

# Guide for Project Plan and Program Tender



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**Annexes:**

1. Assessment criteria for proposals

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To be used for submitting a proposal:

*Available in digital format on the TKI Dinalog website call for proposals announcement, please go to [www.dinalog.nl](http://www.dinalog.nl)*

2. Template Project Plan (to be used for submitting a proposal)
3. Template Project Budget (to be used for submitting a proposal)
4. Template Letter of Intent (to be used for submitting a proposal)

To be used for an awarded project:

*Please note, these depend on the relevant and financing TKI, see links on the call for proposals announcement at [www.dinalog.nl](http://www.dinalog.nl)*

5. Template Consortium Agreement (to be used for an awarded project)
6. Accountant's Report model (to be used for an awarded project)
7. Topsector specific objectives and key performance indicators (Background information for drafting a proposal)
8. Other TKI specific documents (optional)

## Summary

The Mission Oriented Topsector and Innovation Policy (MTIB) aims to mobilize public-private innovative capacities in collaborative research and development in the Topsectors for societal goals. This regards innovation by fundamental and applied research and valorization and dissemination of the developed knowledge, learnings and results.

The Topsectors work together in the CS4NL program to bring together the innovative capabilities in the field of cybersecurity. They jointly address cybersecurity issues on demand-driven themes arising in connection with major societal transitions. In this CS4NL call for proposals on the subject Supply Chain Security the Topsectors Logistics, Energy, Horticulture & Starting Materials, Life Sciences & Health, ICT and HTSM work together to stimulate applied research.

The budget is made available by the 'TKI PPS Toeslag' regulation by TKI Dinalog (Topsector Logistics), TKI T&U (Horticulture & Starting Materials) and TKI Life Sciences & Health, provided the proposals fit the respective research and innovation agendas.

Project proposals should be submitted to TKI Dinalog, who will process them on behalf of the collaborating TKI's. The submitted project proposals will be assessed by a multidisciplinary Assessment Committee. A positively assessed proposal within the limits of the available budget will be allocated to one TKI. The proposal will be processed by the governance of that particular TKI in order to make the final decision and award subsidy.

This document describes the manner in which project proposals should be submitted:

- 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 of TKI's 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 a TKI in general takes place under the pre-condition that the underlying funding has been allocated to the TKI by the Rijksdienst Voor Ondernemend Nederland (RVO).

# 1 Call for Proposals

## 1.1 General

The [Mission Oriented Topsector and Innovation Policy](#) (MTIB) aims to mobilize public-private innovative capacities in collaborative research and development in the Topsectors for societal goals. This regards innovation by fundamental and applied research and valorization and dissemination of the developed knowledge, learnings and results.

The Topsectors work together in the [CS4NL program](#) to bring together the innovative capabilities in the field of cybersecurity. They jointly address cybersecurity issues on demand-driven themes arising in connection with major societal transitions. In this CS4NL call for proposals on the subject Supply Chain Security the Topsectors Logistics, Energy, Horticulture & Starting Materials, Life Sciences & Health, ICT and HTSM work together to stimulate applied research.

The budget is made available by the 'TKI PPS Toeslag' regulation by [TKI Dinalog](#) (Topsector Logistics), [TKI T&U](#) (Horticulture & Starting Materials) and [TKI Life Sciences & Health](#), provided the proposals fit the respective research and innovation agendas.

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 (Dutch or English) 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. In the case of a late receipt of the submission, the proposal will not be eligible.

The time frame for the Call for Proposals, and adhering to the themes and specific focal areas as described in the call Document 'Call for proposals – CS4NL Supply Chain Security' is as follows:

March 30, 2023	Open Call for proposals
June 29, 2023; 24.00 hours	Deadline for submission of proposals
July 3 - 31, 2023	Review by the assessment committee - assessment and ranking proposals
August 17 - September 14, 2023	Decision process by financing TKI
Within a few days after the decision of the TKI Board	Notification of coordinator

## 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. On behalf of the participating TKI's, TKI Dinalog assesses if the project proposal is admissible and meets the conditions for the Call for Proposals.

