determined. Co-funding in cash affects the grant amount provided by NWO because both NWO's contribution and co-funding in cash are used for the same project-specific costs (unlike co-funding in kind).

One-off indexing due to other applicable rates after submission does not affect the ratio and co-financing requirement for the NWO contribution. For this, NWO assumes the ratio in the application budgets accepted by NWO.

After determination of a project the final grant amount is settled on the basis of the final report, the financial conditions and the co-funding ratio as present in the application budget.

In case of partly provided co-funding in cash (due to unforeseen circumstances, such as bankruptcy) NWO's contribution is based on the original grant award, taking into account the co-funding in cash that was provided and the applicable minimum co-funding requirement, if applicable.

Co-funding in cash in excess of the co-funding requirement affects the applied ratio of co-funding to grant provided by NWO. If a project has co-funding in cash in excess of the co-funding requirement and partial in cash co-funding has been provided at determination, the NWO contribution is never more than the original contribution from the grant award. The ratio of the NWO contribution is then at most the contribution that follows from the co-funding requirement.

At all times NWO must be notified of problems in expected co-funding (in cash and/or in kind). In addition to financial implications for a project, NWO may also require adequate changes to a project as a change request so that research can be continued to the best of its ability.

3.5.7 Programmatic coherence

The main applicants, researchers and other consortium members are expected to contribute to knowledge exchange and knowledge utilisation at a programme level, and to participate in and contribute to the meetings organised for that purpose. This includes a joint kick-off and midterm workshop with all projects of the call, as well as a final meeting. These events can take place in hybrid form, but in-person gatherings are encouraged at least once in the duration of the projects. This is in addition to the activities organised by the individual projects for this purpose. Consortia should budget for their participation in these program-level meetings in their application, in both FAPESP and NWO budgets (NWO requires that at least € 15,000 of the NWO grant be allocated to this). Please include travel costs for PIs and Co-PIs to attend 2 programmatic meetings in the other country. See also sub-heading 'Reporting and meetings', under Section 5.1.

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 and FAPESP strive 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 and FAPESP encourage referees and members of an assessment committee to be actively aware of implicit associations and to try to minimise these. NWO and FAPESP 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 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 [DORA | NWO](#).

4.2 Procedure

The application procedure consists of the following steps:

- Submission of the proposal;
- Admissibility of the proposal;
- Peer review by referees;
- Rebuttal;
- Pre-advicing of the International Assessment Committee (IAC);
- Meeting of the International Assessment Committee (IAC);
- Decision-making by the Board of Trustees of FAPESP and the NWO Executive Board.

An external, independent IAC will be assigned for this Call for proposals, consisting of representatives from science and practice with knowledge of the field. The task of the IAC is to assess the applications and the relevant documents that are submitted, in conjunction with each other and with regard to

both the respective merits of each application and the assessment criteria outlined in this Call for proposals.

4.2.1 Submission of the 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 must have been received before the deadline via ISAAC and SAGe (see Section 1.3). After this deadline, you can no longer submit a proposal. After submitting the proposal, the NWO and FAPESP main applicants 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 and FAPESP whether or not your proposal will be taken into consideration. NWO and FAPESP will determine this based on several administrative-technical criteria (see the formal conditions for submission, Section 3.4). NWO and FAPESP 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 and FAPESP 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 the opportunity to make the corrections, and you will be given five working days to do this. If needed, a second opportunity may be granted with a maximum of two working days.

4.2.3 Peer review by referees

Prior to the IAC considering your proposal, NWO and FAPESP 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).

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

4.2.4 Rebuttal

The NWO main applicant subsequently receives the anonymised referee reports. The NWO main applicant, on behalf of the whole consortium, then has the opportunity to formulate a rebuttal. You will be given ten 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 call secretariat (see Chapter 6. Contact) 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.

4.2.5 Pre-advice of the International Assessment Committee (IAC)

After this, your proposal, the referees' reports and your rebuttal will be submitted for comments to several members of the IAC (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).

