Guidelines for funding proposals for research under the Open Technology Programme

Deadline for submission of applications: On a continuous basis

The original Dutch text is the leading document

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Guidelines for applicants ......................................................................................................................................... 8

Project-specific costs .......................................................................................................................................... 8
1. Notes on costs of personnel temporarily appointed to the project at the research institute ................................. 9
   Notes on temporary personnel positions ........................................................................................................ 9
   Notes on permanent staff ............................................................................................................................ 9
   Notes on secondment .................................................................................................................................. 10
   Notes on PDEng trainee ............................................................................................................................... 10
   Notes on Casimir candidate ......................................................................................................................... 11
2. Notes on costs of materials and domestic travel .......................................................................................... 11
   Notes on Material credit ............................................................................................................................ 11
3. Notes on costs of foreign travel .................................................................................................................. 12
   Notes on short travel abroad ...................................................................................................................... 12
   Notes on exchange visits .......................................................................................................................... 12
4. Notes on costs of investments .................................................................................................................. 13
   Notes on investments ............................................................................................................................... 13

Notes on Users, co-funding and letters of support .......................................................................................... 14

Users .............................................................................................................................................................. 14
Co-funding ...................................................................................................................................................... 14
   Notes on Criteria relating to co-funding ........................................................................................................ 14
   Notes on Criteria relating to in-kind co-funding .......................................................................................... 14
   NOT permissible as the co-funding ............................................................................................................ 15
Letters of support .......................................................................................................................................... 15

Notes on STW’s Intellectual Property (IP) policy ............................................................................................ 16
NEW: STW introduces two amendments to its IP policy as from 1 March 2014: ............................................. 16
The main principles of STW’s IP policy are as follows: ..................................................................................... 17

Notes relating to the application form ............................................................................................................ 19

1. Details application ...................................................................................................................................... 19
2. Summaries .................................................................................................................................................. 19
3. Current composition of the research group ............................................................................................... 20
4. Scientific description ............................................................................................................................... 20
5. Utilisation plan .......................................................................................................................................... 21
6. Intellectual property ............................................................................................................................... 21
7. Positioning of the project proposal .......................................................................................................... 22
8. Financial planning ................................................................................................................................... 22
9. References ............................................................................................................................................... 23
10. Abbreviations and acronyms .................................................................................................................. 23
Declaration and signing by the applicant ...................................................................................................... 23
Finally ........................................................................................................................................................... 23

Appendix 1: Examples of funding calculations ............................................................................................... 24
Appendix 2: Notes for the completion of an FP form ....................................................................................... 25
Appendix 3: Specimen form ‘Declaration and signing by the applicant’ .......................................................... 26
Appendix 4: Evaluation items ........................................................................................................................ 28
Appendix 5: Evaluation scales ............................................................................................................................... 29

Further information ................................................................................................................................................ 31

Contact ................................................................................................................................................................. 31

Links .................................................................................................................................................................... 31
Introduction

This brochure explains the objectives and working methods of Technology Foundation STW\(^1\). It details the conditions governing proposals submitted to STW for the funding of scientific research under the Open Technology Programme.

As a division for the Technical Sciences (TW), STW is part of the Netherlands Organisation for Scientific Research (NWO; see also www.nwo.nl). As such, STW provides indirect government funding.

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

Aim Technology Foundation STW

STW’s mission

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

STW does so:

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

Utilisation

STW-funded research generates valuable knowledge. In addition to excellent science, STW aims to promote the application of knowledge. The term used by STW to refer to the set of activities aimed at maximising the possibility of research results being applied by third parties is ‘utilisation’. In order to promote utilisation in addition to scientific quality, STW sets up a user committee for every project. STW expects applicants and users to actively collaborate towards promoting utilisation and towards STW’s objective of transferring knowledge to users. Users, user committees and intellectual property play a crucial role in utilisation.

Users

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

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

\(^1\) ‘Stichting voor de Technische Wetenschappen’ is the legally registered name of STW. This name is generally used only in official documents. In this document, the name ‘Technology Foundation STW’ or the abbreviation ‘STW’ will be used.
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.

