

RESOLUTION NO 62/2020

OF THE COUNCIL OF THE NATIONAL SCIENCE CENTRE

of 22 May 2020

laying down the terms of and regulations on awarding funding for research tasks to be carried out by the Polish research teams, funded by the NCN under the DAINA 2 Polish-Lithuanian Funding Initiative

Pursuant to Article 18 (4) of the Act on the National Science Centre of 30 April 2010 (Journal of Laws of 2019, item 1384) and pursuant to the Cooperation Agreement between the National Science Centre (NCN) and the Research Council of Lithuania (RCL) entered into on 16 November 2016, the Council of the National Science Centre hereby lays down the **terms and regulations on awarding funding for research tasks to be carried out by the Polish research teams¹, funded by the NCN under the DAINA 2 Polish-Lithuanian Funding Initiative.**

1. General provisions

- 1.1. Under DAINA 2, funding will be awarded to research projects carried out jointly by Polish and Lithuanian research teams for which international cooperation is essential.
- 1.2. The terms of awarding funding for research tasks carried out by the Lithuanian research teams and funded by RCL in DAINA 2 are laid down by RCL.

2. Addressees of the call

The call is addressed at Polish research teams that apply for funding of a research project jointly with the Lithuanian research team. The Polish part of the research team will be managed by the principal investigator in the Polish research team, while the work of the Lithuanian research team will be managed by the principal investigator in the Lithuanian research team.

3. Eligible applicants

- 3.1 Proposals for NCN funding of the Polish part of a research project under DAINA 2, hereinafter “NCN proposal”, may be submitted by the entities specified in Article 27 (1) (1) – (2), (1) (4) – (5) and (1) (7) of the NCN Act, hereinafter “applicants”, for which funding will not constitute state aid.
- 3.2 Should an applicant be a group of entities specified in Article 27 (1) (2) of the NCN Act, an NCN proposal will be submitted by the leader of the group of entities named in the Research project cooperation agreement, entered into by the entities acting as host

¹ A research team means the principal investigator alongside members of research team, if applicable in the proposal.



institutions for the research project. The entity that employs the principal investigator will act as the leader of the group of entities.

- 3.3 Where a research project is to be carried out by at least two Polish entities, they will form a group of entities referred to in Point 3 (2) and only in that legal form may they apply for NCN funding. Each entity in the group of entities will have its own budget; however, the budget for salaries and scholarships referred to in Point 2 (1) of Annex 2 hereto shall be joint for all the entities in the group. NCN proposals submitted by a group of Polish entities shall have only one principal investigator. If two or more entities cannot form a group of entities pursuant to Article 27 (1) (2) of the NCN Act, they will not be eligible to apply for NCN funding of a joint research project.
- 3.4 Entities under forced administration or in liquidation or subject to bankruptcy proceedings cannot act as applicants.

4. Terms of entry

§ 1. The following NCN proposals may be submitted under the call:

- 1) in which a person named as the principal investigator is at least a PhD holder;
- 2) to carry out research tasks that neither is nor was funded by the NCN nor from any other sources;
- 3) which constitute basic research as defined in Article 2 (1) of the NCN Act in any of the academic disciplines covered by the NCN panels adopted by the NCN Council;
- 4) which cover research projects planned for 24 or 36 months;
- 5) in which the requested funding for the entire duration of the Polish part of the research project is no less than PLN 150,000;
- 6) in which the budget of the Polish part of the project in the joint project description (JPD) is calculated on the basis of the exchange rate published by the National Bank of Poland as at the date this Resolution is adopted by the NCN Council; i.e. EUR 1 = PLN 4.5234; and
- 7) which comprise all the elements specified in 6 (8) hereof.

5. Restrictions on NCN proposal submission

- 5.1 A person named as the principal investigator in an NCN proposal under the DAINA 2 Funding Initiative must not be a person who represents the host institution for the project.
- 5.2 In a given edition of the call, one may be named as the principal investigator in one proposal only.
- 5.3 The person named as principal investigator in the NCN proposal under DAINA 2 cannot be a person who, on the end of the call for proposals:
- a) acts as principal investigator² in three or more research projects funded under NCN calls;
 - b) acts as principal investigator in two research projects funded under NCN calls and is named as principal investigator in another proposal under evaluation or recommended for funding;
 - c) acts as principal investigator in a research project funded under NCN calls and is named as principal investigator in two other proposals under evaluation or recommended for funding;

² Acting as principal investigator applies to the period from the date of signing the funding agreement for the project until the day of submitting the final report on the completion of the research project.

- d) is named as principal investigator in three other proposals under evaluation or recommended for funding funded under NCN calls.

