

Guidelines



#01 _ Open Technology Programme

Technology Foundation STW _ September 2010

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Guidelines for funding proposals for research under the Open Technology Programme (OTP)

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Introduction

► This brochure explains the objectives and working methods of Technology Foundation STW*. It details the conditions governing proposals submitted to STW for the funding of scientific research under the Open Technology Programme. The original Dutch text is the leading document.

The Open Technology Programme focuses on scientific and technical research and is characterised by an absence of disciplinary boundaries. Research proposals are examined both for scientific quality and from the perspective of utilisation. Both criteria are given equal weight in the decision-making process. There is no deadline for submitting applications under STW's Open Technology Programme: research proposals can be submitted on a continuous basis.

Before submitting your application electronically via Iris, STW recommends that you visit its website (www.stw.nl) to check that you have the latest version of this brochure, and that you read the guidelines carefully.

Budget

The Open Technology Programme has a budget of up to 25 million euro for 2009. In 2008, around 30 percent of applications under the Open Technology Programme were successful.

Open Technology Programme and Programmes (co)-funded by third parties

STW is sometimes also involved as a co-funder and implementer of thematic programmes, e.g. in the context of the strategic objectives of NWO and/or the Dutch Ministry of Economic Affairs. STW projects under these programmes have to meet the same quality requirements as projects under the Open Technology Programme. In such cases, the programme text and/or the call for the submission of research proposals will refer to the Open Technology Programme. Therefore the guidelines in this brochure also apply to such programmes, in addition to the programme-specific conditions.

Aim

Mission of Technology Foundation STW

STW's mission is to bring about knowledge transfer between technical sciences and users.

STW does so:

- 1 _ by bringing scientific researchers and potential users together;
- 2 _ by funding excellent research in the technical and applied sciences.

Open Technology Programme

STW's Open Technology Programme shares the aim of realising knowledge transfer between technical sciences and users.

Utilisation

► STW-funded research generates valuable knowledge. In addition to excellent science, STW aims to promote the application of knowledge. The term used by STW to refer to the set of activities aimed at maximising the possibility of research results being applied by third parties is 'utilisation'. In order to promote utilisation in addition to scientific quality, STW sets up a user committee for every project.

STW expects applicants to actively collaborate towards promoting utilisation and towards STW's objective of transferring knowledge to users. Users, user committees and intellectual property play a crucial role in utilisation.

Users

Users of research are defined as natural persons or legal persons (at national or international level) who are able to apply the results of the research.

A distinction is sometimes drawn between direct users, usually companies, and end users. In that case, it is not sufficient to designate end users only. It is STW's explicit intention that potential technology users and end users outside the immediate circle and outside the research field of the researchers submitting the proposal should be involved in the project from beginning to end. Users should be able to apply the knowledge generated by the research in the medium to long term.

(Potential) users should be indicated in the utilisation section of the research proposal.

User committees

To promote the effective transfer of knowledge generated by the research to users, STW sets up a user committee for every research project in consultation with the project leader. User committee meetings are attended by the applicants/co-applicants, project/subproject leaders, the researchers temporarily appointed to the project and the representatives of potential users. The project leader acts as chairman and STW runs the secretariat. A minimum of four users should sit on the user committee and at least 50% of them should be from industry. STW may permit an exception to this rule, for example if one user makes a very significant contribution to the proposed project (see IP policy and STW's General Funding Conditions at www.stw.nl). STW may change the composition of the user committee in the course of a research project, if there are grounds to do so.

The committee can advise the project leader on the direction the research should take in order to promote the application of the results. The project leader always holds ultimate responsibility for the realisation of the research in accordance with the approved project plan. The instructions for participants in a user committee are included in the 'Task and Method of Working of STW User Committees' (see: www.stw.nl/Infobalie/Gebruikers).

Reporting

The project leader reports on the progress of the project twice a year, in writing, and the user committee then meets to discuss the progress made. As an exception – to be decided by STW – the user committee may meet less frequently.

Utilisation of the research results is always on the meeting agenda. It covers collaboration with (potential) users and the protection and commercialisation of the knowledge generated.

The results of the project are confidential until STW decides otherwise, or until STW has given permission for publication. A publication is the disclosure of results by any means, such as a text (including publications, abstracts, announcements on a website), illustration or an image or sound carrier, with the exception of disclosure resulting from a patent or patent application. The members of the user committee are the first to be given access to the research results, i.e. before publication. STW submits draft publications to the user committee asking whether, in their opinion, the publication contains a patentable discovery and/or whether there are utilisation opportunities. If knowledge

* 'Stichting voor de Technische Wetenschappen' is the legally registered name of STW. This name is generally used only in official documents. In this document, the name 'Technology Foundation STW' or the abbreviation 'STW' will be used.

protection measures are required, such as the submission of a patent application, STW may decide to suspend the publication for up to a year.

Intellectual Property Policy (IP policy)

The main principles of STW's IP policy:

- **Ownership** of the results of research funded by Technology Foundation STW belongs jointly to STW and the research institute(s) where the research is funded.
- **Protection of research results, confidentiality and publications**
STW attaches considerable importance to knowledge protection in order to realise knowledge transfer. Users admitted to the user committee, either at the start or during the course of the research, undertake to maintain confidentiality with regard to the research results. The researcher is obliged to report any inventions to STW immediately.
- STW submits draft publications to the user committee asking whether, in their opinion, the publication contains a patentable discovery and/or whether there are utilisation opportunities. If knowledge protection measures are required, such as the submission of a patent application, STW may decide to suspend the publication for up to a year.
- Members of the user committee are the first to receive information about the results of the research. Membership of the user committee or a contribution to the research does not automatically entitle the user to apply or commercialise the results.
- **Option rights and licensing**
Users who, in STW's opinion, contribute substantially to the funding of the project are entitled to an option during the course of the project. STW does not regard a contribution of less than 10% of the total funding (necessary financial resources plus contributions in kind) allocated to the project as substantial. The right to use/application is acquired through a licence, transfer or know-how agreement. This may be a 'second agreement', after an option agreement, but both option and licence may be laid down in a single agreement.

