

# Guide for Project Plan and Program Tender



**TKI DINALOG**  
Dutch Institute for Advanced Logistics

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4. Template Partner Agreement (to be used for submitting a proposal)
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## Summary

TKI Dinalog (in which Dinalog, NWO and TNO work together on innovation in logistics and supply chain management) employs Calls for Proposals. These are open calls, which take place in one or two rounds per year. Calls for Proposals are publicized through the appropriate channels, such as through the TKI Dinalog website and the website of the Netherlands Organization for Scientific Research (NWO) and through press releases in the media.

The Program Committee assesses the submitted project proposals and advises the Board of TKI Dinalog on whether or not to grant the application. The Board makes the final decision.

The document before you describes the manner in which project proposals should be submitted to TKI Dinalog:

- the guidelines and basic principles with regard to financing and co-financing.
- the rights and obligations of the project partners.
- the guidelines with regard to intellectual property.
- the procedures with regard to submissions.
- the evaluation.
- the allocation of the grant.
- the accountability.

The Board can amend the details of the scheme at any time; any amendments will be published in plenty of time. The awarding of project proposals by the Board of TKI Dinalog in general takes place under the pre-condition that the underlying funding has been allocated to TKI Dinalog by the Rijksdienst Voor Ondernemend Nederland (RVO).

## 1 Call for Proposals

### 1.1 General

TKI Dinalog (in which Dinalog, NWO and TNO work together on innovation in logistics and supply chain management) develops innovation programs, in harmony with the ambitions and objectives of the Top-sector Logistics.

TKI Dinalog uses Calls for Proposals. These are open calls, which take place in one or two rounds a year. Calls for Proposals are publicized through the appropriate channels, such as through the website of TKI Dinalog. After announcement, consortia comprising companies and knowledge institutes can submit project proposals.

Each project has a coordinator appointed by the collaborative parties. In principle, a knowledge institute or company can be the coordinator.

Submission of project proposals must take place as follows:

- Submission by email, of the electronic version of the documents in PDF, but including at least original MS Word and Excel versions (including the project budget) of the documents to the following email address [tenders@dinalog.nl](mailto:tenders@dinalog.nl).

The submission is ongoing until the publicized time and date of the deadline (for the applicable round). In the case of a late receipt of the submission, the proposal will not be eligible.

## 1.2 Summary of the procedure for project proposals

The consortium submits a proposal in accordance with Annex 2. Project proposals are submitted to TKI Dinalog. TKI Dinalog assesses if the project proposal is admissible and meets the conditions for the current Call for Proposals.

In the event of a positive evaluation of the proposal it is subsequently presented to the Program Committee. The project proposal is reviewed by the Program Committee and based on their reviews ranked in the categories “excellent”, “good”, “sufficient”, “moderate” and “insufficient”.

The project budget is assessed, and calculations are verified by the management and financial experts. The intrinsic evaluation and the financial assessment together with the complete project proposal and advice from the management are submitted to the Board.

The Board comes to a final decision regarding the awarding of projects, considering the assessment by the Program Committee and the ranking, keeping in mind the advice from the management regarding the quality of the project plan and taking into account the financial space for the particular Call for Proposals<sup>1</sup>. The basic assumption is that the Board follows the advice from the Program Committee and ranking through allocating as many projects as possible from the category excellent and only deviating from this in the case of well-founded argumentation.

The project can be started following approval from the Board on the basis of the written notification of the grant from TKI Dinalog, to be provided by the management.

## 1.3 The objectives of the Top-sector Logistics and TKI Dinalog

The objective for TKI Dinalog is to develop innovative applied research projects and experimental development projects in public-private partnerships (PPS) in which knowledge institutions, private companies and governments that relate to the specific themes and topics are specifically invited to submit proposals.

Applied research is research in which new knowledge and knowledge that builds upon existing research is developed that is not yet available (as deduced from the international literature) and therefore entails a significant research component. The research funded by TKI Dinalog is applied in nature, i.e. the project results should clearly contribute to innovation and lend themselves to practical application / use. To that end, a substantial and active involvement of stakeholders from the industry in the project (a minimum of 25% of the project financing must be contributed by participants from trade & industry).

Experimental development are projects to demonstrate, pilot and experiment with proof of concepts and prototypes of innovative concepts and tools and for the valorization of R&D results in order to strengthen and intensify the interaction with the logistics sector.

Considering the high ambition to add value in supply chain control and logistics, **a clear and detailed valorization plan and activities** to create and maximize economic and societal impact is required in the project plans to contribute significantly to up scaling, multiplying and widening the project results to the entire logistics industry. Also a clear and elaborate quantification of the potential effects of the project for the logistics industry is key.

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<sup>1</sup> The awarding of project proposals by the Board of Dinalog in general takes place under the precondition that the underlying funding has been allocated to Dinalog by RVO.

## 2 Project financing

The following diagram indicates how the project costs are to be financed (example for a R&D project). The template that must be used for the Project Budget calculation is included in Annex 3.

### Project budget (the example below is for an industrial project)

Direct project costs	100
<u>Total</u>	<u>100</u>

### Project financing

Grant, maximum 50%	50	In-cash
Contribution knowledge institutes Contribution trade & industry <i>(a minimum of 25% of the project financing is supplied by trade &amp; industry, of which preferably part is supplied in-cash).</i>	50	In-cash or in-kind
<u>Total</u>	<u>100</u>	

The template that must be used for the Project Budget calculation is included in Annex 3.

### 3 Selection procedure and proposal criteria

Proposals are to be submitted according to the template in Annex 2.

