



# Perspectief

Enabling new technology  
in the top sectors

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## Brochure II

Call 2014/2015

Notes on guidelines for full programme proposals

Starting date: 24 februari 2015

Version: 1

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## STW-Perspectief call 2014/2015 for the Top Sectors

# Public-private research programmes

Each year Technology Foundation STW makes a research budget available with which new, challenging research programmes within the technical and applied sciences can be developed and funded. In this Perspectief funding round a sum of about 15 million euros is available for programmes that fit within the Top Sectors.

**Programme proposals may only be submitted by applicants invited to do so by the STW board.**

## 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



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.

## Perspectief programme

The STW funding instrument Perspectief is targeted at solving innovation bottlenecks by applying innovative knowledge and by doing this making a contribution to technological innovation that has a potential economic impact for the Netherlands. Perspectief programmes are characterised by the following attributes:

- the development of new technology via a multidisciplinary approach,
- collaboration with and co-financing by users,
- specific activities aimed at valorisation and entrepreneurship.

### Procedure Perspectief call 2014/2015

The Perspectief procedure has three phases:

<b>Phase 1</b>	Programme initiative	Publication of the research topic on the STW website to promote openness and collaboration
<b>Phase 2</b>	Programme design	Description of objective(s), lines of research, type of projects, budget and users' contribution
<b>Phase 3</b>	Programme proposals	Elaboration of selected programme topics

Phases 1 and 2 are described in Dutch in the Perspectief Brochure of 1 October 2014 and are now closed. Brochure II (in Dutch) describes phase 3 and provides further instructions for the elaboration of programme designs into final proposals and for the remainder of the assessment and selection procedure. This English-language brochure is a condensed version of the Dutch brochures and briefly explains the conditions governing proposals submitted to STW for the funding of scientific research under the Perspectief Programme.

### Top Sectors

The available Perspectief budget is divided into two top sector compartments within which the final programme proposals will compete.

	<b>Top Sectors</b>	<b>Budget</b>
<b>Compartment A</b>	HTSM (including ICT, Nanotechnology en Medical Technology)	M€ 7
<b>Compartment B</b>	Life Sciences & Health (excluding Medical Technology), Horticulture & Propagation materials, Agri & Food, Chemistry, Energy	M€ 8

**Deadline submission of programme proposals: 21 May 2015, 12:00 hours via [info@stw.nl](mailto:info@stw.nl)**

## Co-financing criteria

For each programme, at least **15% of the financial resources** required to conduct the research must be in the form of **cash** co-financing from the users. In addition, at least **30% of each programme's total cost** (required financial resources plus in-kind contributions) must also consist of **co-financing** from users (cash and/or in-kind contribution). See Annex 4 for a sample calculation.

The co-financing requirement applies to the **entire programme** and not at project level. This way, scientifically sound project initiatives that cannot meet the co-financing requirement are compensated by the other projects in the same programme that have a high user contribution. STW must nonetheless be the primary financier for all individual projects and at least 2/3 of the projects must themselves satisfy the co-financing requirement.

The minimum STW contribution amounts to €2 million; the maximum STW contribution is €4 million. The maximum STW contribution is €750,000 for each project.

## Timeframe

### PHASE 3: Programme proposals

Activity	Date/ period
Develop programme designs into programme proposals	End of February – mid-May 2015
Deadline for the submission of programme proposals	21 May 2015, 12 noon
Assessment by (international) referees	End of May – early September 2015
Primary applicants' rebuttal	Early September – mid-September 2015
Interview rounds with applicants / prioritisation by the assessment committee	Early October – end of October 2015
Board decision concerning 2015 programme topics	13 November 2015
Announcement of the decision to the main applicants	16 November 2015

## Contact information

Should you have any questions concerning this Perspectief round, please contact the Perspectief coordinators.

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## Ongoing STW-Perspectief programmes

### Perspectiefprogrammes 2014:

- Cancer-ID: New Technology for monitoring Cancer therapy through extracellular vesicle Identity  
Program leader: Prof. Leon WMM Terstappen, UT
- UPON: Understanding processes using Operando Nanoscopy  
Program leader: Prof.dr. H.W. Zandbergen, TUD
- EUROS: Excellence in uncertainty reduction of offshore wind systems  
Program leader: Prof. dr. ir. G.A.M. van Kuik, TUD
- SES-BE: Smart energy management and services in buildings and grids  
Program leader: Prof. ir. Wil L. Kling, TUE
- LED it be 50%  
Program leader: Prof dr ir Leo F.M. Marcelis, WUR
- Back to the Roots (Back2Roots)  
Program leader: Dr Jos M. Raaijmakers, NIOO-KNAW