In any case, a licence agreement or transfer agreement contains agreements about:

- (non-)exclusivity
- royalty-free research and education licence
- reimbursement in line with market prices
- anti-freezer clause or best endeavours obligation concerning application or commercialisation
- reporting obligations
- indemnity/liability

Assessment procedure

▶ STW's selection procedure involves peer review followed by an independent jury assessment. Under the Open Technology Programme, STW appoints a lay jury. The STW Board makes decisions based on the advice issued by the jury. In the case of allocation decisions, the Board will take the available budget into account. Every financial year, the Board sets a maximum available budget for each assessment round under the Open Technology Programme; the budget is allocated if research proposals are of sufficient quality. In practice, unfortunately, the available budget will not be sufficient to fund every proposal of good quality.

Deadline for submission of applications and processing period

There is no deadline for submitting applications under STW's Open Technology Programme: research proposals can be submitted on a continuous basis. If the application fulfils the formal requirements, STW will consider the research proposal. STW aims for a processing period of 6 months, calculated from the date on which the formal requirements are fulfilled. If major investments are proposed or special infrastructure facilities are requested, the processing period may be longer. This also applies to research proposals which require advance consultation with regard to intellectual property.

Formal requirements

STW confirms receipt of the research proposal. It then verifies the formal requirements to determine whether the research proposal is eligible for consideration. If the relevant conditions (see section on 'Guidelines for applicants') are not fulfilled or the information requested is incomplete, the research proposal will not be considered. In that case, STW returns the research proposal to the main applicant with a request for adjustments or

additional information. Within ten to fifteen working days after registration of the project, the main applicant learns whether the research proposal is to be considered. If it is not to be considered, the main applicant is given six weeks – calculated from the date of STW's notification – to submit a revised version. If the information required is not provided, or is incomplete by the six-week deadline, the research proposal is recorded as withdrawn. The main applicant is then invited to submit a new research proposal which fulfils the relevant conditions.

Assessment by referees

STW submits the research proposal to a number of national and international experts in the relevant specialist area. These referees are drawn from the scientific world, large research institutes, and industry. Referees remain anonymous. They assess the proposal on the basis of specific questions about scientific quality and utilisation. The questions submitted to referees are available on the website (www.stw.nl/Infobalie). STW recommends that applicants anticipate these questions in the research proposal. The number of referees consulted by STW depends on the nature of the research proposal and the size of the budget contained in the research proposal. For the purposes of the Open Technology Programme, STW aims to have the research proposal assessed by three to five referees.

STW does not use a non-referee list, which allows certain referees to be excluded in advance. However, the applicant(s) may ask STW, in the introductory letter accompanying the research proposal, to exclude up to two people or organisations from acting as referees. STW will grant this request only if the provision of information from the research proposal to that referee might obstruct the utilisation. STW combines the individual referees' comments, anonymised and if necessary paraphrased, into a 'basis for a protocol'.

Applicants' rebuttal

STW sends the 'basis for a protocol' to the main applicant with a request to respond to the referees' comments. The main applicant responds to each question or comment individually. The combined referees' comments including the responses from the applicant(s) form the protocol used by jury members in arriving at their assessment.

Jury procedure and decision-making

Under the Open Technology Programme, research proposals from different disciplines are in competition with each other. To guarantee

the objectivity of the assessment as far as possible, STW puts together a new independent multidisciplinary lay jury consisting of 10 to 12 members for each assessment round. The members are highly educated and/or experienced people with an affinity for technology development. Jury members are drawn from different sectors of society: universities, large research institutes, industry and other societal sectors. By using this approach, every assessment can take into account the societal needs that science and technology can address.

It is established practice that a person acts as a jury member for the Open Technology Programme only once. The entire procedure takes place in writing, without consultation. A jury member does not know the identities of other jury members in the same assessment round. Jury members are generally sent twenty research proposals with accompanying protocols. Each jury member assigns two ratings of equal weight to each proposal, one for scientific quality and one for utilisation (prospects).

The Board largely bases its allocation decisions on the prioritisation of the research proposals. The order established by the jury rankings is the starting point for this. A secondary consideration is the budget available for each assessment round. The Board does not assess the scientific content of the research proposals.

The Board may attach additional conditions to an award. These conditions may relate to matters such as intellectual property, co-funding by (potential) users, major investments and/or special infrastructure facilities.

Detailed information on the jury procedure for both jury members and applicant(s) is given in the 'Guidelines for jury members' (www.stw.nl).

NWO Code of Conduct on Conflicts of Interest

STW asks active researchers from research institutes and specialists from other knowledge-intensive organisations to participate in assessment procedures. These people are themselves involved in ongoing or new research and often belong to large organisational associations and research networks. Therefore, any conflict of interests, or anything that remotely resembles this, must be avoided in the assessment of research proposals.

To ensure a fair assessment and transparency for applicants, STW uses a code of conduct on conflicts of interest that is in line with the NWO Code of Conduct on Conflicts of Interest. This code identifies possible forms of conflicts of interest and indicates the steps to be taken

to avoid conflicts of interest. Parties subject to the code of conduct are: referees, jury members, committee members, members of decision-making bodies and STW officers.

The full text of the code of conduct on conflicts of interest used by STW is available at: www.nwo.nl/nwohome.nsf/pages/NWOP_6CYFSB

After award

(see also the [General Funding Conditions at www.stw.nl/Infobalie](http://www.stw.nl/Infobalie))

► The main applicant becomes the project leader. In the case of large projects, it is necessary to appoint separate sub-project leaders. If the proposal is successful, each research institute involved receives an award letter with appendices. This sets out the legal and financial conditions of funding and should be signed individually for approval by each research institute. The credits for materials, travel and investments are initially allocated for up to two years. The personnel credit per post is initially allocated for up to three years. STW reserves any remaining funds for the continuation after two years.

Start and starting date of the project

The credits allocated do not become available until after the necessary documents have been signed and received by STW and all relevant award conditions have been fulfilled. If the latter is not yet the case, for example due to continuing negotiations about intellectual property, written permission to start the project can be requested from STW. Without such written permission, potential financial risks are borne by the applicant(s). The starting date of the project is the date on which an initial expenditure of allocated funds is undertaken. This is generally not the date of award. It usually relates to the appointment of the first staff member at the project's expense.

Continuation

In the case of projects with a term of three years or more, the user committee advises STW on the continuation of the project based on progress made. On that basis, STW decides on the allocation of the credits reserved at the time of award.

Extension

An extension after the end of a project is possible only in very limited cases. The prospects in terms of utilisation are crucial in this respect. From the utilisation perspective,

funds remaining on the project can be used to extend one staff position (1 fte) for a period of up to three months. If the extension requires an increase in the budget, co-funding by (one of the) users is a prerequisite. This co-funding is subject to the same criteria as co-funding on submission of a research proposal. The STW contribution is inclusive of the funds remaining on the project and is subject to an upper limit of 50% of the total costs for the extension of the project.

