



Applied and Engineering Sciences

'Connecting Innovators'

Call for proposals

Open Technology Programme

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

applicable from

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The original Dutch text is the leading document

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Netherlands Organisation for Scientific Research

NWO domain Applied and Engineering Sciences

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1. Introduction

This brochure explains the objectives and working methods of NWO domain Applied and Engineering Sciences (NWO-domein Toegepaste en Technische Wetenschappen, TTW). It details the conditions governing proposals submitted to NWO domain TTW for the funding of scientific research under the Open Technology Programme.

NWO domain TTW is part of the Netherlands Organisation for Scientific Research (NWO; see also www.nwo.nl). As such, NWO domain TTW provides indirect government funding.

Before submitting your application electronically via ISAAC, NWO domain TTW recommends that you visit its website (www.ttw.nwo.nl) to check that you have the latest version of this brochure, and that you read the guidelines carefully.

2. Aim NWO domain Applied and Engineering Sciences

2.1 NWO domain TTW's mission

NWO domain TTW connects people and resources to develop science-wide technology and technological knowledge, which contributes to the creation of economic value and solving societal challenges.

NWO domain TTW does so:

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

2.2 Utilisation

TTW-funded research generates valuable knowledge. In addition to excellent science, NWO domain TTW aims to promote the application of knowledge. The term used by NWO domain TTW 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, NWO domain TTW sets up a user committee for every project.

NWO domain TTW expects applicants and users to actively collaborate towards promoting utilisation and towards NWO domain TTW's objective of transferring knowledge to users. Users, user committees and intellectual property play a crucial role in utilisation. See the 'Notes on Users, co-funding and letters of support' later in this brochure and the brochure 'Guidelines Users' Committee NWO domain TTW' on TTW's website www.ttw.nwo.nl.

3. Objective of the programme

The Open Technology Programme focuses on scientific and technical research and is characterised by an absence of disciplinary boundaries. NWO domain TTW's Open Technology Programme shares the aim of realising knowledge transfer between technical sciences and users.

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.

3.1 Programme budget

The Open Technology Programme has a budget of up to 23.2 million euro (inclusive of Dutch VAT) for the year 2017. In the case of an equal distribution across the number of jury chambers then for 7 jury chambers this means an amount of 2.78 million euros per jury chamber.

In 2016, around 30 percent of applications under the Open Technology Programme were successful. In practice, unfortunately, the available budget will not be sufficient to fund every proposal of good quality.

NWO domain TTW is financed by the Ministry of Education, Culture and Science -via the NWO-budget- and the Ministry of Economic Affairs.

3.2 Project budget

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

3.3 NWO Grant Rules 2017 and Intellectual property (IP) policy

The NWO Grant Rules 2017 and the Guidelines Users' Committee NWO domain TTW 2017 (see the brochures on www.ttw.nwo.nl) are applicable to this programme (see also 'Notes on Intellectual Property policy & Publication arrangements' later in this brochure).

4. Specific requirements to the programme

4.1 Co-funding criteria

If the total project costs 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. Calculation examples for the requirement co-financing can be found in Appendix 1.

Definitions

- Total project costs: necessary financial resources plus in-kind contributions.
- Financial contribution: Financial contributions are used to cover part of the project costs and so, together with the contribution from NWO domain TTW, constitute the necessary financial resources.
- In kind contributions: In-kind contributions means capitalised personnel and/or material contributions from users.

4.2 Duration of the programme

Projects under the Open Technology Programme have a maximum duration of six years.

4.3 Resubmitting research proposals

Research proposals that were rejected in a previous STW or TTW 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. NWO domain TTW 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.

4.4 Data management

Responsible data management is part of good research. NWO wants research data that emerge from publicly funded research to become freely and sustainably available, as much as possible, for reuse by other researchers. Furthermore NWO wants to raise awareness among researchers about the importance of responsible data management. Proposals should therefore satisfy the data management protocol of NWO. This protocol consists of two steps:

1. Data management section

The data management section is part of the research proposal. Researchers should answer four questions about data management within their intended research project. Therefore before the research starts the researcher will be asked to think about how the data collected must be ordered and categorised so that it can be made freely available. Measures will often need to be taken during the production and analysis of the data to make their later storage and dissemination possible. Researchers can state which research data they consider to be relevant for storage and reuse.

2. Data management plan

After a proposal has been awarded funding the researcher should elaborate the data management section into a data management plan. The plan should be submitted to NWO via ISAAC within a maximum of 4 months after the proposal has been awarded funding. NWO domain TTW will approve the plan as quickly as possible. Approval of the data management plan by NWO domain TTW is a condition for disbursement of the funding. The plan can be adjusted during the research.

Further information about the data management protocol of NWO can be found at www.nwo.nl/datamanagement.

4.5 Nagoya Protocol

The Nagoya Protocol became effective on 12 October 2014 and ensures an honest and reasonable distribution of benefits emerging from the use of genetic resources (Access and Benefit Sharing; ABS). Researchers who make use of genetic sources from the Netherlands or abroad for their research should familiarise themselves with the Nagoya Protocol (www.absfocalpoint.nl). NWO assumes that researchers will take all necessary actions with respect to the Nagoya Protocol.

5. Assessment procedure

5.1 Deadline for submission of applications and processing period

There is no deadline for submitting applications under NWO domain TTW's Open Technology Programme: research proposals can be submitted on a continuous basis.

If the application fulfils the formal requirements, NWO domain TTW will consider the research proposal. NWO domain TTW 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.

5.2 Formal requirements

NWO domain TTW 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, NWO domain TTW 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 NWO domain TTW'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.

5.3 Assessment by referees

NWO domain TTW submits the research proposal to a number of national and international experts in the relevant specialist area (peer review). 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.ttw.nwo.nl). NWO domain TTW recommends that applicants anticipate these questions in the research proposal. The number of referees consulted by NWO domain TTW 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, NWO domain TTW aims to have the research proposal assessed by three to five referees.

NWO domain TTW does not use a non-referee list, which allows certain referees to be excluded in advance. However, the applicant(s) may ask NWO domain TTW to exclude up to two people or

organisations from acting as referees. NWO domain TTW will grant this request only if the provision of information from the research proposal to that referee might obstruct the utilisation.