In the event of a positive admissibility assessment of the proposal by TKI Dinalog it is subsequently presented to the assessment committee. This committee consists of representative experts from the participating financing TKI's complemented with necessary experts from the participating Topsectors, both from scientific and business background. The project proposal is reviewed by the assessment committee and based on their reviews ranked in the categories "excellent", "very good", "good", "fair" and "poor". See criteria in Annex 1 of this document.

Based on the assessment of the proposals, the assessment committee defines a ranking and, taking into account the financial allocation of the financing TKI's for this call for proposals and the fit with their research & innovation agendas, the allocation of the best proposals to the financing TKI's.

The project budget is assessed and calculations are verified by the management and financial experts of the TKI offices. The intrinsic evaluation and the financial assessment together with the complete project proposal and advice from the management are submitted in the governance process of the TKI. The financing TKI's will process the allocated proposal(s) within their governance structure and the board will come to a final decision regarding the awarding of project(s),<sup>1</sup>. The basic assumption is that the Board follows the advice from the assessment committee and advisory board, 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 the financing TKI, to be provided by the management.

## 1.3 The objectives of the collaborating Topsectors

The Netherlands stimulates the knowledge development and innovation via the Topsector policy. Proposals should fit the research agenda of at least two Topsectors, of which at least one of the following TKIs:

- TKI Dinalog (Logistics)
- TKI T&U (Horticulture & Starting Materials)
- TKI Life Sciences and Health

Links to their research and innovation agendas are provided by the TKIs through the links on the call webpage on [www.dinalog.nl](http://www.dinalog.nl).

Furthermore, in this CS4NL call for proposals on the subject Supply Chain Security the Topsectors Energy, ICT and HTSM collaborate to stimulate applied research.

Please note, if you have a proposal on Cybersecurity and Supply Chain Security fitting none of the first three mentioned Topsectors, but fitting the HTSM roadmaps, please contact [Holland High Tech](http://HollandHighTech.nl).

The objective for the Topsectors is to develop innovative applied research projects and experimental development projects in public-private partnerships (PPS) from a clear program in which knowledge institutions, private companies and governments that relate to the specific focal areas are specifically invited to submit proposals. The proposals should fit the call for proposals "CS4NL – Supply Chain Security" and the research and innovation agenda of at least one financing TKI (see Annex 7 which is provided by a weblink to the relevant TKI).

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<sup>1</sup> The awarding of project proposals in general takes place under the pre-condition that the underlying funding has been allocated to the TKI by RVO.

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 in this call 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 industry.

Considering the high ambition to add value in the Topsectors, 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 upscaling, multiplying and widening the project results to the industry. To help focus a project plan and increase the chance of societal impact it is also recommended to make use of the NWO approach on knowledge utilization and impact (see [Kennisbenutting | NWO](#) and [NWO Impact - Online workshops](#)).

**The specific focal areas of this particular Call**

The focal areas for this Call - for which we explicitly invite companies, knowledge institutions and stakeholders that can relate to these focal areas topics – are described in the document “Call for proposals – CS4NL Supply Chain Security”.

