Guideline for applicants

Partnership
NWO Domain AES – KWF
Kankerbestrijding – Top Sector LSH

‘Technology for Oncology II’

Partnership programme specific conditions are laid down in the call for proposals.
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Drawing up and submitting a proposal

ISAAC
An application can only be submitted to NWO Domain AES 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 (1) 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:
- Entering several additional details online in ISAAC. **Make sure you allow enough time for this!**
- Submitting the application form
  - Download the application form from the electronic application system ISAAC or from NWO Domain AES’s website (on the grant page for this programme).
  - Complete the application form
  - Save the completed application form as a PDF file and upload it in ISAAC.

Appendices:
Accompanying appendices should be submitted separately in PDF format (without protection). The required appendices (see below) together with the application form is regarded as the full research proposal. Appendices other than the required appendices will not be shared with reviewers and assessment committee.

**Required appendices:**
- Form ‘Financial overview’
- Form ‘Declaration and signing by the applicant’
- Form ‘Data management section’
- Letters of support (as 1 combined pdf)
- Written confirmation of tenure track position, if applicable

Suggestions for reviewers can be submitted in ISAAC. Valuable suggestions are (inter-)national independent experts that comply with the **NWO Code of Conduct on Conflicts of Interest** (e.g. no co-publication or collaborations within the last 5 years). The items that will be evaluated by the reviewers will be published on the website.

Technical questions about the use of ISAAC
For technical questions about the use of ISAAC please contact the ISAAC helpdesk. Contact details can be found in section ‘Contact Information’.

Format
The proposal (sections 1.3 to 8, both included) should not exceed twelve (12) pages in A4 format (Verdana 8.5), excluding references and required appendices. Applications submitted by two (2) or more institutes should not exceed fifteen (15) pages. Please note that additional supplementary information or figures are not allowed. The application should be in **English**. In Section 4.1 and 5.1 of the application form, additional sub-chapters may be added.

The information entered in the application 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. All 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 and University Medical Centres.
  - Netherlands Cancer Institute (NKI) and Princess Maxima Centre (PMC)
  - KNAW and NWO-institutes.
  - 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. NWO Domain AES 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 AES will verify that the appointment meets these conditions.

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 AES 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).

Who cannot apply?

Main applicants and co-applicants with one of the following positions are not eligible to apply:

- Personnel with a zero-hour appointment,
- Personnel with a temporary employment contract (e.g. postdocs, research fellows).
- 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 WUR (former DLO),
- Personnel of a research institute funded by a public-private targeted grant.
- Personnel of foreign research institutes.
- Personnel of private parties.
What can be applied for?

Project-specific costs

NWO Domain AES 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 by Ministry of Education Culture and Science (NL: Minister van Onderwijs Cultuur en Wetenschap; eerste geldstroom) and hence for the necessary infrastructure and the supervision of project workers.

If an (co-)applicant cooperates with other institutes not eligible for NWO Domain AES funding, such as TNO, Wageningen Research 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 master degree (MSc), 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 (4) 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 AES uses a predetermined fixed maximum rate per year of appointment. For this Partnership, please use the personnel tariffs applicable from July 1st, 2018 (see www.nwo.nl/TTW-aanvrager). In determining these rates, NWO Domain AES 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 submission are maintained for the duration of the AES project and these rates will be applicable to personnel appointed to additional personnel positions during the course of the project (e.g. in the event extension).

For postdoc, scientific personnel and non-scientific personnel positions, NWO Domain AES 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 a AES 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 AES
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Notes on secondment
Temporary researchers are appointed to the research institute where the research is to be realised. Because NWO Domain AES 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 AES in advance. A secondment agreement shall be concluded. Where the need arises, an applicant can submit a reasoned request to the AES 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 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 AES 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.

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:
- In addition to the Casimir position, at least 1 other SP position must be requested with at least the same extent of appointment.
- 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.
- 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 AES 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 project. The scientist concerned may not be registered as an applicant or co-applicant at AES/NWO. NWO Domain AES accepts no liability under the Dutch Unemployment Insurance Act in this case.
credit for the project. NWO Domain AES 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.

