



# Water Disaster Management

Cooperation India (DST) - the Netherlands (NWO Merian Fund)

## Call for proposals



विज्ञान एवं प्रौद्योगिकी विभाग  
DEPARTMENT OF  
SCIENCE & TECHNOLOGY



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# 1 Introduction

In this Call for proposals information is provided about the application procedure for the 'Water Disaster Management' funding round. This Call for proposals falls under the responsibility of the Dutch Research Council (NWO) and the Indian Department of Science and Technology (DST).

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

## 1.1 Background

There is a long history of scientific collaboration between India and the Netherlands. The Dutch Research Council (NWO), through the Merian Fund<sup>1</sup>, and the Indian Department of Science and Technology (DST) aim to stimulate long-term research collaboration between their two countries by funding joint research, to strengthen the international position and potential for global impact of their research. Funding is provided for interdisciplinary and transdisciplinary consortia of Indian and Dutch research groups and stakeholder partners, for high quality research that has the potential for societal and scientific impact.

NWO and DST have agreed on a strategic knowledge and innovation agenda. Funded research should be in alignment with national research agendas, as well as international initiatives such as the UN Sustainable Development Goals, and build bridges between different actors in the knowledge chain, fundamental and applied research, and scientific disciplines. The theme for this year's call is 'Water Disaster Management'.

## 1.2 Available budget

The available budget for this Call for proposals is € 2,100,000 at NWO, and Rs. 12.00 crores (approximately € 1,350,000) at DST. A maximum of € 700,000 can be applied for per project at NWO. A maximum of Rs. 4.0 crores (approximately € 450,000) can be applied for per project at DST. Within this Call for proposals it is expected that a maximum of 3 proposals, with a maximum duration of 3 years each, will be awarded funding.

## 1.3 Submission deadlines

The deadline for submitting full proposals is:

- June 13, 2023, before 14:00:00 hours CEST at NWO, and
- June 13, 2023, before 12:00:00 AM IST at DST

Applications must be submitted on time to **both** NWO (via ISAAC: [My ISAAC \(nwo.nl\)](https://my.isaac.nwo.nl)) and DST (via e-PMS: [onlinedst.gov.in](https://onlinedst.gov.in)).

When you submit your application to NWO in ISAAC and to DST in e-PMS, you will also need to enter some details online, such as the names and organisations of your consortium members. Therefore, please start submitting your application at least five days before the deadline of this Call for proposals. Applications that are submitted after the deadline to either NWO or DST, or that are not submitted to both funders, will not be taken into consideration.

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<sup>1</sup> The Merian Fund is part of NWO, and aims to stimulate long-term collaboration with important (emerging) science nations, to increase the visibility and profile of Dutch science abroad. The Merian Fund focuses on broad scientific themes of societal importance that require a mission-oriented approach. Programmes in the Merian Fund are aligned with the National Research Agenda (NWA) of the Netherlands. For more information see: [Merian Fund | NWO](https://merianfund.nl).

## 2 Aim

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

### 2.1 Aim of the programme

Many societal challenges are complex and interrelated. To address them requires collaboration, flexibility, technical interventions and creativity to achieve sustainable results for effective and impactful convergent solutions. The collaborative research financed by DST and NWO in this Call for proposals is intended to work towards scientific knowledge and viable, innovative solutions for high scientific and societal impact. At the same time, DST and NWO aim to stimulate strong, long-term research collaboration between their two countries, for projects with sustainable results and high potential for impact. They do this by inviting consortia in which researchers from knowledge 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.

The collaborative research should work towards scientific knowledge and innovative solutions in the field of water disaster management, in order to contribute to realising and supporting resilient societies. Innovative solutions may focus on new data assimilation techniques and utilisation of new remote sensing products. The latter could include new low-cost sensor monitoring to capture the flash floods (urban floods), hill city water disasters, as well as drought monitoring.

Applicants are expected to identify sites for flood and drought in both countries using a few model sites in India and a few in the Netherlands.

Proposals should address one or more of the following objectives:

- To develop scientific understanding and technical solutions to address the challenges related to both the floods and drought situations emerging in both India and the Netherlands that have significant societal impacts.
- New low-cost sensor technology for monitoring and modelling of floods and drought.
- Identification of indicators for flood and drought using remote sensing technology.
- Quantification of climate change impacts on both floods and droughts with associated uncertainties using various Internet of Things and modelling-based tools.
- Flood and drought modelling using high resolution remote sensing data (spatially as well as temporally, collected using both space and aerial platforms) bringing focus on innovative technologies for operational implementation, such as flood early warning systems for urban floods through citizen science (crowd sourcing), cost-effective monitoring solutions.
- To develop social and governance innovations necessary for the implementation of new technologies and acceleration of uptake.

#### Project sites

- Urban floods in cities such as Chennai and/or Bangalore may be taken up as pilot studies while riverine floods in Ganga, Krishna, Periyar and Narmada may be taken up as pilot studies of riverine and coastal flooding. Similarly Dutch cities such as, e.g., Nijmegen, Maastricht and Dordrecht could be identified in the Netherlands for pilot studies for flood management. They are of special interest for the combination of riverine and pluvial flooding.
- The Marathwada region (in Maharashtra) and the Saurashtra region (in Gujarat) may be taken up as pilot studies in India towards technology development for mitigating the impacts of droughts. Similarly, e.g., the provinces of Limburg and Noord Brabant in the Netherlands, can be identified for pilot study sites for drought management.
- In the Netherlands regions such as, e.g., Midden Delfland with the cities of The Hague and Delft and the Veluwe with the city of Arnhem may be taken up as areas for pilot studies on both flood and drought management.

## 2.2 Thematic focus

It is now well established in scientific literature that the hydrologic extremes are increasing globally in their magnitude, frequency and impacts. In India, recent years have witnessed an increase in floods and droughts. The recent floods in Uttarakhand, Kerala and Kashmir are examples of riverine floods, and the annual floods in cities like Chennai, Mumbai, Bangalore and Hyderabad are examples of urban floods. The earlier droughts in the Marathwada region of Maharashtra, the Saurashtra region in Gujarat, and the eastern and north eastern regions of the country last year are examples of extreme low rainfall, soil moisture and high exploitation of ground water.

Solutions and their social acceptance are context specific, i.e., the proper successful technology depends on dimensions like governance, the social and cultural situation, and the natural and built environment. Stakeholder involvement (including municipal, regional and national government bodies and NGOs) are key to ensure the implementation of new technologies. Furthermore, the implementation of these new technologies requires social and governance innovations.

Because of the increasing magnitude of climate change driven events, in both India and the Netherlands water managers, municipalities and the public are interested to accelerate the implementation of innovations. What is the science that will help to accelerate implementation? Implementation science seeks to systematically close the gap between what we know and what we do (often referred to as the know-do gap) by identifying and addressing the barriers that slow or halt the uptake of proven interventions and evidence-based practices.

It is thus an urgent necessity that scientific understanding along with technological solutions and governance along with societal acceptance are evolved to prevent or mitigate both the flood and drought situations in India and the Netherlands. Although it should not be seen in isolation, the biggest challenge is in the built-up areas with its high population density, valuable assets and complex ownership.

### Emphasis: implementation science supporting technical solutions

Emphasis of this call is on implementation science supporting technical solutions for flood and drought management in the same built-up area, taking into account the impact of climate change and addressing the need for acceleration of the implementation of measures.

Approaches are sought for implementation, technology deployment, assessment and management of measures, where lessons from the India and Dutch experience could inform the setup of tailored approaches for both countries.

Guiding principles of this call are:

- Proposals should address measures to reduce the social, financial and environmental impacts by floods and droughts in (the same) built-up area(s).
- Proposals should address how they contribute to the acceleration of the implementation of the proposed solutions.
- It should be possible to operate, maintain and implement/deploy the solution in a climate-neutral way, with adequate adaptation measures, based on a climate risk assessment. (In line with EU Commission Notice 2021/C 280-01 of the Green Deal).

Examples of research this call is interested in are:

- **Increase lead times and the extent of the impact:** To enable preventive or mitigating measures, knowledge is required to increase warning lead times on the extent of the disaster impact. As droughts are to a large extent defined by the sector that is impacted, the connection with stakeholders is of great importance, even more so as water “demand” management is essential. Improving the quantification of social, financial and environmental impacts on both floods and droughts with associated uncertainties using the Internet of Things, Artificial Intelligence enabled modelling tools in combination with citizen observatories and citizen science can be an example.
- **Spatial planning of the subsurface and groundwater:** Developing and using the concepts of Blue Green Infrastructures (BGI) for water conservation and management. Moreover, more and more infrastructure in built areas is subsurface. Next to the traditional use as a drinking water reservoir,



the same subsurface is increasingly used for other purposes, such as drought and flood adaptation measures and ,e.g., geo-thermal heating and cooling. Planning an efficient use of the subsurface area together with innovative solutions for floods and droughts becomes essential. Therefore, there is a need for approaches including technology development for groundwater management with high resolution mapping and utilisation plans in relation to the increasing use of the subsurface in built-up areas.

- **Water quality during extreme events:** The extreme events in India and the Netherlands have shown the need to improve our knowledge on how to live in, and if needed to escape from, flood prone areas and also on what is needed to enable a return to these areas. Innovations and knowledge are sought to prevent sewage spills during floods causing health problems and to enable (re-)use of treated water to overcome drought situations.

In all of the above it is essential to include the scientific study of methods and strategies that facilitate the uptake of evidence-based practice and research by practitioners and policymakers.

## 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 technology development, assessment and deployment should be an important component of the proposed work as well with a solution centric approach. 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 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. Added value may be achieved by integrating and synthesising various sources of knowledge to create new knowledge and by creating sustainability through the development of long-term knowledge relations.

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, qualitative and quasi-experimental research methods, including operational research, and should include research-into-use approaches.

Projects are also expected to collaborate with the other project awarded in this call, so as to enhance the impact of the call as a whole. As a part of this, projects will be expected to attend joint kick-off and mid-term workshops, as well as a final conference.

### 2.3.2 Fair research collaboration

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

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 (preliminary) proposal; conduct, guide and advise on the

<sup>2</sup> NWO adheres to the *Research Fairness Initiative* of COHRED.

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 furthermore be characterised by equitable partnership and sustainable collaboration between the Dutch and Indian partners. This includes inter-institutional cooperation, a balanced contribution to the proposed research, and frequent exchange between the partners, including exchange visits by both senior and junior researchers. 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.

## 2.4 Societal impact

New knowledge and insights from scientific research can make an important contribution to solutions for societal issues of today and tomorrow. Examples are the energy transition, health and care, or climate change. Through interaction and alignment between researchers and potential knowledge users, the chance of knowledge utilisation increases and with it the chance of societal impact.