## 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 research project)

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

### Project financing

Grant, maximum 50% (in case of industrial research)	50	in cash
Contribution knowledge institutes Contribution trade & industry (a minimum of 25% of the project financing is supplied by trade & industry, of which preferably part is supplied in cash).	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, both based in The Netherlands, and at least one, but preferably more, research institutes based in the Netherlands. It is recommended that (Dutch) SMEs participate in the project. International research institutes 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 'main 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 ([email](#)).
- c. Submission: the proposal is to be submitted via e-mail to the dedicated mailbox [tenders@dinalog.nl](mailto:tenders@dinalog.nl), accessible by the TKI Dialog Management on behalf of the participating partners in this call for proposals. 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 and at least one research institute members of the consortium? [NO = Reject].
  - Does the project meet the goals of the CS4NL program and the (relevant) Topsectors and add value for the TKI programs (see 1.3) [NO = Reject].
  - Does the project proposal comply with the definition of industrial research or experimental development [NO = Reject] ([definitions on the RVO website](#)).
  - Is the project within the scope of at least one of the relevant themes as described in the Call for Proposals? [NO = Reject].
  - Does the project start after the submittance date? [NO = Reject].
  - Is the societal and economic impact well-described and does it relate to the impact objectives and KPI's of relevant Topsector(s) (see Annex 7)? [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 minimum € 250,000 and maximum € 500,000 and for an experimental development project maximum € 250,000? [NO = Reject].
  - Is the minimum private contribution to the project costs 25%? [NO = Reject]
- e. The amount of funding requested in principle cannot exceed a certain maximum:
  - Industrial research: maximum 50% of total eligible project costs with a minimum of € 250,000 and a maximum of € 500,000 (required minimum of total eligible project costs of € 500,000 and € 1,000,000 respectively for a maximum of 3 years).
  - Experimental development, piloting and demonstration: maximum of 25% of total eligible project costs) with a maximum of € 250,000 (required minimum total of eligible project costs of € 1,000,000 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 institutes and companies) must be higher, because the maximum grant amount from of the TKI's cannot exceed the amounts indicated above.

- f. The Assessment Committee will review projects that pass the eligibility check. The Committee members assess each proposal on the basis of the criteria detailed in Annex 1, providing argumentation, and rank the proposals by giving between 1 and 5 marks per criterion.
  
- g. The Assessment Committee advises on the ranking and allocation of projects to applicable financing TKI's. This TKI will process the proposal through their own governance until their board comes to a final decision regarding the allocation of projects. The basic assumption is that the Board follows the advice and ranking from the Assessment 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 Board needs to be submitted within 4 weeks after receipt of this decision. The relevant TKI 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 via [tenders@dinalog.nl](mailto:tenders@dinalog.nl) 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 5/ Annex 2).
- Project budget (see explanation in chapter 6/ Annex 3).
- Letter of intent (see explanation in chapter 7/ Annex 4).

Parties can make use of the advice from the Program Management of TKI Dialog, TKI T&U and TKI Life Sciences & Health.

### 4.2 Advice regarding grant allocation

#### 4.2.1 Project plan requirements

Complete an accurate description of the project in 7 parts (see chapter 5 / Annex 2):

**Part A: Subsidy Application Form**

A form for the subsidy application for the project.

**Part B: Project Summary**

A project summary no longer than 1 A4. (Submit both Dutch and English summaries)

**Part C: Orientation and Project Goals**

- Motivation
- Relation to themes in the call for proposals and relevant Topsectors
- Objectives and goals (SMART)
- Expected results and the (quantitative and qualitative) effects.
- Links to government policy and the harmonization with government, if applicable.
- Orientation; the degree of innovation (innovative aspects) of the plan with regard to the status and developments of the applicable technology.

**Part D: Work packages and Activities**

- the work packages and activities.
- the time scale and phases of the project implementation, including milestones.

**Part E: Consortium and project organization and governance**

- 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 F: Evaluation and monitoring**

- 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 G: Valorization and Implementation Strategy**

- Valorization and dissemination during the project and after the project is ended
- Implementation of the results of the project after completion
- Impact on society and relevant Topsector(s)

#### **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 grants for a project amount to a maximum of 50% of the industrial research project costs and 25% of the experimental development project costs eligible for a grant. A minimum of 50% of the project costs must come from co financing by the consortium. Preference being given to trade & industry providing at least half of its contribution in cash and the remaining part in kind;
- Private partners should contribute for minimum 25% of the project costs.
- the degree to which the project budget complies with the form and format requirements is described in chapter 6.
- 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 subsidy 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 letter of intent between the partners must be presented (for a more detailed explanation, see chapter 7 and Annex 4).
- in a later phase (at the latest 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 funding.
- It is recommended a signed and by the awarding TKI approved consortium agreement is in place at the start of the project. Starting the project without a signed and approved consortium agreement is at own risk for the consortium partners.
- 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 7 and Annex 5).

