



Council  
of the National Science Centre  
KR.0003.52.2018

**RESOLUTION N° 52/2018**  
**BY THE COUNCIL OF THE NATIONAL SCIENCE CENTRE**

of 7 June 2018

**on the terms and regulations regarding the mode of granting funds for the completion of tasks carried out by Polish research teams and funded by the National Science Centre under the SHENG 1 call for proposals for Polish-Chinese research projects**

Pursuant to art. 18(4), in conjunction with art. 20(1)(1)(b), art. 20(4) and art. 21 of the act of 30<sup>th</sup> April 2010 on the National Science Centre (Journal of Laws of 2018, item 947), as well as based on the Memorandum of Understanding between the National Science Centre (NCN) and the National Natural Science Foundation of China (NSFC) concluded on 28<sup>th</sup> March 2018, the Council of the National Science Centre sets the **terms and regulations regarding the mode of granting funds for the completion of tasks carried out by Polish research teams and funded by the National Science Centre under the SHENG 1 call for proposals for Polish-Chinese research projects**.

## **1. General provisions**

- 1.1. This resolution sets the rules for the granting of funds for research tasks carried out by Polish research teams in the framework of Polish-Chinese research projects. The SHENG 1 call for proposals will fund research projects which involve Polish and Chinese teams working together, and whereby international cooperation is an essential component.
- 1.2. The procedure for granting financial resources for tasks implemented by Chinese teams in Polish-Chinese research projects is subject to the rules set by the NSFC.

## **2. Call beneficiaries**

The call is open to proposals for funding research projects carried out jointly by Polish-Chinese research teams, in which the tasks are managed by principal investigators: the principal investigator of the Polish research team and the principal investigator of the Chinese research team.

## **3. Eligible applicants**

- 3.1. Proposals for funding of research projects carried out by Polish research teams may be submitted by entities set out in art. 10(1)-(3), (5)-(6) and (8) of the act of 30<sup>th</sup> April 2010 on the principles of funding science, which will act as host institutions, hereinafter referred to as "applicants", and for which the funding will not constitute state aid, i.e.:

- 1) academic or research organisations;



- 2) research consortia;
  - 3) research networks and units within institutions of higher education (HE) that do not constitute their basic administrative units;
  - 4) research centres of the Polish Academy of Sciences;
  - 5) academic research centres shared by HE institutions;
  - 6) scientific libraries;
  - 7) other legal entities established in the territory of the Republic of Poland.
- 3.2. If the applicant is a joint entity, the funding proposal is submitted by the leader of the joint entity. The leader of the joint entity is the host institution which employs the principal investigator of the Polish research team.

#### 4. Terms of entry

Under the call, proposals may be submitted for funding of research projects:

- 1) which constitute basic research within the meaning of art. 2 (3)(a) of the act of 30<sup>th</sup> April 2010 on the principles of funding science,
- 2) which involve only the disciplines in Physical Sciences and Engineering, Life Sciences and selected areas of Social Sciences specified in the National Science Centre's panels, as adopted by Resolution no 102/2016 of 10<sup>th</sup> November 2016 by the Council of the National Science Centre, set out in **Annex no 1** to this resolution;
- 3) whose duration is 36 months;
- 4) in which the requested funding for the completion of the Polish part of the research project is at least PLN 250 K;
- 5) in which the planned expenditures take into account the rules set out in **Annex no 2** to this resolution, regarding the types of costs in research projects funded under SHENG 1 call.
- 6) in which the principal investigator of the Polish research team holds at least a doctoral degree.