The above restrictions do not apply to the proposals submitted or projects funded under the following calls for proposals:

- TANGO, DIOSCURI;
- EXPRESS CALL TO FUND RESEARCH ON COVID-19;
- CEUS-UNISONO, in the case of which joint proposals submitted to the Austrian Science Fund (FWF) acting as the lead agency under the *Stand-Alone Projects* programme, concern research into crises like epidemics and pandemics covered by fast-track merit-based evaluation (*FWF Urgent Funding for Research Into Humanitarian Crises like Epidemics and Pandemics*); and
- ALPHORN–COVID-19.

- 5.4 A person to carry out a research activity in a proposal which has been submitted to the MINIATURA call and for which the funding decision has not become final cannot be named as the principal investigator in an NCN proposal submitted under the DAINA 2 call.
- 5.5 The principal investigator must be a person employed by the host institution for the research project under an employment contract at least on a half-time basis for the entire project duration period.
- 5.6 The principal investigator must reside in Poland for at least 50% of the project duration period. This period includes business trips necessary for the project, in particular involving fieldwork, participation in conferences and/or library and archive research.
- 5.7 Proposals comprising overlapping research tasks cannot be submitted in a given edition of the call.
- 5.8 An NCN proposal comprising research tasks overlapping with research tasks included in another proposal that has been already submitted may only be submitted once the latter proposal's evaluation procedure has been concluded.
- 5.9 An NCN proposal comprising research tasks overlapping with research tasks included in another proposal that has been already submitted, with respect to which an appeal has been initiated, may only be submitted only once the latter proposal's evaluation procedure has been concluded.

6. Submission of proposals (procedure and dates)

- 6.1 The call is open to NCN proposals to which joint project descriptions (JPD) are attached. JPDs are drafted by the Polish and Lithuanian research teams.
- 6.2 An NCN proposal is drafted and submitted to the NCN by the Polish research team on terms and conditions laid down herein and in the call announcement.
- 6.3 Any information in the NCN proposal must be consistent with information in the JPD
- 6.4 In DAINA 2, a JPD may be attached to one NCN proposal only.
- 6.5 The NCN accepts only complete NCN proposals that meet all the requirements set forth herein and in the call announcement.



- 6.6 First, an NCN proposal must be submitted to the NCN by **15 September 2020, 16:00 CEST** in an electronic format, via the ZSUN/OSF system available at www.osf.opi.org.pl.
- 6.7 Then, the Lithuanian applicant submits the proposal to RCL via the JUNKIS system available at <http://junkis.lmt.lt>, **by 22 September 2020, 16:00 EEST**. The complete proposal that has been submitted to the ZSUN/OSF system must be annexed to the proposal submitted to the JUNKIS system in PDF format.
- 6.8 NCN proposals must include:
- 1) title of the research project (*in Polish and in English*);
 - 2) research project's abstract (*up to 4500 characters in English*);
 - 3) research project's abstract for the general public (*1 standard page in Polish and 1 standard page in English*);
 - 4) JPD in PDF format, drafted in compliance with the template laid down in the annex to the call announcement (*in English*);
 - 5) research plan (*in Polish and in English*) presenting the research tasks to be carried out by the Polish research team;
 - 6) information on the research team (*in English*), including:
 - a) information on the principal investigators of the Polish and Lithuanian research teams, including:
 - academic and research career;
 - 1-10 most important papers published and/or accepted for publication (with confirmation) in the proposal submission year and/or over the period of 10 years prior to the proposal submission year³;
for research in art, 1-10 most important papers published and/or accepted for publication (with confirmation) or artistic achievements or achievements in research in art in the proposal submission year or for the period of 10 years prior to the proposal submission year³;
 - in the case of the principal investigator in the Polish research team, information on research project management or other research funding awarded under NCN calls in the proposal submission year and/or over the period of 10 years prior to the proposal submission year³ and on research project management under other domestic calls or international calls in the period referred to above;
In the case of the principal investigator in the Lithuanian research team, information on research project management or other research funding awarded under domestic calls or international calls (other than NCN calls) in the proposal submission year or over the period of 10 years prior to the proposal submission year³;
 - description of the most important research achievement;
 - research experience gained in Poland and/or abroad; and
 - information on the most important national and/or international distinctions for research and/or other activity in research in art, and
 - b) information on the required qualifications and scope of work planned by each investigator in the research project on the Polish part (*in English*);

³ In the case of a Polish principal investigator, this period may be extended by a time of long-term (in excess of 90 days) documented sick leaves or rehabilitation leaves granted on account of being unfit to work. In addition, this period may be extended by the number of months of a child care leave granted pursuant to the Labour Code and in the case of women, by 18 months for every child born or adopted, whichever manner of accounting for career breaks is preferable. In the case of a Lithuanian principal investigator, the rules of RCL apply.