2. Notes on costs of materials and domestic travel

NWO Domain AES funds project-specific costs for consumables, small instruments and aids, and domestic travel expenses. The amounts entered in the budget are inclusive 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 NWO Domain AES, only the consumables costs can be charged to NWO Domain AES.
- Personnel costs for Casimir position (see 'notes on temporary personnel').
- Costs of domestic travel.
- Costs of project-specific courses for NWO Domain AES 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.nwo.nl/ttw-aanvrager).
- Costs for research activities executed by dedicated specialists employed at research institutions not eligible for NWO funding can be limitedly reimbursed. Please contact the AES office.

Costs which **CANNOT** be charged to material credit:
- ‘Miscellaneous’ or ‘unforeseen’ items, unspecified bench fees.
- Patent costs. Where appropriate, NWO Domain AES will consider the extent to which it will bear such costs.
- Costs of publications or costs of purchasing books and/or journals.
- Costs of printing a thesis. A separate reimbursement scheme exists for this (see www.nwo.nl/ttw-projectleider).
- 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 AES 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.
- 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 (requested personnel in the application), NWO Domain AES applies a maximum standard amount (2000 euro/year/fte) which can be claimed as short travel abroad. Foreign travel costs (economy class) of applicants and co-applicants can also be claimed up to a joint maximum of 6000 euro per project, provided these 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 AES and the referees can base their judgement.

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 AES project. A foreign researcher may also be temporarily appointed to an AES 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 AES 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 AES verifies whether this actually results in a strengthening of the knowledge base for the project.
- NWO Domain AES 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.nwo.nl/ttw-projectleider.
- 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 inclusive of Dutch VAT.

Notes on investments

- NWO Domain AES 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 AES 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. Where such instruments and equipment are not used for their full life for the project, only the depreciation costs corresponding to the life of the project, as calculated on the basis of generally accepted accounting principles are considered as eligible.
- The research institute is responsible for the connection, operating costs and maintenance of the equipment purchased (service charges and repairs).
- NWO Domain AES distinguishes between operation of existing facilities within the research institute and investment in new facilities specifically for the purposes of a AES project. In the case of operating costs and small-scale investments, NWO Domain AES pays only the costs of consumables. These costs can be claimed as material credit. NWO Domain AES 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 AES 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 AES.
• NWO Domain AES 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. It is NWO Domain AES’ 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 (4) users should sit on the user committee and at least 50% of the users should be from industry (for profit; company). Research proposals from a medical faculty or university medical centre should have potential users, just like other proposals. It is not sufficient in this case to state merely ‘the patient’, ‘expert’ or ‘a clinic’. The final composition of the user committee in these proposals is subject to the same conditions as other AES projects.

Of note, at least two (2) industrial partners should be committed to the project before submission of the application. We refer to the call for proposals of this Partnership programme for the co-funding criteria and the partnership specific IP&P conditions (see also ‘Partnership project agreement’).

Within this Partnership programme, project user committees may be extended with industrial partner(s). In this case, the industrial partner(s) (company; for-profit) are required comply with the co-funding criteria for industrial partner(s), e.g. an in-kind contribution and contribution of an entry fee as described in paragraph criteria for co-funding.

Co-funding

See ‘specific requirements of the Partnership programme’ in the call for proposals. In brief, co-funding of 15% of total project costs (see below for definition) by industrial partners (for profit; companies) is required for each proposal. This co-funding includes an in kind contribution as well as an in cash contribution from each industrial partner in the consortium (entry fee). Non-industrial partners (e.g. not-for-profit or other) may contribute, both in kind and/or financially to the project, however contributions from these consortium partners are not taken into account to calculate the minimum requirement of 15% co-funding on project level. Furthermore, for optimal benefit from PPP Allowance within this Partnership programme in kind contributions from universities should be capitalised and confirmed with a support letter. In case of doubt or unclarity please contact NWO Domain AES office.

Definitions

• Total project costs (for calculation of minimal co-funding requirement): necessary financial resources plus in kind contributions from industrial partners (company; for-profit).
• Financial resources: Financial contributions from industrial partners used to cover part of the project costs (in cash co-funding) and the contribution from NWO Domain AES, KWF Kankerbestrijding and Top Sector LSH, constitute the necessary financial resources.
• In-kind contributions: In-kind contributions means capitalised personnel and/or material contributions from users.
• Total requested project budget: requested budget from NWO Domain AES, KWF Kankerbestrijding en Top Sector LSH.