4.2.6 Meeting of the International Assessment Committee (IAC)

The IAC will make its own assessment based on the available material. Although the referees' reports and pre-advises will 'guide' the final assessment to a large extent, it will not be blindly accepted without question by the IAC. The IAC will consider and compare the arguments of the referees and pre-advisers (also amongst each other) and examine whether the rebuttal contains a well-formulated response to the critical comments from the referee reports. Furthermore, the IAC, unlike the referees, will assess the quality of all the proposals and rebuttals submitted. Therefore, the IAC's assessment may differ from that of the referees.

The IAC draws up a written recommendation addressed to the NWO Executive Board and the FAPESP 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 "very 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](#).

If, after the discussion of the proposals, two or more of the proposals cannot be distinguished from each other based on their weighted total score, then this will result in an ex aequo situation (see Section 4.2.7).

4.2.7 Ex aequo

NWO and FAPESP understand 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 borders of the available budget or the selection borders. The existence of an ex aequo situation is determined as follows. The starting point in this process is the ranking drawn up by the IAC, with the final scores rounded down to two decimal points. The reference score here is the score of the lowest-ranked proposal within the borders of the available budget or the selection borders. All proposals with a score that is within 0.05 or less of the reference score will be considered. In this way, the proposals that are equal within a score of 0.1 will be selected. If an ex aequo situation occurs at the borders of the available budget or the selection borders, and after discussion the committee concludes that there is no clear distinction in their assessment and the proposals should indeed be considered ex aequo, then the proposal with the highest score for the criterion the 'Quality of the research' will be ranked highest. If the proposals subsequently still remain tied, then the IAC, with the help of an (anonymous) majority vote, will determine the ranking (in accordance with Article 2.2.6, paragraph 5, of the NWO Grant Rules). If this vote also fails to provide a resolution, or if it is deemed to be undesirable to vote, then the ex aequo situation will be sent onto the NWO Executive Board and the Board of Trustees of FAPESP.

4.2.8 Decision-making by the Board of Trustees of FAPESP and the NWO Executive Board

Finally, the NWO Executive Board and the Board of Trustees of FAPESP will assess the procedure followed as well as the advice from the IAC and the advice of the FAPESP Executive Board. They will subsequently determine the final qualifications and make a decision over awarding or rejecting the proposals. The decision becomes definitive when the NWO Executive Board and the Board of Trustees of FAPESP have come to the same provisional decision.

After the proposal has been awarded funding, the composition of the IAC is expected to change. This IAC may provide feedback on the project reporting throughout the project's run time and be consulted on an ad hoc basis to advise the projects. More information about the IAC will be provided in the award letter.

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.

Timetable Call for proposals

5 november 2024 at 23:59:00 GMT-3	Deadline partnership request forms <i>(not mandatory)</i>
December 2024	Information webinar and matchmaking event <i>(not mandatory, virtual)</i>
18 February 2025 before 14:00:00 CET	Submission of documentation for co-applicant in accordance with Section 3.1.2
4 March 2025 <ul style="list-style-type: none"> ▪ before 14:00:00 CET for the submission to NWO; and ▪ at 23:59:00 GMT-3 for the submission to FAPESP 	Deadline proposals
March - May 2025	Referees consulted
June 2025	Applicants can submit a rebuttal
July 2025	International Assessment Committee meeting
September 2025	Decision by the Board of Trustees of FAPESP and the NWO Executive Board

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:

- I. Quality of the research*
- II. Potential for societal impact*
- III. Quality of the consortium*

The criteria carry equal weight and each count for one-third of the final assessment.

The assessment criteria are further operationalised below:

- I. Quality of the research*
 - Scientific importance and innovativeness of the research questions and approach;
 - Degree to which the proposal substantiates convincingly how the research relates to the thematic focus of the Call for proposals as described in Section 2.2;

- Complementarity to other research programmes or (inter)national research agendas;
- Rigour of the research design: adequacy, feasibility and coherence of the research approach and methodology in view of the problem addressed;
- The research is inter -or transdisciplinary; and incorporates these scientific disciplines to address the problem, as well as knowledge from outside the scientific community;
- Adequacy of the budget.

II. Potential for societal impact

- Relevance for society and potential for societal breakthroughs;
- Suitable involvement of target groups, convincingly responding to their demand;
- Quality of the impact plan:
 - i. a clear problem statement, analysis and vision on the desired societal impact;
 - ii. a logical impact pathway presenting plausible pathways to societal impact;
 - iii. appropriate and feasible strategic activity planning;
 - iv. relevant stakeholder involvement in the development and execution of the impact plan.