Termination and termination date

The termination date of a project is the date on which the last temporary appointment is terminated.

The project leader then receives two final forms from STW to round off the project in terms of both content and funding. Unallocated credits cease to be valid after the end of the project. The summaries requested in the final form are used for the purpose of publication in STW's utilisation report. STW publishes an annual utilisation report giving progress updates 5 and 10 years after the start of a project.

Discontinuation

STW may discontinue a project before the official termination date if the obligations and/or funding conditions are not or are no longer fulfilled, or if the scientific quality of the research and/or utilisation of the results of the research are inadequate.

Further information

Contact

General information is available from

Technologiestichting STW

visiting address

Van Vollenhovenlaan 661
3527 JP Utrecht
The Netherlands

postal address

Postbus 3021
3502 GA Utrecht
The Netherlands

telephone

030 6001 211

fax

030 6014 408

e-mail

info@stw.nl

internet

www.stw.nl

STW office

If referred to the STW office, contact the program officer assigned to you or ring the general telephone number and ask for a program officer in your specialist area.

Opportunity to submit complaints or appeals

If you have a complaint about the processing of your research proposal, your treatment by a programme officer, errors in an administrative procedure or incorrect information, you can submit your complaint verbally or in writing to the programme officer with whom you have had contact during the period concerned.

Interested parties can object to decisions taken by STW. This should be done within six weeks from the date on which the decision in question was notified, by submitting a reasoned letter of appeal. Interested parties should address appeals to: NWO Governing Board, PO Box 93138, NL-2509 AC The Hague. A copy will be sent to STW for the attention of the director.

Links

_ Applications for the Open Technology Programme:

<http://www.stw.nl/Infobalie/Aanvragers.htm>

_ STW's General Funding Conditions:

<http://www.stw.nl/Infobalie>

_ The basic principles of STW's Intellectual Property Policy (IP policy):

<http://www.stw.nl/Infobalie>

_ Task and Method of Working of User Committees:

<http://www.stw.nl/Infobalie/Gebruikers.htm>

_ Guidelines for jury members

(not in english):

<http://www.stw.nl/Infobalie>

_ Questions to referees/Aspects for assessment:

<http://www.stw.nl/Infobalie/ReferentenJuryleden.htm>

_ Code of Conduct on Conflicts of Interest:

http://www.nwo.nl/nwohome.nsf/pages/NWOP_6CYFSB

_ Fixed rates in salary tables:

<http://www.stw.nl/Infobalie/Aanvragers.htm>

_ Payment of thesis printing costs:

<http://www.stw.nl/Infobalie>

_ Standard amounts for foreign accommodation expenses:

<http://www.stw.nl/Infobalie/Aanvragers.htm>

_ Standard amounts for capitalisation of co-funding of personnel costs:

<http://www.stw.nl/Infobalie/Aanvragers.htm>

_ Iris:

<https://iris.stw.nl/iris>

_ How Iris works:

https://iris.stw.nl/iris/help/GebruikershandleidingIrisSTW_en.pdf

_ Netherlands Organisation for Scientific Research (NWO):

<http://www.nwo.nl/>

Guidelines for applicants

► As a division for the Technical Sciences (TW), STW is part of the Netherlands Organisation for Scientific Research (NWO; see also www.nwo.nl). As such, STW provides indirect government funding. STW funds costs of personnel temporarily appointed to the project at the research institute and project-specific costs of materials, travel and/or equipment. The research institute is responsible for co-funding from direct government funding and hence for the necessary infrastructure and the supervision of project workers.

If an applicant/co-applicant cooperates with other institutes not eligible for STW funding, such as TNO or a foreign university, the non-eligible institutes are responsible for their own costs.

If the total project costs exceed 500,000 euro, users are required to make a contribution to the project costs (co-funding), namely 25% of the sum in excess of 500,000 euro. The maximum STW contribution is 750,000 euro. In projects of an investment nature (> 250,000 euro in equipment), the maximum STW contribution is 1 million euro.

Main and co-applicants

On approval of the project, the main applicant becomes the project leader and bears ultimate responsibility for the realisation of the research including the utilisation plan. Co-applicants must play an active role in the realisation of the project and may be designated as sub-project leaders in the event of several participating research institutes.

Who can act as main and co-applicants?

- _ Professors and university lecturers or senior lecturers holding a tenured position at a Dutch university, and persons with a comparable position at a university medical centre.
- _ Researchers with a tenure track appointment. STW defines a tenure track appointment as an appointment for experienced scientific researchers with prospects of permanent employment and a professorship in due course. The tenure track appointment must be confirmed in writing and funded from structural resources. STW will verify that the appointment meets these conditions and that it is guaranteed for the term of the project.

- _ Permanent scientific staff of research institutes primarily funded by the Ministry of Education, Culture and Science (OCW) (see Appendix 1).

Main and co-applicants with a part-time appointment

- _ Main applicants and co-applicants employed on a part-time basis should in any case have access to sufficient university facilities and budget to carry out the project properly.
- _ Main applicants and co-applicants should carry out STW research while they are working for the research institute. If this is not the case, the other employer should sign a waiver so as to guarantee knowledge ownership by STW and the research institute(s).

Who cannot apply?

- _ Personnel with a zero-hour appointment
- _ Personnel with a temporary employment contract (e.g. postdocs)
- _ Emeritus professors
- _ Personnel of institutes with an applied or technological objective, such as TNO, the Large Technological Institutes (GTIs) and the non-university part of the Wageningen University and Research Centre (WUR)
- _ Personnel of a research institute funded by a public-private targeted grant
- _ Personnel of foreign research institutes

Drawing up and submitting the research proposal

Research proposals should be submitted electronically via Iris, STW's electronic grant application system. To submit research applications and for the Iris manual, visit <https://iris.stw.nl/>

An application consists of two parts:

- 1 _ a factsheet containing the key details of both the applicant(s) and the application (including name and address details, title of the research and a summary in English);
- 2 _ the application form containing the other information requested. When you submit the factsheet electronically, you also append the completed application form in PDF format (see manual on How Iris works). Other

accompanying appendices should be sent separately in PDF format. The factsheet together with appendices is regarded as the research proposal.

Only research proposals that are submitted electronically will be considered.

Format

The proposal should not exceed twelve pages in A4 format (minimum Arial 10 point or similar font), excluding references and appendices. If there is more than one participating research institute, the limit is fifteen pages. The application should be in English. In Section 4.1 of the application form, additional sub-chapters may be added.