5.4 Applicants' rebuttal

In ISAAC the individual referees' reports, anonymised and if necessary paraphrased, are combined. NWO domain TTW requests the main applicant to respond in ISAAC to the referees' comments (rebuttal). The combined referees' reports and the rebuttal from the applicant(s) are used by the jury members in arriving at their assessment.

5.5 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, NWO domain TTW puts together a new independent multidisciplinary 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 per 5 years.

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 data management section in the application is not evaluated and hence not included in the decision about whether or not to award funding. However both the referees and the committee can issue advice with respect to the data management section.

The TTW 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 and any additional policy considerations. The TTW Board does not assess the scientific content of the research proposals. In practice, unfortunately, the available budget will not be sufficient to fund every proposal of good quality.

The TTW 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.

5.6 NWO Code of Conduct on Conflicts of Interest

NWO domain TTW 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, NWO domain TTW uses 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 NWO officers.

The full text of the NWO Code of Conduct on Conflicts of Interest is available at:

<http://www.nwo.nl/en/about-nwo/governance>.

6. After award

(see also the NWO Grant Rules 2017 at www.ttw.nwo.nl)

6.1 After awarding

The main applicant becomes the project leader. In projects with various knowledge institutions as applicants, subproject leaders need to be appointed for the various parts of the project. The knowledge institution of the main applicant is the main beneficiary and the official secretary. The knowledge institution of the main applicant concludes a financial agreement with NWO. If the proposal is awarded funding then the main applicant's knowledge institution receives an award letter with appendices. This sets out the legal and financial conditions of funding and should be signed for approval by the knowledge institution. The (sub)project leaders and beneficiaries are jointly responsible for the realisation of the entire project.

6.2 Data management plan

After a proposal has been awarded funding the project leader should elaborate the data management section into a data management plan. Project leaders can make use of the advice from the referees and committee when they write the data management plan. The plan should be submitted to NWO via ISAAC within a maximum of 4 months after the proposal has been awarded funding. NWO domain TTW will approve the plan as quickly as possible. Approval of the data management plan by NWO domain TTW is a condition for disbursement of the funding. The plan can be adjusted during the research.

6.3 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 NWO domain TTW 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 NWO domain TTW. Without such written permission, potential financial risks are borne by the applicant(s). The starting date / commencement 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. **The project should start within 12 months of being awarded funding.**

6.4. Changes to project plan and/or budget

Each substantial deviation from and/or change to the project plan awarded funding by NWO requires NWO's prior consent. This also applies to changes in the composition of the personnel detailed in the project plan and/or hours for which the personnel are deployed on the project and/or a change of project leader. The separate budget categories in the funding/granting decision and/or the approved budgets, are maximum amounts (see NWO Regulation on Grants 2017 for further details).

6.5 User committees

NWO domain TTW ensures that the knowledge generated by the research is practically and effectively transferred to users by consulting with the project leader of each research project to set up a user committee on the basis of the users proposed in the project plan.

The members of the user committee are formally invited by NWO domain TTW to sit on the user committee. Those participating in the user committee commit themselves to the conditions included in the Guidelines Users' Committee NWO domain TTW. See the 'Notes on Users, co-funding and letters of support' later in this brochure and the brochure 'Guidelines Users' Committee NWO domain TTW' on www.ttw.nwo.nl.

6.6 Reporting

The project leader reports on the progress of the project at least once a year, in writing, and the user committee then meets to discuss the progress made. As an exception – to be decided by NWO domain TTW – 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.

6.7 Publication and Confidentiality

The results of the project are confidential until NWO domain TTW has given permission for publication. Arrangements made between the project partners in terms of IP and publication (for further information, see below under 'Notes on Intellectual Property & publication arrangements') will be upheld provided that they have been approved by NWO domain TTW.

A publication is the disclosure of results by any means, with the exception of disclosure resulting from a patent or patent application.

6.8 Open Access

All scientific publications resulting from research that is funded by grants derived from this call for proposals and approved by the user committee are to be immediately (at the time of publication) freely accessible worldwide (Open Access). There are several ways for researchers to publish Open Access. A detailed explanation regarding Open Access can be found on www.nwo.nl/openscience-en.

6.9 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 NWO domain TTW 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.

6.10 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 NWO domain TTW 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 NWO domain TTW's utilisation report. NWO domain TTW publishes an annual utilisation report giving progress updates 5 and 10 years after the start of a project.

6.11 Discontinuation

NWO may discontinue a project before the official termination date if the obligations and/or NWO Grant Rules 2017 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.

7. Drawing up and submitting the research proposal

7.1 ISAAC

An application can only be submitted to TTW/NWO via the online application system ISAAC.

Applications not submitted via ISAAC will not be considered. A principal applicant must submit his/her application via his/her own ISAAC account. If the principal applicant does not have an ISAAC account yet, then this should be created at least one day before the application is submitted to ensure that any registration problems can be resolved on time. If the principal applicant already has an NWO-account, then he/she does not need to create a new account to submit an application.

Submitting an application consists of two steps:

1. Entering several additional details online in ISAAC.
Make sure you allow enough time for this!
2. Submitting the application form
 - a.** Download the application form from the electronic application system ISAAC or from NWO domain TTW's website (on the grant page for this programme).
 - b.** Complete the application form.
 - c.** Save the application form as a pdf file and upload it in ISAAC.

Appendices

Accompanying appendices should be submitted separately in PDF format (without protection). The application form together with appendices is regarded as the research proposal.

Required appendices:

- Form 'Financial planning'
- Form 'Declaration and signing by the applicant'
- Form 'Data management section'
- Letters of support (confirmation co-funding; as 1 combined PDF)
- Written confirmation of tenure track position of an applicant, if applicable

Technical questions about the use of ISAAC

For technical questions about the use of ISAAC please contact the ISAAC helpdesk, see section 'Further Information'.

7.2 Format

The proposal should not exceed twelve pages in A4 format (minimum Verdana 8.5 point or similar font), excluding references and required appendices. Additional supplementary information is not allowed. 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.