#### Project proposals will be assessed as follows:

- a. The initiative for a proposal must come from a consortium of at least two companies (or one company and one public organization if relevant), both based in The Netherlands, and at least one, but preferably more, research institutes based in the Netherlands. It is recommended that SMEs participate in the project. International parties are explicitly encouraged to become a member of the consortium; however, they are eligible for funding only if they provide very unique qualities / capabilities / knowledge not to be found in the Netherlands. The coordinator of the consortium (the 'applicant') is responsible for submitting the proposal. Any partner in a consortium can be the coordinator.
- b. Applicants are invited to contact the TKI Dialog for information and guidance.
- c. Submission: the proposal is to be submitted via e-mail to the dedicated mailbox [tenders@dialog.nl](mailto:tenders@dialog.nl), accessible by the TKI Dialog Management, as stated in paragraph 1.1. Proposals can be written in **Dutch** or **English**.
- d. An eligibility check is performed by the TKI Dialog Management to verify if the proposal meets program criteria. The eligibility check includes at least the following questions:
  - Does the proposal comply with the given template? [NO = Reject].
  - Are at least two companies or one company and one public organization in combination with at least one research institute members of the consortium? [NO = Reject].
  - Does the project proposal comply with the definition of industrial research or experimental development [NO = Reject] ([definitions on the RVO website](#)).
  - Does the project start after the submittance date? [NO = Reject].
  - Is the economic impact well-described and does it relate to TKI Dialog's economic impact objectives and KPI's (see Annex 5)? [NO = Reject].
  - Is there explicit attention for knowledge dissemination and knowledge valorization in the proposal and work packages [NO = Reject].
  - Is the requested funding for industrial research a maximum of € 500,000 and for an experimental development project a maximum of € 300,000? [NO = Reject].
- e. The amount of funding requested in principle cannot exceed a certain maximum (unless otherwise stated in the call document for proposals):
  - Industrial (R&D) research: a maximum of 50% of the total eligible project costs with a maximum funding of € 500,000 (with a required minimum of total eligible project costs of € 1.000,000 for a maximum of 3 years).
  - Experimental development, piloting and demonstration: a maximum of 25% of the total eligible project costs with a maximum funding of € 300,000 (with a required minimum total of eligible project costs of € 1.200,000 for a maximum of 3 years).

If the amount of requested funding exceeds the maximum, the applicant will be asked to downsize the proposal. Projects, however, can be larger in volume, but this implies that the own contribution to the project (matched by research institute and company) must be higher, because the maximum grant amount from TKI Dialog cannot exceed the amounts indicated above.



- f. The Program Committee will assess project proposals that pass the eligibility check. The Committee members assess each proposal based on the criteria detailed in Annex 1, provide feedback and rank the proposal by giving between 1 and 5 marks per criterion (each criterion having its own weight).
- g. The Program Committee advises the Board and the Board comes to a final decision regarding the allocation of projects, considering the assessment and ranking by the Program Committee keeping in mind the advice from the Management with regard to the quality of the project plan and taking into account the financial space for the particular Call for Proposals. The basic assumption is that the Board follows the advice and ranking from the Program Committee through allocating as many projects as possible from the category excellent and only deviating from this in the case of well-founded argumentation. Any appeal against the decision of the TKI Dinalog Board needs to be submitted within 4 weeks after receipt of this decision. The Program Committee will review appeals from the applicants.

## 4 Preparing a proposal

### 4.1 Drafting a proposal and detailed project plan

The documents of a proposal are submitted to TKI Dialog by the coordinator, in accordance with this Guide for Project Plan and Program Tender.

Necessary documents for submission:

- Project plan can be in **Dutch** or **English** (see explanation in chapter 6 / Annex 2).
- Project budget (see explanation in chapter 7).
- Partner agreements (see explanation in chapter 8).

Parties can make use of the advice from the TKI Dialog Management.

### 4.2 Advice regarding grant allocation

#### 4.2.1 Project plan requirements

Complete an accurate description of the project in 7 parts (see chapter 6 / Annex 2):

##### **Part A: Grant Application Form**

A form for the grant application for the project.

##### **Part B: Project Summary**

A project summary no longer than 1 A4.

##### **Part C: Motivation and relation to innovation themes, the call and government policy**

*(This part is related to the Assessment Criterion: Fit to the Call for Proposals)*

- the motivation of the proposal.
- the link to the objectives and themes of the call document National Knowledge Agenda Logistics 2024.
- the links to government policy and the harmonization with government, if applicable.

##### **Part D: Orientation, Objectives and Research questions**

*(This part is related to the Assessment Criterion: Quality of the Proposal)*

- the degree of innovation (innovative aspects) of the plan regarding the international state of the art and status and developments of the applicable technology.
- Project objectives / aim of the research
- Project goals in terms of SMART: Specific, Measurable, Acceptable, Realistic and Timing. The goals have to be linked to the goals as described in the Top-sector Logistics (see also 1.3 of this Guide or go to [www.dialog.nl](http://www.dialog.nl), Guide, formats & relevant reports).
- the key research questions and the link between the research questions and the proposed appropriate research approach.

##### **Part E: Activities and Work Packages**

*(This part is related to the Assessment Criterion: Quality of the Proposal)*

- the activities / work packages.
- the time scale and phases of the project implementation, including milestones.
- Methods of monitoring and evaluation of the project.
  - in the area of the piloting of the innovation process: the degree to which conditions for effective innovation are achieved.

- in the area of innovation content: the degree to which the new practices (approach, products, processes) are actually realized.
- in the area of the effects of innovation: the degree to which the intended quantitative and qualitative effects are achieved at customer level and at the level of those directly involved.