The information entered should be complete and correct. Incomplete forms or forms that exceed the maximum permitted length may lead to your application not being considered.

Resubmitting research proposals

Research proposals that were rejected in a previous STW evaluation procedure cannot be resubmitted automatically. When a research proposal is resubmitted, the scientific description (Section 4 of the application form) and/or the utilisation plan (Section 5 of the application form) must have been significantly revised. STW will be the judge of this. The earlier referees' comments may be used as a guideline in revising the proposal. When submitting the research proposal, the applicant should attach a statement in English explaining the revisions. If the research proposal has not been revised sufficiently, it will not be considered.

Notes relating to the application form

1.1 _ Further details main applicant

The name and address of the main applicant are given on the factsheet (Dutch name). State the additional information, including English name of the organisation/division of the organisation, percentage of full-time appointment and confirmation of permanent employment.

1.2 _ Further details co-applicants

State the name and address of the co-applicants, giving both the Dutch and English names. Also state the additional information, including % of full-time appointment and confirmation of permanent employment.

1.3 _ Title

State the title of the project and an abbreviated title, if any.

1.4 _ Key words

State the specific keywords for the research and specialist area, including popular scientific terms.

2. _ Summaries

► Summaries should be clear to non-specialists, such as jury members. Jury members will base their verdict primarily on the opinion of the experts as laid down in the protocol, summaries and utilisation section. It is therefore vital that these sections are worded clearly and concisely, so as to be convincing to jury members.

In addition, these sections may be used by STW for publication purposes; the confidentiality of the data will be taken into account at all times.

2.1 _ Research summary

On a half page of A4, describe the research question, the research and the anticipated results.

2.2 _ Utilisation summary

On a half page of A4, describe the utilisation. State what the jury needs to know about utilisation, the approach taken to it and the likelihood of it being achieved.

2.3 _ Summary in Dutch, onderzoek

In addition to an English summary for research, add a summary in Dutch (half page of A4).

2.4 _ Summary in Dutch, utilisatie

In addition to an English summary for utilisation, add a summary in Dutch (half page of A4).

3 _ Current composition of the research group

► State the composition of the team which will realise the research and the distribution of tasks and responsibilities.

- _ If more than one research institute is participating in a project, indicate the intended sub-project leaders in addition to the project leader.
- _ If more than one research institute and/or research group is involved in the project then also indicate which of the co-applicants per research institute and/or research group is the research leader and who is responsible for supervising the researchers.
- _ In the case of a part-time appointment of a (co-)applicant which is less than 0.4 fte, the proposal should indicate which of the permanent staff is responsible for the day-to-day supervision of the project workers.
- _ The project leader is responsible in all cases for coordination and communication between the participating institutes/research groups/researchers.

4. _ Scientific description

► This section should contain sufficient information to enable an expert reviewer to assess the quality of the research proposal.

4.1 _ Research contents/Introduction

Describe the underlying scientific basis and the content of the project. Indicate the methods and techniques to be used to tackle the problem, the knowledge already available, what has still to be developed and the instruments or models to be used to that end. It is not sufficient to state only the scientific question.

4.2 _ Existing infrastructure

Specify the research institute(s)/department(s)/research group(s) where the research will physically take place. This information is used to determine whether the research can be realised at the research institute(s) mentioned.

The available infrastructure includes furnished laboratory space and necessary equipment.

4.3 _ Time plan and division of tasks

Describe the proposed research planning over the years. For each line of research, indicate the phasing and give a clear description of the step-by-step plan (subsidiary aims and/or ultimate aims) and the intended results. If different lines of research are dependent on each other, indicate this. A schematic representation of the research planning is compulsory. The overall duration of the research plan may not exceed six years.

5. _ Utilisation plan

► The utilisation plan must be clear to people without specific prior knowledge. Give sufficient details to enable referees and jury members to assess at what point any potential application outside science may be possible.

5.1 _ The problem and the proposed solution

- _ Describe the problem that you propose to solve and indicate for whom it is a problem. Indicate the social and economic consequences while the problem remains unresolved.
- _ Describe how the intended research results contribute towards solving the problem.
- _ Indicate how long after the start of the research it will be before the intended research results lead to an entirely new method or new product, process or service. Describe the market for this. This relates to non-scientific applications.
- _ STW regards the development of open-source software code not as utilisation but as publication. It may, however, benefit utilisation in certain cases. The utilisation plan should indicate how the promotion of utilisation can be achieved.
- _ Indicate whether the research results can be incorporated into standards or norms. If so, describe.

5.2 _ Potential users

State the contact details (name of organisation/company and person to contact, address, telephone number, e-mail address) of compa-

nies and institutes wishing to participate in the user committee. Indicate the step-by-step plan you intend to use to ensure that the results of the research are effectively applied by users. If third parties are necessary in the course of the project, it is important that they have pledged their cooperation.

Also state whether users have already undertaken to accept an invitation to join the user committee or to cooperate in another way. If users have pledged a contribution to the project, give a brief description here. The co-funding with respect to the budget is substantiated below in point 8.5.

Notes

Users of research are defined as natural or legal persons (at national or international level) who are able to apply the results of the research. A distinction is sometimes drawn between direct users of the knowledge generated, usually companies, and end users, who buy the products from those companies. Both have a role to play in the innovation chain and must be referred to in the utilisation plan. After the research proposal has been awarded, a minimum of four users should sit on the user committee and at least 50% of the users should be from industry. STW may allow an exception to this rule, for example if one user makes a very significant contribution to the proposed project (see STW's General Funding Conditions at www.stw.nl). Research proposals from a medical faculty or university medical centre should have potential users, just like other proposals. At least one of the users should be a company. It is not sufficient in this case to state merely 'the patient' or 'a clinic'. The final composition of the user committee is subject to the same conditions as other OTP projects.

5.3 _ Past performance

Indicate whether the research team has achieved successful utilisation in the past. Indicate whether scientific results have been commercially utilised. Indicate whether the applications were achieved in an STW context or otherwise.

6. _ Intellectual property

► State all information relevant to the research proposal in relation to STW's IP policy. Providing the requested information is compulsory.

Notes

STW should be aware in advance of any obstacles to the free use or exploitation of results. If it emerges that there are any obstacles to the implementation of STW's IP policy, STW will impose additional conditions. If it emerges during the course of the project that the project leader has omitted to notify such relevant information, STW may suspend the project until the obstacles have been removed. STW may request access to contracts and/or patents in this respect. Contracts must not conflict with STW's IP policy. If it emerges that STW cannot have free access to the results of the STW research, STW may decide not to award or to discontinue the project.