8. Who can apply?

8.1 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 (associate supervisor and/or daily supervision of researchers appointed to the project) in the realisation of the project and may be designated as sub-project leaders in the event of several participating research institutes.

8.2 Who can act as main and co-applicants?

- Assistant, associate and full professors (or with comparable positions) with a tenured position at:
 - Dutch universities
 - University Medical Centres
 - Prinses Máxima Centre
 - KNAW and NWO-institutes
 - the Netherlands Cancer Institute (NKI)
 - the Max Planck Institute for Psycholinguistics in Nijmegen
 - Dubble beamline at the ESRF in Grenoble
 - NCB Naturalis
 - Advanced Research Centre for NanoLithography (ARCNL)
- Researchers with a tenure track appointment. NWO domain TTW 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 by an official letter from the university and funded from structural resources. NWO domain TTW will verify that the appointment meets these conditions and that it is guaranteed for the term of the project.

8.3 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 NWO domain TTW 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 NWO and the research institute(s).

8.4 Who cannot apply? (Applies to main and co-applicants)

- 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
- Personnel of private parties

9. What can be applied?

9.1 Project-specific costs

NWO domain TTW funds project-specific costs of:

1. personnel temporarily appointed to the project at the research institute,
2. materials (consumables, small instruments and aids, and domestic travel expenses),
3. foreign travel,
4. equipment (durable scientific equipment in respect of which economic value is depreciated).

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 NWO domain TTW funding, such as TNO or a foreign university, the non-eligible institutes are responsible for their own costs.

9.1.1 Notes on costs of personnel temporarily appointed to the project at the research institute

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

9.1.1.a 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, NWO domain TTW uses a predetermined fixed maximum rate per year of appointment (see www.ttw.nwo.nl). In determining these rates, NWO domain TTW 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 TTW project. If the personnel rates are changed during the evaluation procedure, NWO domain TTW 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, NWO domain TTW 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.

9.1.1.b 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. Exceptions to this are the temporary appointment to a project of 1) a technical assistant (NSP) or 2) a scientist with an 'appointment on a project basis'. An NSP with an existing employment contract at the research institute can temporarily be appointed against the standard NSP rates at the expense of a TTW project, if this NSP has a specific special expertise that is necessary for realising the research proposed. A scientist with an 'appointment on a project basis' at the research institute can temporarily be appointed against the standard scientific personnel rates at the expense of a TTW project. The scientist concerned may not be registered as an applicant or co-applicant at TTW/NWO. NWO domain TTW accepts no liability under the Dutch Unemployment Insurance Act in this case.

9.1.1.c Notes on secondment

Temporary researchers are appointed to the research institute where the research is to be realised. Because NWO domain TTW 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 NWO domain TTW in advance. A secondment agreement shall be concluded.

Where the need arises, an applicant can submit a reasoned request to the TTW office to grant leniency with regard to the 50% limit. Criteria for this are 1) there must be a need to use the infrastructure of the external party, 2) there must be a sufficient academic environment present at the external party for interaction with and supervision of the researcher and 3) the project leader and/or supervisor of the researcher must also be present at the external location concerned for some of their time.

9.1.1.d Notes on PDEng trainee

A temporary personnel position can be requested for a PDEng trainee (certified training 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 an industrial partner (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 contribution of the industrial partner(s) involved to the PDEng position can be entered as co-financing; to be settled in cash with NWO domain TTW or in kind if the amount is settled via the institution.
- If the project is funded then a secondment agreement must be signed with the industrial partner concerned.

9.1.1.e 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 (tenured or temporary appointment).
- 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 NWO domain TTW 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. NWO domain TTW 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 part of the regular credit to be requested.
- If the project is funded then a secondment agreement must be signed with the company concerned.

9.1.2 Notes on costs of materials and domestic travel

NWO domain TTW funds consumables, small instruments and aids, and domestic travel expenses. The amounts entered in the budget are inclusive of Dutch VAT.

9.1.2.a 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 NWO domain TTW, only the consumables costs can be charged to NWO domain TTW.
- Personnel costs for Casimir position (see point 8.1 for notes).
- Costs of domestic travel.
- Costs of project-specific courses for NWO domain TTW 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 for the use of cleanrooms insofar as these fall under the cleanroom regulation (see www.ttw.nwo.nl).
- Costs for research activities executed by dedicated specialists employed at research institutions not eligible for NWO funding can be limitedly reimbursed. **Please contact the TTW office.**

Costs which **CANNOT** be charged to material credit:

- 'Miscellaneous' or 'unforeseen' items, unspecified bench fees.
- Patent costs. Where appropriate, NWO domain TTW 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.ttw.nwo.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, laboratory animal science, use of isotopes).
- Costs of desktop computer, laptops, notebooks or similar for administrative purposes (text and data processing) and costs for computer use.
- Generic software. NWO domain TTW assumes that generic software is available via campus licences.
- Costs associated with the use of computing facilities at SURFsara. If necessary, these costs can be requested from the Netherlands eScience Center (NLeSC) in Amsterdam.
- 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 and cleanroom regulation) of university facilities (e.g. glasshouse space, laboratory animal facilities, specialist research facilities).
- Clinical trials.

9.1.3 Notes on 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.

9.1.3.a Notes on short travel abroad

For temporary project workers (requested personnel positions) NWO domain TTW applies a maximum standard amount (2000 euro/year/fte; based on economy class) which can be claimed as short travel abroad. Foreign travel costs of applicants and co-applicants can also be claimed up to a joint maximum of 6000 euro per project, provided those costs are directly related to the conduct of the proposed research. 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 NWO domain TTW and the referees can base their verdict.

9.1.3.b 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 a TTW project. A foreign researcher may also be temporarily appointed to a TTW 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:

- NWO domain TTW 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, NWO domain TTW verifies whether this actually results in a strengthening of the knowledge base for the project.
- NWO domain TTW reimburses the travel expenses (based on economy class), research costs and a standard amount for accommodation expenses. No (additional) salary costs are reimbursed.
- Any intellectual property matters are covered by a separate agreement (waiver/confidentiality) before travel takes place.

