🡨 Expand for Explanatory Notes

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| How to fill out this application form |
| The instructions for filling in this form are indicated in the 🛈 icons or in the fold-out titles 🡨 with explanatory notes.  This application form consists of six sections. Each section contains further clarification and notes on how to fill out the related questions. When writing your proposal, please be specific, and provide only information that applies to the proposal and its objectives and take into account that it will be assessed by both expert reviewers as well as the International Advisory Committee with a broad range of expertise. Please adhere to the following guidelines when filling out this application form:   * Use the Calibri font at font size 9.5 and do not change the margins (2,5 cm, all directions); * You may use subheadings;   Instructions regarding attachments  The following compulsory attachments (budget form, CV’s, letters of commitment, and, (*if applicable)* letter(s) of guarantee) should be included as annex in the proposal. Appendices with supplementary information are not allowed, nor are annexes other than the ones specified here:   * CVs: For each Principal Investigator, co-applicant, and collaboration partner, a CV of max. 1 A4 should be provided. Only the CVs of the Principal Investigators, co-applicants and collaboration partners mentioned in 1b or 1d should be included. CVs of project staff who are not a Principal Investigator, official co-applicant or collaboration partner should not be included. * Letter(s) of commitment: each consortium organisation (i.e. the institutions of the Principal Investigators, the co-applicants and the collaboration partners) should provide a letter in which the institution or organisation confirms that they agree to the conditions required for the execution of the project. 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. A format can be found in Annex 6.2 of the Call for Proposals. If the institution or organisation is providing co-funding as well, the numeric amount should be specified in the Letter of Commitment. * Draft consortium agreement: detailing agreements regarding rights (such as copyright, publications, intellectual property etc. of products or other developments in the project), knowledge utilisation, as well as affairs such as payments, progress- and final reports, and confidentiality. The agreement furthermore details agreements on governance of the consortium (to the extent that it gives sufficient guarantee for effective collaboration), finances, and if applicable, basic knowledge to be contributed, liability, disputes, and information sharing within the consortium. The agreement has to be drafted in a spirit of equity. If the proposal is awarded, the consortium will be asked for a final, signed version prior to the start of the project. A format can be found here: https://www.nwo.nl/en/documents/wotro/wotro---format-consortium-agreement * Letter(s) of guarantee: For each co-financing partner a letter of guarantee regarding the co-funding should be submitted. In a letter of guarantee, the co-financing partner expresses their support for the project and confirms the co-funding pledge and the agreements with respect to intellectual property and publications as stated in the application and in the draft consortium agreement. Letters of guarantee are unconditional and do not contain opt-out clauses.   The budget must be uploaded as a separate Excel document in ISAAC.  Submission  Please 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. The proposal must be submitted through the account of the Dutch Principal Investigator. For any technical questions regarding submission, please contact the ISAAC helpdesk ([isaac.helpdesk@nwo.nl](mailto:isaac.helpdesk@nwo.nl)).  PLEASE NOTE: full proposals must also be submitted by the Chinese Principal Investigator to CAS, who may have additional requirements for eligibility. Applications not submitted before the deadline to both NWO and CAS will not be admitted to the assessment procedure.  Deadline for submitting the full proposal: 14 January 2021, 14:00 CET (to NWO) / 14 January 2021, 16:00 CST (to CAS). |

# Registration Form (basic details)

## Title of research proposal[🛈](#bladwijzer_1d)

|  |
| --- |
| Insert project title here |

## Details of the two Principal Investigators (PI):

|  |  |
| --- | --- |
| Dutch PI | |
| Title: |  |
| First name: |  |
| Initials: |  |
| Prefix: |  |
| Surname: |  |
| Male / female: |  |
| Institution: |  |
| Address for correspondence: |  |
| Telephone: |  |
| E-mail: |  |
| Website (optional): |  |

|  |  |
| --- | --- |
| Chinese PI | |
| Title: |  |
| First name: |  |
| Initials: |  |
| Prefix: |  |
| Surname: |  |
| Male / female: |  |
| Institution: |  |
| Address for correspondence: |  |
| Telephone: |  |
| E-mail: |  |
| Website (optional): |  |