6.1 _ Contracts

State whether there are any existing contracts (including material transfer agreements, licences, cooperation agreements) with third parties in relation to the subject of the research.

6.2 _ Patents

Give a summary of patents held and/or patent applications made by intended parties to the project in the field of the research proposal. Indicate whether the patents and/or patent applications are in the name of the research institute(s) involved or in the name of third parties. If the research institutes involved have relevant patents, indicate whether agreements have been reached in this respect with third parties. Indicate whether there are any patents and/or patent applications which obstruct the utilisation of the intended research results. If such an obstacle exists, explain whether there is still sufficient likelihood of protecting the intended research results by means of a patent. If the patenting of research results is not expedient, explain why not.

7. _ Positioning of the project proposal

► Describe the extent to which the research proposal differs from ongoing research initiatives. Consider both the national and the international context. Also state the relevant collaborations with other national or international research groups.

7.1 _ Uniqueness of the proposed project

Indicate what it is that makes the research proposal original and innovative.

7.2 _ Embedding of the proposed project

Provide further information on the embedding of the research plan described here within ongoing initiatives of the research group and/or section.

Indicate whether the research proposal is part of or related to a research programme in which the applicant or applicants' research institute is participating. If so, indicate the research programme in question.

7.3 _ Request for support elsewhere

State whether funding has been requested elsewhere for this research proposal or parts thereof. If so, indicate the grant provider(s) in question and the status of that application or those applications at the time of submission to STW.

Notes

If, after the project has been approved, it emerges that financial support has been pledged or given by another party without STW's knowledge, this may lead to an adjustment of the amount of funding or to the withdrawal of funding.

8. _ Financial planning

► Justify the need for both the personnel credits requested and the necessary materials and investments in equipment.

Notes

STW reimburses the salary costs of temporary personnel, costs of materials (consumables, small instruments and aids), travel expenses and investment costs (expensive equipment) provided these are directly attributable to the STW project.

8.1 _ Personnel positions

State the necessary temporary personnel positions. Temporary personnel positions can be requested for:

- _ PhD student
- _ postdoc (PD)
- _ PDEng trainee
- _ other SP (scientific personnel, including additional researcher, holders of a masters degree, medical graduates)
- _ NSP (non-scientific personnel, including technical assistant)
- _ Casimir candidate

Notes on temporary personnel positions

Temporary personnel positions can be requested for up to four years in the case of a full-time appointment. State the job group, the length of the appointment, the part-time percentage and the associated amount. For each position, STW uses a predetermined fixed maximum rate per year of appointment (see www.stw.nl/Infobalie). In determining these rates, STW adopts the rates laid down in the most recent 'akkoord overlaten werkgeverschap NWO/VSNU', with no supplement for the risk of unemployment. Under this agreement, the personnel rates for the positions are determined annually after agreement on the long-range forecast for personnel rates. The rates which apply at the time of award are maintained for the duration of the STW project. If the personnel rates are changed during the evaluation procedure, STW will apply the new rates at the time of award. This does not affect the level of the compulsory contribution from users.

Personnel appointed to additional personnel positions during the course of the project (e.g. in the event of continuation or extension) are subject to the rates which apply at that time.

For postdoc, scientific personnel and non-scientific personnel positions, STW does not accept liability under the Dutch Unemployment Insurance Act if the term of appointment is less than 12 months and/or the candidate has more than 1 year's relevant work experience in a previous, similar appointment.

The research institute appoints the personnel and bears the customary responsibilities of an employer.

conduct the proposed research. STW accepts no liability under the Dutch Unemployment Insurance Act in this case.

Notes on secondment

Temporary researchers are appointed to the research institute where the research is to be realised. Because STW imposes the condition that the majority of knowledge development must take place at the research institute, the secondment of university researchers to a company or other research institute is permitted only for a limited period, i.e. up to 50% of the extent of the appointment. This requires written permission from STW in advance. In view of STW's IP policy, a secondment agreement shall be concluded.

Notes on PDEng trainee

A temporary personnel position can be requested for a PDEng trainee (Professional Doctorate in Engineering). This position should be applied for within a larger research context (1 or more other scientific personnel positions). The PDEng trainee is employed by the institute submitting the application and for a fixed period of time can perform certain tasks within the research project at a company (on a secondment basis).

The PDEng position is subject to the following conditions:

- _ In the research plan and the utilisation section the embedding of the PDEng position should be described and/or the underlying Technological Designer Programme.
- _ Assuming a full-time appointment, a maximum duration of 2 years applies.
- _ The personnel rate for a PhD (first 24 months) applies to a PDEng position. The personnel costs are included in the personnel credit.
- _ For the PDEng position, material and/or travel credit can be applied for as part of the standard credit.
- _ The secondment to the company concerned is for a maximum of 50% of the duration of the appointment.
- _ The contribution from the company concerned to the PDEng position is k€ 50 (assuming 1 fte for 24 months). This contribution should be entered in the project budget as in cash cofinancing to be settled with STW.
- _ If the project is funded then a secondment agreement must be signed with the company concerned, in which the ownership of the results of the research that is carried

out at the company, remains with the institute submitting the application and STW in accordance with the IP policy of STW.

- _ STW can make agreements with the company concerned about acquiring an option right to results from the research. In the event that there are several users who also make substantial contributions to the research then STW will discuss with the company concerned and these other users what the possibilities are for a shared option or an option for part of the results.

