



Department of
BioTechnology,
Government
of India

सत्यमेव जयते



Enabling new technology

Water for Health

Cooperation in Research between India and The Netherlands

Call for proposals

Deadline for submission of applications: **24 May 2016**

14:00h CET (Central European Time)

Version: 2 March 2016

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Introduction

The Department of Biotechnology (DBT), Government of India, and the Netherlands Organisation for Scientific Research (NWO) jointly open a call for proposals. The topic of this call is 'Water for Health'. This call will be implemented by the Department of Biotechnology and by Technology Foundation STW of NWO. The call offers funding opportunities for research co-operation between Dutch and Indian research groups.

This call for proposals sets out information about the possibilities for submitting applications, the conditions that applications must meet and the procedure for assessing the applications.

Call for multidisciplinary research programmes

This joint funding instrument is targeted at research programmes that are characterised by the development of new technology for improved wastewater management via a multidisciplinary approach and by collaboration with and co-financing by users (See Appendix I for Notes on Users). The proposed wastewater management solutions are to be demonstrated in an experimental testing site along the Barapullah drain (near Sarai Kale Kahn, New Delhi) that will be set-up to meet the programmes' objectives. Expected launch of the specific testing site will take place in the week of 5-9 September 2016.

Available budget

The call budget covers funding for one research programme, jointly funded by DBT and STW. The Dutch part of the programme grants are subject to a maximum of €1.470.000. Each programme should consist of at least three synergistic research projects. The maximum STW contribution is €490.000 euro per project (exclusive of Dutch VAT). A research programme allows for the application of a minimum of ten PhD/postdoc positions: five in India (duration and fellowship amount as per terms and conditions of DBT) and five in the Netherlands (duration and fellowship amount as per terms and conditions of STW, including terms contained in this brochure). The research programme has a maximum duration of six years.

Funding conditions and Intellectual property (IP) policy

For the Dutch applicants, STW's General Conditions are applicable to this programme (see also Notes on Intellectual Property & Publication arrangements further on in this brochure).

Aim of the programme

Introduction

India has 4% of the world's water resources and 16% of the world's population. India is the 2nd biggest water consumer in the world, yet 170 million Indians do not have access to safe and clean water. India's demand for fresh water is expected to exceed the supply in 2030, while pollution, accelerated by urbanisation, is making the water available unfit for human consumption, industrial and agricultural uses, bringing the moment of extreme water stress even closer in time. Moreover, the amount of fresh water is decreasing due to unsustainable extraction from natural sources and will be negatively impacted by climate change.

The percent of urban population without improved sanitation in India is 37%, in rural areas this is 72%. Among those that have access to sanitation, only 32% are connected to a sewage network, the remainder of the population depends on pit latrines or septic tanks. In urban situation, where sewers exist, they are often in poor condition, leak or overflow. Large streams of untreated or partially treated urban wastewaters are discharged to open (natural) channels or rivers causing a further decrease in available fresh water. In rural and peri-urban, poorly constructed septic tanks and pit latrines are not (regularly) desludged and accumulate faecal sludge leading to poor treatment of black water, overflow to open water bodies and percolation of contaminants into ground water.

Wastewater management for all, urban, peri-urban and rural context, including sanitation, focussing on decentralized treatment and reuse would not only help to reduce the levels of pollution now found in many Indian rivers, but will also enable the reuse of water for various productive aims and recovery of nutrients and energy.

The joint call of Department of Biotechnology and Technology Foundation STW supports high quality research and development programmes aiming at 'new' wastewater management to ensure good quality fresh water free of risk-causing contaminants and promote productive, safe reuse of water, thereby enhancing human and environmental health conditions. DBT identified the Barapullah drain (near Sarai Kale Kahn, New Delhi) as a demonstration site for the proposed interdisciplinary technological solutions.

Focus

Recent advances in technology and engineering process design in wastewater management, including sanitation, have significantly improved the efficiency and sustainability of these processes. Consequently, wastewater treatment and reuse may contribute to better human and environmental health conditions as well as an increase in available water resources for agriculture, industrial and domestic use. The DBT-STW joint call invites research proposals focused on sustainable, cost-effective, decentralised, adaptable and flexible wastewater management solutions for India. The proposed solutions must contribute to improving health conditions through technologies for treatment of wastewater streams with a focus on recovery and reuse of water, nutrients and energy. The proposed technologies should include a pilot-scale demonstration stage involving different end users and other stakeholders.