III. Quality of the consortium

- Suitability of the consortium partners' expertise in relation to the research project;
- Potential for long term knowledge relations;
- Quality of the Brazilian-Dutch collaboration, including fair and equitable partnership.

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 Start and runtime of project

The project should start no later than 6 months after the project is awarded. The same start date should be considered for the FAPESP funded and NWO funded projects. If the project has not started within this timeframe, the NWO Executive Board and the Board of Trustees of FAPESP can decide to revoke the granting decision.

Start documents

The NWO PI and the FAPESP PI are responsible for ensuring the necessary documents for the start of the project are submitted to their respective funding agencies, so that the project in its entirety can start on time.

NWO

The project can start if the following documents have been approved by NWO:

- A start form;
- A data management plan;
- A consortium agreement, signed by all consortium organisations;
- (If applicable) approval of relevant ethics committees.

FAPESP

The project can start if all documents requested via SAGE are signed and agreed by the FAPESP PI, and by the Head of the department or institution.

Reporting and meetings

There will be several reporting moments and meetings throughout the duration of the projects. The reporting and meeting summary below gives an overview of these moments and more information about what it entails.

Reporting and meetings summary (dates to be confirmed)	
6 months after awarding	Projects start
Beginning of Year 1	Joint in-person kick-off workshop with other project teams, FAPESP, NWO and external stakeholders (Teams to also organise own kick-off workshop)
End of Year 1	Annual report Joint virtual meeting with other project teams, FAPESP and NWO
Halfway the project duration	Midterm report Joint in-person midterm workshop with other project teams, FAPESP, NWO, International Assessment Committee members and external stakeholders (Teams to also organise own midterm workshop)

End of Year 4	Annual report Joint virtual meeting with other project teams, FAPESP and NWO
End of Year 5	Joint in-person final meeting with other project teams, FAPESP, NWO and external stakeholders (Teams to also organise own final workshop)
Three months after projects end	Final report

Annual report

The project consortia will be asked to submit a report after the first year and after the fourth year. This report will be jointly written by the consortia from both countries, who will receive instructions and a format for this report in advance. The same reports should be submitted to FAPESP and NWO. A draft version of the report should be input for a yearly (virtual) project meeting where the progress of the research is discussed. A final version version can be submitted after that yearly project meeting.

Midterm report

The projects will also be evaluated halfway the projects’ running time (so after 2.5 years) by doing a self-assessment. This includes a workshop, organised by the consortium, and sharing and discussing the results with stakeholders from outside the project team. Consortia should include this workshop in their budget. The midterm report will be based on the conclusions of the workshop, including a reflection on and, if required, revision of the impact plan, the underlying assumptions and the indicators. The IAC created by FAPESP and NWO may evaluate the progress of the projects based on midterm reports submitted by the consortia. Interviews or field visits may be organised to evaluate the progress and impact of the projects. The IAC may give recommendations to the projects based on their evaluations.

The midterm report of all the projects granted under this Call for proposals need to be submitted before the joint midterm workshop and will be used as input for organising this midterm workshop.

Final report and final accountability to NWO

A substantive final report should be submitted within three months after the end of the project’s runtime, detailing the research done and the achieved results, as well as a reflection on the project’s impact plan and its indicators. As part of this, projects will be asked to again complete a self-assessment, and hold a final workshop and a discussion with stakeholders from outside the project team. The final substantive report may again be evaluated by the IAC, created by FAPESP and NWO.

There will also be a joint final workshop before the projects end, with the other project teams, FAPESP, NWO and external stakeholders. Both final workshops should also be taken into account in the consortium’s budget.

Simultaneously, the NWO PI together with the controller/financial manager of the institution should submit a signed financial end report, organised according to the budget lines of the approved NWO budget. The report should detail, among others, the effective duration (period) and size (fte) of the personnel appointed to the project, and, if applicable, how eventual replacements were arranged. The realised in-cash and in-kind co-funding should also be accounted for.

If the NWO PI is not based at a knowledge institution that is subject to the education accountants protocol of the Ministry of Education, Culture and Science, an external audit report must also be submitted (in English). NWO reserves the right to conduct an external financial audit.