### 2.4.1 Tailor-made impact

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

In this programme, the Impact Plan approach ([Impact Plan Approach | NWO](#)) is applied. With this, NWO facilitates the development of an integrated strategy by 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 [impact.nwo.nl](https://impact.nwo.nl). For more information on the policy on impact see the website: [Knowledge utilisation | NWO](#).

### 2.4.2 Impact Plan approach

The research conducted in this call for proposals should have relevance and potential for societal impact, meaning cultural, economic, industrial, ecological or social changes that are (partly) the result of research-generated knowledge and skills. Societal impact is often only realised in the years after a research project has been concluded, and does not happen automatically. This is why, 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 research project.

To further enhance the potential for impact of the proposed research, the consortium is asked to state how approaches for achieving impact are integrated in the research design and conducted by the consortium in engagement with end users, such as practitioners, policymakers, and industry. To this end, applicants are asked to include an Impact Plan that sets out the potential pathways for impact of the proposed research. The Impact Plan approach to knowledge utilisation should be integrated into the research design and serves as an aid to increase the impact potential of the proposed research.

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. It makes explicit how the research activities will lead to new insights (output), 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 (outcome) that are considered essential to achieving the desired impact. See Box 1 and Annex 7.6 for more details.
- *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 (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, thus strategies are needed of the research consortium to plan and monitor how their 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 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 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 the 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 identify where change may happen in a different way than envisioned, and where adjustment may be necessary. Activities that are related to the Impact Plan should be placed under the budget module “Knowledge utilisation” in the NWO budget, or can be requested from the DST budget.

The NWO impact e-learning tool can help consortia with creating their Impact Plan. The e-learning is available at: [NWO Impact - Working with an Impact Plan](#).

**Box 1: Defining Output, outcome and impact**

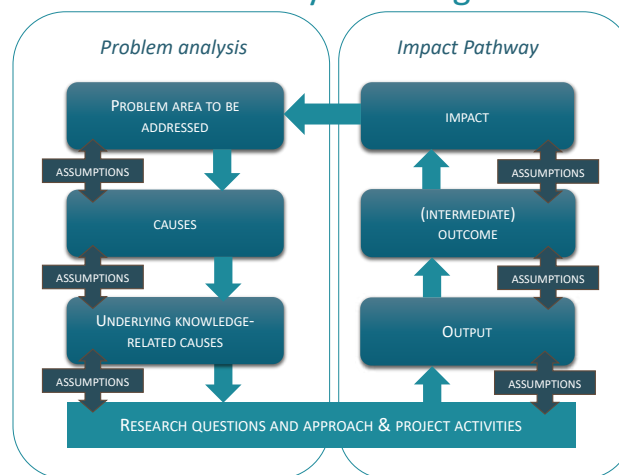
**Research outputs** relate to the direct and immediate insights obtained by a research project or programme.

**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 a project or programme is aiming at.

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.

### Theory of Change



## 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 researchers based in the Netherlands and in India, with active involvement in the project of a senior main applicant<sup>3</sup> on both the Dutch and the Indian side, as well as a Dutch co-applicant from a different organisation than the main applicant and an Indian co-applicant. The consortium must also include a collaboration partner from a public, semi-public or private practitioner organisation (for-profit or not-for-profit).

Specifically, the Dutch and Indian sides of the consortium must fulfil the following requirements:

Dutch side of the consortium:

- One main applicant who fulfils the requirements of 3.1.1, who will be the Dutch project leader if the proposal is awarded funding;
- At least one co-applicant who fulfils the requirements of 3.1.3 and is of a different organisation than the main applicant.

Indian side of the consortium:

- One main applicant who fulfils the requirements of 3.1.1, who will be the Indian project leader if the proposal is awarded funding;
- At least one co-applicant who fulfils the requirements of 3.1.3.

AND, on the Dutch side or the Indian side of the consortium

- A collaboration partner from a public, semi-public or private practitioner organisation (for-profit or not-for-profit) from either the Netherlands or India. If registered as part of the Dutch side of the consortium, this organisation must be included as collaboration partner. If registered on the Indian side of the consortium and if they meet the criteria in 3.1.4, this organisation can be registered as co-applicant.

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

Each main applicant and consortium can only submit one proposal that will be accepted for assessment.

This call aims at knowledge chain-wide collaboration, to enhance demand articulation, ownership and the effective uptake of results. For this reason, 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 and execution, and links between the proposed research project and ongoing projects of NGOs, private enterprises, and/or policy implementation.

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<sup>3</sup> A “main applicant”, also referred to as a Principal Investigator in India, is responsible both for the communication between the consortium and NWO and DST respectively during the assessment procedure, as well as bears the main responsibility for the project, such as its technical and administrative coordination, and the scientific and financial reporting.

### 3.1.1 Main applicants

#### Dutch side

Full, associate and assistant professors and other researchers<sup>4</sup> with a comparable position\* may submit an application if they have a tenured position (and therefore a paid position for an indefinite period) or a tenure track agreement at one of the following organisations:

- Universities located in the Kingdom of the Netherlands;
- University medical centres;
- University of applied sciences as referred to in Article 1.8 of the Higher Education and Scientific Research Act (WHW: wetten.nl - Regeling - Wet op het hoger onderwijs en wetenschappelijk onderzoek - BWBR0005682 (overheid.nl));
- 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.

Or at one of the following organisations:

- IHE Delft Institute for Water Education;
- TO2 organisations.

For these two (types of) organisations, it is necessary to check whether they meet the following cumulative criteria:

- Is based in the Kingdom of the Netherlands;
- Is a public institute and carries out its research independently;
- Receives at least 50 percent public funding;
- Is not-for-profit other than for the purpose of carrying out further research;
- Its researchers enjoy freedom of publication in international scientific journals.

**Please note:** these conditions will be assessed by NWO **prior to** submission of the proposal.

To this end, the applicant's organisation must submit the following documents by email to [dst-merian@nwo.nl](mailto:dst-merian@nwo.nl) **before 14:00:00 hours CEST on 16 May 2023:**

- A recent extract from the Chamber of Commerce register;
- The deed of incorporation, articles of association or other formal document indicating the public task and the non-profit status;
- The latest available annual accounts accompanied by an auditor's statement.

If NWO has not assessed the organisation in advance, it cannot take the proposal into consideration.

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

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. An exception applies for lectors and senior researchers employed by a university of applied sciences, and senior researchers employed by a TO2 institute: if such persons are employed under a temporary appointment (excluding zero-hour employment agreements) not covering the entire duration of the project, they may still submit a proposal for this call.

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

<sup>4</sup> Such as the position of lector, which applies to researchers from a university of applied sciences (hogeschool).

include a statement from their employer in which the organisation concerned guarantees that the project and all project members for whom funding has been requested will receive adequate supervision for the full duration of the project.

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

#### Indian side

For Indian scientists, DST requires the main applicant to be:

A researcher working in regular position in a recognized academic institution or public funded R&D institution/laboratory, based in India,

AND

have an employment contract for at least the duration of the application procedure and the duration of the research the grant is applied for,

AND

have at least a PhD or an equivalent qualification.

### 3.1.2 Main and co-applicants

The Dutch main applicant submits the proposal via the NWO web application ISAAC and the Indian main applicant submits the proposal via the e-PMS system. During the assessment process, NWO will communicate with the Dutch main applicant. After a proposal has been awarded funding, the Dutch main applicant will become the project leader and point of contact for NWO. The knowledge institution of the main applicant is the main beneficiary and will become the official secretary. Co-applicants have an active role in realising the project. The (sub)project leaders and beneficiary/beneficiaries are jointly responsible for realising the entire project.

### 3.1.3 Co-applicants

A co-applicant is a participant in the consortium and receives funding through the main applicant.

#### Dutch co-applicants

Full, associate and assistant professors and other researchers<sup>5</sup> with a comparable position\* may be a co-applicant if they have a tenured position (and therefore a paid position for an indefinite period) or a tenure track agreement at one of the following organisations:

- one of the institutions listed in 3.1.1 (on the Dutch side of the consortium);
- an organisation not listed in paragraph 3.1.1 which meets the following cumulative criteria:
  - Is based in the Netherlands;
  - Is a public institute and carries out its research independently;
  - Receives at least 50 percent public funding;
  - Is not-for-profit other than for the purpose of carrying out further research;
  - Its researchers enjoy freedom of publication in international scientific journals.

**Please note:** NWO will need to assess the above listed conditions for organisations not listed in paragraph 3.1.1 **prior to** submission of the proposal. To this end, the co-applicant's organisation must submit the following documents by email to [dst-merian@nwo.nl](mailto:dst-merian@nwo.nl) **before 14:00:00 hours CEST on 16 May 2023:**

- A recent extract from the Chamber of Commerce register;

<sup>5</sup> Such as the position of lector, which applies to researchers from a university of applied sciences (hogeschool).

- The deed of incorporation, articles of association or other formal document indicating the public task and the non-profit status;
- The latest available annual accounts accompanied by an auditor's statement.

If NWO has not assessed the organisations in advance, it cannot take the proposal into consideration.

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

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. An exception applies for lecturers and senior researchers employed by a university of applied sciences, and senior researchers employed by a TO2 institute: if such persons are employed under a temporary appointment (excluding zero-hour employment agreements) not covering the entire duration of the project, they may still submit a proposal for this call.

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 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.

Please note that at least one co-applicant must be from a different organisation than the main applicant. 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.

#### Indian co-applicants

DST requires co-applicants to be:

A researcher working in regular position in a recognized academic institution/public funded R&D institution/laboratory or S&T based voluntary organization, based in India,

AND

have an employment contract for at least the duration of the application procedure and the duration of the research the grant is applied for,

AND

have at least a PhD or an equivalent qualification.

### 3.1.4 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). Public and/or private practitioner collaboration partners are partners from the public and/or semi-public sectors and/or industry. They are closely involved with the research and Impact Plan.

**Please note:** personnel of these organisations are excluded from payment of salaries and research costs from the NWO grant, unless they are hired through the NWO module 2 – "material, project-related goods/services, work by third parties (see Annex 7.1). A public and/or private collaboration partner cannot receive funding directly from the DST grant.

All organisations participating in a consortium must be registered as a legal persona.



### 3.1.5 Responsibilities and tasks of main applicants, co-applicants and consortium members

The Dutch main applicant submits the full proposal via the NWO web application ISAAC and the Indian main applicant submits the full proposal via the e-PMS system. They are responsible for informing each other and the rest of the consortium of any feedback received with regard to the consideration of the application and the final decision. The Dutch main applicant is also responsible for submitting any additional documentation (such as the rebuttal) in ISAAC.