The consortium agreement is enclosed in Annex 5 (please note, the consortium agreement is specific for the awarding TKI). A WORD template for a standard consortium agreement of the financing TKI's is available on the call announcement website.

### 4.3 Grant allocation decision

The proposal is reviewed by the Assessment Committee. This committee consists of representative experts from the participating financing TKI's complemented with necessary experts from the participating Topsectors, both from scientific and business background. The proposal is consequently evaluated in the categories excellent, very good, good, fair and poor (employing the criteria as also described for the proposals, see Annex 1).

Based on the assessment of the proposals, the assessment committee defines a ranking and, taking into account the financial allocation of the financing TKI's for this call for proposals and the fit with their research & innovation agendas, the allocation of the best proposals to the financing TKI's.

The project budget is assessed and calculations are verified by the management and financial experts of the TKI offices. The intrinsic evaluation and the financial assessment together with the complete project proposal and advice from the management are submitted in the governance process of the TKI.

The financing TKI's will process the allocated proposal(s) within their governance structure and the board will come to a final decision regarding the awarding of project(s). The basic assumption is that the Board follows the advice from the assessment committee and advisory board, only deviating from this in the case of well-founded argumentation. The awarding of project proposals in general takes place under the pre-condition that the underlying funding has been allocated to the TKI by RVO.

The project can be started following approval from the Board on the basis of the written notification of the grant or PPP allowance agreement from the awarding TKI, to be provided by the management. Any additional obligations that the awarding TKI imposes on the implementing consortium can be included in this letter or agreement. 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 Assessment 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.
- agreements are reached between the coordinator and TKI at the start of the project regarding the project administration and the project accountability (see Annex 6 for the Accountant's Report model).
- in principle, a financial interim report is drawn up once or twice a year, based on the agreements made and in accordance with awarding TKI's specifications.
- a project status overview is drawn up half-yearly or annually and an intrinsic interim report is drawn up once or twice a year in accordance with awarding TKI's specifications.

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

- A first advance is paid four weeks following a positive decision (or signed PP allowance agreement); the reimbursement for the TKI is deducted from this advance.
- Other advances are distributed in parts throughout the duration of the project, after submission and approval of the intrinsic and interim financial reports. 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. For more specific information, contact the financing TKI's and TKI Specific documents.

The awarding TKI ensures that the project is monitored, assesses interim reports and enters consultations with the project regarding changes to the direction of the planning and approach. Findings are recorded in writing. Additionally, the awarded projects consortium should participate in minimum annual meetings aimed at knowledge exchange within the CS4NL program during the execution of the program.

The grant recipient is prepared to provide insight into the progress of the project and to supply the awarding TKI 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 the TKI at all times. Furthermore the TKI 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.

After the completion of the project, an intrinsic as well as a financial account of the project must be compiled (for terms, see TKI specific documents). 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 when applicable (see Annex 6).

After completion of the project, the TKI 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.

#### **4.5 Guidelines concerning project results and / or Intellectual Property (IP)**

The Guidelines concerning project results and / or Intellectual Property are specified for the financing TKIs. See link to TKI specific documents: Annex 7.

## 5 Explanation of the Project plan

### 5.1 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) along with the following prescribed annexes:

- Project budget (in accordance with Annex 3 of this guide).
- Letter of intent (in accordance with Annex 4 of this guide).
- 

In the case of an allocation of subsidy to a project, a signed consortium agreement between and by all partners in a consortium must be presented to the awarding TKI within 3 months after the official start date and as stated in the grant letter. The template for the consortium agreement of each awarding TKI is available through the links on the website with the call for proposal announcement.

The template for a Project Plan is subdivided into 7 sections. The first part (A) is the subsidy 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 disseminated and impact will be made.