Objectives

The main objective of the DBT-STW joint call is to provide India with decentralised, affordable solutions for the overall wastewater management chain. In this perspective, the proposed research programmes should address in an integrated manner the following challenges:

- Sustainable bio-technological wastewater treatment that ensures effluent discharge standards (Indian legislation) and the recovery and reuse of water, nutrients and energy.
- Technological solutions for removal of specific constituents causing risks by discharge or reuse (e.g. pathogens, heavy metals, specific organic toxic compounds such as micropollutants (pharmaceuticals) from wastewater.
- Differentiation in technological solutions and therefore final discharge quality in relation to a final destination of treated water (discharge, type of reuse (agriculture, urban, industrial, etc.))
- Technological schemes should account for a variety of scales, accelerating urbanisation, growing demands and adaptable end uses.
- Technological schemes should be able to positively react on the dynamics in wastewater characteristics caused by population growth, the variety and types of prevailing (small) industries and climate change.
- Different types of reuse of reclaimed water should be considered.
- Monitoring and control of untreated and treated water.
- Political and social engagement.
- The proposed solution should be socially accepted by the end users.

Applications

Research results will be used to advance wastewater (re)use in India. This joint call is in line with initiatives like the Ganga Rejuvenation Plan , 'Clean India' and '100 Smart Cities' and will create new collaborations between Dutch and Indian scientists and companies, thereby providing specific knowledge and technology solutions that are socially acceptable and suitable for the very diverse Indian Clean Water Challenge. To further facilitate, advance and demonstrate the new wastewater management solutions coming from this research programme, DBT provides the an experimental testing sites along the Barapullah drain in the state of Delhi. Barapullah is a 12.5 km long drain responsible for about 30% of pollution in the Yamuna river, collecting mainly domestic sewage and waste from small industry. It is the explicit wish of both DBT and STW/NWO that this joint initiative and testing site will result in a long-lasting collaboration between Dutch and Indian scientists in the field of water-related research.

Specific requirements to the programme

Multidisciplinarity

At least three Dutch researchers who are employed by at least two different public research institutes that are eligible for STW funding submit a joint research proposal with their Indian co-applicants. A researcher may associate his/her name with only one research programme proposal as an applicant or co-applicant. The STW office considers the main applicant to be the project leader and the contact person throughout the procedure.

Co-funding criteria

Co-funding criteria only concern the Dutch part of the requested budget. For each programme, at least 10% of the requested financial resources must be matched in the form of cash co-financing from the users. This 10% cash co-financing will be added to the STW budget and will also be allocated to conduct the Dutch part of the research. In addition, at least 10% of each programme's total cost on the Dutch side must also consist of in-kind co-financing from users. The form "Financial Planning" can help you with the co-financing calculation.

The co-financing requirement applies to the entire programme and not at project level. Nonetheless, at least 2/3 of the individual projects must themselves meet the co-financing requirement.

Definitions:

- Total project costs: necessary financial resources plus in-kind contributions
- Financial contribution: Financial contributions are used to cover part of the project costs and so, together with the contribution from STW, constitute the necessary financial resources.
- In kind contributions: In-kind contributions means capitalised personnel and/or material contributions from users.

Guidelines for applicants

Who can apply

Indian principal investigators acting as (co)-applicants should be affiliated with a public funded academic or research organisation in India besides meeting other criteria that may be set by DBT. Industry can only act as partners, and are not eligible for DBT or STW funding. With regard to Dutch (co)-applicants the following criteria must be met:

Main and co-applicants

On approval of the programme, the main applicant becomes the project leader and bears ultimate responsibility for the realisation of the research including the utilisation plan. Co-applicants must play an active role (associate supervisor and/or daily supervision of researchers appointed to the project) in

the realisation of the project and may be designated as sub-project leaders in the event of several participating research institutes.

Who can act as main and co-applicants?

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

Main and co-applicants with a part-time appointment

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

Who cannot apply?

- Personnel with a zero-hour appointment
- Personnel with a temporary employment contract (e.g. postdocs)
- Emeritus professors
- Personnel of institutes with an applied or technological objective, such as TNO, the Large Technological Institutes (GTIs) and the non-university part of the Wageningen University and Research Centre (WUR)
- Personnel of a research institute funded by a public-private targeted grant
- Personnel of foreign research institutes

What can be applied for

Under this joint Indian-Dutch programme a financial contribution in the cost for personnel and some categories of material costs can be requested from DBT (India) and STW (Netherlands) for the purposes of a joint Indian-Dutch research programme.