9.1.4 Notes on costs of investments

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 inclusive of Dutch VAT.

9.1.4.a Notes on investments

- NWO domain TTW 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.
- NWO domain TTW 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.
- The research institute is responsible for the connection, operating costs and maintenance of the equipment purchased (service charges and repairs).
- NWO domain TTW distinguishes between operation of existing facilities within the research institute and investment in new facilities specifically for the purposes of a TTW project. In the case of operating costs and small-scale investments, NWO domain TTW pays only the costs of consumables. These costs can be claimed as material credit. NWO domain TTW 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. NWO domain TTW will be the judge of this.
- 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.
- 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 NWO domain TTW.
- NWO domain TTW may refuse expenditure not estimated in advance.

10. Notes on Users, co-funding and letters of support

10.1 Users

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. It is NWO domain TTW'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.

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. 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 TTW projects.

10.2 Co-funding

See 'programme-specific criteria'

10.2.1 Notes on Criteria relating to co-funding

- NWO domain TTW uses the financial co-funding to cover part of the project costs. After a project is approved, NWO domain TTW sends an invoice to users who have pledged a financial contribution. Once the funds have been received, they are allocated to the project.
- NWO domain TTW 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.
- NWO domain TTW is the main funder of the projects. Project applications where the co-funding from users exceeds the amount to be borne by NWO domain TTW will not be considered.
- NWO domain TTW assumes that providers of co-funding have an interest as users and therefore as applicers of the research results outside science. Co-funders always participate in the user committee.
- Government agencies can play various roles in TTW projects, namely: (1) as a research partner (without entitlement to TTW 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. These letters must explicitly state: 1) the importance of the research proposal for the organisation, 2) the importance of the utilisation plan for the organisation's operations, 3) the pledged financial and/or the specified capitalised material and/or personnel contribution(s), and 4) whether the user intends (i) to allow NWO domain TTW to take the lead in making IP arrangements in accordance with NWO domain TTW's current IP policy or (ii) to make its own arrangements with the knowledge institution(s) and user(s) concerned. See also the requirements under 'Letters of support' and the 'Notes on Intellectual Property & Publication arrangements' later in this brochure.

10.2.2 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 TTW project. For personnel support by third parties, NWO domain TTW applies fixed rates in order to capitalise the number of man-hours used (up to 1400 direct hours/year/fte) for a senior or junior researcher. For the current rates, see www.ttw.nwo.nl.

- 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 NWO domain TTW about this. Further consultations will take place to decide whether a specific value can be determined for this supply of services.

10.2.3 NOT permissible as the co-funding

- NWO domain TTW 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 NWO domain TTW.
- Discounts on (commercial) rates for materials, equipment and/or services, for example.
- 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 NWO domain TTW (e.g. clinical trials, costs relating to the exploitation of the research results, service costs equipment).
- Costs of equipment if one of the (main) aims of the research proposal is to improve this equipment or to create added value for it.

10.3 Letters of support

A letter of support is obligatory if co-funding is provided by the users. NWO domain TTW advises applicants to ensure that the users pay particular attention to endorsing the importance of the utilisation plan for their operations. The letter of support should satisfy the following requirements.

10.3.1 A. General requirements

- Letters of support must be printed on the letter paper of the co-funder.
- Letters of support are addressed to the project leader.
- Letters of support must be written in English.
- The address on the letter is complete and correct.
- Letters of support must be signed by an authorised signatory.
- The cash contribution stated in the letter is exclusive of Dutch VAT and paid to NWO domain TTW plus Dutch VAT (21%).

10.3.2 B. Specific requirements

- Brief description of the company and the core business (type of company, size, which service, products).
- A statement that the company is interested in and will commit itself to the research.
- An explanation as to why the answering of the research question is important to the company. How does this solution fit in their strategy?
- A brief explanation as to why this particular research group and research proposal are receiving support.
- What the company will contribute in concrete terms (incl. capitalisation) and why this fits in the research proposal/planning.
- Further specification of the in-kind support, both hours (number and/or tariff applied) and materials (numbers; cost price; tariff; percentage that can be attributed to the project, etc.).
- The company provides the contribution described without additional conditions.

10.3.3 C. Declaration and signing by the User

- The company states that it has read the proposal and signs for this.
- The company states that it will actively participate in the User Committee (UC) and signs for this.
- The company states that it agrees to the Guidelines Users' Committee NWO domain TTW and signs for this (see the brochure on www.ttw.nwo.nl)

Where applicable: The company states, and signs accordingly, that - contrary to the provisions of Part 3 'Intellectual property' of the Guidelines Users' Committee NWO domain TTW (see the brochure on www.ttw.nwo.nl)- it will make its own IP arrangements with all users and knowledge institutions concerned.

A template for a support letter can be found on NWO domain TTW's website (www.ttw.nwo.nl).

Letters of support are unconditional and do not contain any opt-out clauses!

The amounts stated in the letters of support must correspond with the amounts stated in the budget presented.

A copy or scan of the letter will suffice for the submission of a research proposal.

NWO domain TTW will not approach persons or organisations who have signed letters of support to act as referees (code of conduct on conflicts of interest).

After the research proposal has been awarded funding NWO domain TTW will request a confirmation of the co-funding ("confirmation obligation third parties") and in relevant cases will record any further arrangements in an agreement.

11 Notes on Intellectual Property policy (IP policy) & Publication arrangements

NWO domain TTW facilitates the transfer of knowledge between the technical sciences and users. In this process it is important that a responsible approach is taken with regard to research results in general, and patentable inventions and discoveries in particular. NWO domain TTW's aim is firstly to exploit and publish the results of research as widely as possible, whilst retaining the possibility to establish IP rights and to subsequently transfer these rights to user(s) or grant a licence to user(s) for these and, secondly, to stimulate collaboration between researchers and various external companies.

NWO domain TTW adheres to a set of rules concerning Intellectual Property (IP) that support NWO domain TTW's mission and are covered by NWO's IP policy.

NWO's IP policy can be found in chapter 4 of the NWO Grant Rules 2017. NWO's IP policy is in line with the '*Rules of Play for public-private collaboration*' as presented to the Lower House of the Dutch Parliament on 25 June 2013.