**Notes on Criteria relating to co-funding**

- NWO Domain AES uses the financial co-funding to cover part of the project costs. After a project is approved, NWO Domain AES sends an invoice to users who have pledged a financial contribution. Once the funds have been received, they are allocated to the project. The cash contribution stated in the letter of support is exclusive of Dutch VAT and paid to NWO domain AES.
- NWO Domain AES 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 AES assumes that providers of co-funding have an interest as users and therefore as applicants of the research results outside science. Co-funders always participate in the user committee.
- Government agencies can play various roles in AES projects, namely: (1) as a research partner (without entitlement to AES 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 (industrial) partners, with the exception that within this Partnership programme in cash or in kind contributions provided by government agencies do not count towards the required level of co-funding.
- The co-funding to be provided by users must be confirmed in a letter of support (see template support letter). 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), 4) whether the user agrees to the Intellectual Property & Publications laid out in the Partnership project agreement.
- See for Partnership programme specific requirements the sections ‘Letters of support’ and the ‘Notes on Intellectual Property & Publication arrangements’ later in this brochure.

**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 AES project. For personnel support by third parties, NWO Domain AES 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.nwo.nl/ttw-aanvrager.
- 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 or software) as in kind co-funding. Acceptance is not automatic in such cases. Contact NWO Domain AES 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**

NWO Domain AES 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 AES and these will therefore never count towards the required level of co-funding.

However, for optimal benefit from PPP Allowance provided to this Partnership programme by Top Sector LSH we kindly ask you to provide us insight in the in kind contributions universities will make to the project (see "notes on application form section 8.6" 
- 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 AES (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. NWO Domain AES 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:

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.

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

In the final paragraph of the support letter should include the following statements from the company and the representative signs for this:

- 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 NWO Grant Rules 2017, Guidelines Users’ Committee NWO Domain AES and IP arrangements as proposed in the Partnership project agreement and signs for this.

If so desired the company can satisfy the requirements by submitting together with the letter of support a checked off and signed list of the conditions stated under A, B and C. Moreover, a template support letter is available on the NWO Domain AES website (https://www.nwo.nl/en/about-nwo/organisation/nwo-domains/ttw/applicant).

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 in the application. A copy or scan of the letter will suffice for the submission of a research proposal. NWO Domain AES 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 AES 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 Intellectual Property policy (IP policy) & Publication arrangements

NWO Domain AES 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 AES’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 taking into account the terms and conditions of the Partnership agreement and the respective Partnership project agreement published together with the call for proposals.

NWO Domain AES adheres to a set of rules concerning Intellectual Property (IP) that support NWO Domain AES’s mission. NWO Domain AES’s policy is in line with the IP policy adopted by the Netherlands Organisation for Scientific Research [NL: 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.
Notes relating to the application form

The below indicated information is relevant to sections of the full proposal application form to further substantiate the instructions in the application form. If applicable for the Partnership programme, the instructions for completing a pre-proposal format are included in the format. For any questions related to the forms required for your application please contact NWO Domain AES office.

1. Details application

1.1. Further details main applicant
The name and address of the main applicant in 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 in English. Also state the additional information, including % of full-time appointment and confirmation of permanent employment.

1.3. Title [proposal length and page count starts from this section]
State the title of the project and an abbreviated title or acronym, 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 committee members whom generally have a broader expertise. Committee members will base their judgement primarily on the opinion of the experts as laid down in the reviewers comments and rebuttal, summaries and utilisation section. It is therefore vital that these sections are worded clearly and concisely, so as to be convincing to committee members. In addition, section 2.3 may be used by NWO Domain AES 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 committee needs to know about utilisation, the approach taken to it and the likelihood of it being achieved.

2.3. Summary NWO Domain AES's, KWF Kankerbestrijding en Top Sector LSH website and online in ISAAC
Add a general summary in English for NWO Domain AES’s website (10 lines with a number of keywords; be aware of risks with respect to intellectual property). Use this summary when completing submission of your application 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.

- More than one research institute is participating in a project therefore indicate the intended sub-project leaders in addition to the project leader.
- More than one research institute and/or research group is involved in the project therefore 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 and demonstrate that there is sufficient access to facilities and infrastructure for requested personnel.
- The project leader is responsible in all cases for coordination and communication between the participating institutes/research groups/ researchers.
• Substantiate the technical expertise of at least one of the applicants of the proposal, as well as how multidisciplinary collaboration is organised in the project.