During the assessment process, NWO will communicate with the Dutch main applicant. The Dutch main applicant is responsible for sharing feedback with the other consortium members on the eligibility of the application, reviewer reports, information regarding the rebuttal, and any further information such as the NWO grant award decision communicated regarding the assessment of the proposal. The Indian main applicant and the Dutch main applicant will be informed of the grant decision by their respective funding agencies.

After a proposal has been awarded funding, the main applicants will become the project leaders and point of contact for their respective funding agencies. The (knowledge) institutions of the main applicants will be the main beneficiaries and will take responsibility for the project secretariat, the day-to-day management and all financial affairs of the research project, including the final financial accountability towards their respective funding agencies.

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

## 3.2 What can be applied for

Different costs can be reimbursed from the NWO and DST grants. The joint application form allows you to specify which organisation you would like to cover a certain cost. You should complete two budgets, one specifying the costs to be covered by the NWO grant and one specifying the costs to be covered by the DST grant.

### Reimbursable costs from NWO

For an application in this Call for proposals, a maximum of € 700,000 can be applied for. The maximum duration of the proposed project is 3 years. The budget modules (including the maximum amount) available for this Call for proposals are listed in the table below. Apply only for funding that is vital to realise the project. A more detailed explanation of the budget modules can be found in the Annex to this Call for proposals (7.1).

Budget module	Maximum amount
PhD student	2 positions, according to UNL rates <sup>6</sup> (only if funding for year 4 can be guaranteed by hosting institution)
Engineering Doctorate degree (EngD)	3 positions, in combination with PhD student(s) and or postdoc(s), according to UNL rates <sup>6</sup>
Postdoc	2 positions, according to UNL rates <sup>6</sup>
Non-scientific staff (NSS) at universities	€ 100,000, non-scientific staff at (NSS) universities <sup>6</sup> ; in combination with PhD student(s) and or postdoc(s) <sup>6</sup>

<sup>6</sup> For personnel outside the Netherlands, the local rates are reimbursed. These rates are capped at a maximum equal to the UNL rates corrected by the NWO Country correction coefficients (CCC) table, see [link](#).

Budget module	Maximum amount
Other Scientific personnel (OSS) at universities	€ 100,000, in combination with PhD student and/or postdoc <sup>6</sup>
Research leave	5 months, 1 FTE, according to UNL rates <sup>6</sup>
Personnel at universities of applied sciences, educational institutions and other organisations	3 positions, in accordance with the applicable rate at the time of the granting decision as taken from Table 2.2, column 'Hourly rate productive hours, excl. Dutch VAT' from the <i>Handleiding Overheidstarieven</i> [HOT - Manual Dutch Government rates] ( <a href="#">Salary tables   NWO</a> ).
Material costs	€ 15,000 per year per FTE scientific position
Investments (up to €150,000)	Maximum € 150,000
Knowledge utilisation	Maximum 20% of the total budget applied for
Internationalisation	Maximum 20% of the total budget applied for
Money follows Cooperation	Less than 50% of the total budget applied for
Project management	Maximum 5% of the total budget applied for

#### Reimbursable costs from DST

Details of admissible costs from the DST grant are listed below, based on the updated latest norms of DST.

The projected budget by the Indian main applicant will be reviewed by Indian members of the Advisory Committee and will undergo financial due-diligence as per DST processes, which will take into account costs needed for the projected activities, matching efforts and conformity to DST guidelines.

Non-Recurring costs				
1.	CAPITAL (EQUIPMENT) COST	Equipment is to be capped at a maximum of 20% of the Indian budget. Please note as per GFR 2017 rules and norms, the goods (equipment) available in GeM portal are to be procured mandatorily online through GeM only and follow the Government of India Guidelines issued time to time.		
Recurring costs				
1.	MANPOWER	s. No.	Manpower Position	Reference Documents
		1.	Research Associate – I/II/III and Junior Research Fellow (JRF)/ Senior Research Fellow (SRF)	As per DST OM. No. SR/S9/Z-08/2018 dated 30.01.2019 or as per the norms of the Institute undertaking such projects if they have a different structure than that defined in the above mentioned OM
		2.	Scientific Administrative Assistant/Field worker, Project Associate-I, Project Associate-II, Senior Project Associate, Principal Project Associate, Project Scientist-I, Project Scientist-II, Project Scientist-III, Project Scientist B, Project Scientist C, Project Scientist D, Project Coordinator-II, Project Coordinator-III, Project Manager	As per DST OM. No. SR/S9/Z-05/2019 dated 31.08.2019
2.	OTHER COST	May include knowledge sharing and research uptake activities such as costs towards publishing of joint (only) research outputs, filing of patents, technology transfer, stakeholders meet or workshops and or awareness camps.		
3.	CONSUMABLES	Amount as per project requirement (justification through DST processes).		
4.	TRAVEL	Amount as per project requirement (justification through DST processes), to be provided where the research work involves field work or/and project has many investigators/institutions and large		

		<i>manpower. Travel will include both national and international travel between the two collaborating countries. International travel of PI/Co-PIs and coordinators will be admissible only on the basis of reciprocity. Oneway travel is not encouraged. The maximum period of stay of faculty will be 3 months and for students it will not exceed 12 months. Travel cost should not exceed 20% of total budget (excluding overheads).</i>
5.	<b>CONTINGENCIES</b>	<i>Contingency can be utilised for stationary, accessories, software etc. The contingency amount may also be used for paying Registration Fees for attending international conferences.</i>
6.	<b>OVERHEADS CHARGES</b>	<i>As per DST norms and conditions: Towards meeting the cost of academic expenses including infrastructural facilities, an amount of: a) For project costing upto Rs.1 crore, 10% of the total cost for educational institutions and NGOs and 8% for laboratories and institutions under Central Government Departments/Agencies; b) for projects costing more than Rs.1.0 crore and upto Rs.5.0 crore, overheads of Rs.15.0 lakh or 10% of total cost whichever is less; c) for projects costing more than 5.0 crore and upto Rs.20.0 crore, Rs.20.0 lakh will be provided as overheads;</i>
	<b>GRAND TOTAL</b>	<i>Maximum <b>Rs. 4.0 crores</b> per project (The amount will be the maximum cost admissible under the call. Actual amount may vary depending on level of activities proposed in the programme. )</i>

### 3.3 Preparing an application

#### Webinar

A webinar on the Call for proposals and the Impact Plan approach will be held on 18 April 2023. In this webinar, participants will be given more information regarding the Impact Plan approach, as well as have the opportunity to ask questions. It is not mandatory to attend the webinar. More information, including the link to join the webinar, will be made available on the Cooperation India-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 and the respective Excel budget forms for NWO and DST;
- Save the application form in ISAAC as a PDF file and upload it with any compulsory annexes in ISAAC and e-PMS;
- Fill in the requested information online in ISAAC and e-PMS.

Compulsory annexe(s):

- Excel budget forms;
- A letter of commitment from the organisations of the main applicants, co-applicants, and collaboration partner(s), 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 confirms the participation of the consortium members named in the application, as well as confirms any contributions by the organisation (in FTE and/or financially), such as the fourth year of a PhD trajectory or additional time from consortium members not covered by the NWO grant. If it concerns a contribution to a PhD or postdoc position, 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 the formats in Annex 7.3 (DST) and Annex 7.4 (NWO);
- A draft consortium agreement, for format see the call website and documents in ISAAC;
- CVs of both main applicants and all co-applicants and collaboration partners (each max 1 A4 page);
- *(In case of co-funding by organisations that are not part of the consortium)* A declaration co-funding letter (see Annex 7.7) from the co-funding institution confirming the numeric amount that will be provided as co-funding. Declaration co-funding letters or commitment letters which include co-funding are unconditional and do not contain opt-out clauses.

In case NWO has made a template available, the annexes should be drawn up according to the NWO template. Annexes must be uploaded in ISAAC separately from the application. All of the annexes, except for the budget, must be submitted as PDF files (without encryption). The budget must be submitted in ISAAC as an Excel file. Any annexes other than those above-mentioned are not permitted.

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 with your application in ISAAC on time:

- If you do not yet have an ISAAC account, then you should create this on time to prevent any possible registration problems;
- Any new organisations must also be added to ISAAC by NWO;
- You also need to submit other details online.

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

For technical questions, please contact the ISAAC helpdesk, see contact (Chapter 6).

If the Indian main applicant, co-applicants or a practitioner partner work at an organisation that is not included in the ISAAC database, this can be reported via [relatiebeheer@nwo.nl](mailto:relatiebeheer@nwo.nl). The management team can add the organisation in the system. Please note that this process may take several days. It is therefore important that any such request are submitted to NWO relatiebeheer (see email address above) at least one week before the deadline.

The applicant must inform the organisation where she/he works about the submission of the application, and the organisation must accept the granting conditions of this Call for proposals.

#### Submission to DST

The Indian main applicant must submit the application via e-PMS ([onlinedst.gov.in](http://onlinedst.gov.in)) under Water Technology Cell (WTC). In addition, the budget sheet (Annex 7.2) and letters of commitment (Annex 7.3) should be submitted via email along with a copy of the full proposal to [dstwticall@gmail.com](mailto:dstwticall@gmail.com).

## 3.4 Conditions for submission

### 3.4.1 Formal conditions for submission

NWO and DST will assess your application against the conditions listed below. Your application will only be admitted to the assessment procedure if it meets these conditions. After submitting your application, NWO and DST 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-applicants meet the conditions stated in Section 3.1;
- the application complies with the DORA guidelines as described in Section 4.1;
- the application form is, after a possible request to make additions or changes, complete and filled out according to the instructions;
- the application is submitted via the Dutch main applicant's ISAAC account to NWO and via the Indian main applicant to DST;
- the application is received before the deadline set, by both NWO and DST;
- the application is written in English;
- the application budget is drawn up in accordance with the conditions for this Call for proposals;

- the proposed project has a duration maximum of 3 years;
- all of the required annexes are, after a possible request to make additions or changes, complete and filled out according to the instructions.

## 3.5 Conditions on granting

The [NWO Grant Rules 2017](#) and the Agreement on the Payment of Costs for Scientific Research are applicable to all applications awarded by NWO. The DST guidelines are applicable to all grants awarded by DST.

### 3.5.1 Compliance with the National Knowledge Security Guidelines

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

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

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

### 3.5.2 Data management

Responsible data management is part of good research. NWO and DST want research data that emerges from publicly funded research to become freely available. Furthermore NWO and DST want to raise awareness among researchers about the importance of responsible data management.

#### Data management at NWO

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

#### Data management Section

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

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

### 3.5.3 Scientific integrity

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

### 3.5.4 Ethical statement or licence

The applicant is responsible for determining whether an ethical statement or licence is needed for the realisation of the proposed project. The applicant should ensure that this is obtained from the relevant institution or ethics committee on time. 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.