NWO domain TTW offers knowledge institutions the opportunity to make their own IP and Publication (IP&P) arrangements with the parties with which they cooperate. In this way, NWO domain TTW hopes to respond better to the wishes of the researchers and co-funders who are involved in TTW projects. It will continue to be possible to opt for the approach whereby NWO domain TTW takes the lead in making arrangements for IP and similar matters; in such cases, NWO domain TTW's Intellectual Property policy will be followed.

If knowledge institutions prefer to make their own arrangements, they must make this known - with the approval of the companies concerned - at the time the application is submitted, and have concluded the arrangements within three (3) months of receiving NWO domain TTW's approval for the project. The main applicant/project leader has the lead in these circumstances. The arrangements will subsequently be reviewed by NWO domain TTW to ensure they are compatible with four criteria that reflect the task and mission of NWO domain TTW.

11.1 Make choice known on submission

NWO domain TTW asks the party submitting the research proposal to indicate, in advance, which option has been chosen with regard to IP&P arrangements for the results of the research. The two options and the attendant implementing conditions are described in the table below.

NWO domain TTW takes the lead in making Intellectual Property and Publication* arrangements ('TTW IP&P arrangements')

- Part 3 of the 'Guidelines Users' Committee NWO domain TTW' on 'Intellectual Property' (see the brochure on www.ttw.nwo.nl) is applicable.

Access to foreground IP rights for private party or parties / consortium:

- 0-10% private contribution private party or parties: private party/parties have no automatic right
 - 11-30% private contribution private party or parties: private party, parties or consortia have right of option
 - 31-50% private contribution private party or parties: non-exclusive non-transferable commercial licence + right of option to exclusive right. Contribution towards patent costs can be required
 - Private parties can combine their contributions so as to achieve a more favourable ranking
 - Confidential information remains confidential
 - Results can always be published but publication may be suspended for a maximum of 9 months in connection with the protection (patent) of the results
- Agreements must be confirmed in writing within six months of the project being awarded

Further information on the options can be found in chapter 4 of the NWO Grant Rules 2017, the brochure 'Guidelines Users' Committee NWO domain TTW' and in the relevant/underlying 'Guidelines for financing applications'

Main applicant / project leader takes the lead in making Intellectual Property and Publication* arrangements ('Own IP&P arrangements')

- 'Own IP&P arrangements' fulfil the following criteria:
 - i All necessary foreground information (IP ensuing from the TTW project) and - insofar as legally possible - background information (already existing IP from company and/or knowledge institution) is available for the execution of the project
 - ii The agreement is aimed at the application or allocation of the results by way of publication
 - iii Publication of scientific knowledge from the project will not be obstructed by users, but the beneficiary and users may determine the publication schedule
 - iv Any results generated from the project by the beneficiary remain available for the beneficiary for educational and research purposes
- On submission: The knowledge institution(s) and all users agree that the provisions under 'Own IP&P arrangements' will apply to the TTW project and declare that they do or will satisfy the criteria from i to iv above
After award: All beneficiaries and all users approve the agreement in writing
- NWO domain TTW will receive from the project leader, no later than three (3) months after awarding the project:
 - i. The signed agreement in which IP&P arrangements are made with the user(s)
 - ii. A signed IP&P statement in which the beneficiary declares that the agreement relating to the IP&P arrangements with the user(s) satisfies all the pre-determined criteria. The project leader hereby refers to the relevant provisions in the agreement
- NWO domain TTW reviews the agreement against the pre-determined criteria; if NWO domain TTW approves the agreement, NWO domain TTW informs the project leader that the project can be started

***NB:** All scientific publications resulting from research that is funded by grants derived from this Call for proposals are to be immediately (at the time of publication) freely accessible worldwide (Open Access). There are several ways for researchers to publish Open Access. A detailed explanation regarding Open Access can be found on www.nwo.nl/openscience-en.

11.2 Notes on: when NWO domain TTW makes Intellectual Property & Publication arrangements

NWO domain TTW takes the lead in the negotiations on the subject of IP&P arrangements. Once a project has been approved, all users that contribute to the project receive a letter from NWO domain TTW informing them that the project has been awarded to the knowledge institution. In addition, NWO domain TTW asks the user to sign the letter to (re)confirm its participation in and contribution to the project. The user can also indicate a desire to enter into a more comprehensive agreement, setting out the reciprocal rights and obligations involved in the cooperation. That is possible. Further details of NWO domain TTW's IP policy can be found below.

11.3 The main principles of NWO domain TTW's IP policy.

- **Ownership of the results of research**

The results of research carried out by the research institute(s) in the context of a TTW project are owned jointly by the participating institute(s) and by NWO.

- Ownership of the results of research that are generated exclusively by user(s) in the context of a TTW project is vested in the user(s) in question. The user(s) will allow NWO domain TTW and the research institute 'freedom to operate'.
- The results of research that are generated jointly by the research institute(s) and the user(s) in the context of a TTW project are owned jointly by the participating institute(s) and by NWO. If the co-inventing user has itself provided more than 10% of the project funding in the form of personnel, that user will be granted a non-exclusive, royalty-free and non-transferable licence for the use of the invention, patent or patent application.
- Existing IP rights continue to be vested in the holder(s) of such right who contribute these rights to the project. Insofar as it is possible under the law, and insofar as it is not detrimental to the reasonable commercial interests of the right holder, this/these right holder(s) will facilitate, at their own discretion and in all reasonableness, a freedom to operate.
- 'Freedom to operate' means that the holder of the intellectual property right grants licences to others within the project:
 - insofar as legally possible;
 - insofar as necessary for the project (without charge);
 - insofar as necessary for the exploitation of the results of the research and possible concomitant results (at a fair market price);
 - insofar as such freedom to operate is not detrimental to the reasonable commercial interests of the right holder.

- **Protection of research results, confidentiality and publications**

NWO domain TTW attaches considerable importance to the protection of knowledge in the process of knowledge transfer. Users admitted to the user committee, undertake to maintain confidentiality with regard to the research results. However, parties can agree - either prior to or during the lifecycle of the project - that protection of the knowledge generated by the project can be suspended if that would be beneficial to the commercial exploitation of the expertise and intellectual property generated by the project.