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

Final report and final accountability to FAPESP

Deadlines for submitting Scientific and Financial Reports are defined in the Grant or Fellowship Contract. Their submission within stipulated time limits is essential for the release of the remaining balances of the awarded grant.

Eventual balances will be automatically cancelled on the very date stipulated in the Grant Contract to be the end of the project.

The Financial Report must be written according to the model available at [Prestação de Contas e Uso de Recursos \(fapesp.br\)](#).

Upon submission of the Final Scientific Report, the FAPESP PI must provide a link to a webpage that describes how to access the data made available by the project. This link can be provided upon submission of the first Scientific Report, and is compulsory upon submission of the Final Report.

Publications

When publishing the results of the subsidised research, the support by NWO and FAPESP should be mentioned.

5.2 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 research organisation where the project will be realised. 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](#). The data management plan should also be submitted to FAPESP.

5.3 Intellectual property 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.

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

After a proposal has been awarded funding, the conclusion of a 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.

5.4 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 NFW factsheet "[Ten principles for Socially Responsible Licensing | NFW](#)".

5.5 Open Access

NWO, as a signatory to the Berlin Declaration (2003) and a member of cOAlition S (2018), and FAPESP are committed to making the results of the research it funds openly accessible via the internet (Open Access). 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 [Home | 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 NWO

Costs for publication in fully Open Access journals can be budgeted in the application using the NWO 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](#).

Costs FAPESP

For projects approved in this Call for proposals, FAPESP may approve an additional budget for the payment of article processing charges so that they are made available, in the accepted version (after review), in immediate open access (without embargo). This request will be analyzed if the first author, the corresponding author or the last author is a member of the research team of the state of São Paulo and if the cost is too high for the use of resources from the Overheads approved in the project ("Reserva Técnica"). This must be requested via SAGE in the field Request for Changes - Budget (Solicitação de Mudança – Alteração de Orçamento).

6 Contact and other information

6.1 Contact

6.1.1 Specific questions

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

– NWO: email: Brazil-MF@nwo.nl, Puck Brouwers, tel. +31 6 57 63 69 16

– FAPESP: email: chamada-nwo@fapesp.br

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

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.

7 Annex(es):

7.1 Budget modules and rates

7.1.1 Personnel

PhD student

A PhD student is appointed for 48 months for 1.0 FTE at a university in the Kingdom of the Netherlands, umc or research organisation as referred to in Article 1.1 of the NWO Grant Rules. The equivalent of 48 full-time months, e.g. a 60-month appointment for 0.8 FTE, is also possible. It is possible to apply for a shorter appointment period in special situations. This must be properly justified. This will be assessed by the assessment committee. If a project lasts less than 48 months, it is necessary for the dean or institute director to provide a written commitment to fund the remaining part of the PhD trajectory. It is not possible to apply for funding for a PhD student who started the project to be funded before the grant is awarded.

Please use the rates of a PhD student in the salary tables of UNL and NFU. A one-off personal bench fee of €5,000 is available for each PhD student to stimulate the scientific career.

Engineering Doctorate degree (EngD)

An Engineering Doctorate (EngD) is appointed for a maximum of 24 months for 1.0 FTE. The EngD is employed by the applying research organisation and may, during the research, perform work at an industrial partner for a fixed period of time.

Funding for the appointment of an EngD may only be requested for if funding for a PhD student or postdoc is also applied for. It is not possible to apply for funding for an EngD who started the project to be funded before grant is awarded.

Use the rates of a PhD student in the salary tables of UNL and NFU. A one-off personal benchfee of €5,000 is available for each EngD to stimulate the scientific career.

Postdoc

A postdoc is appointed to a university in the Kingdom of the Netherlands, umc or research organisation as listed in Section 3.1.

Use the rates of a senior academic employee in the salary tables of UNL, and the rates of a postdoc at an umc in the salary tables of NFU.

It is not possible to apply for funding for a postdoc who started the project to be funded before the grant is awarded.

Only a postdoc position with an appointment of at least 12 months for 0.5 fte qualifies as an appointment for which a one-off personal benchfee of €5,000 is available to boost the scientific career.