#### **Part F: Consortium and project organization**

***(This part is related to the Assessment Criterion: Quality of the consortium)***

- the project organization and governance structure in the project.
- the intrinsic and financial contributions from the partners in the consortium, related to the activities / work packages.
- the planning and the activities to be undertaken (including share of budget for this) with regard to the knowledge valorization and implementation of the results of the project and the dissemination of knowledge both within and outside the consortium.

#### **Part G: Impact: Valorization and Implementation Strategy and Expected results**

***(This part is related to the Assessment Criterion: Impact)***

- what concrete activities and deliverables are defined (how explicit valorization activities are organized and when).
- what is (are) the concrete aim(s) of the dissemination and valorization activities.
- what are the target groups.
- what results are expected with regard to the valorization (during the project as well as the period after the project has ended).
- what plug-and-play solutions are developed for upscaling, multiplying and widening of results to the entire logistics industry.
- who is responsible for the implementation and performance of the valorization activities.
- which financing, inside or outside the project budget, has been set aside for the valorization activities.

In addition, it is indicated which follow-up steps after the conclusion of the project are expected in the area of implementation:

- how the implementation of the knowledge developed is attempted in practice.
- who is responsible for the implementation.
- what financing, within or outside the project budget, is used for this purpose.

With regard to results, include a quantification of the potential expected results following implementation (e.g. reductions in CO<sub>2</sub> and as a business case) for the project partners and potential for the logistics sector. Indicate and quantify what your project will contribute to the reductions in CO<sub>2</sub> and as a business case will contribute to the ambition to increase the Dutch added value (GDP) in supply chain control and logistics from € 18.6 billion in 2015 to over € 29 billion in 2030.

#### **4.2.2 Project budget requirements**

The budget format (that must be adhered to) can be found in Annex 3.

Requirements:

- the project budget is perceptive, realistic and balanced and clearly related to the project activities / work packages.
- the project budget is balanced on the basis of cash flows.
- the total grant for a project amounts to a maximum of 50% of the R&D project costs (industrial research) and 25% of the demonstration project costs eligible for a grant. A minimum of 50% of the project costs must come from co financing by the consortium, of which a minimum of half from trade & industry. Preference being

given to trade & industry providing at least half of its contribution in cash and the remaining part in kind.

- In terms of the allocation of the total project grant for an industrial research project to the individual project partners, the grant for a private project partner amounts to a maximum of 50% of the budgeted project costs of that project partner. The grant for a knowledge institute (universities, universities for applied sciences and TO2 institutes) amounts to a maximum of 80% of the budgeted costs of that project partner. For an experimental development project the percentages are respectively 25% for private project partners and 80% for knowledge institutes.
- the degree to which the project budget complies with the form and format requirements is described in chapter 7.
- IKS costing method can be applied. In the case of partners that want to make use of IKS (through an agreement with Rijksdienst voor Ondernemend Nederland, RVO), this must be noted on the grant application form and properly discussed with and supported by the other partners in the project and included in the budget.

#### **4.2.3 Consortium description**

The description must comply with:

- upon submission of a proposal, a partner agreement between the partners must be presented (for a more detailed explanation, see chapter 8 and Annex 4).
- in a later phase (within 3 months of the official start date of the project as stated in the grant letter) a signed consortium agreement between and by all partners in a consortium must be presented. This is a strict precondition for the project to receive the first and following advances of the grant.
- the consortium agreement must detail a comprehensive and accurate description of the consortium, with rights and obligations, agreements with regard to confidentiality, publication, dissemination of information, etc. (see explanation in chapter 8 and Annex 5).

The consortium agreement is enclosed in Annex 5. A WORD template for a standard consortium agreement is available on the TKI Dialog website.

#### **4.3 Grant allocation decision**

The proposal is reviewed by the Program Committee and consequently evaluated in the categories excellent, good, sufficient, moderate and insufficient (employing the criteria as also described for the proposals, see Annex 1) and the project budget is assessed and calculations are verified by the management and financial experts. The intrinsic evaluation by the Program Committee and the financial assessment by the management with the complete project proposal and advice from the management are submitted to the Board.

The Board comes to a final decision regarding the allocation of projects, considering the assessment and ranking by the Program Committee, keeping in mind the advice from the Management with regard to the quality of the project plan and taking into account the financial space for the particular Call for Proposals. The basic assumption is that the Board follows the advice and ranking from the Program Committee through allocating as many projects as possible from the category excellent and only deviating from this in the case of well-founded argumentation.

The Board's decision is made known, in writing, to the coordinator of the project concerned by the Management. Any additional obligations that TKI Dialog imposes on the implementing consortium can be included in this letter. Applicants can lodge an

appeal through the coordinator against a decision by the Board within 4 weeks of receipt of the decision from the Board. Objections will be dealt with by the Program Committee.

#### **4.4 Implementation and accountability**

Conditions:

- the project must start within 3 months of the allocation of the grant, a signed consortium agreement between and by all partners in a consortium must be presented to the TKI within 3 months after the official start date as stated in the grant letter.
- an interim report (a financial and substantive progress report) is drawn up (minimal) twice a year, based on the agreements made and in accordance with TKI Dinalog's specifications (a format is available on [www.dinalog.nl](http://www.dinalog.nl)).