### 5.2 Explanation of the Project plan

#### Part A: Subsidy 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 and 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)

Indicate to which Key Enabling Technologies the proposal relates. Please note, refer to the updated list as published on 6 April 2023 on by [Holland High Tech](#) here.

##### *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 6. 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 required 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. The summary must be provided in both Dutch and English.

### **Part C: Orientation and Project Goals**

This paragraph describes the motivation for the project, the project ambitions / objectives and the tangible effects that are to be achieved with the intended innovation. The results of the innovation are also described in process and product terms.

First of all, the reason for the project must be explained.

The project objective or objectives are subsequently described, linked to the objectives of the CS4NL program and the relevant Topsectors' objectives (see 1.3). These objectives must be formulated as **Specific, Measurable, Acceptable, Realistic and Time-based (SMART)** and it must be described how they are related to the research and innovation agenda themes 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.

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 research and innovation agenda and KPI's of the relevant Topsectors (Annex 7).

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.

### **Part D: Work packages and Activities**

The coordinator provides an outline of the coherence and planning of the work packages and activities within these 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.

#### **Part E: Consortium and project organization and governance**

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 F: Evaluation and monitoring**

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 G: Valorization and Implementation Strategy**

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 – what, who and when)?
- what is (are) the concrete aim(s), scope and reach 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 relevant industries?
- 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?

- the expected results following implementation. For instance, can a business start-up be realized? What do the outcomes and results mean for the social networks?

And it is described what impact will be realized after the project conclusion, including:

1. a description of the current societal problem the project (with additional follow-up activities) is aiming to solve.
2. a description of the impact the project will have on the Dutch economy. Include a cost-effectiveness analysis or value-based-reasoning analysis to support your claims.
3. a description of how the consortium fits into the current competitive environment and what the economic impact will be on each consortium partner.

To help focus a project plan and increase the chance of societal impact it is also recommended to make use of the NWO approach on knowledge utilization and impact (see [Kennisbenutting | NWO](#) and [NWO Impact - Online workshops](#)).

## 6 Explanation of Project budget and financial reports

### 6.1 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.

### 6.2 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.

### 6.3 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 6.7 of this chapter.

### 6.4 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.

## 6.5 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.

Partners that wish to make use of IKS ('Integrale kostensystematiek') instead of actual gross wage costs, must indicate this clearly on the Subsidy Application Form (Annex 2, part A) and provide TKI Dialog 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.

Under certain conditions and meeting specific requirements, certain partners can make use of all-in set tariff of 60 Euros per hour. Please refer to the Accountants protocol of the relevant TKI whether this is possible (Annex 6). Please note, the conditions differ per TKI.

## 6.6 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 6.5.

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.

## 6.7 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 the awarding TKI (maximum 50% of the total eligible project costs depending on the type of research).
- 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 with indicated by tender the absolute maximum of grant for each 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 the awarding TKI.
- Please note that the awarding TKI might require a distribution of the grant amount over the duration of the project. This will be discussed with the consortium upon awarding of the project.
- Within the consortium knowledge institutes are eligible to receive the PPS Toeslag grant. Additionally, Dutch SMEs can receive PPS Toeslag grant up to max. 50% of their project contribution in case of industrial research and 25% of their project contribution in case of experimental development.

### 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 R&D 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 and from the knowledge institute are the remaining maximum 25% of the total R&D 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.

## 6.8 Financial report

During the project term, the coordinator will compile and submit to TKI an intermediate financial report and after completion of the project a final financial report (see procedure monitoring in TKI specific documents). After completion of the project, a final financial report is prepared within 13 weeks. Based on the (intermediate) report or statement received and the included realized and accounted project cost, grant advances paid are settled and it is decided whether or not to pay out a new advance.

The project administration is performed under the coordinator's responsibility. Considering the grant obligations, it is advisable to set up a sound administrative organization and make airtight agreements with the partners about the timely submission of administrative data.

Upon the start of a project, the coordinator and awarding TKI make and record agreements

concerning the method of project administration and project accountability.