#### 5. Restrictions in submitting proposals under the SHENG 1 call

- 5.1. Principal investigator cannot represent the applicant host institution in the proposal or in the funding agreement.
- 5.2. Proposals which include overlapping research tasks and were submitted by the same principal investigator or co-investigator to other NCN calls announced and closed on the same day as the SHENG 1 are not eligible for evaluation.
- 5.3. Proposals in which research tasks overlap with the tasks planned as part of proposals submitted earlier to other NCN calls may be resubmitted by the same principal investigator or the same co-investigator only after the evaluation process of the previous proposal has been completed.
- 5.4. In a given edition of NCN calls (i.e. in calls announced and closed on the same day) an applicant may act as a principal investigator to only one proposal.
- 5.5. If an appeal was lodged of the decision of the Director of the NCN refusing funding/refusing a commitment to grant funding, a proposal containing overlapping research tasks may be



submitted only after the appeals procedure has been concluded to the effect other than granting funding/a commitment to grant funding.

## 6. Mode and dates of proposal submission

6.1. Proposals for funding of the Polish-Chinese research projects are submitted in two electronic submission systems: ZSUN/OSF (Zintegrowany System Usług dla Nauki/Obługa Strumieni Finansowania) and the system provided by the NSFC.

6.2. The funding proposal together with the required annexes must be submitted **no later than 17<sup>th</sup> September 2018** via the electronic submission system ZSUN/OSF (Zintegrowany System Usług dla Nauki/Obługa Strumieni Finansowania) available at [www.osf.opi.org.pl](http://www.osf.opi.org.pl). Information required in the proposal and documents attached to the proposal for funding a research project under the SHENG 1 call for proposals are set out in **Annex no 3** to this resolution.

6.3. The funding proposal submitted in the ZSUN/OSF system should be accompanied with:

- a) Joint Project Description (JPD), prepared according to the template given in **Annex no 4** to this resolution;
- b) CV with a list of publications prepared according to the template given in **Annex no 5**. If some works have not yet been published, the applicant must provide the DOI (Digital Object Identifier) or acceptance letters from publishers to confirm that a work has been accepted for publication;
- c) in the case of applicant host institutions that do not receive any operating support grant from the budget for science – information concerning research conducted over the period of 2 years before submitting the proposal, together with a list of publications affiliated with the applicant host institution as well as information about research equipment and other instrumentation/facilities crucial to scientific research;
- d) in the case of applicant joint entities – the agreement establishing a joint entity;
- e) state aid questionnaire confirming that the funding will not constitute state aid for any of the host institutions included in the proposal;
- f) confirmation of proposal submission.

6.4. Chinese applicants submit a set of documents required by the NSFC no later than 17<sup>th</sup> September 2018 via the NSFC electronic submission system available at <http://isisn.nsfc.gov.cn/egrantweb/>.

## 7. Mode and criteria of evaluating research proposals

7.1. The formal eligibility check and the merit-based evaluation of research proposals under SHENG 1 is carried out in parallel at NCN and NSFC. Subject to the merit-based evaluation in NCN and NSFC are joint Polish-Chinese funding proposals, including the joint project descriptions (described in section 6(3)(a)) as well as CVs with lists of publications submitted by principal investigators and members of Polish and Chinese research teams (described in section 6(3)(b)).