Objective of the programme

The Open Technology Programme focuses on scientific and technical research and is characterised by an absence of disciplinary boundaries. STW’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.

Programme budget

The Open Technology Programme has a budget of up to 20 million euro for 2014. In 2013, 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. STW is financed by the Ministry of Education, Culture and Science -via the NWO-budget- and the Ministry of Economical Affairs.

Project budget

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

Funding conditions and Intellectual property (IP) policy

STW’s funding conditions and STW’s IP policy are applicable to this programme (see the explanation of the IP policy further on in this brochure).

Specific requirements to the programme

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 STW, constitute the necessary financial resources.
- In kind contributions: In-kind contributions means capitalised personnel and/or material contributions from users.

Duration of the programme

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

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

Assessment procedure

Deadline for submission of applications and processing period

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

Formal requirements

STW confirms receipt of the research proposal. It then verifies the formal requirements to determine whether the research proposal is eligible for consideration. If the relevant conditions (see section on ‘Guidelines for applicants’) are not fulfilled or the information requested is incomplete, the research proposal will not be considered. In that case, STW returns the research proposal to the main applicant with a request for adjustments or additional information. Within ten to fifteen working days after registration of the project, the main applicant learns whether the research proposal is to be considered. If it is not to be considered, the main applicant is given six weeks – calculated from the date of STW’s notification – to submit a revised version. If the information required is not provided, or is incomplete by the six-week deadline, the research proposal is recorded as withdrawn. The main applicant is then invited to submit a new research proposal which fulfills the relevant conditions.

Assessment by referees

STW 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.stw.nl). STW recommends that applicants anticipate these questions in the research proposal. The number of referees consulted by STW depends on the nature of the research proposal and the size of the budget contained in the research proposal. For the purposes of the Open Technology Programme, STW aims to have the research proposal assessed by three to five referees.

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

Applicants’ rebuttal

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

Jury procedure and decision-making

Under the Open Technology Programme, research proposals from different disciplines are in competition with each other. To guarantee the objectivity of the assessment as far as possible, STW puts together a new independent multidisciplinary 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 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 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 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.

NWO Code of Conduct on Conflicts of Interest

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

To ensure a fair assessment and transparency for applicants, STW uses a code of conduct on conflicts of interest that is in line with the NWO Code of Conduct on Conflicts of Interest. This code identifies possible forms of conflicts of interest and indicates the steps to be taken to avoid conflicts of
interest. Parties subject to the code of conduct are: referees, jury members, committee members, members of decision-making bodies and STW officers. The full text of the code of conduct on conflicts of interest used by STW is available at: http://www.nwo.nl/en/about-nwo/governance

**After award**

(see also the General Conditions of STW at www.stw.nl)

**After awarding**

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

**Start and starting date of the project**

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

**User committees**

To promote the effective transfer of knowledge generated by the research to users, STW sets up a user committee for every research project in consultation with the project leader. User committee meetings are attended by the applicants/co-applicants, project/subproject leaders, the researchers temporarily appointed to the project and the representatives of potential users. The project leader acts as chairman and STW runs the secretariat. A minimum of four users should sit on the user committee and at least 50% of them should be from industry. STW may change the composition of the user committee in the course of a research project, if there are grounds to do so.

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

The members of the user committee are formally invited by STW to sit on the user committee. Those participating in the user committee commit themselves to the conditions included in the ‘General Conditions’ and the ‘Task and Method of Working of STW User Committees’ (for example with respect to confidentiality of the information and how to deal with the results from the project).
Reporting

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

Utilisation of the research results is always on the meeting agenda. It covers collaboration with (potential) users and the protection and commercialisation of the knowledge generated. The results of the project are confidential until STW decides otherwise, or until STW has given permission for publication. A publication is the disclosure of results by any means, such as a text (including publications, abstracts, announcements on a website), illustration or an image or sound carrier, with the exception of disclosure resulting from a patent or patent application. The members of the user committee are the first to be given access to the research results, i.e. before publication. STW submits draft publications to the user committee asking whether, in their opinion, the publication contains a patentable discovery and/or whether there are utilisation opportunities. If knowledge protection measures are required, such as the submission of a patent application, STW may decide to suspend the publication for up to 9 months.