4. Scientific description

This section should contain sufficient information to enable an expert reviewer to assess the quality of the research proposal and the relevance of the research question for the (future) cancer patient.

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. In this paragraph sub sections may be included.

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 in workpackages 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.

4.4. Type of research according to the PPP definitions

Indicate the type for research of each work package (fundamental and/or industrial research) according to the PPP definitions and shortly motivate your classification under the table. Please contact the Top Sector LSH in case of doubt with respect to this classification.

5. Utilisation plan

The utilisation plan must be clear to people without specific prior knowledge. Give sufficient details to enable referees and assessment committee members to assess the relevance for (future) cancer patients and patient involvement. Additionally, described when any potential application outside science may be expected. Please note that Utilisation comprises 50% of the evaluation.

5.1. The problem, the proposed solution and relevance for the (future) cancer patient.

• 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. Of note, technological development must be patient focussed (see ‘call for proposals’).
• Describe the relevance for the (future) cancer patient: how the technology explicitly intends to benefit patients and how patients are involved in (the formulation and realisation of) the research project.
• 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.
• Describe if and how the research devotes attention to societal embedding and acceptation.
• NWO Domain AES 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.

Subsections may be added in this paragraph.

5.2. Potential users

State the full contact details (name of organisation/company and person to contact, address, telephone number, e-mail address) of industrial partners, non-industrial partners, institutes and/or other organisations 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 AES 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.

Of note, please include any involvement of (co-)applicants with the indicated users or in parties to which paid or unpaid work is to be tendered (e.g. appointment, advisor, member of (governing) board etc.).

6. Intellectual property
State all information relevant to the research proposal in relation to NWO Domain AES policy and NWO IP&E policy. Providing the requested information is compulsory in order to determine freedom-to-operate.

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.

An overview of all patents (name, number, title) can optionally be included in section 9.

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 and/or resubmission
State whether funding has been requested elsewhere for this research proposal or parts thereof. Also indicate whether (parts of) the proposal have been submitted and assessed by peer review elsewhere. 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 AES.

8. Financial overview
Justify the need for both the personnel credits requested and the necessary materials and investments in equipment. This section should contain sufficient information to enable an expert reviewer to form an opinion on the requested budget.

8.1. Personnel positions
State the necessary temporary project specific 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.

Please use the personnel tariffs applicable from July 1st, 2018, see www.nwo.nl/ttw-aanvrager

8.2. Consumables
In accordance with the standards that apply within your research institute, specify the project-specific 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 (economy class). 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. For the current rates for in kind personnel contribution, see www.nwo.nl/ttw-aanvrager. Of note, the requirement for co-funding and specific condition with respect to co-funding are outlined in the call for proposals.

8.6. Cost Breakdown
In order to complete the table in the application we advise to fill out the Partnership specific Financial Overview form first. This form is provided on the website of the corresponding partnership call. Please also state any financial contribution(s) and/or capitalised contribution(s) from all user(s) including the industrial partners (for-profit; companies), if applicable.

• Fill out the form for project specific cost (personnel, materials, investments).
• Make sure that the (capitalised) co-funding contributions from industrial partners in this form and the letters of support agree. Of note, only these count towards the minimal required co-funding of 15% and should be indicated in the 1st table of the application form.
• Make sure that the (capitalised) co-funding contributions from non-industrial partners in this form and the letters of support agree. Of note, these contributions do not count towards the minimal required co-funding of 15% and should therefore be indicated in the 2nd table in the application form.
• Make sure that the capitalised in kind co-funding contributions from universities in this form and the letters of support agree. Of note, these contributions do not count towards the minimal required co-funding of 15%. However, these contribution do effect the potential benefit from PPP Allowance within this programme and as such in kind contributions from universities should be indicated in the 2nd table (bottom row) in the application form separately from the in kind contributions of other non-industrial partners.

• The form should be submitted 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 guidelines and the submission criteria (including the necessary co-funding) will not be considered.

8.7. Letters of Support
As confirmation of the co-funding to be provided, submit the letters of support (in English, 1 combined PDF) with the application form. Please mention or list in this sections the names of the co-funders of which a support letter is submitted (see template provided on website).

9. References
9.1. Selection of key publications from research group(s)
State the key publications of the research group(s) in relation to the proposal or the proven technical expertise and multidisciplinary collaboration among the consortium.

9.2. List of publications cited
State the publications cited (preferably without et al). Identify those in which members of the research group(s) submitting the application are involved, by the use of a bold font.