Notes on Casimir candidate

One SP position can be filled by an academically trained R&D worker from a Dutch company or a company with a Dutch branch where R&D activities are carried out (100% private sector). The following conditions apply:

- _ Based on a full-time secondment, a 2-year time limit applies. The limit for PhD students is 3 years. Part-time secondment (at least 50%) is possible.
- _ The proposed candidate should have been working for the above-mentioned private sector employer for at least 1 year.
- _ The application should contain a brief description of the proposed candidate's work experience and expertise. On the basis of the necessary work experience of the relevant candidate, PhD work should be able to be completed within 3 man-years.
- _ In addition to the Casimir position, at least 1 other SP position must be requested with at least the same extent of appointment.
- _ The Casimir candidate should have access to the university infrastructure and the Casimir position should be an integral and necessary part of the proposed university research and serves the realisation of the project aims and utilisation. This should be described in the research plan.
- _ In relation to personnel costs for the Casimir position, the university can declare to STW the secondment costs actually paid to the company, up to the personnel rate for a postdoc position which applies for the relevant extent of appointment. These costs should be charged to the material credit for the project. STW accepts no liability under the Dutch Unemployment Insurance Act for the Casimir candidate.
- _ Material and/or travel credit can be requested for the Casimir candidate as

Notes on permanent staff

The salary or allowance paid to the applicant/co-applicant and the salary or allowance paid to others person with a permanent appointment or other permanent association with the institute where the research is to take place are not eligible for reimbursement. The only exception to this is the temporary appointment to a project of a technical assistant (NSP). It is possible to appoint an NSP worker in existing employment with the research institute at the standard NSP rates on a temporary basis at the expense of an STW project if that NSP worker has a specific particular expertise which is necessary in order to

- part of the regular credit to be requested.
- _ If the project is approved, a secondment agreement must be concluded in view of STW's IP policy.

8.2 _ Consumables

In accordance with the standards that apply within your research institute, specify the costs of consumables, small instruments and aids, and domestic travel expenses. The amounts stated in the budget here are exclusive of Dutch VAT.

Notes on Material credit

Costs which CAN be charged to material credit

- _ Materials which no longer have an economic value after use. This concerns consumables, small instruments and aids.
- _ Specified compound items. Fixed instalments or rates in particular (e.g. bench fees and fees for standard analyses) must be substantiated. Within the rates accepted by STW, only the consumables costs can be charged to STW.
- _ Personnel costs for Casimir position (see point 8.1 for notes).
- _ Costs of domestic travel.
- _ Costs of project-specific courses for STW researchers which are necessary for the conduct of the research.
- _ Posters for disseminating knowledge at conferences and symposia.
- _ Pre-clinical trials. A condition in this respect is that the project workers themselves are responsible for the majority of the work (e.g. sampling, analyses).

Costs which CANNOT be charged to material credit

- _ 'Miscellaneous' or 'unforeseen' items, unspecified bench fees.
- _ Patent costs. Where appropriate, STW will consider the extent to which it will bear such costs.
- _ Costs of publications or costs of purchasing books and/or journals.
- _ Costs of publications or books.
- _ Costs of printing a thesis. A separate reimbursement scheme exists for this (see www.stw.nl).
- _ Costs of general courses which form part of researchers' generic education and the generic education of a PhD student (e.g. English, presentation skills, literature searching).
- _ Costs of desktop computer, laptops, notebooks or similar for administrative purposes and costs for computer use.

- _ Generic software. STW assumes that generic software is available via campus licences.
- _ Costs associated with the use of computing facilities at SARA. If necessary, these costs can be requested from the NWO's National Computing Facilities (NCF) foundation in The Hague.
- _ Costs of using existing infrastructure (depreciation charges), salary costs of permanent personnel, accommodation costs, overheads and administrative and technical support, where these are part of the research institute's customary package of facilities.
- _ Costs (excluding material costs) of university facilities (e.g. glasshouse space, laboratory animal facilities, specialist research facilities).
- _ Clinical trials.

8.3 _ Travel abroad

State the costs of foreign travel. The foreign travel credit is intended to cover costs associated with participation in conferences and symposia in other countries. Extended visits may also be applied for.

Notes on short travel abroad

For temporary project workers, STW applies a maximum standard amount (2000 euro/year/fte) which can be claimed as short travel abroad. Foreign travel costs of applicants and co-applicants can also be claimed up to the maximum standard amounts, provided those costs are directly related to the conduct of the proposed research and a convincing argument is put forward in this respect. In principle, travel costs cannot be claimed for non-scientific personnel (NSP). If the sum claimed exceeds the maximum standard amount per year it cannot be accepted unless clear arguments are put forward on which STW and the referees can base their verdict.

Notes on exchange visits

Temporarily appointed project workers may carry out research at a foreign research institute for a limited period (up to six months) in the context of an STW project. A foreign researcher may also be temporarily appointed to an STW project; he or she visits the research institute and participates actively in the conduct of the project.

Conditions relating to foreign travel of up to six months' duration:

- _ STW must be aware of this type of foreign travel when considering the application, and it must form part of the research planning so that referees can include it in their review.
- _ A condition for an exchange is that the knowledge acquired as a result of the visit is not present, or is not sufficiently available, at the research institute where the research is being conducted. In the event of acceptance, STW verifies whether this actually results in a strengthening of the knowledge base for the project.
- _ STW reimburses the travel expenses, research costs and a standard amount for accommodation expenses. No (additional) salary costs are reimbursed. For the list of standard amounts for accommodation costs, see www.stw.nl/Infobalie/Aanvragers.htm.
- _ Any intellectual property matters are covered by a separate agreement (waiver/confidentiality) before travel takes place.

8.4 _ Investments

Specify the investment costs and give a detailed summary of the equipment required. Investments are defined as the use of durable scientific equipment in respect of which economic value is depreciated. Investment costs are entered in the budget exclusive of Dutch VAT.

Notes

- _ STW assumes that the research institute applies a tendering procedure for the purchase of durable equipment and takes account of government procurement guidelines.
- _ If second-hand equipment is purchased, the original bill must be submitted.
- _ STW may be asked to co-fund an item of equipment in proportion to its use. This should be put down in writing after the award.
- _ Computers belonging to scientific equipment and specific software used exclusively for the project may be claimed as investment.
- _ Computing capacity which demonstrably exceeds the normal capacity required for the research in question can be claimed as investment.
- _ The equipment is and remains the property of STW. After the end of the project the equipment remains at the research institute. Formal transfer of ownership of the equipment without

further payment is possible. A time limit of five years after purchase is applied in this respect.

- _ The research institute is responsible for the connection, operating costs and maintenance of the equipment purchased (service charges and repairs).
- _ STW distinguishes between operation of existing facilities within the research institute and investment in new facilities specifically for the purposes of an STW project. In the case of operating costs and small-scale investments, STW pays only the costs of consumables. These costs can be claimed as material credit. STW will however pay the full cost of capital goods supplied by internal services in those cases where a disproportionate burden is placed on the service in question, provided that a convincing argument is put forward in this respect. STW will be the judge of this.
- _ If, in the course of time, it emerges that the costs of the investments described in the proposal are lower than estimated, the remaining funds will revert to STW.
- _ STW may refuse expenditure not estimated in advance.