Continuation

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

Extension

An extension after the end of a project is possible only in very limited cases. The prospects in terms of utilisation are crucial in this respect. From the utilisation perspective, funds remaining on the project can be used to extend one staff position (1 fte) for a period of up to three months. If the extension requires an increase in the budget, co-funding by (one of the) users is a prerequisite. This co-funding is subject to the same criteria as co-funding on submission of a research proposal. The STW contribution is inclusive of the funds remaining on the project and is subject to an upper limit of 50% of the total costs for the extension of the project.

Termination and termination date

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

Discontinuation

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

Iris

Research proposals should be submitted electronically via Iris, STW’s electronic grant application system. To submit research applications and for the Iris manual, visit https://iris.stw.nl/iris/servlet/iris?app=stw

An application consists of two parts:

1. a factsheet containing the key details of both the applicant(s) and the application (including name and address details, title of the research and a summary in English);
2. the application form containing the other information requested. When you submit the factsheet electronically, you also append the completed application form in PDF format (see manual on How Iris works). Other accompanying appendices should be sent separately in PDF format (without protection). The factsheet together with appendices is regarded as the research proposal.

Appendices: Accompanying appendices should be sent separately in PDF format (without protection). The factsheet together with appendices is regarded as the research proposal.

Required appendices:
- Form ‘Financial planning’
- Form ‘Declaration and signing by the applicant’

Only research proposals that are submitted electronically will be considered.

Format

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

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

Who can apply?

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.
Who can act as main and co-applicants?

- Assistant, associate and full professors with a tenured position at:
  - Dutch universities (or with comparable positions at the university medical centres)
  - KNAW and NWO-institutes
  - the Netherlands Cancer Institute (NKI)
  - the Max Planck Institute for Psycholinguistics in Nijmegen
  - Dubble beamline at the ESFR in Grenoble
  - NCB Naturalis
  - Advanced Research Centre for NanoLithography (ARCNL)
- Researchers with a tenure track appointment. STW defines a tenure track appointment as an appointment for experienced scientific researchers with prospects of permanent employment and a professorship in due course. The tenure track appointment must be confirmed in writing and funded from structural resources. STW will verify that the appointment meets these conditions and that it is guaranteed for the term of the project.

Main and co-applicants with a part-time appointment

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

Who cannot apply? (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

Guidelines for applicants

Project-specific costs

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

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

Notes on temporary personnel positions

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

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

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

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

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 an STW 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 an STW project. The scientist concerned may not
be registered as an applicant or co-applicant at STW/NWO. STW accepts no liability under the Dutch Unemployment Insurance Act in this case.

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

Where the need arises, an applicant can submit a reasoned request to the STW 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.

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 a company (on a secondment basis).

The PDEng position is subject to the following conditions:

- In the research plan and the utilisation section the embedding of the PDEng position should be described and/or the underlying Technological Designer Programme.
- Assuming a full-time appointment, a maximum duration of 2 years applies.
- The personnel rate for a PhD (first 24 months) applies to a PDEng position. The personnel costs are included in the personnel credit.
- For the PDEng position, material and/or travel credit can be applied for as part of the standard credit.
- The secondment to the company concerned is for a maximum of 50% of the duration of the appointment.
- The contribution from the company concerned to the PDEng position is k€ 50 (assuming 1 fte for 24 months). This contribution should be entered in the project budget as in cash cofinancing to be settled with STW.
- If the project is funded then a secondment agreement must be signed with the company concerned, in which the ownership of the results of the research that is carried out at the company, remains with the institute submitting the application and STW in accordance with the IP policy of STW.
- STW can make agreements with the company concerned about acquiring an option right to results from the research. In the event that there are several users who also make substantial contributions to the research then STW will discuss with the company concerned and these other users what the possibilities are for a shared option or an option for part of the results.
**Notes on Casimir candidate**