Applicants have to act in accordance with the nationally and internationally accepted standards of scientific activity, as set out in the [Netherlands Code of Conduct for Research Integrity](#) and the [Global Code of Conduct for Research in Resource-Poor Settings](#). In case research is conducted in fragile states, it is advised to consult the [Security Guidelines for field research in complex, remote and hazardous places](#).

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

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

### 3.5.6 Co-funding

- Co-funding by private and/or public parties is not a requirement for this call, but if available, can take the form of in-kind or in-cash co-funding, with a maximum of 50% of the total project budget. Please note that contributions from the organisations of main applicants or co-applicants are not considered co-funding;
- It is possible for contributions to be partially in-kind and partially in-cash. The amounts of co-funding specified in the budget should correspond to the amount of co-funding specified in the



- declaration co-funding letter (see Annex 7.7). Declaration co-funding letters are unconditional and do not contain opt-out clauses;
- In the case of a contribution by the organisation of a main or co-applicant, this contribution, such as the fourth year of a PhD trajectory or additional time from applicants not covered by the NWO grant, should be confirmed in the letter of commitment (see Annex 7.3 (DST) and Annex 7.4 (NWO)). If it concerns a contribution to a PhD or postdoc position, please confirm the numerical amount that is contributed in accordance with the UNL salary tables.
  - Co-funding provided by an Indian institution or organisation should preferably be included in the DST budget, and should be accounted for to DST. Co-funding provided by other institutions or organisations should preferably be included in the NWO budget, and accounted for to NWO;
  - After a research proposal has been awarded funding, the institution of the Dutch main applicant will invoice the private or public party from the Dutch side that has pledged an in-cash contribution.

### 3.5.7 Programmatic coherence

The projects awarded under this call should contribute to the understanding of water disaster management. To this end, Principal Investigators, 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 mid-term workshop with all projects of the call, as well as a final conference. This is in addition to the activities organised by the individual projects for this purpose. Consortia should budget for their participation in these meetings in their application (at least € 15,000).

## 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-taking process ([Code for Dealing with Personal Interests | NWO](#)). Please refer to Annex 7.5 for details on DST's Conflict of Interest policy.

NWO and DST strive to achieve an inclusive culture in which there is no place for conscious or unconscious barriers due to cultural, ethnic or religious background, gender, sexual orientation, health or age ([Diversity and inclusion | NWO](#)). NWO and DST encourage referees and members of an assessment committee or jury to be actively aware of implicit associations and to try to minimise these. NWO and DST 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;
- Consideration of the proposal;
- Peer review by referees;
- Rebuttal;
- Assessment by assessment committee;
- Meeting of the assessment committee;
- Decision-making by the Board of DST and the NWO-WOTRO Steering Committee.

An external, independent assessment committee will be installed for this Call for proposals, consisting of representatives from science with knowledge of the field.

The task of the assessment committee is to assess the applications and the relevant documents submitted, in conjunction with each other and on each application's own merit, on the basis of the selection criteria given in this Call for proposals.

#### 4.2.1 Submission of a proposal

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

Your complete application form must have been received before the deadline via ISAAC and e-PMS (see paragraph 1.3). After this deadline, you can no longer submit a proposal. After submitting the proposal, the 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 DST whether or not your proposal will be taken into consideration. NWO and DST will determine this based on several administrative-technical criteria (see the formal conditions for submission, Section 3.4). NWO and DST 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 DST 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

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

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

#### 4.2.4 Rebuttal

The Netherlands-based main applicant subsequently receives the anonymised referee reports. Your 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<sup>7</sup> 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 Assessment by assessment committee

Your proposal, the referees' reports and your rebuttal will be submitted for comments to several members of the assessment committee (the pre-advisers). The pre-advisers will provide a written substantive and reasoned response to the proposal. They will formulate these comments based on the substantive assessment criteria (see Section 4.3.1) and will give the proposal a numerical score per assessment criterion. For this, the NWO score table will be used (on a scale of 1 to 9, where "1" is excellent and "9" unsatisfactory).

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NWO: [dst-merian@nwo.nl](mailto:dst-merian@nwo.nl), DST: [dstwticall@gmail.com](mailto:dstwticall@gmail.com).

### 4.2.6 Meeting of the assessment committee

The pre-advice for each proposal is the starting point for the plenary discussion of the proposals by the assessment committee. The committee will make its own assessment based on the available material. The referees' reports will to a large extent 'guide' the final assessment but will not be blindly accepted by the committee without question. The committee will consider and compare the arguments of the referees (also among each other) and examine whether the rebuttal contains a well-formulated response to the critical comments from the referees' reports. Furthermore, the committee, unlike the referees, assesses the quality of all proposals and rebuttals submitted. Therefore, the committee may differ from the referees in their assessment.

Following the discussion, the committee draws up a written recommendation addressed to the NWO-WOTRO Steering Committee and the Board of DST 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 full proposals, two or more of the full proposals cannot be distinguished from each other based on their weighted total score, then there is an ex aequo situation (see the paragraph about ex aequo).

### 4.2.7 Ex aequo

NWO and DST 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 is the ranking drawn up by the assessment committee, with the final scores rounded down to two decimal points. The reference score is the score of the lowest-ranked proposal within the 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. The assessment committee, with the help of an (anonymous) majority vote, will determine the ranking (in accordance with Article 2.2.7, third paragraph, sub a, part iv of the NWO Grant Rules 2017). If this vote provides no resolution either, or if it is not desirable to vote, the ex aequo situation will be sent on to the NWO-WOTRO Steering Committee and the Board of DST.

### 4.2.8 Decision-making

Finally, the NWO-WOTRO Steering Committee and the Board of DST will assess the procedure followed and the advice from the assessment committee. It will subsequently determine the final qualifications and take a decision about awarding or rejecting the proposals. The decision becomes definitive when the NWO-WOTRO Steering Committee and the Board of DST have come to the same provisional decision.

### 4.2.9 Timetable

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

Proposals	
18 April 2023	Informative webinar including Impact Plan approach
16 May 2023, before 14:00:00 hours CEST	Deadline submission of documents for checking potential Dutch main and/or co-applicants (not listed in 3.1.1)
June 13, 2023, before 14:00:00 hours CEST at NWO June 13, 2023, before 12:00:00 AM IST at DST	Deadline proposals
Mid-June 2023	Eligibility check of submitted proposals
June – September 2023	Referees consulted
October 2023	Applicants can submit a rebuttal
November 2023	Assessment committee meeting
December 2023	Decision by the NWO-WOTRO Steering Committee and the Board of DST
December 2023	NWO and DST inform applicants about the decision
From April 2024 onwards	Start of the projects

## 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 proposal*
- 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 proposal*
  - Scientific and technical importance and innovativeness of the research scope and approach to address the identified challenge;
  - Degree to which the proposal substantiates convincingly how the research relates to the thematic focus of the Call for proposals;
  - 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;
  - Interdisciplinarity and transdisciplinarity; the proposal incorporates and explores the nexus between the relevant scientific disciplines necessary for addressing the problem, as well as evaluates the developed solutions in socio-economic context involving various stakeholders beyond the scientific community;
  - Adequacy of the budget.
- II. Potential for societal impact*
  - Relevance for society and potential for long term societal impacts;

- Socio-economic viability of the solutions proposed to be developed – incorporation of sustainability component in the workpackages;
- 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' relevant expertise in relation to the technical and scientific scope of the research project;
- Potential for long term scientific and technical collaboration;
- Quality of the Indian-Dutch collaboration, including fair equitable and mutually reciprocal 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.

### 5.1.1 Additional terms and conditions

The project should start within six months of the project being awarded. At least one researcher must be appointed to the project at the time of its start. If the project has not started within six months, the NWO-WOTRO Steering Committee, on behalf of NWO, and the Board of DST can decide to revoke the granting decision.

#### Start documents

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

#### NWO

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

- A project notification form with information of project staff;
- A data management plan;
- A consortium agreement, signed by all consortium organisations;
- (If applicable) approval of relevant ethics committees;
- (If applicable) receipt by NWO of the first tranche of in-cash co-funding.

#### DST

- DST consortium will start on the date of receipt of the grant by the Indian Lead Institution;
- DST funds will be released only after the consortium agreement has been signed.

#### Publications

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

#### Annual report

Annually, the project must submit a written report (in English) to inform NWO and DST of the overall project progress, experiences and output. The project leaders from both countries will receive instructions and a format for this report in advance.

#### Mid-term report

The projects will also be evaluated by a self-assessment around the mid-term of the projects' running time. 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 mid-term report will be based on the conclusions of the workshop, including a reflection on and, if required, revision of the Impact Plan, the underlying assumptions and the indicators. The assessment committee created by DST and NWO will evaluate the progress of the projects based on mid-term reports submitted by the consortia. Interviews or field visits may be organised to evaluate the progress and impact of the projects. The assessment committee will give recommendations to the projects based on their evaluations.

The mid-term report of all the projects of a call need to be submitted before the joint mid-term workshop and will be used as input for organising this mid-term workshop.

### Final report and final accountability to NWO and DST

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 will be evaluated by the assessment committee, appointed by DST and NWO. The final workshop should again be taken into account in the consortium's budget.

Simultaneously, the Netherlands-based project leader and the controller/financial manager of the Dutch project leader's 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 Netherlands-based project leader is not based at a knowledge institution that is subject to the education accountants protocol of the Ministry of Education, Culture and Science, an external audit report must also be submitted.

NWO reserves the right to externally evaluate 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.

## 5.1.2 Data management

After a proposal has been awarded funding, the researcher should convert the data management section into a data management plan. For this, applicants can make use of the advice from the referees and committee. The applicant describes in the plan whether use will be made of existing data, whether new data will be collected or generated, and how the data will be made FAIR: Findable, Accessible, Interoperable, Reusable. Before submission, the data management plan should be checked by a data steward or similar officer of the organisation where the project will be realised. The plan should be submitted to NWO via ISAAC within 4 months after the proposal has been awarded funding. NWO will check the plan as quickly as possible. Approval of the data management plan by NWO is a condition for disbursement of the funding. The plan can be adjusted during the research.

More information about the data management protocol of NWO can be found at: [Research data management | NWO](#).

## 5.1.3 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 2017.

Dutch main applicants and co-applicants must carry out a project funded by NWO during the time that they work for the knowledge institution. If an applicant or a researcher funded by NWO is appointed by more than one employer, then the other employer should relinquish any possible IP rights that emerge from the project of the applicant. Indian main applicants and co-applicants should furthermore ensure that any IP emanating from the execution of their project is managed in accordance with the DST guidelines.

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

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

The responsibility for arranging the consortium agreement lies with the applicants.

The model agreement that NWO and DST make available must be used and can be found on the funding page of this Call for proposals. This model agreement has been drawn up in accordance with the NWO Grant Rules 2017.