The researcher is obliged to report any invention to NWO domain TTW immediately.

NWO domain TTW should receive prior warning about any obstacles to the free use or exploitation of results. Should any obstacles to the implementation of NWO domain TTW's IP policy emerge, NWO domain TTW will impose additional conditions. If it emerges during the course of the project that the project leader has failed to notify NWO domain TTW about such relevant information, NWO domain TTW may suspend the project until the obstacles concerned have been removed. NWO domain TTW may request access to contracts and/or patents in this respect. Contracts must not be in conflict with NWO domain TTW's IP policy. If it emerges that NWO domain TTW cannot have free access to the results of the TTW research, NWO domain TTW may decide not to award or to discontinue the project.

11.4 Notes on: when own Intellectual Property & Publication arrangements are made

If the knowledge institution elects to make its own arrangements with the user for Intellectual Property rights and Publication, those arrangements must be set out in writing. They must also satisfy the following conditions:

- i. All necessary foreground information (IP ensuing from the TTW project) and - insofar as legally possible - background information (already existing IP from company and/or knowledge institution) is available for the execution of the project;
- ii. The agreement is aimed at the application or sharing of the results by way of publication;
- iii. Publication of scientific knowledge from the project will not be obstructed by users, but beneficiaries and users may determine the publication schedule;
- iv. Any results generated from the project by the beneficiary remain available for the beneficiary for educational and research purposes.

Furthermore, the following conditions apply on submission or on award of a project:

- On submission: the knowledge institution(s) and all users agree that the provisions under 'Own IP&P arrangements' will apply to the TTW project and declare that they do or will satisfy the criteria from i to iv above.
- After award: The knowledge institution(s) and all users approve the agreement in writing.

Within three (3) months of the award of the project, the main applicant/project leader will submit a copy of the agreement to NWO domain TTW, indicating where arrangements for each of the specified conditions can be found.

Within three (3) months of the award of the project, all beneficiaries and users concerned will also declare that all the conditions have been satisfied; this will be done by signing and returning the contract.

If, on review, it transpires that the arrangements made do not satisfy the conditions set out above, NWO domain TTW can extend the original three (3) month period after award by a further period of up to two (2) months, to enable the user(s) and the beneficiaries to modify the arrangements so that they do satisfy the pre-determined conditions.

If at the end of this period the conditions have not been satisfied, this means that the conditions attached to the award have not been fulfilled and there can be no allocation of funding.

12. Notes relating to the application form

1. Details application

1.1. Further details main applicant

The name and address of the main applicant in both Dutch and English. 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 potential reviewers and 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 NWO domain TTW 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 NWO domain TTW's website and online in ISAAC

Add a general summary in English for NWO domain TTW's website (10 lines with a number of keywords; be aware of risks with respect to intellectual property). Use this summary online in ISAAC.

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.
- If PhD students are among requested personnel please indicate (co-)promotors.
- 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, the state of the art, 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 whether the research results can be incorporated into standards or norms. If so, describe.
- 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.
- Describe if and how the research contributes to the societal challenges described in Horizon2020, the research and innovation programme of the EU
<https://ec.europa.eu/programmes/horizon2020/en/h2020-section/societal-challenges>.
- Describe if and how the research devotes attention to societal embedding and acceptance.
- NWO domain TTW regards the development of open- source software code as publication. It may benefit utilisation in certain cases. The utilisation plan should indicate how the promotion of utilisation can be achieved.

5.2. Potential users

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

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 a NWO domain TTW context or otherwise. Design and construction disciplines can also include the strength of their design portfolio, prizes, awards, prize questions won and relevant advisory positions.

6. Intellectual property

State all information relevant to the research proposal in relation to NWO domain TTW's IP policy. Providing the requested information is compulsory.

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

1) 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.

2) 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.

3) 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 NWO domain TTW.

8. Financial planning

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

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

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 entered in the budget are inclusive of Dutch VAT.

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.

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 inclusive of Dutch VAT.

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.

8.6. Letters of Support

As confirmation of the co-funding to be provided, submit the letters of support (in English) with the application form as separate appendix (one combined PDF format).

8.7. Cost Breakdown

Complete the Financial Planning (FP) form available at www.ttw.nwo.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.
- Notes for the completion of the form can be found in Appendix 2. The form should be submitted together with the factsheet, as a separate appendix in PDF format.
- The main applicant's research institute concludes a funding agreement with NWO.
- A research proposal with a budget which does not comply with the necessary co-funding will not be considered.

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. Design and construction disciplines can, if so wished, provide an overview of designs realised (selected works).

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. Design and construction disciplines can, if so wished, include a list of publications from other people about their designs (Avery Index to Architectural Periodicals, Columbia University, New York).

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 3) on the form 'Declaration and signing by the applicant', available at www.ttw.nwo.nl, 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 application form 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, NWO domain TTW recommends that you contact the TTW office before submitting the application.

Appendix 1: Examples of funding calculations

Examples of funding calculations for research proposals.

- 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 NWO domain TTW will allocate 610,000 euro (TTW 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 NWO domain TTW will allocate 610,000 euro (TTW 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. 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 NWO domain TTW will allocate 610,000 euro (TTW contribution).

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

Appendix 2: Notes for the completion of an FP form

The FP form (Financial Planning; Excel file) should be submitted with the application form, as a separate appendix in PDF format.

Notes

- Personnel credits are entered per establishment post. 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 inclusive of Dutch VAT.
- Material credit, foreign travel credit and investment credit are entered as a total.
- 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.
- 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 NWO domain TTW to cover part of the project costs. NWO domain TTW 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.
- Unallocated credits cease to apply at the end of the project.