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

- Based on a full-time secondment, a 2-year time limit applies. The limit for PhD students is 3 years. Part-time secondment (at least 50%) is possible.
- The proposed candidate should have been working for the above-mentioned private sector employer for at least 1 year (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 STW the secondment costs actually paid to the company, up to the personnel rate for a postdoc position which applies for the relevant extent of appointment. These costs should be charged to the material credit for the project. STW accepts no liability under the Dutch Unemployment Insurance Act for the Casimir candidate.
- Material and/or travel credit can be requested for the Casimir candidate as part of the regular credit to be requested.
- If the project is funded then a secondment agreement must be signed with the company concerned, in which the ownership of the results of the research that is carried out at the company, remains with the institute submitting the application and STW in accordance with the IP policy of STW.

2. **Notes on costs of materials and domestic travel**

STW funds consumables, small instruments and aids, and domestic travel expenses. The amounts stated in the budget are exclusive of Dutch VAT.

**Notes on Material credit**

Costs which **CAN** be charged to material credit

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

Costs which **CANNOT** be charged to material credit
• ‘Miscellaneous’ or ‘unforeseen’ items, unspecified bench fees.
• Patent costs. Where appropriate, STW will consider the extent to which it will bear such costs.
• Costs of publications or costs of purchasing books and/or journals.
• Costs of publications or books.
• Costs of printing a thesis. A separate reimbursement scheme exists for this (see www.stw.nl).
• Costs of general courses which form part of researchers’ generic education and the generic education of a PhD student (e.g. English, presentation skills, literature searching, 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. STW 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.

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.

**Notes on short travel abroad**

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

**Notes on exchange visits**

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

**Conditions** relating to foreign travel of up to six months’ duration:
• STW must be aware of this type of foreign travel when considering the application, and it must form part of the research planning so that referees can include it in their review.
A condition for an exchange is that the knowledge acquired as a result of the visit is not present, or is not sufficiently available, at the research institute where the research is being conducted. In the event of acceptance, STW verifies whether this actually results in a strengthening of the knowledge base for the project.

STW reimburses the travel expenses, research costs and a standard amount for accommodation expenses. No (additional) salary costs are reimbursed. For the list of standard amounts for accommodation costs, see www.stw.nl.

Any intellectual property matters are covered by a separate agreement (waiver/confidentiality) before travel takes place.

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 exclusive of Dutch VAT.

Notes on investments

- The equipment is and remains the property of STW. After the end of the project the equipment remains at the research institute. Formal transfer of ownership of the equipment without further payment is possible. A time limit of five years after purchase is applied in this respect.
- STW assumes that the research institute applies a tendering procedure for the purchase of durable equipment and takes account of government procurement guidelines.
- If second-hand equipment is purchased, the original bill must be submitted.
- STW may be asked to co-fund an item of equipment in proportion to its use. This should be put down in writing after the award.
- The research institute is responsible for the connection, operating costs and maintenance of the equipment purchased (service charges and repairs).
- STW distinguishes between operation of existing facilities within the research institute and investment in new facilities specifically for the purposes of an STW project. In the case of operating costs and small-scale investments, STW pays only the costs of consumables. These costs can be claimed as material credit. STW will however pay the full cost of capital goods supplied by internal services in those cases where a disproportionate burden is placed on the service in question, provided that a convincing argument is put forward in this respect. STW will be the judge of this.
- 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 STW.
- STW may refuse expenditure not estimated in advance.
Notes on Users, co-funding and letters of support

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. After the research proposal has been awarded, a minimum of four users should sit on the user committee and at least 50% of the users should be from industry. STW may allow an exception to this rule, for example if one user makes a very significant contribution to the proposed project (see STW’s General Funding Conditions at www.stw.nl). Research proposals from a medical faculty or university medical centre should have potential users, just like other proposals. At least one of the users should be a company. It is not sufficient in this case to state merely ‘the patient’ or ‘a clinic’. The final composition of the user committee is subject to the same conditions as other STW projects.