## Institutes [🛈](#bladwijzer_1c)

|  |
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| (Indicate the institutes in The Netherlands and in China of the Principal Investigators) |

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| Type of organisation |
| Please specify: (A) Practitioners organisation or (B) Research organisation & (1) private for profit, (2) private non-profit or (3) public organisation, for example: a university is a public (3) research organisation (B) therefore it has code B3. A NGO is a private non-profit (2) practitioners (A) organisation, therefore the code is A2. A ministry is a public (3) practitioners organisation (A) therefore an A3. |

## Co-applicants [🛈](#bladwijzer_1d)

Chinese side of the consortium

|  |  |  |  |
| --- | --- | --- | --- |
| Co-applicant | | Co-applicant | |
| Surname: |  | Surname: |  |
| First name: |  | First name: |  |
| Male / female: |  | Male / female: |  |
| Title(s): |  | Title(s): |  |
| Profession: |  | Profession: |  |
| E-mail: |  | E-mail: |  |
| Organisation[🛈](#Explanatory_1d_1e): |  | Organisation[🛈](#Explanatory_1d_1e): |  |
| Type of organisation [🛈](#Explanatory_1d_1e): | Choose an item | Type of organisation [🛈](#Explanatory_1d_1e): | Choose an item |
| Address (incl. country): |  | Address (incl. country): |  |
| Telephone number: |  | Telephone number: |  |
| Website: |  | Website: |  |

Dutch side of the consortium [🛈](#bladwijzer_1e" \o "(Please fill in the details of the co-applicants and collaboration partners (see chapter 3). Add more boxes if necessary))

|  |  |  |  |
| --- | --- | --- | --- |
| Co-applicant | | Co-applicant | |
| Surname: |  | Surname: |  |
| First name: |  | First name: |  |
| Male / female: |  | Male / female: |  |
| Title(s): |  | Title(s): |  |
| Profession: |  | Profession: |  |
| E-mail: |  | E-mail: |  |
| Organisation[🛈](#Explanatory_1d_1e): |  | Organisation[🛈](#Explanatory_1d_1e): |  |
| Type of organisation [🛈](#Explanatory_1d_1e): | Choose an item | Type of organisation [🛈](#Explanatory_1d_1e): | Choose an item |
| Address (incl. country): |  | Address (incl. country): |  |
| Telephone number: |  | Telephone number: |  |
| Website: |  | Website: |  |
| Collaboration partner | | Collaboration partner | |
| Surname: |  | Surname: |  |
| First name: |  | First name: |  |
| Male / female: |  | Male / female: |  |
| Title(s): |  | Title(s): |  |
| Profession: |  | Profession: |  |
| E-mail: |  | E-mail: |  |
| Organisation[🛈](#Explanatory_1d_1e): |  | Organisation[🛈](#Explanatory_1d_1e): |  |
| Type of organisation [🛈](#Explanatory_1d_1e): | Choose an item | Type of organisation [🛈](#Explanatory_1d_1e): | Choose an item |
| Address (incl. country): |  | Address (incl. country): |  |
| Telephone number: |  | Telephone number: |  |
| Website: |  | Website: |  |

## Project staff [🛈](#bladwijzer_1f" \o "List the names of all staff who will carry out the project, both in The Netherlands and China, including the principal investigators and co-applicants.)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Name [🛈](file:///C:\Users\spiekermanm\Desktop\#_Project_staff_() | Name of organisation | Type of organisation [🛈](#Explanatory_1d_1e) | Time involvement | | Engagement in the project[[1]](#footnote-1) | Role in the project[[2]](#footnote-2) |
| Months | FTE |
|  |  | Choose an item |  |  |  |  |
|  |  | Choose an item |  |  |  |  |
|  |  | Choose an item |  |  |  |  |
|  |  | Choose an item |  |  |  |  |
|  |  | Choose an item |  |  |  |  |
|  |  | Choose an item |  |  |  |  |

## Summary of research proposal [🛈](#bladwijzer_1g" \o "(Maximum 300 words, plus maximum five keywords. Please ensure this is identical to the summary in ISAAC.))