### Perspectiefprogramma's 2013:

- Symbionics: Co-Adaptive Assistive Devices  
Program leader: Prof.dr.ir. H.F.J.M. Koopman, UT  
Biomarker Development Center (Biomarker-DC)  
Program leader: Prof.dr. R.P.H. Bischoff, RUG
- RiverCare: towards self-sustaining multifunctional rivers  
Program leader: Prof.dr. S.J.M.H. Hulscher, UT
- Merging Electronics and Micro & nano Photonics in Integrated Systems: MEMPHISII  
Program leader: Prof.dr. M.K. Smit, TUE
- Green defence Against Pests (GAP)  
Program leader: Prof.dr. M.A. Haring, UvA

### Perspectief programmes 2012:

- NatureCoast: Nature-driven nourishment of coastal systems,  
Program leader: Prof. Marcel Stive, TUD
- CPS: Robust design of cyber-physical systems  
Program leader: Prof. Gerard Smit, UT
- iMIT: Instruments for minimally invasive techniques  
Program leader: Prof. Jenny Dankelman, TUD
- Microscopy valley  
Program leader: Prof. Hans Gerritsen, UU
- ImaGene: population imaging genetics  
Program leader: Prof. Wiro Niessen, EMC and TUD

Further information about these current programs can be found at <http://www.stw.nl/nl/programmas>

## Appendix 1: 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](http://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

1. 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.
2. 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.
3. 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.
4. 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.
5. 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.
6. 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

7. 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](http://www.stw.nl).



8. 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.
9. 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**

10. 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.
11. Discounts on (commercial) rates for materials, equipment and/or services, for example.
12. Costs relating to overheads, supervision, consultancy and/or participation in the user committee.
13. 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).
14. Costs which are not paid by STW (e.g. clinical trials, costs relating to the exploitation of the research results, service costs equipment).
15. 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](http://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.

## Appendix 2: Calculation example co-funding

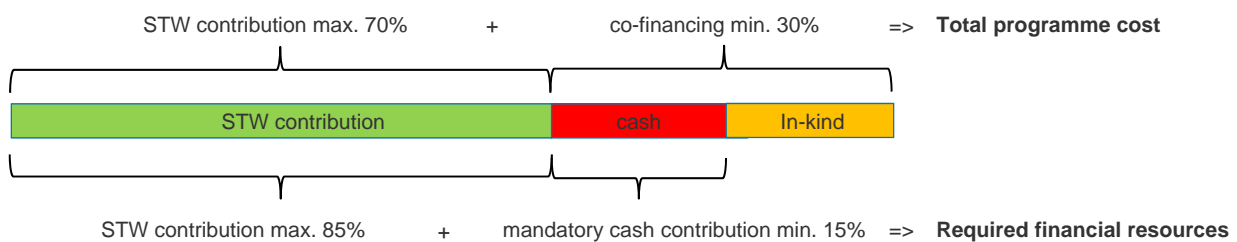
The minimum STW contribution amounts to €2 million; the maximum STW contribution is €4 million. The maximum STW contribution is €750,000 for each project. User co-financing is mandatory in addition to the STW contribution.

The co-financing requirement for the 2013/2014 Perspectief round applies to the **entire programme** and not at project level. STW must nonetheless be the primary financier for all individual projects and at least 2/3 of the projects must themselves satisfy the co-financing requirement.

The principle is that STW funds a maximum of 70% of the total programme cost and that co-financing amounts to at least 30% of the **total programme cost**. The co-financing has a mandatory in-cash portion of at least 15% of the **required financial resources**; the remaining portion may consist of in-kind co-financing (Figure 1).

The minimum required co-financing of 30% must be supplied by companies and institutions that cannot act as an applicant for STW projects.

Figure 1:



To keep the mandatory cash contribution from increasing indefinitely along with increasing in-kind contributions, the contributions are defined as follows:

- financial contributions will be used to cover a portion of the project costs and therefore constitute the necessary financial resources along with the STW contribution;
- in-kind contributions mean capitalised personnel and/or material contributions from users.

If anything is unclear, we recommend that you contact the coordinators Dr Anke Stekelenburg (+31 30 600 1314, a.stekelenburg@stw.nl) or Dr Lise de Jonge (+31 30 600 1223, l.dejonge@stw.nl).

## Appendix 3: 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.

- 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'.
- 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.
- Existing IP rights continue to be vested in the holder(s) of such right who contribute these rights to the project. Insofar as it is possible under the law, and insofar as it is not detrimental to the reasonable commercial interests of the right holder, this/these right holder(s) will facilitate, at their own discretion and in all reasonableness, a freedom to operate.
- 'Freedom to operate' means that the holder of the intellectual property right grants licences to others within the project:
  - insofar as legally possible;
  - insofar as necessary for the project (without charge);
  - insofar as necessary for the exploitation of the results of the research and possible concomitant results (at a fair market price);

- insofar as such freedom to operate is not detrimental to the reasonable commercial interests of the right holder.
- Protection of research results, confidentiality and publications**

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)**
  - 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.
  - 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.