The grant is provided in the form of advances (advances will be provided only if a signed consortium agreement has been presented):

- 20% within four weeks following a positive decision and the start of the project; the reimbursement for TKI Dinalog is deducted from this advance.
- 60% distributed in equal parts throughout the duration of the project. Advances are issued eight weeks after the submission and approval of the intrinsic and interim financial report. The number of installments is equal to the number of remaining interim reports, however, the provision of advances is based on the incurred and paid costs (i.e. realized project cost accounted for in a financial report) during the period on which is being reported.
- the remainder (20%) within four weeks following approval of the intrinsic and final financial report to be supplied within 13 weeks of the conclusion of the project.

TKI Dinalog's Board and / or Management ensure that the project is monitored, assess interim reports and enter consultations with the project regarding changes to the direction of the planning and approach. Findings are recorded in writing.

The grant recipient is prepared to provide insight into the progress of the project and to supply TKI Dinalog with the necessary data at all times. The grant recipient is also prepared to cooperate with monitoring and an audit by or on behalf of TKI Dinalog at all times. Furthermore TKI Dinalog and subsequently funded projects are subject to report to the Ministry of Economic Affairs and Climate Policy and requirements resulting from policy monitoring. The grant recipient is prepared to cooperate and / or contribute to the knowledge transfer activities in whatever form at all times.

Within 13 weeks of the completion of the project, an intrinsic as well as a financial account of the project must be compiled. The intrinsic project account must answer the following:

- Have we achieved what we wanted to achieve?
- Have we done what we intended to do?
- What are the causes of the deviations?
- What are the following steps?

The final financial report, which must be submitted within 13 weeks of the conclusion of the project, must include an accountant's report (see Annex 6).

After completion of the project, TKI Dinalog reports over multiple projects to RVO who establishes the total final grant amount. Once RVO has established the total amount, the interim advances are deducted from the final settlement and the remainder of the grant (if applicable) will be provided.

## 5. Guidelines concerning project results and / or Intellectual Property (IP)

A consortium agreement must comply with the IP rules set out in PPS-Innovatieregeling ([PPS-Innovatieregeling](#)), the grant letter and this Guide for Project Plan and Program Tender. After a grant has been rewarded, a model Consortium Agreement will be made available of which the IP section cannot be changed.

### *Definitions*

Project Results are defined as any result generated in a project.

Intellectual Property (IP) applies to any product to which intellectual property rights apply or can be established, products such as, but not limited to, works produced, inventions made, data collections created, models or programs and software developed.

Background is defined as Intellectual Property, in the same field as the project scope that was already present with one of the parties before the start of the project.

### *General*

1. If in a project within the scope of generated project results any Intellectual Property is generated, TKI Dinalog must be informed of this immediately by means of a so-called Invention Disclosure Form (see Dinalog website).
2. Background remains the property of the particular party to whom it belongs. If necessary for the execution of a project, a party will only for use within the project, contribute this Background free of charge.
3. If one of the parties needs to avail itself of the Background already present with one of the other parties, for the exploitation and / or use of Project Results generated or to be generated, parties have to make agreements concerning this Background between them, laid down in, for example an agreement between parties; TKI Dinalog is not a party in this.
4. With regard to proceeds, Project Results in the form of Intellectual Property accrue to the person / party that generated them within the project. With regard to proceeds, joint Project Results accrue to the Parties that generated these jointly in relation to their relative contribution to the generation of the Project Results.
5. The project coordinator assesses, together with the parties that generated the Intellectual Property, based on the Invention Disclosure Form whether protection of Intellectual Property is useful and desirable.
6. The project coordinator and the parties that generated the Intellectual Property take initial care of and bear the expenses for the maintenance and exploitation of these rights, but will attempt to transfer these rights, as described below in item 10, to parties that are interested in (commercial) exploitation and will also attempt to cover at least the costs incurred or generate additional proceeds.

### *Rights for use of IP*

7. For the knowledge institutions that have contributed to the realization of the particular Project Results in the form of Intellectual Property, use for education and research purposes is always free of charge.
8. For the companies that have contributed to the realization of the particular Project Results in the form of Intellectual Property, own use of these Project Results, whether or not for internal use and / or for commercial use and exploitation is free of charge at all times. The free-of-charge right concerns a non-exclusive non-transferable right.

9. For the partners in the project that have not contributed to the realization of the Project Results, own use, not being the granting of licenses to third parties or the sale / exploitation of these rights, is 'royalty bearing', but the contribution this particular partner has made in cash or in kind to the project, according to the approved project budget, as a whole should be taken into consideration here.

*Additional rights for commercial use of IP.*

10. As the manager / owner of Project Results in the form of established Intellectual Property, TKI Dinalog will transfer these (in licenses and / or sale) on market terms or to knowledge institutions on reasonable conditions. When offering to parties, TKI Dinalog will employ the following order:
  - a. First of all, for exclusive commercial purposes or for the acquisition of the right to grant licenses, on top of the already acquired right as a partner to free use as described in item 8, an offer will be made to the companies involved in the project that have contributed to the realization of the particular Project Results, taking into account the contribution already made to the realization of these Project Results.
  - b. Subsequently, for commercial purposes, on top of the already acquired right as a partner to free use as described in item 7, an offer will be made to the knowledge institutions involved in the project that have contributed to the realization of the particular Project Results, taking into account the contribution already made to the realization of these Project Results.
  - c. Subsequently, for commercial purposes, whether or not exclusive, an offer will be made to the other partners involved in the project within which the Project Results were generated, taking into account the contribution already made to the project as a whole.
  - d. Subsequently, for commercial purposes, an offer will be made to third parties at current market fees.
- 11 The Project Results or Intellectual Property can only be transferred to whichever party, after consultation and coordination through the coordinator of the project with the partners that have generated the Intellectual Property and after consultation with the (other) partners in the joint venture.
- 12 The proceeds that are received from the exploitation or transfer of Project Results or Intellectual Property is, after deduction of the costs incurred, fully intended for the partners that have generated it. The party that has paid for acquiring rights as mentioned in item 10 does not receive a share of the proceeds that they have paid themselves.