Appendix 3: Specimen form 'Declaration and signing by the applicant'

This form should be submitted with the application form 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 (confirmation of co-funding) are attached (as 1 combined appendix in PDF format).
- The 'Financial Planning' form is attached (separate appendix in PDF format).
- The 'Data management section' form is attached (separate appendix in PDF format).
- By submitting this document I declare that I satisfy the nationally and internationally accepted standards for scientific conduct as stated in the Netherlands Code of Conduct for Scientific Practice 2012 (Association of Universities in the Netherlands).
- Where applicable: Funding has been requested for (parts of) this research proposal from another funding provider (other than indicated potential users) or from another NWO Call for proposals.
- Where applicable: I agree to comply with the Code on Openness in Animal Testing¹.
- Where applicable: I agree to comply with the Nagoya Protocol (see Links).

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:

Signature:

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

1. 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.).
2. Are there any users who indirectly (e.g. via material or investment credit) receive NWO domain TTW finances? yes/no If so, this should be stated in the research proposal (8.5).
3. Make a choice: NWO domain TTW takes the lead in making Intellectual Property & Publication arrangements (IP&P arrangements) or the main applicant/project leader takes the lead in making Intellectual Property & Publication arrangements.

Check your choice with the Tech Transfer Office(s) (TTOs) of the university/universities and potential user/users involved.

- NWO domain TTW takes the lead in making IP&P arrangements
- Main applicant/project leader takes the lead in making IP&P arrangements.

If you check 'NWO domain TTW takes the lead in making IP&P arrangements' above, please answer questions 4 through 11.

If you check 'main applicant/project leader takes the lead in making IP&P arrangements' above, please answer questions 12 and 13.

¹ 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).

NWO domain TTW takes the lead in making IP&P arrangements:

4. The knowledge generated in the project will be jointly owned by the research institute(s) and NWO. Are the intended user committee members who shall provide co-funding aware of this? yes/no
5. 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
6. Are there already any verbal or contractual agreements between (one of the) users and the research institute(s) submitting the application? yes/no
7. Are there any users who wish to enter into contractual agreements at the time when the project is awarded? For example, a joint expression of the wish to use the right to an option. yes/no
8. Are any materials or methods/technologies/ software of third parties (including users) used which are subject to restrictions or commercial secrecy? yes/no
9. Are any materials or methods/technologies/ software of third parties (including users) used which were obtained through the signing of a material transfer agreement? yes/no If so, which conditions are imposed on their use?
10. Are there any relevant patents/patent applications on the part of the research groups involved and/or potential users? yes/no
11. Are there any relevant patents on the part of parties not involved in the project application which might obstruct the utilisation? yes/no

Main applicant/project leader takes the lead in making IP&P arrangements:

12. Are all the users and knowledge institutions involved in agreement that own Intellectual Property & Publication arrangements are to be made?
13. Are all users and knowledge institutions involved aware that the Intellectual Property & Publication arrangements must satisfy certain conditions, and that failure to satisfy these conditions within the given time limit will result in the cancellation of the allocation of funding?

Initials:

Other:

- The research described in the proposal falls within the top sector(s): (see selection list)
 - The research described in the proposal falls within the scientific disciplines: (see selection list)
- Please note:** It is **obligatory** to fill in this main discipline in ISAAC (tab "General Information" section "Research fields") before submitting the proposal.

Appendix 4: Evaluation items

1. Scientific quality

- 1.1. To what extent is the proposed research original and how would you rate the innovative elements?
- 1.2. What is your assessment of the design of the project, including the goals, hypotheses, research methods, and scientific feasibility?
- 1.3. What is your assessment of the coherence and time schedule of the proposed lines of research?
- 1.4. Is the research group competent enough to carry out the research? Does the group have a relevant position in the international scientific community? Is the available infrastructure adequate?
- 1.5. Are the number and category of requested personnel, budget for materials, investments, and foreign travel adequate?
- 1.6. What are the strong and weak points of the scientific part of the proposal?

2. Utilisation potential (the application of the results of the research by third-parties)

- 2.1. What is your assessment of the description of the commercial and/or societal potential impacts of the research given in the proposal?
- 2.2. What is your assessment of the contribution and commitment of the users and the proposed composition of the user committee?
- 2.3. Do you expect the application of results to be hampered by commercial propositions, existing patents, eligibility or societal acceptance?
- 2.4. What are the prospects for collaboration with the industry and knowledge transfer, assuming the project is successful? Please address both aspects.
- 2.5. What is your assessment of the research group's competence regarding the transfer and application of research results?
- 2.6. What are the strong and weak points of the utilisation plan?

Data management

The data management section is a compulsory part of the application but it will not be an assessment criterion for obtaining funding. It will not be included in the decision of a committee/jury as to whether or not a proposal should be awarded funding. However for the data management section of this proposal, you can make suggestions and give advice that could be helpful for the researcher in drawing up the data management plan to be submitted after funding is awarded.

Appendix 5: Evaluation scales

Scientific quality

1. Excellent

- An excellent researcher or outstanding research team.
- A well-chosen problem.
- The method is especially/pre-eminently effective and original.
- Very urgent.

2. Excellent to very good

3. Very good

- A competent researcher or competent research team.
- A significant problem.
- The method is original and effective.
- An urgent approach is important.

4. Very good to good

5. Good

- An average researcher or average research team.
- A routine problem.
- With the method, which has some original details, the project can be addressed, although other possibilities are conceivable.

6. Good to moderate

7. Moderate

- It is far from certain that this work is within the capacity of the researcher and / or the research team: the proposal itself contains no obvious errors.
- The problem is moderately interesting.
- Whether the project can be successfully tackled with this standard method, is questionable.
- The project may well be postponed.

8. Moderate to poor

9. Poor

- The competence of the investigator or research team is inadequate.
- The proposal contains serious errors or mistakes.
- This old method is not good for this project.
- Not to be executed, even if there is money left.

Utilisation

1. Excellent

- This will certainly lead to important new techniques or to very important applications in industry, society and other sciences.
- This research is urgently needed to make an estimate of the consequences of the use of this technology or technique.
- The utilisation is very well thought out and the approach ensures the greatest likelihood of an effective use of the results.

2. Excellent to very good

3. Very good

- This research will likely lead to important new techniques or to important applications in industry, society, or in other sciences.
- This research is highly desirable to make an estimate of the consequences of the use of this technology or technique.
- The utilisation is well thought out and the approach makes it plausible that the results of this work will be used well.