Co-funding

See ‘programme-specific criteria’

Notes on Criteria relating to co-funding

- STW uses the financial co-funding to cover part of the project costs. After a project is approved, STW sends an invoice to users who have pledged a financial contribution. Once the funds have been received, they are allocated to the project.
- STW accepts personnel input and material contributions as co-funding on the condition that these are capitalised and that they form an integral part of the project. This should be made clear in the description and planning/phasing of the research.
- STW is the main funder of the projects. Project applications where the co-funding from users exceeds the amount to be borne by STW will not be considered.
- STW assumes that providers of co-funding have an interest as users and therefore as appliers of the research results outside science. Co-funders always participate in the user committee.
- Government agencies can play various roles in STW projects, namely: (1) as a research partner (without entitlement to STW funding), (2) as a subcontractor of a specific assignment (at market rate) or (3) as a user. Government agencies may act as users under the same conditions as private users.
- The co-funding to be provided by users must be confirmed in a letter of support. 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 and 3) the pledged financial and/or the specified capitalised material and/or personnel contribution(s). See also the requirements under ‘Letters of support’.

Notes on Criteria relating to in-kind co-funding

- Part of the research may be conducted by third parties. A condition is that the expertise provided in the form of man-hours is not already available at the research institute(s) and is used specifically for the STW project. For personnel support by third parties, STW applies fixed rates in
order to capitalise the number of man-hours used (up to 1250 direct hours/year/fte) for a senior or junior researcher. For the current rates, see www.stw.nl.

- For pledges of material resources, charge the cost price. Commercial rates are not accepted. For pledges of equipment, take previous depreciation and intensity of use into account.
- Pledges in the form of supplies of services are possible only if the service can be itemised as an identifiable new endeavour. The service should not already be available at the research institute(s) realising the research. Applicants may wish to claim services already supplied (such as a database, software or plant lines) as in-kind co-funding. Acceptance is not automatic in such cases. Contact STW about this. Further consultations will take place to decide whether a specific value can be determined for this supply of services.

**NOT permissible as the co-funding**

- STW guards against the improper mixing of funding sources: co-funding can never come from direct or indirect (NWO, KNAW) government funding. As a result, co-funding can also never come from the research institute of the (co-) applicant(s) or from institutes which are themselves eligible to apply to STW.
- Discounts on (commercial) rates 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 STW (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.

**Letters of support**

A letter of support is obligatory if co-funding is provided by the users. STW 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. These requirements can also be found on the form ‘Requirements for STW Letters of Support’ (see www.stw.nl).

**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 with a copy to STW.
- Letters of support must be written in English.
- The address on the letter is correct.
- Letters of support must be signed by an authorised signatory.
- The cash contribution stated in the letter is paid to STW.

**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.

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 General Funding Conditions / Task and Method of Working User Committee / IP principles of STW and signs for this.

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.
STW 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 STW will request a confirmation of the co-funding (“confirmation obligation third parties”) and in relevant cases will record any further arrangements in an agreement.

Notes on STW's Intellectual Property (IP) policy

NEW: STW introduces two amendments to its IP policy as from 1 March 2014:

The first amendment concerns the situation where a company provides more than 30% of the project funding. That company then receives a right of option to a royalty-free non-exclusive licence to use the invention or the subject of the patent or patent application in or for its own products and processes or to exploit it in some other way. In addition, the company retains the possibility of acquiring an exclusive licence to use the invention or the subject of the patent or patent application at a price in line with prevailing market value.

The second amendment concerns the situation where a consortium of companies combines their individual contributions so that the aggregated total represents a more favourable percentage (>30%) and the consortium becomes eligible for the IP rights described in the first amendment.

STW 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. STW'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. STW adheres to a set of
rules concerning Intellectual Property (IP) that support this policy, and the policy is in line with the IP policy adopted by the Netherlands Organisation for Scientific Research [Nederlandse Organisatie voor Wetenschappelijk Onderzoek, NWO] and with the ‘Rules of Play for public-private collaboration’ as presented to the Lower House of the Dutch Parliament on 25 June 2013.