Physician-researcher

Funding may be requested for the appointment of a basic physician or physician-assistant as a physician-researcher to conduct scientific medical research at an umc. A physician-researcher is appointed for 1.0 FTE for a minimum of 36 and a maximum of 48 months. The equivalent of 36 or 48 full-time months, e.g. a 48 or 60-month appointment for 0.8 FTE, is also possible. It is possible to apply for a shorter appointment period in special situations. This must be properly justified. This will be assessed by the assessment committee. If a project lasts less than 48 months, it is necessary that the dean or institute to provide a written commitment to fund the remaining part of the PhD trajectory.

It is not possible to apply for funding for a physician-researcher who started the project to be funded before the grant is awarded.

Use the (medical) researcher rates in the NFU salary tables. For each physician-researcher, a one-off personal bench fee of €5,000 is available to stimulate the scientific career.

Non-scientific personnel

Funding may be requested for non-scientific personnel (NWP) needed to execute the project. These may include, for example, programmers, technical assistants, analysts or project leaders. The use of NWP must be described in the proposal.

The duration of the appointment cannot be longer than the duration of the project funded by NWO. Depending on the job level, a choice is made from the UNL or NFU salary tables for NWP-mbo, NWP-hbo and NWP-academic. No one-off personal benchfee is available for NWP.

Research leave

This budget module allows funding to be applied for the costs of research leave for the main and/or co-applicant(s). This allows the relevant applicant's employer to cover the costs to release them from teaching, supervisory, administrative or management duties (not research duties). The applicant may only use the time released by this research leave for work on the project. The proposal must describe what project-related work the applicant(s) will perform during the exempted time.

NWO will fund the research leave on the basis of the salary rates of a senior academic employee (UNL) or postdoc (NFU) applicable at the time of the decision date.

Personnel of universities of applied sciences, TO2 institutions, educational institutions and other (research) organisations

Funding may be requested for personnel of universities of applied sciences, TO2 institutions, other educational institutions and other (research) organisations. The rates are determined using the Government Tariff Manual (HOT), Table 2 average total salary cost per salary scale, column 'Hourly rate productive hours, excluding VAT'. The salary scale of the requested position determines the rate from the HOT table.

For organisations that do not use the CAO of the Government of the Netherlands or similar (such as the CAOs of hbo, mbo, secondary education and local authorities), the following salary scales from the HOT apply: Project assistant: scale 6. Junior (researcher): scale 10. Medior (researcher): scale 12. Senior (researcher): scale 13. Director: scale 16.

Students

Students may be engaged in research. If the students contribute as part of their curriculum, the rate according to the usual internship fee of the university or universities of applied sciences applies.

If students contribute as a secondary job alongside their studies as student assistants, the rate according to HOT table 2 scale 1 applies.

Scientific personnel at a research organisation abroad

Funding may be requested for personnel costs of a foreign research organisation contributing to the project. The foreign research organisation must meet the definition of research organisation in Article 5.1(p) of the NWO Grant Rules.

Substantiate convincingly how the researcher of the foreign research organisation contributes specific expertise to the project which is not available in the Netherlands at the level required for the project. The assessment committee assesses this substantiation as part of the criterion I. Quality of the research. This substantiation is not necessary when NWO has concluded a bilateral agreement on *Money Follows Cooperation* with the national research financier of the country where the foreign research organisation is located. The [NWO website](#) lists the research funders with which NWO has such an agreement. NWO does not award grants to co-applicants abroad who are subject to applicable sanction legislation.

The main applicant receives the grant and is responsible for transferring grant funds to the co-applicant's foreign research organisation and for accounting for the use of the foreign part of the grant. The exchange rate risk lies with the applicant. Benefits or expenses due to exchange rates are not eligible.

Use UNL rates adjusted for [country correction coefficients](#). These rates are maximums. No one-off personal benchfee is available.

If more than €125,000 per organisation is requested within this budget module, an audit certificate is required with the final financial statement.

N.B.: In this call, NWO budget for personnel at research organisations abroad may not be requested for researchers based in the State of São Paulo. Costs for researchers based in the State of São Paulo should be budgeted to the FAPESP budget.