A financial report must be constructed and substantiated in the same manner as the project budget. Besides the realization figures, a financial report contains the figures for the overall project budget for comparison. Substantial deviations between the actual and the budgeted figures must be explained separately by the project. Along with a report concerning the project costs, a report about the project financing is part of a financial report.

## **6.9 Signing**

Both the project budget and the financial reports must be signed by the coordinator on behalf of the consortium.

## **6.10 Accountants report**

The intermediate half-yearly or yearly financial reports do not have to be accompanied by an accountant's report. The financial report at the end of the project **must be accompanied** by an accountants report of the involved knowledge institutions and for certain project partners. The declaration provides an opinion of the reliability of the intermediate yearly or final financial report and the meeting of the stipulated grant conditions (for more details, please see Annex 6 – please note, the reporting requirements differ per financing TKI).

At the start of the project the coordinator must set up and run the administrative organization and cooperate in such a manner that it is possible for the TKI accountant to provide an unqualified opinion for the annual accountant's report, as is required by the TKI for explanatory purposes for its 'stakeholders' and financiers.

When detailing the grant application and compiling the project budget, the project applicant must consult an accountant about the set-up of the administrative organization and the verifiable character of the project. A written statement from the accountant concerning the preliminary consultations and the verifiable nature of the project is added to the grant application (for an example, see Annex 6). Even if time sheets are not used to account for the personnel costs, the coordinator must agree with the accountant beforehand on the basis of which data the realized hours will be included in the financial report.

In Annex 6, the standard text for the accountant's report for the intermediate annual or final financial report has been included for informative purposes.

## **6.11 Final grant establishment**

The definitive establishment of the grant takes place after receipt and approval of the intrinsic and final financial report. If it appears that the realization of the total project costs is lower than the budgeted project costs or that the performance of the project did not comply with the approved project plan, the grant amount will be adjusted downward in proportion and excesses received in advances will be reclaimed.

## **7 Explanation of the Letter of intent and consortium agreement**

### **7.1 Standard letter of intent**

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

### **7.2 Explanation of the letter of intent**

The guidelines stipulate that a grant application must be accompanied by a letter of intent that has been signed by all the consortium partners.

The following is clear from this letter:

- 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 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 letter of intent 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 letter format. The duration of the agreement is also part of the letter of intent.

It is subsequently indicated where and when the consortium partners and the coordinator signed the letter of intent. 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, the awarding TKI must be consulted about this immediately and permission must be obtained from the awarding TKI.

### **7.3 Consortium agreement between partners after allocation**

In a later phase, in a consortium agreement between the partners, according the template as included in Annex 6, all the operational agreements between the partners in the project will be described, whilst keeping in mind and respecting the guidelines as set out by the awarding TKI. A complete and accurate description of the consortium, mutual rights and obligations, governance structure, agreements with regard to confidentiality, publication, dissemination of information, etc., is included in this consortium agreement.

*Please note, the specific templates of consortium agreements as provided in the TKI specific documents (Annex 5).*

This consortium agreement must be compiled jointly by the partners within 3 months of the start of a project and must be made available to the awarding TKI. Advances of the grant will only be provided if a consortium agreement, signed by all partners, has been presented.