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

Keywords:

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| --- |
| Field of Research |
| Please indicate the relevant scientific research fields, following the list on the NWO website (<https://www.nwo.nl/en/funding/funding+process+explained/research+fields>). Please include both the name and the code (so for example 22.80.00 Biotechnology), and ensure the research fields are the same as have been entered in ISAAC. |

## Relevant research fields [🛈](#Explanatory_1g_1h)

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

## Public summary [🛈](#_Public_summary_()

|  |
| --- |
| (Max 100 words. Please provide a layperson’s summary. NWO and CAS will publish this public summary on the programme website if your proposal is awarded.) |

## Duration of research [🛈](#_Public_summary_()

|  |
| --- |
| (Please fill in the duration of your research, on the Dutch and on the Chinese side, in months. Please note that your project may be a maximum of 48 months on the Dutch side and 36 months on the Chinese side) |

# Research Proposal

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| 2a. Research Project |
| *Maximum 5,000 words*  Please take into account the criteria in § 4.2. of the Call text.  Description of the research programme should include the following elements:   * Problem statement/vision of success: What is the societal question or problem that your project addresses? What are the causes? Which (part of) these cause(s) is related to a lack of knowledge? State the problem such that it relates clearly to the proposed research activities, and make any assumptions explicit. Also describe the vision of success (impact): what is the desired societal change or impact if your project is successful? This needs to be more than just a general statement of a mission or goal – it needs to be a clear picture of what success would look like. * Overall aim and scientific background, including original and/or innovative elements of the topic and the complementarity to other research programmes or agendas; * Objectives, research questions and methods; * Research plan including practical timetable over the grant period; * Experimental techniques and/or methodology; * Inter- and transdisciplinarity * Originality and/or innovative elements of the approach; * Sustainability after the project. |

|  |
| --- |
| 2b. Productive interactions |
| *Maximum 500 words* Please state below the consortium partners and stakeholders, as well as their position with regard to the problem that is being addressed and the impact, and how productive interactions (see section 2.2.3 in the call) will be conducted. Conducting a stakeholder analysis could be useful to identify which consortium partners and other stakeholders are key and need to be engaged in the formulation and execution of the project. Stakeholder analysis should be a joint effort with all consortium partners.  Please take into account the criteria specified in § 4.2.2 of the Call text, such as ‘quality of Sino-Dutch collaboration, including equality in partnership’; and ‘Coherence and complementarity of the consortium, including organisation of the research’. |

|  |
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| 2c. Impact Pathway |
| *Narrative description: 500 words. Format A: 1 page A4.*  Please present schematically the expected contribution of the project to the vision of success (as described in section 2a) by completing the Impact Pathway diagram in Format A (max 1 page). Specify user groups / stakeholders and required changes in behaviour at the level of outcome; all partners and stakeholders as presented in section 2c should be included. Please note the lay-out of the diagram is indicative and that variations to this diagram are allowed, as long as all boxes of the diagram remain included.  Include a narrative description (max 500 words) of the consequent elements in the Impact Pathway, including how productive interactions (2b) and the efforts described in the Strategic Activity Planning (2d) are foreseen to support relevance of output, the flow from output to outcome and how this is expected to contribute to the desired impact. State which assumptions are made by the various consortium partners underlying the problem statement and the Impact Pathway, as well as risks associated to these assumptions being tested. Elaborate on how false assumptions and resulting risks could stand in the way of the project’s success and provide a brief description of an alternative plan in case such unforeseen events occur.  **Please note:** Both the narrative and the Impact Pathway diagram must align with your project description in section 2a. |

|  |
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| 2d. Strategic Activity Planning |
| *Max 1000 words*  Please provide a strategic activity plan, which contains descriptions of the actual knowledge transfer activities undertaken to encourage innovation and boost impact from inception through to the end stages of the proposed research. Include the following sections:   * 1. *Stakeholder engagement*   Describe how productive interactions with stakeholders are strategically organised from inception onwards and how stakeholder approaches will be adjusted throughout project execution. This should include the research process from joint identification of the problem to be tackled and joint formulation of the research questions up until the uptake of acquired knowledge, insights and innovations.   * 1. *Communication*   Describe how communication between consortium partners, with stakeholders and with wider audiences is embedded throughout the research process, the strategic objectives, which means of communication are used and how a reflective approach is embedded.   * 1. *Monitoring, Evaluation and Learning*   Provide the objective of the Monitoring, Evaluation and Learning strategy. Describe how activities will be monitored throughout programme execution, how learning is documented and embedded and how feedback loops will be facilitated throughout project execution. Elaborate on how this reflective approach is integrated activities.   * 1. *Capacity strengthening*   Describe how capacities that are needed to enhance the potential for outcomes will be identified and strengthened, by which methods and how a reflective approach is embedded in the planning and organisation of such activities. |