The main principles of STW’s IP policy are as follows:

• **Ownership of the results of research**
  The results of research carried out by the research institute(s) in the context of an STW project are owned jointly by the participating institute(s) and by STW.
  o Ownership of the results of research that are generated exclusively by user(s) in the context of an STW project is vested in the user(s) in question. The user(s) will allow STW and the research institute ‘freedom to operate’.
  o The results of research that are generated jointly by the research institute(s) and the user(s) in the context of an STW project are owned jointly by the participating institute(s) and by STW. 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.
  o 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.
  o ‘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**
  STW 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. Research results that are not susceptible to IP protection, and not subject to a written know-how licence, can be used freely by all parties. The researcher is obliged to report any invention to STW immediately. Draft publications are submitted to the user committee by STW; the committee is asked whether, in their opinion, the publication contains a patentable invention and/or whether there are utilisation opportunities. If knowledge protection measures need to be taken, such as the submission of a patent application, STW may decide to suspend the publication for up to 9 months.

• **Commercial usage rights to results that accrue in part or in whole to STW and the research institute(s)**
  o **Contribution 0-10%**
    A user who contributes less than 10 percent to the costs of the research project by way of in-kind or in-cash resources will be the first party to receive information about the results of the research. Companies are at liberty to use the results generated by the research for internal, non-commercial purposes.
  o **Contribution between 10% and 30%: Right of option**
A user who contributes more than 10 percent to the costs of the research project by way of in-kind or in-cash resources is also entitled to a right of option on a licence to, or the transfer of the results of the research when full or joint rights are held by STW and the research institute(s). If a user exercises this option, the transfer of an exclusive or non-exclusive licence will be effected against payment of a fair market price (see below). If multiple users are eligible for an option, an agreement will be made as to the scope of their usage. If this is not possible, the contributing users will be granted a joint option on a semi-exclusive licence.

- Contribution between 30% and 50%: Right of option on a commercial NERF right
A user who contributes more than 30 percent to the costs of the research project by way of in-kind or in-cash resources will also have the same rights as a user who contributes more than 10 percent. If the user exercises his right of option, that user is entitled to a non-exclusive, royalty-free (NERF) and non-transferable commercial right of use.

If required, STW or the research institute(s) will oversee the administration of the patent application process for the first 30 months following the patent application. Before the end of that period, STW, the research institute and the user in question will make arrangements about the further handling of the patent application.

If one or more users within the project are eligible for an option, an agreement will be made as to the scope of the option on an exclusive licence. If this is not possible, the contributing users will be granted a joint option on a semi-exclusive licence.

The total value of co-funding of any STW project may not exceed 50 percent.

- The percentage is calculated by comparing the entire contribution made by the private party (in-kind plus in-cash) against the contribution from STW plus all other in-kind and in-cash contributions.

**Combining contributions from companies**
Companies have the opportunity to combine their contributions within a single STW project so as to achieve a more favourable cumulative percentage. The companies are then, as a group, eligible for the abovementioned rights (right of option and/or non-exclusive commercial right of use). To be eligible for such aggregation, it is a condition that the companies in question notify STW of this in writing. This letter must also appoint an official secretary/a representative who will be responsible for negotiating with STW on behalf of the parties concerned as to how the option will be exercised. The letter must be signed by all companies involved. It should, preferably, be submitted to STW together with the project proposal or, if not, within six (6) months of the approval of the project.

**Patent costs**
The following provisions apply if the user deems it desirable that a patent application be submitted:
The patent application is submitted in the name of STW and the research institute(s) where the invention or discovery takes place.
The user bears the costs of the patent. The patent costs are not offset in the calculation of a fair market price.

If there are multiple licensees, the patent costs will be shared among them.

**Licensing**
The right to use or apply research results is acquired through a licence, transfer agreement or know how agreement.
In all cases, a licence agreement or transfer agreement will contain provisions concerning:
- exclusivity or non-exclusivity;
- royalty-free research and education licence for STW and the research institute(s) concerned;
determination of a fair market price (with the exception of a NERF licence when contributions exceed 30%);
- anti-freezer clause or best endeavours obligation concerning application or commercialisation
- reporting obligations;
- indemnification against liability on the part of STW and the knowledge institute(s);
- market price + discount arrangements.