#### 5.1.4 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 NFU factsheet [“19.4511 Ten principles for Socially Responsible Licensing v19-12-2019.pdf \(nfu.nl\)”](#).

#### 5.1.5 Open Access

NWO and DST 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 [Open Access](#).

##### Books

Different requirements apply to scholarly books, book chapters and edited collections. See the Open Access Policy Framework at [Open Science | NWO](#).

##### CC BY licence

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

##### Costs

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

For more detailed information about NWO’s Open Access policy, see [Open Science | NWO](#).

## 6 Contact and other information

### 6.1 Contact

#### 6.1.1 Specific questions

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

**NWO:**

Berry Bonenkamp  
+31 70 349 44 16

Monika Brasser  
+31 70 349 40 85

Léonie Uijtdewilligen  
+31 70 344 09 77

Email: [dst-merian@nwo.nl](mailto:dst-merian@nwo.nl)

**DST:**

Dr Parveen Arora  
+91 11 26590331

Dr Neelima Alam  
+91 11 26590467  
Email: [neelima.alam@nic.in](mailto:neelima.alam@nic.in)

Dr Sanjai Kumar  
+91 11 26590270  
Email: [sanjai.k@gov.in](mailto:sanjai.k@gov.in)

#### 6.1.2 Technical questions about the web application ISAAC

For technical questions about the use of ISAAC, please contact the ISAAC helpdesk. Please read the manual first before consulting the helpdesk. The ISAAC helpdesk can be contacted from Monday to Friday between 10:00 and 17:00 hours on +31 70 34 40 600. However, you can also submit your question by email to [isaac.helpdesk@nwo.nl](mailto: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 Annexes

### 7.1 Explanation of budget modules

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

- For university appointments, the salary costs are funded in accordance with the UNL salary tables applicable at the moment the grant is awarded ([Salary tables | NWO](#)).
- For university medical centres, the salary costs are funded in accordance with the NFU salary tables applicable at the moment the grant is awarded ([Salary tables | NWO](#)).
- For personnel from universities of applied sciences, educational institutions and other organisations, salary costs will be funded based on the collective labour agreement pay scale of the employee concerned in accordance with the applicable rate at the time of awarding the grant as taken from Table 2.2, column ‘Hourly rate productive hours, excl. Dutch VAT’ from the *Handleiding Overheidstarieven* [HOT - Manual Dutch Government Rates] ([Salary tables | NWO](#)).
- For the Caribbean Netherlands, the Dutch government employs civil servants on Bonaire, Sint Eustatius and Saba under different conditions than in the European part of the Netherlands  
[Employment terms and conditions | Working at the Rijksdienst Caribisch Nederland | Rijksdienst Caribisch Nederland \(rijksdienstcn.com\)](#).

NWO will apply a mandatory one-off indexing of the salary<sup>8</sup> costs with respect to:

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

The mandatory one-off indexing has no influence on the level of the grant ceiling or on the maximum amount of the grant awarded per proposal. The level of the grant ceiling and the maximum amount of the grant awarded will remain unchanged during the assessment procedure. The mandatory one-off indexing will be applied after the decision-taking about awarding or rejecting proposals has been completed.

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

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

The available budget modules are explained below.

<sup>8</sup>

1 July, 1 August and 1 January are the dates on which the relevant rates are generally adjusted, in the case of indexation the date of actual annual adjustment will be taken into account.

## PhD student (including MD-PhD student)

A PhD student is appointed for 1.0 FTE for a duration of 48 months. The equivalent of 48 full-time months, for example an appointment of 60 months for 0.8 FTE, is also possible. If a different duration of appointment is considered necessary for the realisation of the proposed research, then the standard time can be deviated from as long as this is properly justified. However, the duration of appointment must always be at least 48 months.

## Engineering Doctorate degree (EngD)

Funding for the appointment of a EngD can only be applied for if funding for a PhD student or postdoc is also applied for.

The appointment for a EngD position is a maximum of 1.0 FTE for 24 months. The EngD trainee is employed by the institution applying for funding and can realise activities that are part of the research at an industrial partner for a specified time. If the research proposal is awarded funding, then an agreement must be concluded with the industrial partner(s) concerned. The underlying “Technological Designer Programme” must be described in the proposal.

## Postdoc

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

The material budget is available to cover the costs of a more limited appointment of a postdoc.

## Non-scientific staff (NSS) at universities

Funding for the appointment of NSS required to realise the research project can only be applied for if funding for a PhD student or postdoc is also applied for. A maximum of € 100,000 can be requested for NSS. This includes personnel such as student assistants, programmers, technical assistants or analysts. Depending on the level of the position, the appropriate salary table for NSS at MBO, HBO or university level applies.

The size of the appointment is at least 6 full-time months and at most 48 full-time months.

The size and duration of the appointment is at the applicant’s discretion, but the appointment is always for at least 0.5 FTE or for a duration of at least 12 months. The product of FTE x duration of appointment should always be a minimum of 6 full-time months.

The material budget is available to cover the costs of a more limited appointment of NSS.

## Other Scientific personnel (OSS) at universities

Budget for OSS such as AIOS (doctor training to be a specialist), ANIOS (doctor not training to be a specialist), scientific programmers or employees with a master’s degree can only be applied for if funding for a PhD student or postdoc is also applied for. For this category, a maximum of € 100,000 can be applied for.

The size of the appointment is at least 6 full-time months and at most 48 full-time months.

The size and duration of the appointment is at the applicant’s discretion, but the appointment is always for at least 0.5 FTE or for a duration of at least 12 months. The product of FTE x duration of appointment should always be a minimum of 6 full-time months.

## Research leave for applicants

With this budget module, funding can be requested for the costs of the research leave of the main and/or co-applicant(s). The employer of the applicant(s) can use this to cover the costs of relinquishing him or her from educational, supervisory, administrative or management tasks (not research tasks). The time that is released through the research leave grant can only be used by the applicant(s) for activities in the context of the project. The proposal must describe which activities in the context of the project the applicant(s) will carry out in the time relinquished.

The maximum amount of research leave that can be applied for is the equivalent of 5 full-time months. NWO funds the research leave in accordance with the salary tables for a senior scientific employee (scale 11) at the time the grant is awarded ([Salary tables | NWO](#)).

## Personnel universities of applied sciences, educational institutions and other organisations

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

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

## Explanation of budget module Material

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

### Project-related goods/services

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

### Travel and accommodation costs for the personnel positions applied for

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

### Implementation costs

- national symposium/conference/workshop organised by the project researchers;



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

Costs that cannot be applied for are:

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

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

## Citizen science

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

## Explanation of budget module Investments (up to € 150,000)

In this budget module, funding can be requested up to a maximum of € 150,000 for investments in equipment, datasets and/or software (e.g. lasers, specialised computers or computer programs).

## Explanation of budget module Knowledge utilisation

A maximum of 20 percent of the grant, € 140,000, can be requested under this call as funding for knowledge utilisation activities. The following conditions apply:

- The aim of this budget module is to facilitate the use of the knowledge that emerges from the research.
- Because knowledge utilisation takes many different forms in different scientific fields, it is up to the applicant to specify the costs required, e.g. costs of producing a teaching package, conducting a feasibility study into potential applications, or filing a patent application.
- The budget applied for should be adequately specified in the proposal.
- Please ensure to budget for activities related to your Impact Plan, specifically the strategic activity planning, being:
  - Stakeholder engagement (e.g. consultation workshops, expert meetings, roundtable meetings);
  - Communication strategy (e.g. international exchange events, videos, blogs, newsletters);
  - Monitoring, evaluation, and learning, including your project’s kick-off, midterm, and final workshop, learning events, and participation in the programme’s joint kick-off, midterm, and final workshop; and
  - Capacity strengthening (e.g. (development of) trainings for researchers or stakeholders (organisations)).

*NB: please take into account requirements of knowledge utilisation stated elsewhere in this Call for proposals, such as budgeting for kick-off, midterm, and final workshops, and 2.4.2 Impact Plan.*

## Explanation of budget module Internationalisation

A maximum of 20 percent of the grant, € 140,000 can be requested under this call as funding for internationalisation activities. The following conditions apply:

The budget for internationalisation is intended to encourage international collaboration. The amount requested must be specified. If the maximum amount is not sufficient for realising the research, then it may be deviated from if a clear justification is provided in the proposal.

Funding can be requested for:

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

## Explanation of the budget module Money follows Cooperation (MfC)

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

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

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

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

The co-applicant from the participating foreign knowledge institution must meet the conditions set for co-applicants in Section 3.1 of this Call for proposals, with the exception of the condition that the co-applicant must be employed in the Kingdom of the Netherlands.

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

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

The MfC part will be part of the overall financial accountability of the project.

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

The applicant is responsible for:

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

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

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

## Explanation of budget module Projectmanagement

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

Amongst other things, project management is understood to mean the optimal shaping of the organisation structure of the consortium, support of the consortium and the main applicant, monitoring coherency, progress and unity of the project, and alignment between the sub-projects within the project. This task may also be realised by external parties insofar as the expertise is not available at the knowledge institution of the main and/or co-applicant(s). During the tendering procedure for the selection of a third party, knowledge institutions should take into account the procurement rules of the government and, where necessary, follow a European tendering procedure. The activities of the main applicant and co-applicants in the context of the project (management) may not be funded from this budget module.

The budget to be requested for project management can consist of material costs, realisation costs and personnel costs. For personnel costs a maximum rate of 119 euros per hour may be used. The hourly rate of personnel to be appointed is based on the cost-covering rate (kostendekkend) and is calculated in accordance with the standard productive number of hours used by the organisation. The cost-covering rate includes:

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

## 7.2 Budget overview DST

Indian applicants should fill up the budget in the Excel sheet and submit to DST via email to [dstwticall@gmail.com](mailto:dstwticall@gmail.com).

Kindly mention the project reference No., project title and Indian and Dutch Lead PI name in the email.

Work Package -						Year- 1	Year -2	Year-3	Total cost	Amount of contribution by Indian Stakeholder	
										In-kind	In- cash
<b>A. Capital- Non-Recurring</b>											
<b>I. Equipment</b>											
<b>B. General – Recurring</b>											
<b>1.Manpower</b>											
Personnel from all other organisations universities As per DST OM. No. SR/S9/Z-08/2018 dated 30.01.2019 and DST OM. No. SR/S9/Z-05/2019 dated 31.08.2019	Name of Employing organisation	Employing organization*	Salary per month including HRA as per the Tier of the city	HRA per month as per the Tier of the city (20%)	Nos.	Total					
<b>Sub total - Manpower</b>											
<b>2. Consumables</b>											
Sub total -											
<b>3.Travel (National and International)</b>											
Sub total -											
<b>4. Contingencies</b>											
Sub total											
<b>5.Other Costs</b>											
Sub total											
<b>6. Overheads</b>											
Sub total											
<b>Grand total -</b>											

\* Please indicate type of organisation: A: research organisation, B: practitioner organisation; 1= public organisation, 2= non-for-profit organisation, 3= for-profit organisation. Each organisation thus can be typed with a combination of a letter and a number. For example: an NGO can be typed as B2.

