



GUIDELINES FOR APPLICATIONS FOR THE STRATEGIC ALLIANCE PHASE OF THE PROGRAMME OF STRATEGIC SCIENTIFIC ALLIANCES

Royal Netherlands Academy of Arts and Sciences (KNAW)

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1. Review and selection

1.1 Formal criteria for participation

1.1.1 The applicant

Eligible research teams are composed of Dutch and Chinese researchers, with active involvement in the project of a senior Principal Investigator on both the Dutch and the Chinese side. Applicants are institutions having a corporate capacity, such as universities or KNAW and NWO institutes. Any application must be submitted under the responsibility of the institution.



Any Dutch or Chinese Principle Investigator may be involved in one application / project only.

The Dutch Principle Investigator should be affiliated to:

- One of the thirteen Dutch publically funded universities or university medical centers
- An institute affiliated to KNAW
- An institute affiliated to NWO

AND

- Have an employment contract or 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.

The Chinese Principal Investigator needs to meet the eligibility criteria of MOST.

If more than one institution is involved in the preparation and execution of a project, all participating institutions must agree to appoint one institution in the Netherlands and one institution in China as coordinating and funding receiving centres. These institutions will have overall responsibility for the project in each country, will coordinate the proposed research activities and take responsibility for the project reportage, communication with KNAW in the Netherlands and MOST in China. These institutions will hold responsibility for the distribution of the funding provided by KNAW and MOST among participating staff and institutions involved. They will be responsible for the financial accounts of the project and the formal reportage thereof to KNAW and MOST.

1.1.2 Applications

Application proposals will only be considered if they meet the following criteria:

- The proposal, including the budget, is written in agreement with these guidelines.
- The proposal should represent a joint-research project conceived and developed in close cooperation between the Netherlands and Chinese partners.
- The proposal must be signed by the heads of the organisations involved, pledging provision of all necessary infrastructure and full support to the project coordinators.
- The proposal must be submitted in English to the KNAW and in Chinese to MOST before the deadlines. The proposal submitted to the KNAW serves to apply for the Dutch funding. The proposal submitted to MOST serves to apply for the Chinese funding.

1.1.3 The cooperation

In the joint formulation and execution of the project and its research activities, the Netherlands and Chinese cooperation should be based on the principle of equivalence. Equivalence entails participation with balanced financial, material and personnel input from both sides.

The scientific question on which the cooperation is focussed should be of considerable scientific value for the wider scientific community in both countries and should also be of international scientific importance.

1.1.4 Commitment of the institutions involved

The research proposal should be relevant to the scientific aims of the institutions involved and should fit in their research infrastructure. Matching in kind, by means of personnel, financial and material support, not chargeable to the project, will be taken as an indication of commitment and should be explicitly indicated in the application.

1.1.5 Selection criteria

In the assessment and selection procedure the following criteria will be taken into consideration:

Assessment of the proposal

For the assessment of the proposals, the following criteria will be used:



- 1 Quality of the research proposal demonstrated by means of:
 - clearly defined aims and research set up
 - innovative nature of the research
 - consistency of the research proposal
 - feasibility of the project within the set period of 4 years including time scheme / milestones
 - relevance to international developments in the respective field of research
 - expected contributions to the establishment of scientific theories and/or new research methods
 - Expected results, deliverables in terms of scientific publications and other output.
- 2 Quality of the research partners and previous research
 - quantity and quality of publications, measured by international norms customary to the relevant research field
 - national and international scientific reputation of the researchers
 - contact with national and international leading scientists and institutions in the field of research
 - international research experience
 - indicators of scientific esteem, such as awards, editorships and success in obtaining external funding
- 3 Quality of the Sino-Dutch cooperation
 - added value of Sino-Dutch cooperation to the research project, including the complementarity of the Dutch and Chinese research teams
 - the degree of inter-institutional cooperation between the research groups in the Netherlands and China
 - realised joint publications in this line of research
 - demonstration of existing cooperation through jointly trained research staff, jointly realised infrastructure or institutions
 - demonstration of complementarity in research
 - documentation demonstrating the intent of cooperation (Letters of Intent a.o.)
 - the prospects for long-term scientific cooperation between the project partners beyond the duration of the research project
 - other (scientific) research partners
 - other financial input from third sources
 - social and economic relevance of the research
 - non-scientific partners (industrial or societal or otherwise)
 - expected results from cooperation with non-scientific partners
 - quality and capacity of the input into the research
 - industrial financial and other material input
- 4 Quality of the direct research environment and the “embedding” of the research proposal in the research programme of the institutions involved
 - proven high scientific quality of the participating institutions and researchers, reflected in international publications, international cooperation, awards and success in obtaining external funding
 - relevance of the project to developments in the research programme of the institutions involved
 - available infrastructure:
 - research facilities
 - capacity and scope