- 7) budget of the Polish part of the research project (*in English*) drafted in compliance with **Annex 1** hereto;
- 8) information on expected international cooperation in the research project, including cooperating foreign research institutions (*in English*);
- 9) information on the data management plan concerning data generated or used in the course of a research project, as required by the proposal (*in English*);
- 10) information on the ethical aspects of the project, including consents, opinions, permits and/or approvals necessary to carry out the project in compliance with generally applicable laws and best practices adopted for a specific academic discipline, as required by the proposal (*in English*);
- 11) in the case of research projects which include clinical trials with a medicinal product or a medical device, a detailed justification of the non-commercial nature of the trials (*in English*);
- 12) in the case of research projects covering research being performed or completed by the principal investigator of the Polish or Lithuanian research teams, or with respect to which the principal investigator of the Polish or Lithuanian research teams applies for funding under other NCN calls or from other sources, description of similar research tasks with reasons justifying the need to have them funded under the project applied for (*in English*);
- 13) in the case of research projects to be carried out in a host institution that does not receive any institutional core funding for research activity, information on research carried out in the last 2 years with a list of publications and information concerning research equipment and other instruments crucial to research (*in English*);
- 14) in the case of research projects to be carried out by a group of Polish entities, a research project cooperation agreement including (*inter alia*) identification of the parties to the agreement and its leader; subject-matter and term of the agreement covering the research project duration period; authorisation for a representative of the leader to act on behalf of the entire group of entities in the procedure for the allocation of funding and performance of the research project; obligation of the leader to provide the other parties with information received from the NCN; signatures of the authorised representatives of all members of the group of entities (*in Polish*); and
- 15) administrative declarations of the principal investigator and host institution for the project, as required by the proposal.

7. Evaluation of proposals (procedure and criteria)

- 8.1 Under the DAINA 2 Funding Initiative, proposals are subject to a parallel eligibility check and merit-based evaluation performed by NCN and RCL.
- 8.2 Eligibility check and merit based evaluation of proposals submitted to RCL is performed pursuant to the rules applicable at RCL.
- 8.3 Eligibility check and merit based evaluation of proposals submitted to NCN is performed pursuant to the rules applicable at NCN.
- 8.4 Eligibility check of NCN proposals is carried out by the coordinators.
- 8.5 Eligibility check at NCN comprises:
 - 1) verification of proposal's completeness;
 - 2) verification whether the proposal meets all the eligibility criteria set forth in the call announcement;



3) verification whether the expenditures outlined in the NCN proposal and JPD, as regards the Polish part of the research project, conform to the principles set forth in **Annex 1** hereto on the costs in research projects funded by the NCN under the DAINA 2 Funding Initiative; and

4) consistency of the data in the JPD with information in the NCN proposal.

8.6 Only complete proposals approved as eligible by both NCN and RCL are accepted for merit-based evaluation at NCN and RCL.

8.7 Merit-based evaluation at NCN is performed by the Expert Teams and external reviewers.

8.8 A proposal may also be rejected as ineligible at the stage of merit-based evaluation.

8.9 At NCN, merit-based evaluation of proposals submitted to the DAINA 2 Funding Initiative is performed in two stages:

Stage 1 - qualification involving individual reviews drafted by two members of the Expert Team. In the case of a proposal which is assigned an auxiliary review panel specifying disciplines other than the NCN panels to which the proposal is submitted, the chair of the Expert Team may decide to seek a second opinion from a member of another Expert Team. All individual opinions are agreed by the Expert Team evaluating the proposal in a panel to which it has been submitted. Approved for the second stage are proposals from the highest places of the ranking list whose aggregate cost equals up to twice the sum of financial resources allocated by the Council for the call in specific disciplines or groups of disciplines. The amount of the funds is determined by the Council on the basis of an analysis of costs for each project in the proposals filed in specific disciplines or groups of disciplines and the priorities set by the Council.

Stage II – specialist evaluation consisting of individual reviews made by external reviewers who are not members of the Expert Team reviewing the proposal in stage I of merit-based evaluation. Then, the Expert Team decides on the final evaluation of the proposal based on the specialist reviews, analyses of and discussions on the proposals.

8.10 In the course of merit-based evaluation at NCN, the following criteria shall be reviewed in particular:

- 1) whether or not the criterion of basic research has been met, as defined in Article 2 (1) of the NCN Act;
- 2) quality of research or tasks to be carried out,
- 3) innovative nature of the research problem addressed,
- 4) project's impact on the advancement of the scientific discipline,
- 5) scientific achievements of the principal investigators of the Polish and Lithuanian research teams, including publications in renowned academic press/ journals,
- 6) evaluation of other projects carried out by the principal investigators of the Polish and Lithuanian research teams and funded by the NCN or from other sources,
- 7) evaluation of feasibility of the project's completion,
- 8) justification of the costs as regards the subject and scope of research;
- 9) whether or not international cooperation is complementary and legitimate for the research project; and
- 10) development of the proposal and fulfilment of other requirements of the call announcement.