Information about DST funding: maximum budget and what costs can be reimbursed

Maximum budget from DST for DST-NWO Call on Water Disaster management: approximately Rs. 4.0 crores per project: The projected budget by the Indian PI will be reviewed by Indian members of the Advisory Committee and will undergo financial due-diligence as per DST processes, which will take into account cost needed for the projected activities, matching efforts and conformity to DST.

## 7.3 Formats letter of commitment DST

Indian applicants should fill up the letters of commitment and submit to DST via email to [dstwticall@gmail.com](mailto:dstwticall@gmail.com). Kindly mention the project reference No., project title and Indian and Dutch Lead Pname in the email.

*(A) UNDERTAKING FROM THE INDIAN LEAD INVESTIGATOR(S)*

*(To be typed on the letter-head of the organization)*

**Project Title:**

1. I/We have carefully read the terms and conditions of the Water Technology Cell (WTC) Programme and I/We agree to abide by them.
2. I/We have not submitted this or a similar Project proposal elsewhere for financial support.
3. I/We have explored and ensured that the equipment and the basic facilities described in the Research Proposal, will actually be available as and when required for the purpose of the Project. I/We shall not request financial support under this project, for procurement of these items.
4. I/We undertake that spare or idle capacity of the permanent equipment procured under the Project will be made available to other legitimate users from parent and other organisations.
5. I/We have enclosed the following :

Endorsement from the  
Head of the Institution  
(on letter head)

Undertaking from the  
Collaborator(s)

Complete Project Proposal  
(2 copies)

Name and signature of the Investigators

**Date**

**Place**

*B). ENDORSEMENT FROM THE HEAD OF THE INSTITUTIONS OF INDIAN MAIN APPLICANT  
(To be typed on the letter-head of the organization)*

**Project Title:**

1. Certified that the organization welcomes the participation of Dr/Mr/Mrs .....as the PI and Dr/Mr/Mrs.....as the Co-PI for the project and that in the unforeseen and legitimate event of discontinuation by the PI, the Co-PI will assume full responsibility for completion of the project. Information to this effect, endorsed by me, will be promptly sent to the DST.
2. Certified that the equipment, other basic facilities and other administrative facilities as per the terms and conditions of the award of the Project, will be extended to the investigator(s) throughout the duration of the project.
3. The Organization shall ensure that financial and purchase procedures are followed as per the prevailing norms of the organization, within the allocated budget.
4. The Organisation shall provide timely the Statement of Expenditure and the Utilisation Certificate of the grant as required by the DST in the prescribed format.
5. The grant for the proposal, if approved may be made in favour of, Payment shall be made in favour of:

- 
- i. Organisation Name as per Bank records:
  - ii. Bank Account No.:
  - ii. IFSC Code:
  - iii. MICR Code:
  - iv. Bank Name: Union Bank of India
  - v. Bank Branch Address
  - vi. Unique Agency code of the Organisation and Institute:

*As per the extant guidelines of Govt. of India, you are requested to register yourself on [Central Plan Scheme Monitoring System \(CPSMS\)](#) website and inform us unique agency code to facilitate the electronic fund transfer.  
{website link- <https://pfms.nic.in/Users/LoginDetails/Login.aspx> }.*

**(Head of the Institute)**

**Seal/Stamp**

**Date**

**Place**

*C). ENDORSEMENT FROM THE HEAD OF THE ORGANISATION OF INDIAN CO-APPLICANT  
(Co-PI)\*  
(To be typed on the letter-head of the organization)*

**Project Title:**

6. Certified that the organization welcomes the participation of Dr/Mr/Mrs .....as the PI and Dr/Mr/Mrs.....as the Co-PI for the project and that in the unforeseen and legitimate event of discontinuation by the PI, the Co-PI will assume full responsibility for completion of the project. Information to this effect, endorsed by me, will be promptly sent to the DST.
7. Certified that the equipment, other basic facilities and other administrative facilities as per the terms and conditions of the award of the Project, will be extended to the investigator(s) throughout the duration of the project.
8. The Organization shall ensure that financial and purchase procedures are followed as per the prevailing norms of the organization, within the allocated budget.
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10. The grant for the proposal, if approved may be made in favour of, Payment shall be made in favour of:

- 
- i. Organisation Name as per Bank records:
  - ii. Bank Account No.:
  - iii. IFSC Code:
  - iv. MICR Code:
  - v. Bank Name: Union Bank of India
  - vi. Bank Branch Address
  - vii. Unique Agency code of the Organisation and Institute:
- As per the extant guidelines of Govt. of India, you are requested to register yourself on [Central Plan Scheme Monitoring System](https://pfms.nic.in/CPMS/monitoring/index.jsp) (CPSMS) website and inform us unique agency code to facilitate the electronic fund transfer.  
{website link- <https://pfms.nic.in/Users/LoginDetails/Login.aspx> }.*

**(Head of the Institute)**

**Seal/Stamp**

**Date**

**Place**

*\* N.B. - THIS FORMAT HAS TO BE FILLED BY INSTITUTIONS OF ALL CO-PIs.*



*D). Endorsement from Indian Stakeholders / Collaborating Industry / Non-Academic Partners / Voluntary Organizations (if any)*

*(To be typed on the letter-head of the organization)*

I have gone through the Project proposal entitled.....  
submitted by .....(Name of PI)  
of.....(Name of the Institute)  
for DST funding and noted the obligations and responsibilities indicated in our name  
which are as below :

(Tick, as applicable)

1. Contribution in financial terms (*mention amount in Rs.*) :
2. Contribution in Kind (*list activities*) :
  - 2.a *Pre-implementation of the project :*
    - 2.a.1 Land approvals and acquisition
    - 2.a.2 Commitment towards technical / human resources.
    - 2.a.3 Legal clearances
    - 2.a.4 Sharing of data – technical designs & drawings.
    - 2.a.5 Undertaking to maintain the assets.
    - 2.a.6 Providing data as required
    - 2.a.7 Sharing preliminary work done so far on similar activities.
    - 2.a.8 Any other, please specify.
  - 2.b *During implementation of the project :*
    - 2.b.1 Coordination and partnership with the consortium.
    - 2.b.2 Depute a dedicated manpower team for the project.
    - 2.b.3 Community mobilization and engagement, group-creation, capacity building, training, orientation and awareness etc.
    - 2.b.4 Any other, please specify.
  - 2.c *Post project :*
    - 2.c.1 Undertaking for taking over of the project & ensuring the sustainability of the intervention.
    - 2.c.2 Generation and analysis of data from the intervention.
    - 2.c.3 Any other, please specify.

I hereby affirm that my organization/industry is committed to participate in the Project to the full extent as indicated including financial liabilities accruing therefrom as detailed above. A brief profile of my organization is summarised below:

Name of Organisation :  
Line of Business / Service :  
No. of employees :  
Annual Turn over (if industry) :  
Annual Report (last 3 financial years ) :

(Head of the Organisation)  
Seal/Stamp  
Date  
Place

## 7.4 Format letter of commitment NWO

The Netherlands-based main applicant should submit the full proposal including the compulsory Annexes to NWO (PDF format is required!) via the online application system ISAAC which can be accessed via the NWO website. For submission via ISAAC, the proposal must be submitted from the account of the Dutch main applicant. For any technical questions regarding submission, please contact the ISAAC helpdesk ([isaac.helpdesk@nwo.nl](mailto:isaac.helpdesk@nwo.nl)).

*Template letter of commitment for consortium organisation*

*Note: the letter should be printed on the stationery of the consortium organisation concerned*

[Address main applicant]

Concerns: Letter of Commitment

[Location], [Date]

Dear [name Dutch main applicant],

Through this letter, I confirm that [name consortium organisation] is available and committed to participate in the proposed project, when funded by DST and NWO, entitled '[proposal title]', which was submitted to the Call for proposals 'Water Disaster Management'.

[Outline the availability and commitment of the consortium organisation]

[If applicable, indicate the consortium organisation's total contribution in-cash, or quantify the in-kind contribution. This amount should be the same as indicated in the application form.]

Yours sincerely,

[Signed by Dean of Faculty/director of organisation]

..... [Signature]

..... [Name + Position]

## 7.5 Conflict of Interest policy DST

Indian applicants should sign on the conflict of Interest document and submit to DST via email to [dstwticall@gmail.com](mailto:dstwticall@gmail.com). Kindly mention the project reference No. project title and Indian and Dutch Lead PI name in the email.

DEPARTMENT OF SCIENCE AND TECHNOLOGY

POLICY ON CONFLICT OF INTEREST

FOR REVIEWER & COMMITTEE MEMBER or APPLICANT or DST OFFICER  
ASSOCIATED/ DEALING WITH  
THE SCHEME/ PROGRAM OF DST

Issues of Conflicts of Interest and ethics in scientific research and research management have assumed greater prominence, given the larger share of Government funding in the country's R & D scenario. The following policy pertaining to general aspects of Conflicts of Interest and code of ethics, are objective measures that is intended to protect the integrity of the decision making processes and minimize biasness. The policy aims to sustain transparency, increase accountability in funding mechanisms and provide assurance to the general public that processes followed in award of grants are fair and non-discriminatory. The Policy aims to avoid all forms of bias by following a system that is fair, transparent and free from all influence/ unprejudiced dealings, prior to, during and subsequent to the currency of the programme to be entered into with a view to enable public to abstain from bribing or any corrupt practice in order to secure the award by providing assurance to them that their competitors will also refrain from bribing and other corrupt practice and the decision makers will commit to prevent corruption, in any form, by their officials by following transparent procedures. This will also ensure a global acceptance of the decision making process adopted by DST.

### **Definition of Conflict of Interest:**

Conflict of Interest means "any interest which could significantly prejudice an individual's objectivity in the decision making process, thereby creating an unfair competitive advantage for the individual or to the organization which he/she represents". The Conflict of Interest also encompasses situations where an individual, in contravention to the accepted norms and ethics, could exploit his/her obligatory duties for personal benefits.

### **1. Coverage of the Policy:**

- a) The provisions of the policy shall be followed by persons applying for and receiving funding from DST, Reviewers of the proposal and Members of Expert Committees and Programme Advisory Committees. The provisions of the policy will also be applicable on all individuals including Officers of DST connected directly or indirectly or through intermediaries and Committees involved in evaluation of proposals and subsequent decision making process.
- b) This policy aims to minimize aspects that may constitute actual Conflict of Interests, apparent Conflict of Interests and potential Conflict of Interests in the funding mechanisms that are presently being operated by DST. The policy also aims to cover, although not limited to, Conflict of interests that are Financial (gains from the outcomes of the proposal or award), Personal (association of relative / Family members) and Institutional (Colleagues, Collaborators, Employer, persons associated in a professional career of an individual such as Ph.D. supervisor etc.)