The market price will be determined by negotiation between the parties; a record will be kept of these negotiations. In determining the fee to be paid, use can be made of the 'market-based approach' (i.e. market comparison), the 'income-based approach' (i.e. what income is expected), and the 'cost-based approach' (i.e. what has it cost to achieve the research results). The services of an impartial expert can also be called upon, or a combination of the above methods can be chosen. The user will be entitled to a discount on the fair market price fee which is related to the level of the contribution provided towards the costs of the research project.

- Income received from transfer or licensing will be disbursed to the research institutes for further research.

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

Notes relating to the application form

1. Details application

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

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

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

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

2. Summaries
Summaries should be clear to 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 STW for publication purposes; the confidentiality of the data will be taken into account at all times.

2.1. Research summary

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

2.2. Utilisation summary

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

2.3. Summary STW’s website

Add a general summary in English for STW’s website (10 lines with a number of keywords; be aware of risks with respect to intellectual property).

3. Current composition of the research group

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

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

4. Scientific description

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

4.1. Research contents/Introduction

Describe the underlying scientific basis and the content of the project. Indicate the methods and techniques to be used to tackle the problem, the knowledge already available, 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.
schematic representation of the research planning is compulsory. The overall duration of the research plan may not exceed six years.

5. Utilisation plan

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

5.1. The problem and the proposed solution

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

5.2. Potential users

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

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 stated in the budget here are exclusive 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 exclusive 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, attach the letters of support (in English) to the
factsheet as separate appendices in PDF format.

8.7. Cost Breakdown
Complete the Financial Planning (FP) form available at www.stw.nl, stating any financial
contribution(s) and/or capitalised contribution(s).
- Make sure that the capitalised contributions in the budget and the letters of support agree.
- If a project is to be realised at more than one research institute, give a breakdown of the budget
  for each research institute on page 2 of the FP.
- Notes for the completion of the form can be found in Appendix 2. The form should be submitted
  together with the factsheet, as a separate appendix in PDF format.
- Each research institute concludes a funding agreement with STW for its share of the budget.
- It is not possible to break down the budget for each research group within a single research
  institute in view of the administrative burden on STW.
- A research proposal with a budget which does not comply with the necessary co-funding will not
  be considered.

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.stw.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 factsheet as a separate appendix in PDF format.

Finally
In the event of uncertainties or costs to be claimed which are not mentioned in this brochure, STW
recommends that you contact the STW office before submitting the application.
Appendix 1: 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 STW will allocate 610,000 euro (STW contribution).
- Suppose you are submitting an application with total project costs of 650,000 euro (610,000 euro in necessary financial resources + 40,000 euro in in-kind contribution). The co-funding required is 25% of 150,000 = 37,500 euro. You have an in-kind contribution of 40,000 euro. You therefore meet the requirements. If the project is approved STW will allocate 610,000 euro (STW contribution).
- Suppose you are submitting an application with total project costs of 650,000 euro (620,000 euro in necessary financial resources + 30,000 euro in in-kind contribution). The co-funding required is 25% of 150,000 = 37,500 euro. You have a financial contribution of 10,000 euro and an in-kind contribution of 30,000 euro. You therefore meet the requirements. If the project is approved STW will allocate 610,000 euro (STW contribution).

**NB:** If anything is unclear we recommend that you contact the STW 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 factsheet, as a separate appendix in PDF format.