8.11 The following principles apply to the evaluation of proposals by the Expert Team:



- 1) the project budget of the Polish part of the research project cannot be modified;
 - 2) the percentage contribution of specific criteria in the individual assessment of proposals is specified in **Annex 2** hereto;
 - 3) each proposal is allotted a score which is of a supplementary nature and is a starting point to the discussion on the final score by the Expert Team;
 - 4) decisions of the Expert Team on the final score of a proposal is based on an analysis thereof and a discussion on the legitimacy of funding the proposal against other proposals reviewed in the call;
 - 5) the final score of the proposal at a given stage of the merit-based evaluation is reflected in its position on the ranking list after stage I or the ranking list after stage II, both lists being compiled by the Expert Team;
 - 6) proposals with a zero score or “no” decision agreed by the Expert Team in any reviewed criterion cannot be recommended for funding. It does not apply to the data management evaluation criteria or evaluation criteria of ethics issues in research with regard to the Lithuanian research teams; and
 - 7) proposals deemed incompliant with any requirements of the call announcement by the Expert Team cannot be recommended for funding.
- 8.12 NCN proposals for which the total funding requested to cover the Polish part of the projects is not in excess of the funds allotted by the Council for the DAINA 2 Funding Initiative within individual disciplines or groups of disciplines are recommended for funding by the Expert Team.
- 8.13 In justified instances, the coordinator may, having consulted the Expert Team, change the order of proposals on the list of proposals recommended for funding by the Expert Team of the National Science Centre.
- 8.14 The Director may decide to award funding for research projects which are partially within the limit of resources designated for research tasks financed by the NCN, in so far as they are also recommended by RCL.
- 8.15 The list of proposals recommended for funding by the NCN Expert Team is the basis for the final ranking list compiled pursuant to comparison of the results of merit-based evaluation performed by NCN and RCL. Funding in DAINA 2 can be awarded to projects recommended by both NCN and RCL.

8. Selection of experts (criteria and procedure)

- 8.1 Pursuant to Article 18 (7) of the NCN Act, the Council selects members of the Expert Team responsible for evaluating proposals for funding of the Polish-Lithuanian research projects in DAINA 2.
- 8.2 In its selection, the Council follows the following principles:
- 1) candidates are selected from among eminent Polish and foreign researchers who are at least PhD holders, including former winners of NCN calls, considering their research achievements and experience in assessment of research projects in Poland and abroad and experience in performance of research projects funded under calls in Poland and abroad;
 - 2) an important element of the assessment covers information available from bibliometric sources for tracking researchers' achievements, subject to the specific nature of respective research domains and information from available lists of recipients of funds granted in the calls for research projects conducted in Poland and abroad.

8.3 The detailed criteria and procedure for selecting the expert teams are set forth by the Council in the document: “Expert Teams of the National Science Centre – Establishing and Appointing”.

9. Funding decision

9.1 A funding decision will be taken and results of the call will be announced by the end of May 2021.

9.2 The results of the call are announced by way of a decision of the NCN Director.

9.3 In the event of a breach of the call procedure or other formal infringements related to actions performed by NCN, the Polish applicant may lodge an appeal against the decision of the NCN Director with the Committee of Appeals of the NCN Council within 14 days of the date the decision is served. Lithuanian applicants may lodge their appeal against actions performed by RCL according to the rules of RCL.

9.4 The Committee of Appeals of the NCN Council decides on the appeal within 3 months of the date on which the appeal was lodged.

9.5 If the appeal is deemed legitimate by the Committee of Appeals of the NCN Council, the funding decision concerning the research project carried out by the Polish research team is issued provided that RCL awards funds for the research project carried out by the Lithuanian research team.

9.6 The funding decision referred to in Point 9 (5) has no legal or financial consequences to the other applicants whose proposals have been recommended for funding under the call, even if the amount of funds available for the call has already been used.

9.7 Funding for research project recommended for funding, to be carried out by the Polish research teams, is awarded by way of a decision of the NCN Director. Funding for research project recommended for funding, to be carried out by the Lithuanian research teams, is awarded pursuant to the rules of RCL.

10. Call budget

The NCN Council decides to award **PLN 10,000,000** for research tasks to be carried out by the Polish research teams under the Polish-Lithuanian research projects in DAINA 2.

Prof. Dr hab. Małgorzata Kossowska
President 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 the event of any doubts as to the interpretation of its provisions, the Polish version shall prevail.