## Research Project [🛈](#Explanatory_2)

|  |
| --- |
| (Maximum 5,000 words) |

## Productive Interactions [🛈](#Explanatory_2)

|  |
| --- |
| (Maximum 500 words) |

## Impact Pathway[🛈](#Explanatory_2)

|  |
| --- |
| (Maximum 500 words. Please also complete Format A (1 page A4).) |

## Strategic Activity Planning [🛈](#Explanatory_2)

|  |
| --- |
| (Maximum 1000 words.) |

## Number of words used

|  |  |  |
| --- | --- | --- |
| section 2a: | \_\_\_\_\_\_ | (Maximum 5,000 words) |
| section 2b: | \_\_\_\_\_\_ | (Maximum 500 words) |
| section 2c: | \_\_\_\_\_\_ | (Maximum 500 words, excluding Format A) |
| Section 2d: | \_\_\_\_\_\_ | (Maximum 1000 words) |

## Literature references

|  |
| --- |
| * ….. * ….. |

Format A: Complete Impact Pathway diagram with indicators at output and outcome level (max. 1 page)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Research outputs: | Indicators: |  | Research outcomes: | Indicators: |  | Impact |
|  |  |  |  |  |  | 1. |
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|  |  |  |  |
|  |  |  |  |  |  | 2. |
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|  |  |  |  |
|  |  |  |  |  |  | 3. |
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# Cost Estimates

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| 3a. Budget |
| Please consider § 3.2 of the Call for Proposals when preparing your budget, including any restrictions in the modules for the budget requested. Please also provide your NWO budget in the Excel budget format, uploaded as a separate attachment with your proposal. Please ensure that you complete all tabs of the Excel budget, and ensure that the totals provided in this overview match the budget modules selected in your Excel budget form.  *For the NWO budget:*  Please only fill in the budget lines in the NWO budget overview, and specify your costs in the budget in the Excel budget format. The budget format should be uploaded as an attachment in ISAAC. If relevant, please insert any co-financing and what the co-financing will be used for. Please note that the co-financing party should provide a letter confirming the co-financing, and specifying the exact amount that will be co-financed. This letter should be included as an Annex to this application.  *For the CAS budget:*  Please complete the budget table, taking into account the information in § 3.2 of the call for proposals. If relevant, please insert any co-financing and what the co-financing will be used for. Please note that the co-financing party should provide a letter confirming the co-financing, and specifying the exact amount that will be co-financed. This letter should be included as an Annex to this application. |

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| --- |
| 3b. Explanation of budget |
| Please give a brief explanation of the costs in your budget (max 1 page A4). Please provide here only a justification of the project costs and how the proposed expenditures in the various categories relate to the planned activities. |

## Budget [🛈](#_Budget_()

Budget applied for from the NWO grant:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Module | Amount from NWO grant | % of budget (see next column) | Call requirements: | Amount of co-financing | |
| In-kind | In-cash |
| **Staff costs** |  |  |  |  |  |
| Module 1: Personnel |  |  |  |  |  |
| **Non-staff costs** |  |  |  |  |  |
| Module 2: Material credit |  |  |  |  |  |
| *(if applicable) Audit costs* |  |  | *Max. €5,000. See CfP, chapter 3.5* |  |  |
| Module 4: Impact |  |  | *Max 20% of budget. Includes 4 categories* |  |  |
| *Stakeholder engagement* |  |  |  |  |  |
| *Communication costs* |  |  |  |  |  |
| *Monitoring & Evaluation* |  |  | *At least €25,000 for joint kick-off, midterm and final workshop* |  |  |
| *Capacity strengthening* |  |  |  |  |  |
| Module 5: Internationalisation |  |  | *Max 20% of budget.* |  |  |
| Total budget requested from NWO |  |  |  |  |  |