7.1.2 Material

Funding may be requested for all project-specific costs relating to, among others, consumables, purchase of services, materials, small instruments, access to (inter)national facilities, software and research resources that have no economic value after use. Travel and accommodation costs (national and international) for all people working on the project incl. foreign guest researchers, costs for the organisation of (international) workshops and symposia, costs for data management, publications, and costs in the context of citizen science also fall under this module.

Travel expenses (national and international) will only be reimbursed on the basis of second class/economy class fares. For publications, the provisions in Section 4.5 Open access apply. Costs for an audit statement can only be claimed for organisation that are not subject to OCW's education audit protocol for a maximum of €5,000 per audit statement.

It is not permitted to include costs for:

- organisational infrastructure and overhead, including a fully functioning workplace, accommodation, office automation, personnel administration, commuting expenses, training, facilities, HR advice and business care, documentary information provision and home office allowance;
- the use and maintenance of in-house developed scientific infrastructure;
- regular teaching activities.

N.B.: In this call, NWO budget for project-specific material costs may not be requested for research organisations based in the State of São Paulo. Costs for project-specific material costs for research organisations based in the State of São Paulo should be budgeted to the FAPESP budget.

7.1.3 Knowledge utilisation

The budget requested should be adequately specified in the proposal. To determine the rates, use the provisions of Personnel and Material.

It is obligatory to make use of this module when preparing a proposal and use a minimum of 5%, and a maximum of 20% of the grant amount.

Within this module, the project budget includes at least costs for the following activities:

- Specific activities to promote knowledge utilisation to (intermediary) parties not funded in the project, such as knowledge platforms. These activities include joint learning activities, training and communication activities;
- Involving stakeholders: 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 (international) learning events, development of videos, blogs, newsletters and other media expressions. Hiring communication expertise may also fall under this;
- Skills development: Activities aimed at developing skills beyond the levels of individual students, PhDs or postdocs, such as developing courses for stakeholders or master's students;
- Monitoring and evaluation moments in which knowledge utilisation is the subject of discussion: such as, for example, mid-term evaluations and committee meetings.

N.B.: In this call, NWO budget for knowledge utilisation costs may not be requested for research organisations based in the State of São Paulo. Knowledge utilization costs for research organisations based in the State of São Paulo should be budgeted to the FAPESP budget.

7.1.4 Project management

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(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.

N.B.: In this call, NWO budget for project management costs may not be requested for research organisations based in the State of São Paulo. Project management costs for research organisations based in the State of São Paulo should be budgeted to the FAPESP budget.