1.2 Purpose of the funding

KNAW funding will cover expenses of the Netherlands institutions/universities during execution of the projects in the Netherlands and expenses of the Chinese staff during their stay in the Netherlands. MOST funding will cover expenses of the Chinese institutions/universities during execution of the projects in China and expenses of the Netherlands staff during their stay in China.

The funding can neither be used for personnel costs for tenured staff of the institutions involved, nor for “wachtgelden c.q. wachtgeldreserveringen”. Funding is awarded in the Strategic Alliance Phase for four years maximally. For information on subsidizable expenses you are referred to Chapter 4.



Proposals combining research efforts from the academic scientific community with those from industry will be particularly encouraged in the Strategic Alliance Phase. However, companies are not eligible for funding.

1.3 Procedure for review and selection

In the Netherlands KNAW will organise the review and selection for the Strategic Alliance Phase, parallel with MOST in China.

KNAW will review the proposed activities on the basis of the set criteria (see Chapter 1). Advice from external referees will be sought in judging the scientific quality of proposals. Applicants will be offered the possibility of written rebuttal of the referees' advice. Two parallel national priority lists of projects for participation in the Strategic Alliance Phase of PSA will be prepared for the joint decision procedure of KNAW with MOST in China.

In China the relevant expert systems will be entrusted with setting up a similar procedure for peer review and selection advising the decision-makers in MOST about the programme.

Participation in the Strategic Alliance Phase of PSA will be subject to approval in both countries. Following both national review and selection procedures, a small central committee consisting of Netherlands and Chinese scientific experts in the priority research fields jointly with decision makers will compare the Chinese and the Netherlands priority lists of projects and agree upon one final list of projects to be recommended for funding.

Decisions on funding may, in certain cases be limited to partial endorsement of the proposed budget and/or include conditions for execution.

2. Implementation

After the projects have been selected and approved by KNAW and MOST, the terms and conditions for implementation of the projects will be drawn up. When the institution and project leader have accepted the terms and conditions, funding for implementation will be earmarked by KNAW and MOST for the duration of the project in the Strategic Alliance Phase.

2.1 Monitoring and Evaluation

Projects must adhere to the following reporting instructions:

For all projects is required:

- Annual progress reports according to KNAW/MOST guidelines must be submitted in parallel to KNAW and MOST at the end of each project year including:
 - a list of joint publications and other scientific output
 - an annual financial declaration
 - a budget plan for the following project year

If the annual progress reports indicate that insufficient progress is being made by the project the allocated funding may be suspended or stopped.

Besides these annual progress reports, after 2 years a more extensive interim progress report will be required in both China and the Netherlands. After a positive progress assessment by KNAW an extension for the remaining period will be granted.



For all projects in the Strategic Alliance Phase, is required:

- An end of project completion report at the end of Year 4 including:
 - a final financial declaration for Year 4 including a total financial declaration for the total programme duration
 - a list of joint publications and other scientific output and valorisation results
 - a plan for the independent future of the Strategic Alliance

3. The application form

3.1 General Remarks

Guidelines are provided for filling in the required information for each section of the application form. The applicant is advised to read these guidelines carefully before completing the application form. **KNAW (and MOST) will not consider applications (including budget proposals) that deviate from the layout for the application form.**

3.2 Cover page

1 Title of joint project

A short title is requested.

2 and 3 Netherlands and Chinese applicants

Give full names of the Netherlands and Chinese project leaders, the names of the responsible Netherlands and Chinese institutions (one in each country), and their full addresses, telephone numbers and e-mail addresses, as well as the affiliation of the Chinese research organisation.