## 6 Explanation of the Project plan

### 6.1 Standard Project plan

A request for a grant can only be made through a completed template form for a project plan (in accordance with Annex 2 of this guide) along with the following prescribed annexes:

- Project budget (in accordance with Annex 3 of this guide).
- Partner agreement (in accordance with Annex 4 of this guide).

In the case of an allocation of grant to a project, a signed consortium agreement between and by all partners in a consortium must be presented to the TKI within 3 months after the official start date and as stated in the grant letter. TKI Dinalog will make the template for the consortium agreement available on the website.

The template for a Project Plan is subdivided into 7 sections. The first part (A) is the grant application form, followed by a project summary of a maximum of 1 A4 (B). In part C, the project's starting points must be presented. The operational implementation of the project takes place in part D. In part E, the consortium and the project organization are described. In part F, it is indicated how the evaluation and interim monitoring take place.

And finally, part G contains a detailed description of how the knowledge will be valorized and disseminated.

### 6.2 Explanation of the Project plan

#### Part A: Grant Application Form

##### *Project data*

Enter the project title, the start date and end date for the project here. Also indicate the Technology Readiness Level (TRL) at the start of the project and the expected TRL at the end of the project, according to the following definitions (EU):

TRL 1	basic principles observed
TRL 2	technology concept formulated
TRL 3	experimental proof of concept
TRL 4	technology validated in lab
TRL 5	technology validated in relevant environment (industrially relevant environment in the case of key enabling technologies)
TRL 6	technology demonstrated in relevant environment (industrially relevant environment in the case of key enabling technologies)
TRL 7	system prototype demonstration in operational environment
TRL 8	system complete and qualified
TRL 9	actual system proven in operational environment (competitive manufacturing in the case of key enabling technologies; or in space)

##### *Coordinator's details*

The coordinator must implement the application on behalf of a consortium. The coordinator is authorized by the consortium to submit the application. A contact person is appointed within the coordinator's organization. Formal correspondence will be directed to the contact person. A project leader will also be appointed. The project leader is the person who runs the daily management of the project.

##### *Details regarding partners in consortium*

A list of the consortium partners is stated on the application form, including the coordinator and the contribution for each partner in the financing. This co-financing can comprise the deployment of



personnel, facilities (in kind) and contribution in cash (the co-financing by foreign partners from outside the Netherlands should preferably be done in-cash). The deployment of personnel and facilities must be capitalized. The manner in which the deployment of personnel and facilities must be capitalized is described in chapter 7. The capitalized facilities must be included in the project budget in a clearly recognizable manner under non-staff costs.

#### *Project financing*

A summarized list of the project budget is also provided in the application form, which includes:

- the direct project costs.
- the total project budget.
- the requested grant.
- the total contribution from co-financing.
- grants requested / received elsewhere, in which the grant allocating body and type of grant are described.

#### *Signing*

The application form must be duly signed and submitted to TKI Dinalog with the annexes.

### **Part B: Project Summary**

The coordinator must provide a summary of the project no longer than 1 A4. This summary will also be used for communication purposes if the project is allocated a grant. The summary must contain a brief mention of objectives, activities, the project's intended results and its innovative character.

### **Part C: Motivation and relation to innovation themes, the call and government policy**

***(This part is related to the Assessment Criterion: Fit to the Call for Proposals)***

This section describes the practical motivation for initiating the project, the real and topical issues underlying the project and the urgency to address the issues.

This section also describes the relationship to the Top-sector Logistics and specifically to the main roadmaps, themes and focal areas (see also 1.3 of this Guide or go to [www.dinalog.nl](http://www.dinalog.nl), Guide, formats & relevant reports) and the topics of the specific call.

If applicable, this section furthermore describes the relation to government policy and how interaction between the project and government bodies (which?) is pertained before and during the project (see also Annex 5).

### **Part D: Orientation, Objectives and Research questions**

***(This part is related to the Assessment Criterion: Quality of the Proposal)***

The coordinator describes how the consortium has explored relevant research and / or comparable innovative projects and how the results of this exploratory work have been employed, due to which the innovative value of the plan is described, comparing it to the current state and development of applicable technology. A clear indication is given of what makes this project innovative.

The project objective or objectives are described, linked to the objectives of the Top-sector Logistics (see 1.3). These objectives must be formulated as **S**pecific, **M**easurable, **A**ceptable, **R**ealistic and **T**ime-based (SMART) and it must be described how they are linked to one or more of the KIA's etcetera - as well as the general requirements for the Call for Proposals. In addition, where relevant, the link to government policy and harmonization with government is described.

The coordinator describes the key research questions and the relationship between the research questions and the proposed appropriate research approach.

### **Part E: Activities and Work Packages**

***(This part is related to the Assessment Criterion: Quality of the Proposal)***

The coordinator provides an outline of the coherence and planning of the activities (work packages),

such as the total duration, the phasing and milestones, explained in more detail, if necessary, using one or more diagrams. Keep in mind when planning the project that it must start within three months of the grant allocation.

Subsequently, the description, time planning and intended result are fleshed out for each activity. The intended result is described in tangible process and product yields, decision moments and milestones.