4. Very good to good

5. Good

- This work will possibly lead to new technologies or applications that might be useful for industry, society, or other sciences.
- This research will be needed to make an estimate of the impact of this technology or technique.
- The utilisation is sufficiently thought through, it can probably be improved during the execution of the work. The results of this work will probably be used.

6. Good to moderate

7. Moderate

- Technically this work could possibly be useful at some time or it is conceivable that in due course another science, industry or society or of the results could make use of it.
- The results of this research are not exactly awaited, but they may be useful in the future if an evaluation is made of the consequences of using this technology or technique.
- The utilisation is very unsatisfactory. This should certainly be improved, otherwise it is likely that the results of this work will not be used.

8. Moderate to poor

9. Poor

- Technically the work is bad and redundant, i.e. different, better or similar techniques, which are cheaper are already available.
- This study does not evaluate the consequences of using this technology or technique, moreover, it increases the confusion.
- The utilisation is completely wrong.

Appendix 6: Data management section

Notes on Data management section

NWO wants to contribute to the development of good data management by asking researchers to make all relevant data sustainably available for reuse. Therefore in the data management section, researchers will be asked before their research starts to think about how the data collected should be ordered and categorised such that it can be made freely available. Researchers will often need to take measures to this effect during the production and analysis of the data.

NWO understands 'data' to include collected, unprocessed data as well as analysed, generated data. This includes all conceivable forms of digital and non-digital data (such as samples, completed questionnaires, sound recordings, etc.).

NWO only requires the storage of data that are relevant for reuse. NWO assumes that within disciplines there are widely held opinions about which data are relevant for storage and reuse. Research Data Netherlands offers a [checklist](#) for the selection of data that can be eligible for archiving.

Research results should be stored in such a way that they can be retrieved and reused in the long term, also by researchers in disciplines and organisations other than those in which the research took place. The operating principle is that all stored data are, in principle, freely accessible and that access is only limited if aspects such as privacy, public security, ethical limitations, property rights and commercial interests require that.

The costs of data management are eligible for funding and should be included in the project budget. Important factors that determine the costs are:

- the type of data;
- the capacity needed for storage and backup;
- the amount of manual work needed to allocate metadata and the compilation of other documentation such as codebooks and the queries used in the statistical package;
- the extent to which the data needs to be protected;
- the hiring in of external data management expertise or other expertise.

With the data management section NWO mainly wants to raise awareness about the importance of responsible data management. The section is therefore not included in a committee's decision about whether a proposal should be awarded funding or not. NWO domain TTW does, however, submit this section to the committee and referees for advice. After a proposal has been awarded funding the researcher should elaborate the section into a data management plan. For this, applicants can make use of the advice they have received.

Questions Data management section

1. Will data be collected or generated that are suitable for reuse?

Yes: Then answer questions 2 to 4

No: Then explain why the research will not result in reusable data or in data that cannot be stored or data that for other reasons are not relevant for reuse

2. Where will the data be stored during the research?

3. After the project has been completed, how will the data be stored for the long-term and made available for the use by third parties? To whom will the data be accessible?

4. Which facilities (ICT, (secure) archive, refrigerators or legal expertise) do you expect will be needed for the storage of data during the research and after the research? Are these available?*

**ICT facilities for data storage are considered to be resources such as data storage capacity, bandwidth for data transport and calculating power for data processing.*

Further information

Contact

General information is available from

Netherlands Organisation for Scientific Research NWO domain Applied and Engineering Sciences

visiting address

Van Vollenhovenlaan 661
3527 JP Utrecht
The Netherlands

postal address

Postbus 3021
3502 GA Utrecht
The Netherlands

IBAN NWO

NL89ABNA0642330824 (BIC ABNANL2A)

Chamber of Commerce

The Hague 27367015

Btw (Dutch VAT)

NL.002305884.B01

telephone

**31 (0)30 6001 211

fax

**31 (0)30 6014 408

e-mail

ttw@nwo.nl

internet

www.ttw.nwo.nl

TTW office

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

Technical questions about the online application system ISAAC

For technical questions about the use of ISAAC please contact the ISAAC helpdesk. Please read the manual (tab 'Help') first before consulting the helpdesk. The ISAAC helpdesk can be contacted from Monday to Friday between 10:00 and 17:00 hours CET on +31 (0)20 3467179. You can also submit your question by e-mail to isaac.helpdesk@nwo.nl. You will then receive an answer within two working days.

Links

- Applications for the Open Technology Programme:
<http://www.ttw.nwo.nl/en/content/applicant>
- General Funding Conditions:
<http://www.ttw.nwo.nl/en/content/applicant>
- Brochure 'Guidelines Users'Committee NWO domain TTW'
<http://www.ttw.nwo.nl/en/content/applicant>
- Cleanroom regulation
<http://www.ttw.nwo.nl/en/content/applicant>
- Guidelines for jury members (not in English):
<http://www.ttw.nwo.nl>
- Questions to referees/Aspects for assessment:
<http://www.ttw.nwo.nl/en/content/applicant>
- Code of Conduct on Conflicts of Interest:
<http://www.nwo.nl/en/documents/nwo/legal/nwo-code-of-conduct-on-conflicts-of-interest>
- Fixed rates in salary tables:
<http://www.ttw.nwo.nl/en/content/applicant>
- Format Support Letter
<http://www.ttw.nwo.nl/en/content/applicant>
- Payment of thesis printing costs:
<http://www.ttw.nwo.nl/en/content/project-leader>
- Standard amounts for foreign accommodation expenses:
<http://www.ttw.nwo.nl/en/content/applicant>
- Standard amounts for capitalisation of co-funding of personnel costs:
<http://www.ttw.nwo.nl/en/content/applicant>
- Nagoya Protocol:
<https://www.cbd.int>
- ISAAC:
<https://www.isaac.nwo.nl>
- How ISAAC works:
An ISAAC manual can be found in ISAAC (tab 'Help')
- ISAAC helpdesk:
isaac.helpdesk@nwo.nl
- Netherlands Organisation for Scientific Research (NWO):
<http://www.nwo.nl/>
- Open Access:
www.nwo.nl/openscience-en