4 Short summary of the project (maximum half-A4)

Give a short description of the proposed research project.

3.3 Part I - Sustainability

Indicate how the proposed activities contribute to sustainable, equivalent cooperation between the Netherlands and Chinese partners. Please answer the questions.

3.4 Part II - Project participants' details

1 Project leader's details. Attach as appendix (C) the Curriculum Vitae's of the project leaders and the principal investigators (Chinese and Netherlands), highlighting 5 most important recent publications of each investigator, indicators of scientific esteem, such as awards, editorships and success in obtaining external funding and other current research being undertaken (each CV maximum 5 pages A4)

The CV should contain the following information:

- full name (for Chinese names please indicate the family name in capitals)
- place and date of birth
- sex (male/female)
- nationality
- education record
- employment record and research experience (period and place of employment)
- international research experience (period and place)
- 5 most important recent international publications



- indicators of scientific esteem, such as awards, editorships and success in obtaining external funding
- other current research being undertaken

2 Other project participants. Give names, academic titles, employment history, and 5 most recent publications of other project participants, including post-docs and PhD-students, and add list as appendix (D).

3 Non-scientific partners. Give the names of your Netherlands and/or Chinese non-scientific partners (industrial, societal or other), if any, and describe the nature of their expected contribution, e.g., involvement in drawing up of the research agenda, co-financing/sponsoring, or full research collaboration. Attach letters signed by the non-scientific partner(s) confirming this interest, participation or contribution as appendix (E).

3.5 Part III - Project details

1 Project Proposal

Give a detailed description of the research activities proposed within the project (maximum 3000 words) including:

- research proposal with a clear description of the scientific hypothesis to be tested;
- the theoretical background, with adequate reference to international developments and to the most important relevant literature;
- originality and/or innovative elements;
- research aims and methods, including the intended analysis of results;
- anticipated results and methods of dissemination;
- a detailed overview of available facilities and equipment (both in the Netherlands and in China);
- the scientific activities of the participating Netherlands and Chinese partners within the project;
- other relevant international co-operation;
- relationship of the project to the research programmes of the participating institutions

2 Quality of the research partners and previous research cooperation (maximum 500 words)

Indicate the position of the research partners in the national and international field of the relevant research field. Indicate the international network of the team members, and the indicators of scientific esteem. Description of the quality of the research partners should take into account the criteria specified under §1.1.5.2.

3 Quality of the cooperation (maximum 1000 words)

Elaborate on the added value of the Sino-Dutch cooperation to the research project, including the complementarity of the Dutch and Chinese research teams. Describe in detail what the current cooperation is based on and what results have been produced already, in the form of jointly trained staff, joint publications produced, jointly held seminars or conferences or joint networks or joint research institutes that have been set up. Describe the prospects of the long-term scientific cooperation between the project partners beyond the duration of the research project (e.g. strategic plans of participating research partners). Description of the quality of the cooperation should take into account the criteria specified under §1.1.5.3. Documentation demonstrating the quality of cooperation that can be included in Appendix (F) may consist of a list of joint publications, a document demonstrating the intent of cooperation (L.o.I or M.O.U. etc.), a list of jointly trained researchers, documentation regarding jointly realised infrastructure, documentation regarding financial support from third sources and contributions of non-scientific partners.



4 Embedding of the project in the institutions (maximum 500 words)

Indicate how the proposed activities are embedded in the overall research programme of the institutions involved in the Netherlands and China. Explicitly mention the relevant activities that support the project indirectly. Elaborate on the cooperation with non-scientific partners such as industrial partners or societal partners.

Description of the 'embedding' should take into account the criteria specified under §1.1.5

5 Detailed work plan and time schedule (maximum 1000 words)

Describe in detail, but schematically the proposed activities within the project indicating the expected time schedule of the activities for the four-year duration of the project. Indicate which activities will be carried out in the Netherlands and which in China.

The work plan should at least contain the following information:

- research set up
- general outline of the research to be carried out for each year of the four-year period
- time planning and duration of exchange of personnel (visits: when, where, how long, why)

6 Visits by the Chinese team to the Netherlands

Indicate the number, duration of stay, names and particulars of the Chinese senior researchers, post-docs, and PhD-students, to be received in the Netherlands.