**9.3. List of patents** (optional)

If you wish to include a list of all relevant patents please add this section to your application and mention name patentholder, patent number and patent title.

**10. Abbreviations and acronyms**

It is important that both experts and committee 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 on the Partnership specific form 'Declaration and signing by the applicant', 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.

**Datamanagement form**

After completing the information requested on the Partnership specific form 'Datamanagement form, please submit this compulsory element of the application as a separate appendix with your application in PDF format.

**Finally**

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

For questions regarding partnership guidelines please contact NWO Domain Applied Engineering Sciences

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Programme Officer
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Contact details for theme specialists and/or Partner representatives can be found in call for proposals of the corresponding Partnership call of your interest.

Visiting address
Van Vollenhovenlaan 661
3527 JP Utrecht
The Netherlands

Postal address
Postbus 3021
3502 GA Utrecht
The Netherlands

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 CE(S)T 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

- Netherlands Organisation for Scientific Research (NWO)  
  http://www.nwo.nl
- NWO Domain AES  
  www.nwo.nl/ttw / www.nwo.nl/aes
- Partnerships  
  www.nwo.nl/partnership
- ISAAC:  
  https://www.isaac.nwo.nl; An ISAAC manual can be found in ISAAC (tab ‘Help’)
- ISAAC helpdesk:  
  isaac.helpdesk@nwo.nl
- Open calls NWO Domain AES:  
- Partnership programme NWO Domain AES – KWF ‘Technology for Oncology ’  
  www.nwo.nl/ttw-kwf / www.nwo.nl/aes-kwf
- General Funding Conditions / NWO Grant Rules 2017  
  www.nwo.nl/ttw-projectleader / www.nwo.nl/aes-projectleader
- Guidelines Users Committee NWO domain AES 2017  
- Code of Conduct on Conflicts of Interest:  
- Cleanroom regulation  
  www.nwo.nl/ttw-aanvrager / www.nwo.nl/aes-applicant
- Fixed rates in salary tables personnel  
  www.nwo.nl/ttw-aanvrager / www.nwo.nl/aes-applicant
- Hourly rates in-kind personnel  
  www.nwo.nl/ttw-aanvrager / www.nwo.nl/aes-applicant
- Standard amounts for foreign accommodation expenses:  
  www.nwo.nl/ttw-projectbeheer / www.nwo.nl/aes-projectmanagement
- Payment of thesis printing costs:  
  www.nwo.nl/ttw-projectleider / www.nwo.nl/aes-projectleader
- Nagoya Protocol:  
  https://www.absfocalpoint.nl/en/absfocalpoint.htm
- KWF Kankerbestrijding  
  www.kwf.nl
- Knowledge and Innovation Agenda Top Sector Life Sciences & Health 2018-2022  
- RvO  
  www.rvo.nl
- Public-Private Partnership (PPP) Allowance (NL: PPS-toeslag), in Dutch only:  
  PPP definitions regarding type of research (fundamental, industrial and experimental in nature)  
Appendix 1: Notes for the completion of an Financial Overview

The Financial Overview (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 personnel rate. Make sure you use the personnel tariffs applicable from July 1st, 2018 (worksheet provided in Excel file).
  
  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 by industrial partners (for profit; company) the following applies:
  
  For in kind co-funding: enter the official name of the co-funder, a brief description of the material and/or personnel contribution and the capitalised amount (hours * tariff) per item/service and in concert with the support letter. This co-funding is not included in the four credits (personnel, material, travel and investment) mentioned above, but does count towards the total project costs.
  
  For in cash co-funding, 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 and in concert with the support letter.

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

- In the case of co-funding by non-industrial partners or universities, enter the official name of the co-funder, a brief description of the material and/or personnel contribution and the capitalised amount (hours * tariff) per item/service or the financial contribution (negative amount). Of note, the amount of co-funding provided by these partners does not count towards the minimal required co-funding criteria.

  The financial contributions of non-industrial partners are used by NWO Domain AES to cover part of the project costs. NWO Domain AES collects the financial contribution and then allocates it to the project.

  Of note, industrial partners are not required to provided co-funding over financial contributions of non-industrial partners and is therefore deducted from total project costs for calculation of co-funding requirement (Cell I7 in the form).

- 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.

Please contact the AES office in case of uncertainties.
Appendix 2: 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.