### **2. Specifications as to what constitutes Conflict of Interest.**

Any of the following specifications (non-exhaustive list) imply Conflict of Interest if,

- (i) Due to any reason by which the Reviewer/Committee Member cannot deliver fair and objective assessment of the proposal.
- (ii) The applicant is a directly relative# or family member (including but not limited to spouse, child, sibling, parent) or personal friend of the individual involved in the decision making process or alternatively, if any relative of an Officer directly involved in any decision making process / has influenced interest/ stake in the applicant's form etc.
- (iii) The applicant for the grant/award is an employee or employer of an individual involved in the process as a Reviewer or Committee Member; or if the applicant to the grant/award has had an employer- employee relationship in the past three years with that individual.

- (iv) The applicant to the grant/award belongs to the same Department as that of the Reviewer/Committee Member.
- (v) The Reviewer/Committee Member is a Head of an Organization from where the applicant is employed.
- (vi) The Reviewer /Committee Member is or was, associated in the professional career of the applicant(such as Ph.D. supervisor, Mentor, present Collaborator etc.)
- (vii) The Reviewer/Committee Member is involved in the preparation of the research proposal submitted by the applicant.
- (viii) The applicant has joint research publications with the Reviewer/Committee Member in the last three years.
- (ix) The applicant/Reviewer/Committee Member, in contravention to the accepted norms and ethics followed in scientific research has a direct/indirect financial interest in the outcomes of the proposal.
- (x) The Reviewer/Committee Member stands to gain personally should the submitted proposal be accepted or rejected.

# The Term "Relative" for this purpose would be referred in section 6 of Companies Act , 1956.

### **3. Regulation:**

The DST shall strive to avoid conflict of interest in its funding mechanisms to the maximum extent possible. Self- regulatory mode is however recommended for stake holders involved in scientific research and research management, on issues pertaining to Conflict of Interest and Scientific Ethics. Any disclosure pertaining to the same must be made voluntarily by the applicant/Reviewer/Committee Member.

### **4. Confidentiality:**

The Reviewers and the Members of the Committee shall safeguard the confidentiality of all discussions and decisions taken during the process and shall refrain from discussing the same with any applicant or a third party, unless the Committee recommends otherwise and records for doing so.

### **5. Code of Conduct**

#### **5.1 To be followed by Reviewers/Committee Members:**

- (a) All reviewers shall submit a conflict of interest statement, declaring the presence or absence of any form of conflict of interest.
- (b) The reviewers shall refrain from evaluating the proposals if the conflict of interest is established or if it is apparent.
- (c) All discussions and decisions pertaining to conflict of interest shall be recorded in the minutes of the meeting.
- (d) The Chairman of the Committee shall decide on all aspects pertaining to conflict of interests.
- (e) The Chairman of the Committee shall request that all members disclose if they have any conflict of interest in the items of the agenda scheduled for discussion.
- (f) The Committee Members shall refrain from participating in the decision making process and leave the room with respect to the specific item where the conflict of interest is established or is apparent.
- (g) If the Chairman himself/herself has conflict of interest, the Committee may choose a Chairman from among the remaining members, and the decision shall be made in consultation with Member Secretary of the Committee.
- (h) It is expected that a Committee member including the Chair-person will not seek funding from a Committee in which he/she is a member. If any member applies for grant, such proposals will be evaluated separately outside the Committee in which he/she is a member.

#### **5.2 To be followed by the Applicant to the Grant/Award:**

- (a) The applicant must refrain from suggesting referees with potential Conflict of Interest that may arise due to the factors mentioned in the specifications described above in Point No. 2.
- (b) The applicant may mention the names of individuals to whom the submitted proposal should not be sent for refereeing, clearly indicating the reasons for the same.

#### **5.3 To be followed by the Officers dealing with Programs in DST:**

While it is mandatory for the program officers to maintain confidentiality as detailed in point no. 6 above, they should declare, in advance, if they are dealing with grant applications of a relative or family member (including but not limited to spouse, child, sibling, parent) or thesis/ post-doctoral mentor or stands to benefit financially if the applicant proposal is funded. In such cases, DST will allot the grant applications to the other program officer.

#### **6. Sanction for violation**

##### **6.1 For a) Reviewers / Committee Members and b) Applicant**

Any breach of the code of conduct will invite action as decided by the Committee.

##### **6.2 For Officers dealing with Program in DST**

Any breach of the code of conduct will invite action under present provision of CCS (conduct Rules), 1964.

#### **7. Final Appellate authority:**

Secretary, DST shall be the appellate authority in issues pertaining to conflict of interest and issues concerning the decision making process. The decision of Secretary, DST in these issues shall be final and binding.

#### **8. Declaration**

**I have read the above "Policy on Conflict of Interest" of the DST applicable to the Reviewer/ CommitteeMember/ Applicant/ DST Scheme or Program Officer # and agree to abide by provisions thereof.**

I hereby declare that I have no conflict of interest of any form pertaining to the proposed grant \*I hereby declare that I have conflict of interest of any form pertaining to the proposed grant \*

\* & # (Tick whichever is applicable)

**Name of the Reviewer/ Committee Member or Applicant or DST Officer**

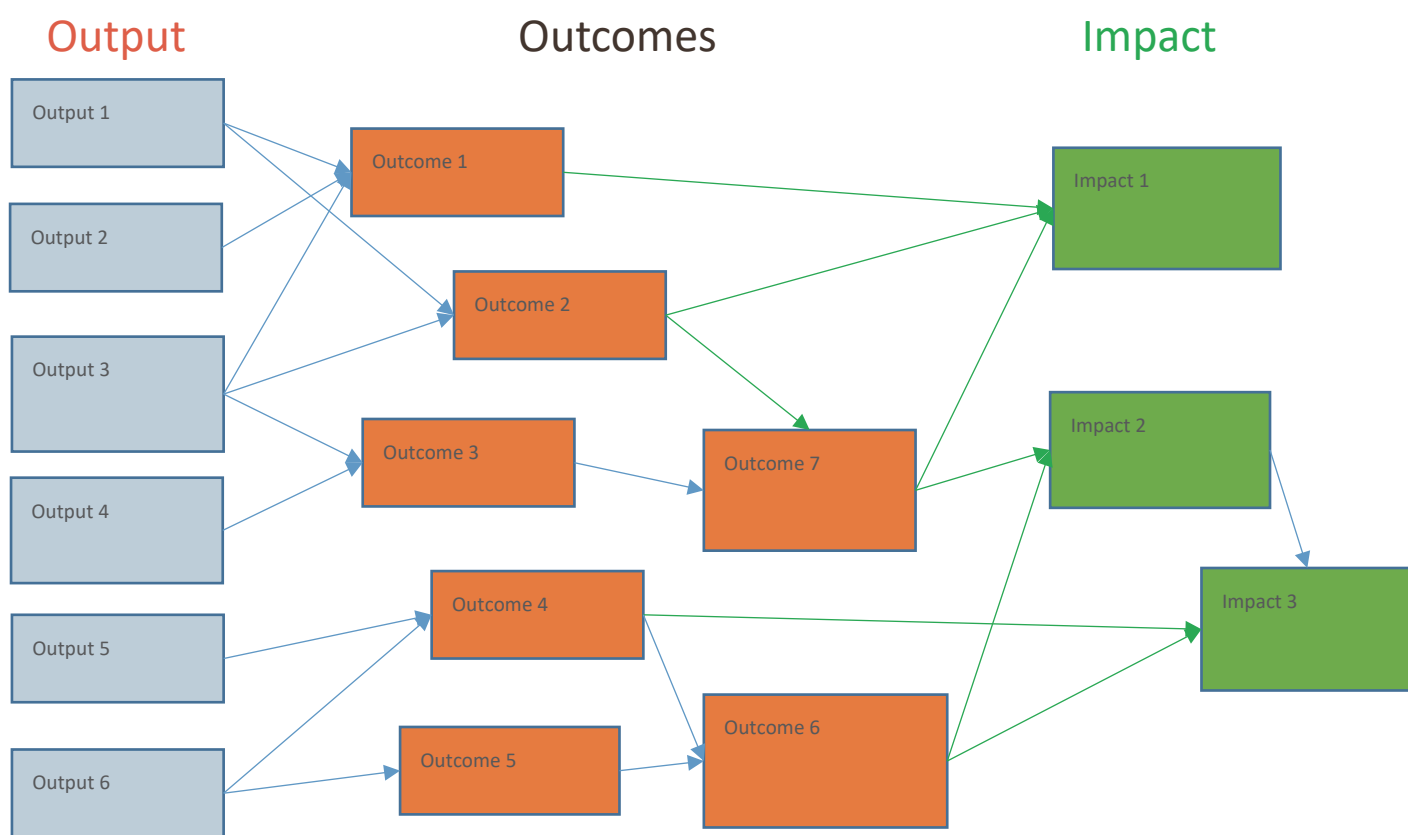
*(Strike out whichever is not applicable)*

**(Signature with date)**

## 7.6 Impact Pathway

Netherlands-based applicants should submit the full proposal including the compulsory annexes to NWO (PDF format is required!) via the online application system ISAAC which can be accessed via the NWO website. For submission via ISAAC, the proposal must be submitted from the account of the Dutch Principal Investigator. For any technical questions regarding submission, please contact the ISAAC helpdesk (isaac.helpdesk@nwo.nl).

*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.*



## 7.7 Declaration co-funding

*Please note: Only fill in the marked fields, other text cannot be adjusted.*

**Project proposal:** Project title

**Main applicant:** Main applicant

Organisation name declares, as co-funder:

- to have read and to endorse the project proposal;
- if the project proposal is awarded:
  - to participate and contribute to the project as described in the project proposal;
  - to fulfil all obligations regarding a prompt conclusion of the consortium agreement;
  - to agree to be mentioned on the NWO website.

Co-funder provides:

☐ co-funding in cash of € Amount in cash, excl. VAT

and/or

☐ co-funding in kind of € Amount in kind, excl. VAT.

*Depending on the specific situation, VAT may be charged on the co-funding.*

Specification of the in kind contribution:

Specification of in kind item or activity	Price or hourly rate	Number of hours (if applicable)	Total €

*Please note that the Call for proposals specifies a maximum hourly rate and a maximum number of productive hours per year.*

This declaration applies during the NWO assessment process. If the project proposal is granted, the declaration also applies during the duration of the project.