- 7.2. The formal eligibility check and the merit-based evaluation of research proposals submitted to NSFC is subject to the NSFC regulations.
- 7.3. The formal eligibility check and the merit-based evaluation of research proposals submitted to NCN is subject to the NCN regulations.
- 7.4. The formal eligibility check at the NCN is carried out by NCN Scientific Coordinators.
- 7.5. The formal eligibility check consists of:
  - 1) verification of the proposal's completeness;
  - 2) verification whether the proposal meets all the eligibility criteria set out in the call announcement;
  - 3) verification whether the expenditures outlined in the proposal conform to the principles set out in **Annex no 2** to this resolution, regarding costs of research projects funded by the NCN under the SHENG 1 call for proposals.
- 7.6. The merit-based evaluation is open only to proposals evaluated positively at the stage of the eligibility check by both the NCN and the NSFC.
- 7.7. The merit-based evaluation of proposals at NCN is carried out by Expert Teams and external reviewers.
- 7.8. An Expert Team may disqualify a proposal for formal reasons at a later stage of evaluation.
- 7.9. The merit-based evaluation of proposals at the NCN is carried out in two stages:
  - 1) **First stage – preliminary evaluation** carried out by at least two external reviewers designated by the NCN, who are not members of the Expert Team, based on the information included in the joint Polish-Chinese funding proposal submitted in the ZSUN/OSF system (**Annexes no 4 and 5**);
  - 2) **Second stage – final evaluation** performed during the Expert Team meeting.
- 7.10. The merit-based evaluation of research proposals takes into account the following:
  - 1) fulfilling the criterion of basic research within the meaning of art. 2 (3)(a) of the act of 30<sup>th</sup> April 2010 on the principles of funding science;
  - 2) the research track record of the principal investigators and co-investigators of the Polish and Chinese research teams, including publications in renown academic journals;
  - 3) evaluation of the results of research projects conducted by the principal investigator and members of the Polish research team, funded from the budget for science and evaluation of the results of research projects conducted by the principal investigator and members of the Chinese research team
  - 4) quality of the planned research or project tasks;
  - 5) innovative nature of the research problem addressed;
  - 6) project's impact on the advancement of the scientific field/discipline;
  - 7) significance of international cooperation for the completion of the research project;
  - 8) relevance of the planned costs to the subject and scope of the research;



- 9) feasibility of the project's completion.
- 7.11 Evaluation of proposals by the Expert Teams shall be guided by the following principles:
- 1) the project budget may not be modified;
  - 2) percentage contribution of individual criteria for the assessment of proposals under particular calls are given in **Annex no 6** to this resolution;
  - 3) the proposal is given a score, the function of which is advisory and constitutes a point of departure for a discussion of the proposal's merits;
  - 4) the decision of the Expert Team on the final score of a given proposal is based on its analysis and discussion of the legitimacy of funding the proposal against other proposals reviewed under the call;
  - 5) the final score of the proposal is its position on a list of proposals recommended for funding, determined by the Expert Team;
  - 6) a proposal which by a consulted decision of the Expert Team has been given the score of zero or "no" in any one evaluation criterion may not be recommended for funding;
  - 7) a proposal which, by a consulted decision of the Expert Team, has been found to fail in any of the requirements set out in the call announcement may not be qualified for funding.
- 7.12. The Expert Team recommends for funding proposals for which the sum of requested resources does not exceed the allocation set by the Council for a given call
- 7.13. The list of proposals recommended for funding by the NCN Expert Team constitutes a point of departure for a discussion on the final ranking list based on the comparison of the results of NCN and NSFC merit-based evaluations. SHENG 1 awards funding to proposals recommended by both NCN and NSFC.
- 7.14. The Expert Team may conditionally recommend for funding in a given call one proposal which is only partially within the limit of resources allocate by the Council for the same call. In such cases the final decision is made by the Director of the NCN.

## **8. Selection of the Expert Team**

- 8.1. Pursuant to art. 18(7) of the act of 30<sup>th</sup> April 2010 on the NCN, the NCN Council selects the members of the Expert Teams to carry out the evaluation of the funding proposals for Polish-Chinese research projects submitted under the SHENG 1 call.
- 8.2. In the selection process, the Council shall be guided by the following principles:
- 1) candidates shall be selected from amongst eminent researchers, including former awardees of the National Science Centre's calls, with regard to their research achievements and experience evaluating research projects as well as experience in implementation of research projects funded on a competitive basis;
  - 2) evaluation of candidates shall be based on the information included in available bibliometric sources for tracking researchers' achievements, predominantly the Web of Science as well as Scopus and other sources specific to the nature of the respective



research domains, as well as in available listings of individuals granted financial resources in concluded calls for research proposals at home and abroad.