7 Visits by the Netherlands team to China

Indicate the number, duration of stay, names and particulars of the Netherlands senior researchers, post-docs, and PhD-students to visit China.

8 Funding required in the Strategic Alliance phase

Indicate the funding required for the proposed activities in the Netherlands and China for the duration of the project. For contributions to the funding for appointment of post-docs and PhD-students the duration of the appointment and the required full time equivalents should be specified. If subsidies for non-standard costs essential to the success of the project are requested, the request should be clearly explained and motivated.

Substantiate how the proposed activity is supported financially, in kind or otherwise, by the parties involved, and if applicable, by other funding sources. Figures must be included in the appendix (B) on budgets required.

3.6 Part IV - Intellectual Property Rights

Applications should include an Intellectual Property Rights Agreement between the Netherlands and Chinese research partners in which the arrangements are described regarding publication of results and agreements are made regarding ownership rights of materials and knowledge invested at the outset of the cooperation and results obtained during the cooperation. Involved parties must reach agreement on these topics before commencing the joint project. Attach as appendix (G).

3.7 Part V - Monitoring and Evaluation

Applicants must sign this section. By signing and submitting a application applicants confirm their commitment to the reporting instructions stipulated in this section.

3.8 Appendix A - Declaration by the heads of the institutions

The application must be signed here by the heads of the institutions involved or by an assignee of the institution having legal status.



The following separate appendices should be added with the application form:

Appendix B - Detailed project budget

Appendix C - CVs of the project leaders and principal investigators

Appendix D - CVs of the other participants

Appendix E - Non-scientific partners (if applicable)

Appendix F - Demonstration of Sino-Dutch cooperation (if applicable)

Appendix G - Intellectual Property Rights

4 Funded expenses

The following guidelines will be taken into account by KNAW when budgets are allocated:

Expenses for activities taking place in China are not subsidizable by the KNAW.

The budget available per project per annum will amount to approximately € 450.000,-, dependent on the definitive number of projects selected to run into the Strategic Alliance Phase. The contribution does not necessarily cover all expenses to be made for the activity concerned. Settlement takes place after completion of all funded activities. Advance funding up to 50 % of the funding required annually can be obtained at the beginning of the project and must be requested in writing. The amounts listed below are preliminary estimated indications of the maximum contribution from KNAW and may be subject to change.

Contribution to staff in the Netherlands	Maximum contribution
appointment of Post-docs (maximum 2 full time equivalent annually)	€ 67.500,-
appointment of PhD-students (maximum 4 PhD-students)	€ 50.000,-

Staff appointed for (research) activities within the projects must be employed by the responsible institution. Specify the number of temporary project staff and full time equivalents involved. The budget **may not include** compensation for, or contribution to the salary of tenured staff. Awarded subsidies will be earmarked for the purpose they refer to.

Travel expenses Netherlands researchers	Maximum contribution
International air-travel (return flight)	€ 1400,-

Specify the number of flights to China required for each person (Netherlands project staff only). The amount awarded may also be spent on local air-travel or other travel expenses in China. KNAW may restrict the total number of international flights to be granted. Expenses for Netherlands researchers during their stay in China (accommodation, local travel) will be covered by the Chinese side. KNAW will not subsidize a Daily Subsistence Allowance for Netherlands researchers going to China. Travel expenses of both permanent and temporary staff in the framework of the funded activity are subsidizable.



Allowances for Chinese researchers visiting the Netherlands	Maximum contribution
Post-doc (monthly)	€ 1.600,-
Project leader (monthly)	€ 1.600,-
Junior researcher (monthly)	€ 1.400,-

Provide the following information for each Chinese visitor: name, position, purpose of visit, timetable and number of months to be spent at the Netherlands institution(s).

The sending Chinese organisation will pay the international travel expenses. Allowances will be earmarked for each individual Chinese visitor.

Material Costs including field work	Maximum contribution
Consumables and field work (per year)	€ 70.000,-

Costs of purchase of equipment or improvement of the infrastructure are not subsidizable.

Workshops (must be motivated)	Maximum contribution
(per year)	€ 20.000,-

Contact Details

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