The coordinator drafts a plan that describes how the consortium will monitor, during and after completion of the project, its own innovation practices and their effects. This details which aspects the evaluation will focus on. The monitoring of the consortium must serve to deliver (progress) data on three levels:

- on the level of guiding the innovation process: the degree in which conditions for effective innovation have been realized.
- on the level of innovation content: the degree to which new practices (approaches, products, processes) are actually achieved.
- on the level of the effects of the innovation: the degree to which the intended quantitative and qualitative effects for the customers and those directly involved have been achieved.

#### **Part F: Consortium and project organization**

*(This part is related to the Assessment Criterion: Quality of the consortium)*

The consortium's composition, role and intrinsic input are set out. A distinction is made between organizations that function as partners in the consortium and third parties. Third parties are organizations that are instructed to perform activities for the project on behalf of the consortium. A brief description of the role and intrinsic input for each organization is shown. Specific expertise is depicted for the scientific project participants.

The coordinator describes the project's organization. The description of the project organization includes the tasks, responsibilities and authorities concerning the project within the consortium. How do the project's decision-making processes take place? Who is responsible for them? The description of the project organization is furnished with an organization chart and (later) it will be recorded in the consortium agreement between parties.

#### **Part G: Impact: Valorization and Implementation Strategy and Expected Results**

*(This part is related to the Assessment Criterion: Impact)*

Finally, it is indicated which activities (work packages) are to be undertaken to disseminate and valorize the knowledge that has been acquired from the project:

- what concrete activities and deliverables are defined (how explicit valorization activities are organized and when)?
- what is (are) the concrete aim(s) of the dissemination and valorization activities?
- what are the target groups?
- what results are expected with regard to the valorization (during the project as well as the period after the project has ended)?
- what plug-and-play solutions are developed for upscaling, multiplying and widening of results to the entire logistics industry?
- who is responsible for the implementation and performance of the valorization activities?
- which financing, inside or outside the project budget, has been set aside for the valorization activities?

In addition, it is indicated which follow-up steps after the conclusion of the project are expected in the area of implementation:

- how the implementation of the knowledge developed is attempted in practice?
- who is responsible for the implementation?

- what financing, within or outside the project budget, is used for this purpose?

Furthermore, indicate the targeted and **quantified** results following implementation. Following this, the added value (expressed in euros and substantiated) of the expected results and the qualitative and quantitative effects are described. Detailing the most important characteristics of this innovation, so that the reader can imagine what the results would actually look like in reality according to the KPI's as included in Annex 5. This does not mean a description of the project approach, but the economic impact and spin-off from the project (see Annex 5 for an overview of the KPI's for the Topsector Logistics). Indicate what your project will contribute to the reductions in CO2 and as a business case will contribute to the ambition to increase the Dutch added value (GDP) in supply chain control and logistics from € 18.6 billion in 2015 to over € 29 billion in 2030.

## **7 Explanation of Project budget and financial reports**

### **7.1 Introduction**

A project budget is part of the grant application. This chapter details the requirements a project budget and subsequently the financial reports must meet. A template in an Excel spreadsheet for the project budget has been included in Annex 3 to show how this project budget should be submitted. Submission of the project budget must take place in this template.

### **7.2 Project period**

The project activities must start within three months of the allocation of the grant. It must be indicated clearly in the project budget (financial report) which period the budget (financial reports) relates to.

### **7.3 Budget breakdown**

The project budget provides insight into the costs of the project and into the financing of the project costs. The budget must be drawn up in whole euros. The project must ensure that the budgeted net operating result amounts to € 0 (in other words: the project budget must balance).

When drawing up the project budget, the coordinator ensures that the outlines employed for the specification of the project costs balance with the set-up / structure employed in the project plan. The following points must be included here:

- The budgeted project costs are specified at total level and linked to each phase and subsequently to each activity / work package.
- Within the set-up employed for the project (see the previous point), a distinction must be made between the following types of costs:
  - personnel costs, costs for implementation of R&D activities and costs for management and coordination; personnel costs are based on wage costs multiplied by 50% overhead.
  - other costs - specific project expenditure comprising: third-party costs, specific materials costs and tools and costs for the transfer of knowledge.

For the budgeting of project yields, the project should maintain the set-up as described in paragraph 7.7 of this chapter.

### **7.4 General project costs**

Only costs that are demonstrably necessary, and can be directly and exclusively linked to the project, may be included in the budget and financial report. Preparatory costs cannot be deemed as project costs and only the actually incurred costs may be included that have a demonstrable link with the project period that lies between the start and end date for the project.

#### **Project costs in-cash and in-kind**

As project costs, both those paid in-cash and costs that represent contributions in-kind are accounted for. This means that the deployment of all personnel by all the consortium partners in the project is expressed in-cash and, as such, as project costs, even if no monetary reimbursement takes place, but they are deemed as contributions in-kind.

A detailed explanation for each type of cost and how to deal with them follows below.

### 7.5 Personnel costs - consortium partners

- The personnel deployed by the consortium partners must be specified in detail in 'number of hours times hourly rate'.
- Only the costs of those directly involved in the research and persons necessary for the research may be included in the budget, including costs for coordination and management of the project.
- The wage costs must be specified for each person.
- The reimbursement of the personnel costs breaks down as follows (for each FTE on an annual basis):
  1. actual gross wage costs including employers' contributions such as pension and social contributions.
  2. subsequently, a fixed increase of 50% to cover general costs, calculated using the sum of the gross wage cost and including the reimbursement for supervision and coaching (1 + 2). The increased amount includes: costs for Board, directors, management, organization, accommodation, administration, general secretariat, travel and accommodation costs, commuting costs, small commercial expenses and presentation costs, cost of meetings, facilities, general ICT costs, basic investments and basic materials; this means that these costs cannot be included separately under other costs.
- The maximum hourly rate for students is € 25.