8.3. The members of the Expert Teams are selected as follows:

- 1) in accordance with rules set out in the document “Zespoły Ekspertów Narodowego Centrum Nauki – zasady tworzenia i powoływania” [“National Science Centre Expert Teams – establishing and operating procedures”] which constitutes an annex to resolution no 26/2018 of the Council of the NCN of 8<sup>th</sup> May 2018, and in the “Zasady etyczne członków Rady i ekspertów Narodowego Centrum Nauki” [“Code of Conduct of the Members of the Council and Experts of the National Science Centre”] which forms an annex to resolution no 22/2017 of the Council of the NCN of 9<sup>th</sup> February 2017.
- 2) the Council of the NCN selects members of the Expert Team in each of the scientific domains (Arts, Humanities and Social Sciences, Life Sciences and Physical Sciences and Engineering) based on recommendations given by the relevant NCN Council Committees.
- 3) upon the Council’s request, the Director of the NCN appoints the selected Expert Teams to carry out the evaluation of funding proposals submitted in the SHENG 1 call for proposals.
- 4) the number of members in a Team should be sufficient to efficiently carry out the evaluation of proposals for Polish-Chinese research projects submitted under the SHENG 1 call and it cannot be lower than 5.
- 5) the work of an Expert Team is coordinated by a Head, appointed by the Council upon request by the Council’s respective Committees, i.e.: the Committee of Arts, Humanities and Social Sciences; the Committee of Physical Sciences and Engineering; and the Committee of Life Sciences. For duly justified reasons, the Head may appoint another member of the Team to chair the work of the Team in their stead.

## 9. Funding decision

- 9.1. The call evaluation procedure is to be concluded and its results published by the end of March, 2019.
- 9.2. The call results will be available in the ZSUN/OSF electronic submission system and will also be communicated by an electronically delivered decision of the Director of the NCN.
- 9.3. If the electronic decision is not collected, the decision of the Director of the National Science Centre is considered to have been delivered within 14 days of the date of being made available.
- 9.4. In the event of a breach of the call procedure or other formal infringements, the applicant may appeal the decision of the Director of the National Science Centre to the Committee of Appeals of the Council of the National Science Centre within 14 days of the decision’s delivery. Appeals lodged by Chinese applicants in reference to the call procedure conducted at the NSFC are subject to the NSFC regulations.
- 9.5. The Committee of Appeals of the Council of the National Science Centre passes judgement in the case of the appeal no later than 3 months from lodging the appeal.



- 9.6. If the NCN Committee of Appeals declares the appeal admissible and well-founded, the funding decision for the Polish research team may be issued on condition that the NSFC also funds the Chinese research team participating in the joint research project.
- 9.7. The decision referred to in 9.6 has no legal or financial bearing on other applicants whose proposals have already been recommended for funding in the call, even if all resources allocated for the call have already been used.

## 10. Mode of funding

- 10.1. The research projects carried out by the Polish research teams must start between 1<sup>st</sup> June 2019 and 31<sup>st</sup> October 2019.
- 10.2. Financial resources for the completion of the research tasks carried out by Polish teams recommended for funding are granted by the decision of the Director of the NCN. Financial resources for the completion of the research tasks carried out by Chinese teams recommended for funding are granted according to the NSFC procedures.
- 10.3. Financial resources are granted to the applicant host institution, pursuant to a funding agreement concluded between the National Science Centre, the host institution and the principal investigator of the Polish research team.
- 10.4. Within the period indicated in the funding decision, the applicant is obliged to submit to the National Science Centre a draft version of the funding agreement, including the project's work plan and breakdown of costs of the Polish part of the project, and to perform other actions ordered in the decision. Failure to comply with the provisions of the decision within the indicated period is equivalent to resignation from concluding the funding agreement.

## 11. Amount of funding

The Council of the National Science Centre establishes the amount of financial resources allocated for the completion of the tasks carried out by Polish teams in Polish-Chinese research projects under the SHENG 1 call for proposals **as PLN 40 million.**

prof. dr hab. Janusz Janeczek

Chair of the Council

of the National Science Centre

*The English version of this resolution does not constitute a sworn translation and has been prepared as an auxiliary document for your convenience. In case of any doubts as to the interpretation of its provisions, the Polish version shall prevail.*