8.5 _ Contribution from users

State the financial, personnel and/or material co-funding made available by users for the purposes of the project. Information on the calculation of (compulsory) co-funding can be found in Appendix 2.

Notes on Criteria relating to co-funding

- _ STW uses the financial co-funding to cover part of the project costs. After a project is approved, STW sends an invoice to users who have pledged a financial contribution. Once the funds have been received, they are allocated to the project.
- _ STW accepts personnel input and material contributions as co-funding on the condition that these are capitalised and that they form an integral part of the project. This should be made clear in the description and planning/phasing of the research.
- _ STW is the main funder of the projects. Project applications where the co-funding from users exceeds the amount to be borne by STW will not be considered.
- _ STW assumes that providers of co-funding have an interest as users and therefore as appliers of the research results outside science. Co-funders always participate in the user committee.

- _ Government agencies can play various roles in STW projects, namely:
 - (1) as a research partner (without entitlement to STW funding),
 - (2) as a subcontractor of a specific assignment (at market rate) or
 - (3) as a user. Government agencies may act as users under the same conditions as private users.
- _ The co-funding to be provided by users must be confirmed in a letter of support. The letter of support should be in English. It should contain an explicit statement of the pledged financial or capitalised material or personnel contribution. The amounts stated in letters of support should agree with the amounts put forward in the budget.

Letters of support should be addressed to the project leader, not to STW. After the research proposal has been approved, STW will ask the user for confirmation of the co-funding ('confirmation of commitment by third parties') and, in relevant cases, lay down further arrangements in an agreement.

Notes on criteria relating to in-kind co-funding

- _ Part of the research may be conducted by third parties. A condition is that the expertise provided in the form of man-hours is not already available at the research institute(s) and is used specifically for the STW project. For personnel support by third parties, STW applies fixed rates in order to capitalise the number of man-hours used (up to 1250 direct hours/year/fte) for a senior or junior researcher. For the current rates, see www.stw.nl/Infobalie/Aanvragers.
- _ For pledges of material resources, charge the cost price. Commercial rates are not accepted. For pledges of equipment, take previous depreciation and intensity of use into account.
- _ Pledges in the form of supplies of services are possible only if the service can be itemised as an identifiable new endeavour. The service should not already be available at the research institute(s) realising the research.

Applicants may wish to claim services already supplied (such as a database, software or plant lines) as in-kind co-funding. Acceptance is not automatic in such cases. Contact STW about this. Further consultations will take place to decide whether a specific value can be determined for this supply of services.

NOT permissible as the co-funding

- _ STW guards against the improper mixing of funding sources: co-funding can never come from direct or indirect (NWO, KNAW) government funding. As a result, co-funding can also never come from the research institute of the (co-)applicant(s) or from institutes which are themselves eligible to apply to STW.
- _ Discounts on commercial rates.
- _ Costs relating to overheads, supervision, consultancy and/or participation in the user committee.
- _ Costs of services that are conditional. No conditions may be imposed on the provision of co-funding. Nor may the provision of co-funding be contingent upon reaching a certain stage in the research plan (e.g. go/no-go moment).
- _ Costs which are not paid by STW (e.g. clinical trials, costs relating to the exploitation of the research results).

8.6 _ Cost breakdown

Complete the Financial Planning (FP) form available at www.stw.nl, stating any financial contribution(s) and/or capitalised contribution(s). Make sure that the capitalised contributions in the budget and the letters of support agree. If a project is to be realised at more than one research institute, give a breakdown of the budget for each research institute on page 2 of the FP.

Notes for the completion of the form can be found in Appendix 3.

The form should be submitted together with the factsheet, as a separate appendix in PDF format.

Notes

Each research institute concludes a funding agreement with STW for its share of the budget.

It is not possible to break down the budget for each research group within a single research institute in view of the administrative burden on STW. A research proposal with a budget which does not comply with the necessary co-funding will not be considered.

8.7 _ Letters of support

As confirmation of the co-funding to be provided, attach the letters of endorsement and/or support (in English) to the factsheet as separate appendices in PDF format.

Notes

You can opt to add letters of endorsement, in which interested parties endorse the necessity of the research proposal. STW advises applicants to make sure that users particularly endorse the importance of the utilisation plan to their company's operations. If co-funding is provided by users, a letter of support is compulsory. Besides the importance of the research proposal to the organisation, these letters should explicitly state the pledged financial or capitalised material and/or personnel contribution. Letters of endorsement and support should be in English. Letters should be signed by an authorised signatory and printed on the co-funder's letter paper. For the purposes of submitting a research proposal, a copy or scan of the letter is sufficient. People and organisations who have given their endorsement or signed letters of support will not be approached by STW as referees (Code of Conduct on Conflicts of Interest).

9. _ References

9.1 _ Selection of key publications research group

State the key publications of the research group(s) in relation to the proposal. Also state any relevant published patents.

9.2_ List of publications cited

State the publications cited. Identify those in which members of the research group(s) submitting the application are involved, by the use of a bold font.

10. _ Abbreviations and acronyms

► It is important that both experts and jury members are able to read the proposal easily. Abbreviations and acronyms should therefore be explained at least once. This can be done in the text itself or in a separate list. Keep the use of abbreviations in summaries to a minimum.

Declaration and signing by the applicant

After completing the information requested (see Appendix 4) on the form 'Declaration and signing by the applicant', available at www.stw.nl/Infobalie, please sign the application as truthfully completed, on your own behalf and on that of the co-applicant(s). This form is a compulsory element of the application and should be submitted with the factsheet as a separate appendix in PDF format.

Finally

In the event of uncertainties or costs to be claimed which are not mentioned in this brochure, STW recommends that you contact the STW office before submitting the application.

Appendix 1

List of institutes eligible to submit applications under the Open Technology Programme

FOM-instituten

AMOLF	FOM Institute for Atomic and Molecular Physics
Rijnhuizen	FOM Institute for Plasma Physics Rijnhuizen
SAF/NIKHEF	FOM Institute for Subatomic Physics

NWO-instituten

ASTRON	Netherlands Institute for Radio Astronomy for Radio Astronomy
CWI	Centre for Mathematics and Computer Science
ING	Institute of Netherlands History
NIOZ	Royal Netherlands Institute for Sea Research
NSCR	Netherlands Institute for the Study of Crime and Law Enforcement
SRON	Netherlands Institute for Space Research

KNAW-instituten

CBS	Fungal Biodiversity Centre
ICIN	Interuniversity Cardiology Institute of the Netherlands
NCG	Netherlands Geodetic Commission
NIN	Netherlands Institute for Neuroscience
NIOB	Netherlands Institute for Developmental Biology
NIOO	Netherlands Institute of Ecology
NKI	Netherlands Cancer Institute

Appendix 2

Co-funding of large projects under the Open Technology Programme

If the total project costs (necessary financial resources plus in-kind contributions) exceed 500,000 euro, co-funding by users is compulsory. It amounts to 25% of the sum in excess of 500,000 euro.