Partners that wish to make use of IKS ('Integrale KostenSystematiek') instead of actual gross wage costs, must indicate this clearly on the Grant Application Form (Annex 2, part A) and provide TKI Dinalog with a (copy of the) written statement from RVO indicating that this partner is allowed to use the IKS costing method. All partners must be informed and agree to the use of IKS.

### 7.6 Other costs

Only the specific project expenditure in cash indicated below that can be demonstrably shown to be necessary for the project can be considered for a grant. The other costs included in the budget and settlement must be motivated and specified for each entry. Furthermore, at the settlement, quotes can demonstrate whether actions have been efficient and effective. General and small specific project expenditures are expected to be covered by the hourly rates. A non-limitative summing up of these costs has been included in paragraph 7.5.

The following can be included under other costs:

- **Third-party costs**

In addition to deployment of personnel by the partners of the consortium, external parties can perform project activities. The deployment of these external parties must remain (maximum 10% of the direct project costs) limited in relative terms. In the case of external parties, the costs must be substantiated as much as possible with quotes.
- **Materials and tools**

Costs for materials and tools used partly or in full for the projects, printing and other means of communication, specific (not being basic facilities that fall under general costs) necessary equipment (to the extent that the writing off falls within the timescale of the project), and other demonstrable specific costs for the project, including costs for possible partly or completely non-deductible VAT (for knowledge institutes).
- **Cost of knowledge dissemination**

The non-staff costs related to the transfer of knowledge must be individually specified for each type of cost.

## **7.7 Grant amount – project proceeds**

In the project budget and further reports, clear insights are given into the way in which the project is financed. The following classification is employed here:

- grant amount innovation arrangement, to be received from TKI Dinalog (maximum 50% of the total eligible project costs for industrial research and maximum 25% for experimental development).
- consortium contribution, in which a detailed specification is given for each group (knowledge institutes, trade & industry, third parties) and within this for each partner.
- other proceeds, for example from third-party contributions or knowledge exploitation

Project proceeds can be both contributions in cash or in kind.

### **Grant amount innovation arrangement**

The following conditions apply for the grant amount:

- the grant amount is a maximum of 50% of the project costs eligible for a grant for an industrial research project and 25% of the project costs eligible for a grant for an experimental development project.
- if other administrative bodies, such as municipalities or provinces provide grants within the scope of other schemes, as well as in the case of contributions from the European Commission, the contributions will be deducted from the 50% grant from TKI Dinalog.
- In terms of the allocation of the total project grant for an industrial research project to the individual project partners, the grant for a private project partner amounts to a maximum of 50% of the budgeted project costs of that project partner. The grant for a knowledge institute (universities, universities for applied sciences and TO2 institutes) amounts to a maximum of 80% of the budgeted costs of that project partner. For an experimental development project the percentages are respectively 25% for private project partners and 80% for knowledge institutes.

### **Contribution consortium and other proceeds**

The following guidelines apply to contributions and other proceeds from the consortium partners:

- this contribution is at least 50% of the industrial research project costs and 75% of the experimental development project costs eligible for a grant.
- the contribution by the partners from trade & industry is a minimum of 25% of the total project budget, preferably half in cash to cover project expenditure. Both the contributions in cash and in kind must be accounted for under the project proceeds.
- the contributions from the partners from the knowledge institute are the remaining maximum 25% of the total industrial research project budget. This contribution too (in kind) must be accounted for under the project proceeds.

The total project proceeds must completely cover the costs. There cannot be any operating surplus, or a cash shortfall. Hard costs cannot be compensated by contributions in kind.

## **8 Explanation of the Partner agreement**

### **8.1 Standard partner agreement**

The standard form for the partner agreement should be used when submitting an application. This standard form is included in Annex 4.

### **8.2 Explanation of the Partner agreement**

The guidelines stipulate that a grant application must be accompanied by a partner agreement that has been signed by all the consortium partners.

The following is clear from this agreement:

- the coordinator is authorized to submit an application request on the behalf of all the consortium partners.
- the project shall be performed on the basis of mutual account and risk.
- the project partners agree with the TKI Dialog conditions.
- the partners' contributions to the co-financing have been laid down in writing.
- the public availability of the project results has been organized.

The partner agreement states the coordinator and the partners that have entered the cooperation. The mutual agreements are then recorded in writing. A point-by-point summary that complies with the requirements of the grant scheme has been opted for in the standard agreement. The duration of the agreement is also part of the agreement.

It is subsequently indicated where and when the consortium partners and the coordinator signed the agreement. The partner's and coordinator's representatives must be authorized signatories. If, after submission of the proposal or after allocation of the project, the composition of the consortium changes or has to be amended during the implementation, TKI Dialog must be consulted about this immediately and permission must be obtained from TKI Dialog.