Notes

- Personnel credits are entered per establishment post. Enter the total costs for years 1, 2 and 3, and the total costs for year 4 and subsequent years. The personnel credit is initially awarded for up to three years. STW reserves any remaining funds for the continuation after two years. For each person, enter a training place number, a personnel category, the extent of the appointment, the number of months and the accompanying rate (page 3). Check that you have the most recent personnel rates. The rates are set as from 1 July each year but may be adjusted in the interim. When calculating the amount, take into account the extent of the appointment (the personnel rates are based on 1 fte) and the year of appointment (start in month 13 is rate from month 13). NB: In view of their salary structure, PhD students are always appointed at the rate from month 1.
- Material credit and investment credit are entered exclusive of Dutch VAT.
- Material credit, foreign travel credit and investment credit are entered as a total for years 1 and 2, and as a total for year 3 and subsequent years. These credits are awarded for up to two years initially. STW reserves any remaining funds for the continuation after two years.
- The personnel credit, material credit, foreign travel credit and investment credit combined, constitute the total necessary financial resources.
- In the case of co-finding 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 STW to cover part of the project costs. STW collects the financial contribution and then allocates it to the project.
- All co-funding requires a letter of support in English from the co-funder, stating the amount pledged.
- Research proposals with budgets that do not meet the compulsory co-funding requirement (graduated scale) are not considered.
- Budget splitting (page 2) is possible only if the application is submitted by more than one research institute. Indicate how the different credits are to be split between the different institutes. For establishment posts, the corresponding number on page 1 is sufficient here. Also indicate how the co-funding in cash is to be split between the different institutes.
- Unallocated credits cease to apply at the end of the project.
Appendix 3: Specimen form ‘Declaration and signing by the applicant’

This form should be submitted with the factsheet as a separate appendix in PDF format.

Declaration and signing by the applicant:

☐ All applicants and co-applicants satisfy the criteria relating to ‘Who can act as main or co-applicant?’
☐ All compulsory letters of support are attached (separate appendices in PDF format).
☐ The ‘Financial Planning’ form is attached (separate appendix in PDF format).
☐ 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).
☐ Where applicable: I agree to comply with the Code on Openness in Animal Testing\(^2\).

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 STW’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 STW finances? yes/no If so, this should be stated in the research proposal (8.5).
3. The knowledge generated in the project will be jointly owned by the research institute(s) and STW. Are the intended user committee members who shall provide co-funding aware of this? yes/no
4. 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
5. Are there already any verbal or contractual agreements between (one of the) users and the research institute(s) submitting the application? yes/no

\(^2\) 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).
6. 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

7. Are any materials or methods/technologies/software of third parties (including users) used which are subject to restrictions or commercial secrecy? yes/no

8. 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?

9. Are there any relevant patents/patent applications on the part of the research groups involved and/or potential users? yes/no

10. Are there any relevant patents on the part of parties not involved in the project application which might obstruct the utilisation? yes/no

11. Has the research application been checked by the Tech Transfer Office(s) (TTOs) of the university/universities involved? yes/no Checking with the TTO(s) is advised but is not mandatory.

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)
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?
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.
Further information

Contact

General information is available from

Technology Foundation STW

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STW office

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

Links

• Applications for the Open Technology Programme: [http://www.stw.nl/en/content/applicant](http://www.stw.nl/en/content/applicant)
• STW’s General Funding Conditions: [http://www.stw.nl/en/content/applicant](http://www.stw.nl/en/content/applicant)
• The basic principles of STW's Intellectual Property Policy (IP policy): [http://www.stw.nl/en/content/applicant](http://www.stw.nl/en/content/applicant)
• Requirements to a Letter of support: [http://www.stw.nl/en/content/applicant](http://www.stw.nl/en/content/applicant)
• Cleanroom regulation [http://www.stw.nl/en/content/applicant](http://www.stw.nl/en/content/applicant)
• Task and Method of Working of User Committees: [http://www.stw.nl/en/content/applicant](http://www.stw.nl/en/content/applicant)
• Guidelines for jury members (not in English): [http://www.stw.nl](http://www.stw.nl)
• Questions to referees/Aspects for assessment: [http://www.stw.nl/en/content/applicant](http://www.stw.nl/en/content/applicant)
• Fixed rates in salary tables: [http://www.stw.nl/en/content/applicant](http://www.stw.nl/en/content/applicant)
• Payment of thesis printing costs:  
  http://www.stw.nl/en/content/project-leader  
• Standard amounts for foreign accommodation expenses:  
  http://www.stw.nl/en/content/applicant  
• Standard amounts for capitalisation of co-funding of personnel costs:  
  http://www.stw.nl/en/content/applicant  
• Iris:  
  https://iris.stw.nl/iris/servlet/iris?app=stw  
• How Iris works:  
• Netherlands Organisation for Scientific Research (NWO):  
  http://www.nwo.nl/