Co-funding can consist of financial and/or in-kind contributions.

Financial contributions are used to cover part of the project costs and so, together with the contribution from STW, constitute the necessary financial resources.

In-kind contributions means capitalised personnel and/or material contributions from users.

The maximum STW contribution is 750,000 euro per project. In the case of projects of an investment nature (> 250,000 euro in equipment), the maximum STW contribution is 1 million euro.

Examples of funding calculations for research proposals under the Open Technology Programme

_ Suppose you are applying for a project with total project costs of 340,000 euro. No co-funding is required in this case.

_ Suppose you are submitting an application with total project costs of 650,000 euro (650,000 euro in necessary financial resources + 0 euro in in-kind contribution). The co-funding required is 25% of 150,000 = 37,500 euro. You have 40,000 euro in pledged financial contributions from users. You therefore meet the requirements. If the project is approved STW will allocate 610,000 euro (STW contribution).

_ Suppose you are submitting an application with total project costs of 650,000 euro (610,000 euro in necessary financial resources + 40,000 euro in in-kind contribution). The co-funding required is 25% of 150,000 = 37,500 euro. You have an in-kind contribution of 40,000 euro. You therefore meet the requirements. If the project is approved STW will allocate 610,000 euro (STW contribution).

_ Suppose you are submitting an application with total project costs of 650,000 euro (620,000 euro in necessary financial resources + 30,000 euro in in-kind contribution). The co-funding required is 25% of 150,000 = 37,500 euro.

NB: If anything is unclear we recommend that you contact the STW office in advance.

You have a financial contribution of 10,000 euro and an in-kind contribution of 30,000 euro. You therefore meet the requirements. If the project is approved STW will allocate 610,000 euro (STW contribution).

Appendix 3

Notes for the completion of an FP form (Financial Planning; Excel file). The FP form should be submitted with the factsheet, as a separate appendix in PDF format.

Notes

- _ Personnel credits are entered per establishment post. Enter the total costs for years 1, 2 and 3, and the total costs for year 4 and subsequent years. The personnel credit is initially awarded for up to three years. STW reserves any remaining funds for the continuation after two years. For each person, enter a training place number, a personnel category, the extent of the appointment, the number of months and the accompanying rate (page 3). Check that you have the most recent personnel rates. The rates are set as from 1 July each year but may be adjusted in the interim.
- _ When calculating the amount, take into account the extent of the appointment (the personnel rates are based on 1 fte) and the year of appointment (start in month 13 is rate from month 13).

NB: In view of their salary structure, PhD students are always appointed at the rate from month 1.

- _ Material credit and investment credit are entered exclusive of Dutch VAT.
- _ Material credit, foreign travel credit and investment credit are entered as a total for years 1 and 2, and as a total for year 3 and subsequent years. These credits are awarded for up to two years initially. STW reserves any remaining funds for the continuation after two years.
- _ The personnel credit, material credit, foreign travel credit and investment credit combined, constitute the total necessary financial resources.
- _ In the case of co-funding in kind, enter the official name of the co-funder, a brief description of the material and/or personnel contribution and the capitalised amount. This co-funding is not included in the four credits mentioned above, but does count towards the total project costs.

Appendix 4

- In the case of co-funding in cash, enter the official name of the co-funder and the amount pledged by the co-funder. This amount should be entered as a negative amount.

These financial contributions are used by STW to cover part of the project costs. STW collects the financial contribution and then allocates it to the project.

- All co-funding requires a letter of support in English from the co-funder, stating the amount pledged.
- Research proposals with budgets that do not meet the compulsory co-funding requirement (graduated scale) are not considered.
- Budget splitting (page 2) is possible only if the application is submitted by more than one research institute.

Indicate how the different credits are to be split between the different institutes. For establishment posts, the corresponding number on page 1 is sufficient here. Also indicate how the co-funding in cash is to be split between the different institutes.

- Unallocated credits cease to apply at the end of the project.

Specimen form 'Declaration and signing by the applicant'. This form should be submitted with the factsheet as a separate appendix in PDF format.

Declaration and signing by the applicant:

All applicants and co-applicants satisfy the criteria relating to 'Who can act as main or co-applicant?'

All compulsory letters of support are attached (separate appendices in PDF format).

The 'Financial Planning' form is attached (separate appendix in PDF format).

Where applicable: Funding has been requested for (parts of) this research proposal from another funding provider (other than indicated potential users).

Where applicable: I agree to comply with the Code on Openness in Animal Testing. *

I hereby declare that I have truthfully and completed and signed the application, including the answers to the following questions, and that I have also done this on behalf of the co-applicants.

Surname and initials:

Place:

Date:

In relation to STW's Intellectual Property Policy, please answer the following questions. Please provide a brief explanation where necessary.

- Are there any applicants or co-applicants who are involved in one of the indicated users or in parties to which paid or unpaid work is to be tendered? Yes/no If so, state the nature of the involvement (appointment, advisor, member of (governing) board, etc.).
- The knowledge generated in the project will be jointly owned by the research institute(s) and STW. Are the intended user committee members who shall provide co-funding aware of this? yes/no
- Are the users aware of the final version of the research proposal, of each other's involvement and any positions with regard to intellectual property? yes/no

- Are there already any verbal or contractual agreements between (one of the) users and the research institute(s) submitting the application? yes/no
- Are there any users who wish to enter into contractual agreements at the time when the project is awarded? yes/no
- Are any materials or methods/technologies/software of third parties used which are subject to restrictions or commercial secrecy? yes/no
- Are any materials or methods/technologies/software of third parties used which were obtained through the signing of a material transfer agreement? yes/no
If so, which conditions are imposed on their use?
- Are there any relevant patents/patent applications on the part of the research groups involved and/or potential users? yes/no
- Are there any relevant patents on the part of parties not involved in the project application which might obstruct the utilisation? yes/no

* If the project involves animal experimentation, the applicants declare that they agree to comply with the 'Code on Openness in Animal Testing', as drawn up by the KNAW, VSNU and NFU (April 2008)

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