**Annexes:**

1. Assessment criteria for proposals
2. Template Project Plan (to be used for submitting a proposal)
3. Template Project Budget (to be used for submitting a proposal)
4. Template Partner Agreement (to be used for submitting a proposal)
5. Key Performance Indicators from the Top-sector Logistics



## Annex 1 Assessment criteria for proposals

Criterium		Weight	Score				
			1	2	3	4	5
Fit to the Call for Proposals	1. <i>Does the proposed project fit the research themes and topics of the call?</i>	10%	Insufficient	Moderate	Sufficient	Good	Excellent
	2. <i>Does the proposed project contribute to a specific goal of the Logistics Top Sector and/or 'Clean and Emission-Free Construction'?</i>						
	3. <i>Does the proposal contribute to a relevant improvement in practice?</i>						
Quality of the Proposal	1. <i>Is the proposal clearly written and logically structured?</i>	40%	Insufficient	Moderate	Sufficient	Good	Excellent
	2. <i>Does the proposed project lead to new insights and/or solutions?</i>						
	3. <i>Does the proposed project have clear research questions and an appropriate research approach?</i>						
	4. <i>Is the intended project plan realistic given the resources requested?</i>						
Quality of the consortium	1. <i>Does the team of researchers collectively have appropriate expertise to properly carry out the proposed project?</i>	25%	Insufficient	Moderate	Sufficient	Good	Excellent
	2. <i>Is the team of corporate partners appropriate for the intended project??</i>						
Impact	1. <i>Does the proposed project contribute to the objectives of the call and is this contribution convincingly substantiated?</i>	25%	Insufficient	Moderate	Sufficient	Good	Excellent
	2. <i>Quality, realism and concreteness of the valorization plan (scope, target group, activities, deliverables, planning, identified risks)?</i>						
<b>Minimum score (threshold 3,5 points)</b>		<b>100%</b>	<b>5 points</b>				

**Annex 2    Template Project Plan  
(to be used for submitting a proposal)**

A template for the project plan is available in digital format on the TKI Dinalog website, please go to [www.dinalog.nl](http://www.dinalog.nl) for the digital format. It is included in the call document with the TKI-Dinalog-WORD-templates.

**Annex 3    Template Project Budget**  
**(to be used for submitting a proposal)**

A template for the project budget is available in digital format on the TKI Dinalog website, please go to [www.dinalog.nl](http://www.dinalog.nl) for the digital format. It is included in the call document with the Excel template for Project Budget & Financing PPS-Innovatieregeling.

**Annex 4 Template Partner Agreement  
(to be used for submitting a proposal) It is mandatory to use this form.**

A template for the Partner Agreement is available in digital format on the TKI Dialog website, please go to [www.dialog.nl](http://www.dialog.nl) for the digital format. It is included in the call document with the TKI-Dialog-WORD-templates.

## Annex 5 Key Performance Indicators from the Topsector Logistics

I Impact (to be reported at the end of a finished project, and - for those relevant KPI's - up to and including the reporting year 2026)			
		Number	Description
11.	(Potentially) Additional contribution to the GDP.	<Euros>	< Please describe >
12.	(Potentially) Avoided road transport kilometers.	<Total number>	< Please describe >
13.	(Potentially) Avoided CO <sub>2</sub> emissions.	<Kilograms x1000>	< Please describe >
14.	(Potentially) Avoided NO <sub>x</sub> emissions.	<Kilograms x1000>	< Please describe >
15.	Number of new supply chain coordination models for future earning capacity of logistics.	<Total number>	< Please describe >
16.	Outflow of qualified professionals from logistics education to the labor market with thorough knowledge of the innovation themes.	<Total number>	< Please describe >
17.	Narratives: describe the contribution of your project in mapping the social contribution of the logistics sector.	< Please describe >	

I Impact (to be reported at the end of a finished project)			
		Number	Description
18.	Economic return of a <b>finished</b> project:		
	11.1 Total project budget in EUR.	<Euros>	<Please indicate the names>
	11.2 Additional turnover of project partners.	<Euros>	<Please indicate the names>
	11.3 Expected additional turnover of project partners over 3 years.	<Euros>	<Please indicate the names>
	11.4 Realized cost savings of project partners (over the total duration of the project).	<Euros>	<Please indicate the names>
	11.5 Expected cost savings of project partners over 3 years.	<Euros>	<Please indicate the names>
19.	Number of new business start-ups as spin-off (not the support of existing starters, but spin offs that are started based on the project knowledge).	<Total number>	< Please indicate the names >
110.	Describe what further impact your project has had in the last year.	< Please describe >	
111.	Indicate to what extent your project and the collaboration between the partners has led to new activities that are not part of the Topsector Logistiek program (new projects, new collaborative relationships, new networks).	< Please describe >	
112.	International project spin off, e.g. leading to (new) international collaboration and / or new (subsidized) projects and/or other international activities, results or impact	< Please describe >	

K	KPI's per toepassingsgebied: the project's contribution to: (to be reported at the end of a finished project)	
	<b>Cities and Space</b>	<b>Description</b>
K1.	Describe the effect and use of data related to logistics activities in the city, methods to collect these and models to use these data for (operational, tactical and strategic) decision making.	< Please describe >
K2.	Describe the insights in raw material flows in urban areas and what are the logistical characteristics? How does it affect the collection and reuse of these flows on an urban level.	< Please describe >
	<b>Multimodal Freight Transport</b>	<b>Description</b>
K3.	Describe the effect on reduced waiting times / congestion on the multimodal freight transport system.	< Please describe >
K4.	Describe the insights and effective use of the multimodal freight transport system.	< Please describe >
	<b>Supply Chains</b>	<b>Description</b>
K5.	Describe development of new methods and models tot increase resilience in specific supply chains: i.e. supply chain resilience, scenario planning, stress testing etc.	< Please describe >
K6.	Describe effect on how the circular economy plays a role in making supply chains and networks more sustainable and resilient and can lead to new revenue modes in the logistics sector.	< Please describe >
	<b>Mobile equipment and Construction Logistics</b>	<b>Description</b>
K7.	Describe the effect and use of modular design and construction concepts and assembly activities (on location) in construction.	< Please describe >
K8.	Describe how circularity and the availability of data of material flows in construction play a role in the transition to circular construction supply chains and how they can lead to new control models in the logistics sector.	< Please describe >