Signature<sup>9</sup>

Name

Job title

Organisation

E-mail address

Address

<sup>9</sup> To add a digital signature: select the [Signature] field and go to tab Insert > Object. Select Create from File. Select Browse and choose the file you want to use. Click OK to insert the file.



Publication: March 2023

Dutch Research Council

Visiting address:

Location The Hague

Laan van Nieuw Oost-Indië 300

2593 CE The Hague

The Netherlands

Location Utrecht

Winthontlaan 2

3526 KV Utrecht

The Netherlands

Cover image: Shutterstock

[Homepage](#) | [NWO](#)



# Application Form

Cooperation India (DST) - the Netherlands (NWO Merian Fund)  
Call 2023



विज्ञान एवं प्रौद्योगिकी विभाग  
DEPARTMENT OF  
SCIENCE & TECHNOLOGY



← Expand for Explanatory Notes on Application Form (1a – 1b)

## 1. Registration Form (basic details)

### 1a. Title of research proposal

*Insert project title here.*

### 1b. Details of the two main applicants:

Dutch main applicant	
Title:	
First name:	
Initials:	
Prefix:	
Surname:	
Male / female / non-binary / prefer not to say:	
Institution:	
Address for correspondence:	
Telephone:	
E-mail:	
Website (optional):	

Indian main applicant	
Title:	
First name:	
Initials:	
Prefix:	
Surname:	
Male / female / non-binary / prefer not to say:	

Institution:	
Address for correspondence:	
Telephone:	
E-mail:	
Website (optional):	

← Expand for Explanatory Notes on *Type of Organisation* (1c – 1d)

## 1c. Co-applicants ⓘ

### Dutch side of the consortium

Co-applicant		Co-applicant	
Family name:		Family name:	
First name:		First name:	
Male / female / non-binary / prefer not to say:		Male / female / non-binary / prefer not to say:	
Title:		Title:	
Profession:		Profession:	
E-mail:		E-mail:	
Organisation:		Organisation:	
Type of organisation ⓘ:	Choose an item	Type of organisation ⓘ:	Choose an item
Address (incl. country):		Address (incl. country):	
Telephone:		Telephone:	
Website organisation:		Website organisation:	

Collaboration partner		Collaboration partner	
Family name:		Family name:	
First name:		First name:	
Male / female / non-binary / prefer not to say:		Male / female / non-binary / prefer not to say:	
Title:		Title:	
Profession:		Profession:	
E-mail:		E-mail:	
Organisation:		Organisation:	
Type of organisation ⓘ:	Choose an item	Type of organisation ⓘ:	Choose an item
Address (incl. country):		Address (incl. country):	

Telephone:		Telephone:	
Website organisation:		Website organisation:	

### Indian side of the consortium

Co-applicant		Co-applicant	
Family name:		Family name:	
First name:		First name:	
Male / female / non-binary / prefer not to say:		Male / female / non-binary / prefer not to say:	
Title:		Title:	
Profession:		Profession:	
E-mail:		E-mail:	
Organisation:		Organisation:	
Type of organisation ⓘ:	Choose an item	Type of organisation ⓘ:	Choose an item
Address (incl. country):		Address (incl. country):	
Telephone:		Telephone:	
Website organisation:		Website organisation:	

Collaboration partner		Collaboration partner	
Family name:		Family name:	
First name:		First name:	
Male / female / non-binary / prefer not to say:		Male / female / non-binary / prefer not to say:	
Title:		Title:	
Profession:		Profession:	
E-mail:		E-mail:	
Organisation:		Organisation:	
Type of organisation ⓘ:	Choose an item	Type of organisation ⓘ:	Choose an item
Address (incl. country):		Address (incl. country):	
Telephone:		Telephone:	
Website organisation:		Website organisation:	

### 1d. Project staff

*Please list the names of all staff who will carry out the project, both in the Netherlands as in India, including the main applicants, co-applicants and collaborating partners.*

Name ⓘ	Name of organisation	Type of organisation ⓘ	Time involvement		Engagement in the project <sup>1</sup>	Role in the project <sup>2</sup>
			Months	FTE		
		Choose an item				
		Choose an item				
		Choose an item				
		Choose an item				
		Choose an item				
		Choose an item				

Add rows if needed.

## 1e. Summary of research proposal ⓘ

(Maximum 300 words, plus maximum five keywords. Please ensure this is identical to the summary in ISAAC.)

**Keywords:** Maximum five keywords

## ← Expand for Explanatory Notes on Fields of Research (1f)

## 1f. Relevant research fields ⓘ

	Code:	Field of research:
Main field of research:		
Other field(s) of research (if applicable):		

## 1g. Public summary

(Maximum 100 words. Please provide a layperson's summary. NWO and DST will publish this public summary on the programme website if your proposal is awarded.)

<sup>1</sup> E.g., senior, junior, postdoc, PhD, MA/MSc student, etc.

<sup>2</sup> E.g., project coordinator, researcher, financial management, etc.

## 2. Research Proposal

### ← Expand for Explanatory Notes on Research Proposal (2a – 2d)

#### 2a. Research Project ⓘ

##### 2a.1 Problem statement

*Your text here.*

##### 2a.2 Techno-socio impact

*Your text here.*

##### 2a.3 Project description

*Your text here.*

#### 2b. Impact Pathway ⓘ

*Your text here.*

#### 2c. Productive Interactions ⓘ

*Your text here.*

#### 2d. Strategic Activity Planning ⓘ

##### 2d.1 Stakeholder engagement

*Your text here.*

##### 2d.2 Communication

*Your text here.*

##### 2d.3 Monitoring, Evaluation and Learning

*Your text here.*

##### 2d.4 Capacity strengthening

*Your text here.*

#### 2e. Number of pages used

Section 2: \_\_\_\_\_ (Maximum 16 pages)

Format A: \_\_\_\_\_ (Maximum 2 pages)

#### 2f. Literature references

*Please make sure your reference list does not use hyperlinks. All references should be written out in the application form itself.*

— .....

Format A: Complete Impact Pathway diagram with indicators at output and outcome level (max. 2 pages)

Research outputs:	Indicators:

Research outcomes:	Indicators:

Impact
1.
2.
3.





### 3. Consortium

#### ← Expand for Explanatory Notes on Consortium (3a – 3b)

#### 3a. Consortium roles and added value ⓘ

*(Maximum 750 words).*

#### 3b. List of key output products ⓘ

*Name of consortium member 1*

- 1.
- 2.
- 3.
- 4.
- 5.

*Name of consortium member 2*

- 1.
- 2.
- 3.
- 4.
- 5.

*Name of consortium member 3*

- 1.
- 2.
- 3.
- 4.
- 5.

#### 3c. CVs of main applicants and co-applicants (in Annex) ⓘ

*(Please include as an Annex to this application the CVs of the main applicants, work package managers, co-applicants, and collaboration partners. Each CV should be a maximum of one page. Please do not include the CVs of the other project staff and do not include photos.)*

## 4. Cost Estimates

### ← Expand for Explanatory Notes on *Cost Estimates* (4a – 4b)

#### 4a. Budget ⓘ

Budget applied for from the NWO grant. Specified costs per module should be placed in the NWO Excel budget:

Module	Amount from NWO grant	% of budget (see next column)	Call requirements:	Amount of co-financing	
				In-kind	In-cash
Personnel					
Material credit					
Investments					
Knowledge utilisation			<i>Max 20% of budget. Don't forget to budget for the joint project workshops.</i>		
Internationalisation			<i>Max 20% of the requested NWO budget.</i>		
Project management			<i>Max. 5% of the requested NWO budget.</i>		
<b>Total budget requested from NWO</b>					

Funding requested from DST. Specified costs per item should be placed in the separate DST budget form.

Project costs (specified in INR and Euros):	Year 1	Year 2	Year 3	TOTAL	Amount of contribution by Indian stakeholders	
					In-kind	In-cash
A. Capital - Non Recurring:						
Equipment						
B. General – Recurring:						
1. Manpower costs						
2. Consumables						
3. Travel						
4. Contingencies						

5. Other Costs						
6. Overheads						
<b>Total budget requested from DST</b>						

#### 4b. Explanation of budget ⓘ

*Maximum 1 page.*

#### 4c. Intended starting date

*Click here to select a starting date.*

#### 4d. Additional grants

Have you requested any additional grants for this project either from NWO, DST or from any other funding agency?

- ☐ NO  
☐ YES

*If yes, please specify.*

## 5. Data management

### ← Expand for Explanatory Notes on *Data Management*

#### 5a. Data management statements

1. Will data be collected or generated that are suitable for reuse?

- ☐ YES: *Then answer questions 2 to 4.*
- ☐ NO: *Then explain why the research will not result in reusable data or in data that cannot be stored or data that for other reasons are not relevant for reuse.*

If no, please explain here

2. Where will the data be stored during the research?

Answer

3. After the project has been completed, how will the data be stored for the long-term and made available for the use by third parties? To whom will the data be accessible?

Answer

4. Which facilities (ICT, (secure) archive, refrigerators or legal expertise) do you expect will be needed for the storage of data during the research and after the research? Are these available? *ICT facilities for data storage are considered to be resources such as data storage capacity, bandwidth for data transport and calculating power for data processing.*

Answer

## 6. Ethics

← Expand for Explanatory Notes on *Ethics* (6a – 6b)

6a. Description of ethical issues ⓘ

*Description.*

6b. Please indicate which ethics committee(s) will be approached for ethical approval ⓘ:

*Ethic committee(s).*

## Signatures

- ☐ By submitting this document I declare that I satisfy the nationally and internationally accepted standards for scientific conduct as stated in the Netherlands Code of Conduct for Scientific Practice (Association of Universities in the Netherlands).
- ☐ I endorse and follow the Code Openness Animal Experiments (if applicable)
- ☐ I endorse and follow the Code Biosecurity (if applicable)
- ☐ I have completed this form truthfully

Please ensure all main applicants, co-applicants and collaboration partners sign the application. Add more rows if necessary.

Dutch main applicant

Name:

Signature:

Indian main applicant

Name:

Signature:

Co-applicant

Name:

Signature:

Co-applicant

Name:

Signature:

Collaboration partner

Name:

Signature:

Collaboration partner

Name:

Signature:

Submit this application through ISAAC, in PDF format. Please note that the electronic application must be submitted through the ISAAC account of the Dutch main applicant. Please note that the application must also be submitted to DST via e-PMS ([onlinedst.gov.in](http://onlinedst.gov.in)) by the Indian main applicant.

## Annex 1: CVs of main applicants, co-applicants and collaboration partners



## Annex 2: Letters of commitment of consortium organisations

Formats for both DST and NWO can be found in the Annexes of the Call for proposals

## Annex 3: Declaration co-funding letters (if applicable)

A Formats can be found in the Annex of the Call for proposals

## Annex 4: Draft Consortium Agreement

A format can be found on the call website and in ISAAC.