## Annex 1 Assessment criteria for proposals

1	<p><b>Fit theme Supply Chain Security: Does the project clearly address and contribute to the theme as stated in the call for proposals?</b></p> <p>5. Excellent fit with at least one the research themes.  4. Very good fit to at least one the research themes.  3. Good fit but addresses only a part of the research theme.  2. No perfect fit; an alternative funding instrument would be more suitable.  1. No fit at all.</p>	<p>Exc.    Poor  □□□□□  5 4 3 2 1</p>
2	<p><b>Fit goals: Does the project contribute to the research and innovation agendas of two Topsectors and at least one of the Topsectors Logistics, T&amp;U and/ or Life Sciences &amp; Health?</b></p> <p>5. Excellent contribution to the goals of at least two Topsector agendas, of which at least one is Logistics, T&amp;U or Life Sciences &amp; Health.  4. Very good contribution to the goals of at least two Topsector agendas, of which at least one is Logistics, T&amp;U or Life Sciences &amp; Health.  3. Good contribution to the goals the research agenda of at least two Topsector agendas, of which at least one is Logistics, T&amp;U or Life Sciences &amp; Health.  2. Fair contribution to the goals of at least two Topsector Agendas, of which at least one is Logistics, T&amp;U or Life Sciences &amp; Health.  1. Poor/ no contribution to the Topsector Agendas.</p>	<p>Exc.    Poor  □□□□□  5 4 3 2 1</p>
3	<p><b>Business: does the project address real, topical issues?</b></p> <p>5. Excellent proposal on extremely important and / or topical issues.  4. Compelling proposal on a very important and / or topical issue.  3. Interesting proposal on an important topic.  2. Contains some interesting aspects.  1. Serious lack of substance and/or relevance.</p>	<p>Exc.    Poor  □□□□□  5 4 3 2 1</p>
4	<p><b>Science: quality of research (does the project has clear and well defined research question(s) and/or research methodology)?</b></p> <p>5. Excellent quality of research (extremely clear research question(s) and/or methodology).  4. Very good quality of research (very good research questions and/or methodology).  3. Good quality of research (good research questions and/or methodology).  2. Fair quality of research (not very clear defined research question and/or methodology).  1. Poor quality of research (unclearly defined research questions and/or methodology).</p>	<p>Exc.    Poor  □□□□□  5 4 3 2 1</p>
5	<p><b>Innovation: is the proposed project innovative and new?</b></p> <p>5. Extremely innovative project.  4. Highly innovative: identifies a significant new problem and/or a significant new methodology or approach.  3. Some notable innovative aspects.  2. Not very innovative: the topic is already well-studied and/or the proposal largely follows a well-trodden approach.  1. Not innovative at all.</p>	<p>Exc.    Poor  □□□□□  5 4 3 2 1</p>



6	<p><b>Impact: does the project create a significant economic and / or societal (measurable) value?</b></p> <p>5. Excellent impact very likely.  4. Important impact quite likely and well described.  3. Some notable impact likely.  2. Maybe some minor impact.  1. Unlikely to make any significant impact.</p>	<p>Exc.    Poor  □□□□□  5 4 3 2 1</p>
7	<p><b>Presentation: is the project presented in a clear and rational way?</b></p> <p>5. Excellently written, excellent argumentation, makes an excellent case.  4. Very clearly written; well-argued; makes a compelling case.  3. Well-written; the flow of logic is easy to follow.  2. Fairly well-written, but with some effort the argumentation is clear enough.  1. Poorly written, many errors, disorganized, hard to follow the argumentation.</p>	<p>Exc.    Poor  □□□□□  5 4 3 2 1</p>
8	<p><b>Valorization and impact: Quality, realism and level of concreteness of the valorization and impact plan (reach, target groups, activities, deliverables)?</b></p> <p>5. Excellent quality of the valorization plan.  4. Very high quality of the valorization plan.  3. High quality of the valorization plan.  2. Fair quality of the valorization plan.  1. Low quality of the valorization plan.</p>	<p>Exc.    Poor  □□□□□  5 4 3 2 1</p>
9	<p><b>Quality: Quality of researchers? Including the multidisciplinary of the researchers' expertise.</b></p> <p>5. Excellent quality of researchers.  4. Very high quality of researchers.  3. High quality of researchers.  2. Fair quality of researchers.  1. Low quality of researchers.</p>	<p>Exc.    Poor  □□□□□  5 4 3 2 1</p>
10	<p><b>Quality: Quality of the consortium (are the necessary and multidisciplinary partners present in the consortium)?</b></p> <p>5. Excellent quality of the consortium.  4. Very high quality of the consortium.  3. High quality of the consortium.  2. Fair quality of the consortium.  1. Low quality of the consortium.</p>	<p>Exc.    Poor  □□□□□  5 4 3 2 1</p>