7.2 Indexing

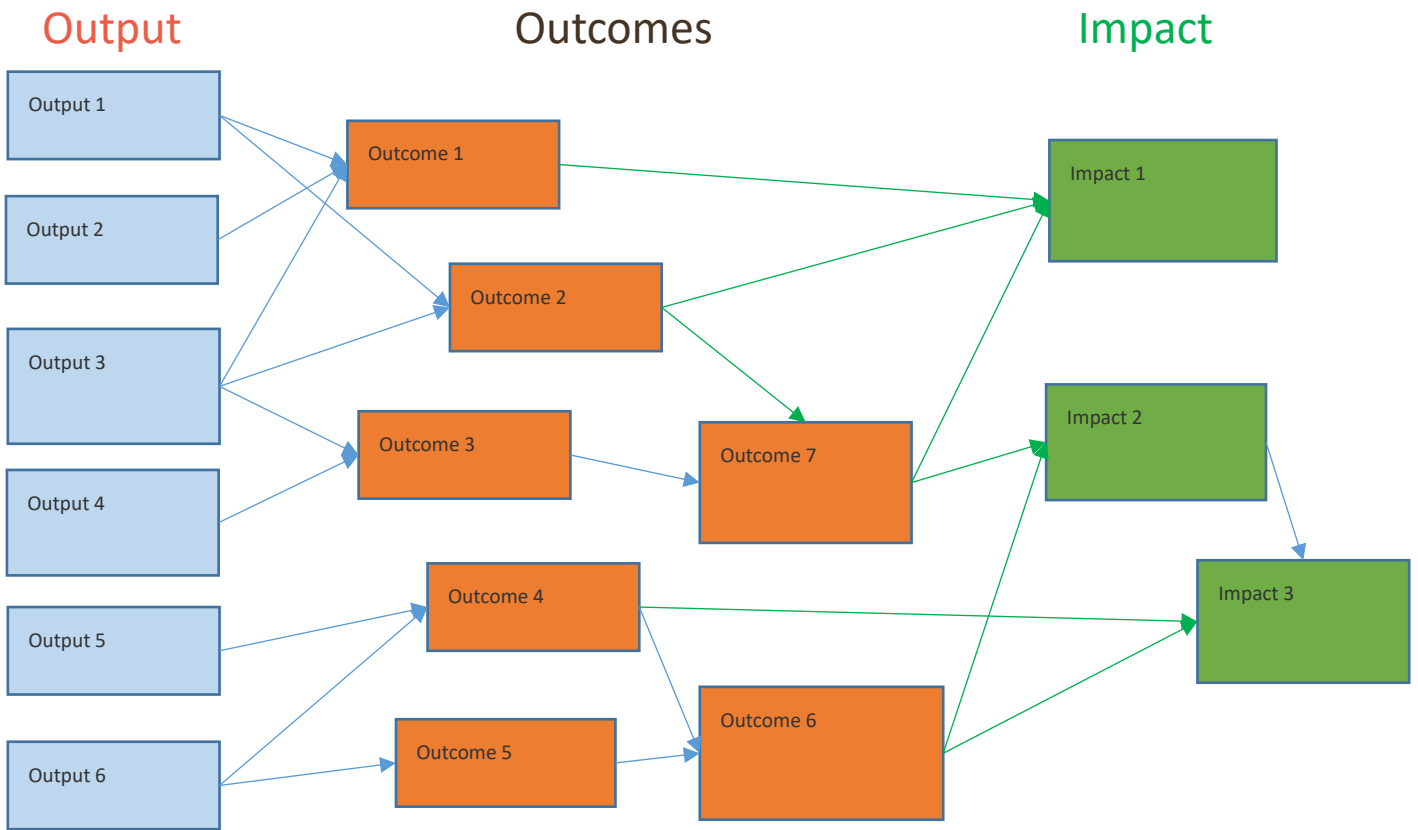
The rate at the time of the decision date applies. NWO will, if necessary, apply a one-off indexation of personnel costs when awarding the grant. The date on which the rates take effect is used for this purpose. If the date of publication of the fees is later than the effective date, the date of publication is used. The tariffs of the Universities of the Netherlands (UNL) usually take effect on 1 July, of the Dutch Federation of University Medical Centres (NFU) on 1 August and of the Government Tariffs Manual (HOT) on 1 January.

The one-off indexation does not affect the grant ceiling and the maximum grant amount to be applied for. The grant ceiling and maximum requestable grant amount remain unchanged during the assessment procedure. If awarded, one-off indexation will be applied to the grant amount.

If co-funding is required or permitted, the one-off indexation does not affect the requirements for own contributions and co-funding, nor the IP rights that may result from the co-funding.

7.3 Impact Pathway

Please note the lay-out of the diagram is indicative; variations are allowed, as long as all boxes of the diagram remain included. We recommend to limit the diagram to a maximum of one page, for it to present only key elements. If absolutely needed the length could be extended to two pages maximum.



Impact pathway indicators

Formulate SMART indicators for the output and outcomes (Specific, Measurable, Achievable, Realistic, Time-related). Indicators illustrate how success will be recognised at each step in the pathway to impact. It enables verifying if the research project is ‘on track’ and where it can improve, it helps to steer and manage the research program. Indicators, especially of outcomes, can also be adjusted or made more specific during the execution of the project, since they are also part of the reflective approach (the impact pathway, including indicators, are not set in stone). No indicators need to be formulated at the Impact level.

Output	Indicator
<i>Output 1</i>	
<i>Output 2</i>	
<i>Output 3</i>	
<i>Output 4</i>	
<i>Output 5</i>	
<i>Output ...</i>	

Outcome	Indicator
<i>Outcome 1</i>	
<i>Outcome 2</i>	
<i>Outcome 3</i>	
<i>Outcome 4</i>	
<i>Outcome 5</i>	
<i>Outcome ...</i>	

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Dutch Research Council

www.nwo.nl/en

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Cover image: Shutterstock

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