Funding requested by Chinese PI at CAS (i.e. CAS project budget): [🛈](#bladwijzer_4b" \o "Please include and specify any co-financing, including the contributing organisation.)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Project costs (RMB and euros): | Year 1 | Year 2 | Year 3 | Co-financing | | TOTAL |
| In kind | In cash |
| *Give a description of the project costs, specified*. |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| TOTAL |  |  |  |  |  |  |

## Explanation of budget [🛈](#Explanatory_4)

|  |
| --- |
| (Max. 1 page) |

## Intended starting date

|  |
| --- |
| Click to select a starting date. |

## Additional grants

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

|  |
| --- |
| NO  YES  If yes, please specify |

# Consortium

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| 4a. Consortium roles and added value |
| In this section, describe the consortium roles and the added value of the collaboration, including the following aspects:  - Describe with which consortium partners - research partners along the knowledge chain and societal partners that you bring together - you have developed the proposal and how the proposal is rooted in the needs of the consortium partners and stakeholders (co-design).  - Describe why and how these consortium partners are involved and what their role and contribution is in the consortium. Describe the role and involvement of the societal partners.  - Describe the complementarities in the (disciplinary) expertise of the consortium partners (along the knowledge chain, variety of disciplines) and how these specific disciplines contribute to tackle the problem.  - Describe the respective roles each would have in research execution and the benefit of the collaboration (co-creation).  Please also carefully look at the criterion ‘Quality of the consortium’ mentioned in section 4.2 of the call for proposals while completing this section, such as ‘quality of Sino-Dutch collaboration’. Address any new alliances, involvement of junior researchers, and interdisciplinary character specifically. If applicable, describe the consortium partners’ past experience with joint activities. Max 750 words. |

|  |
| --- |
| 4b. List of key publications |
| Please list five key publications per consortium member (Principal Investigators, co-applicants and collaboration partners) related to the proposed research. The publications should give evidence of the qualifications of the consortium in this field. |

## Consortium roles and added value [🛈](#_Consortium_roles_and)

|  |
| --- |
| (Maximum 750 words) |

## List of key publications [🛈](#_List_of_key)

|  |
| --- |
| Name of consortium member 1          Name of consortium member 2         Name of consortium member 3 |

## CVs of Principal Investigators, co-applicants and collaboration partners (in annex) [🛈](#_CVs_of_principal)

|  |
| --- |
| (Please include as an Annex to this application the CVs of the Principal Investigators, collaboration partners and co-applicants. Each CV should be a maximum of one page (A4). Please do not include the CVs of the other project staff.) |

Data management and ethics

# Data management [🛈](#_Datamanagement_()

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?[[3]](#footnote-3)

|  |
| --- |
| Answer |

# Ethics

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|  |
| --- |
| Please describe the ethical challenges in your research and how you will address these. Indicate where you will apply for ethical approval, including any recognised (medical) ethics review committees, animal experiments committees, or permission for research with the population screening Act. NWO and CAS will require proof that the indicated ethical approval or permission has been obtained before the start of the project.  Max. 400 words, please add word count. |

## Description of ethical issues [🛈](#_Description_of_ethical)

|  |
| --- |
| Max 400 words |

## Please indicate which ethics committee(s) will be approached for ethical approval [🛈](#_Please_indicate_which):

|  |
| --- |
| 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

Dutch Principal Investigator

Name: Signature:

Chinese Principal Investigator

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. The electronic application must be submitted through the ISAAC account of the Dutch Principal Investigator. Please note that the application must also be submitted to CAS, by the Chinese Principal Investigator.

Annex 1: CVs of Principal Investigators, co-applicants and collaboration partners

Annex 2: Letters of Commitment of consortium organisations

Annex 3: Draft Consortium Agreement

Annex 4: Letters of guarantee for co-financing (if applicable)

1. Eg senior, junior, postdoc, PhD, MA/MSc student etc. [↑](#footnote-ref-1)
2. Eg project coördinator, researcher, financial management, etc. [↑](#footnote-ref-2)
3. 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. [↑](#footnote-ref-3)