Financial support for the purposes of the approved programmes can cover:

1. Personnel temporarily appointed to the project at the research institute. For the Netherlands: PhD-positions and/or postdoc-positions only. For India: PhD-students, post-doctoral positions, field workers and technical support.

- At the programme level, temporal positions are to be equally divided over eligible institutions in India and the Netherlands. At project level, personnel positions do not need to be matched. However, within each joint research project a minimum of 1 PhD position is required in both countries. For the duration and fellowship amounts in India, DBT rules apply. DBT works with fellowship rates as announced by DBT. DBT grants can be applied for PhD students, post-doctoral positions, field workers and technical support. In addition, also House Rent Allowance and Medical budget, as per host institute norms, can be included. In The Netherlands, personnel costs are subsidised in accordance with the most recent “Agreement on Employers’ responsibilities NWO – VSNU” with annually updated ‘vergoedingentabel’.
2. Foreign travel. Obligatory exchange visits for scientists in the research team with a temporary position for the duration of the project. Each postdoc or PhD-student has to visit, and be involved in lab research at, a counterpart in the partner-country at least once during the project, for a maximum period of 2 years. Annual project meetings, obligatory from the second year onwards, to enhance the exchange of ideas, experiences, knowledge and skills between the research teams.
 3. Equipment, consumables and/or accessories. As pro forma, Indian budget will cover costs towards equipment, consumables, contingency, travel, overheads and the manpower employed under the project as per DBT norms.

The Dutch part of the programme grants are subject to a maximum of €1.470.000. Per individual project, a maximum budget of € 490.000 can be applied for. DBT will provide matching funds as per requirements of the project to the Indian scientists.

Submitting joint programme proposals

Expression of interest

India-Dutch researcher teams who wish to submit a joint programme proposal, need to submit an expression of interest via e-mail to info@stw.nl with cc to Shailja Gupta (shailja.dbt@nic.in) and Lise de Jonge (l.dejonge@stw.nl) before **Tuesday 3 May 2016, 14.00 CET**. Researchers who do not submit an expression of interest are not eligible to submit a joint proposal.

The expression of interest form can be downloaded via the STW website (www.stw.nl/WaterforHealth2016). The registration form asks for the applicants' details, the title and abstract of the programme proposal. The application should be in English and should not exceed two pages in A4 format (minimum Arial 10 point or similar font).

Joint programme proposals

The closing date for the submission of programme proposals is **Tuesday 24 May 2016, 14.00h CET**. Additions or changes after this deadline are not possible. Applications received after the deadline will not be considered.

The compulsory format for proposals can be downloaded via the STW website (www.stw.nl/WaterforHealth2016). The proposal should not exceed 23 pages in A4 format (minimum Arial 10 point or similar font), excluding appendices (1. Letters of support, 2. selection of key publications, 3. references, 4. abbreviations and acronyms). The application should be in English.

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

Submitting an application

Research teams submit one single joint Indian-Dutch research proposal to STW before the deadline.

Besides, they submit a soft copy (the electronic version) of their joint application to DBT, using the following email address: shailja.dbt@nic.in. In addition, 4 hard copies printed on paper have to be sent to DBT through proper channel to the following address:

Dr. Shailja V. Gupta
Director
International Collaboration
Department of Biotechnology
Block-2, 6-8th Floors, CGO Complex
Lodi Road, New Delhi – 110 003

ISAAC

An application can only be submitted to STW/NWO via the online application system ISAAC.

Applications not submitted via ISAAC will not be considered. A principal applicant must submit his/her application via his/her own ISAAC account. If the principal applicant does not have an ISAAC

account yet, then this should be created at least one day before the application is submitted to ensure that any registration problems can be resolved on time. If the principal applicant already has an NWO-account, then he/she does not need to create a new account to submit an application.

Submitting an application consists of two steps:

4. Entering several additional details online in ISAAC.
Make sure you allow enough time for this.
5. Submitting the application form
 - 5.1 Download the application form from the electronic application system ISAAC or from STW's website (on the grant page for this programme).
 - 5.2 Complete the application form.
 - 5.3 Save the application form as a pdf file and upload it in ISAAC.

Appendices

Accompanying appendices should be submitted separately in PDF format (without protection). The application form together with appendices is regarded as the research proposal.

Required appendices:

- Form 'Financial planning'
- Form 'Declaration and signing by the applicant'

Reference suggestions may be submitted in ISAAC.

Technical questions about the use of ISAAC

For technical questions about the use of ISAAC please contact the ISAAC helpdesk. Please read the manual (tab 'Help') first before consulting the helpdesk. The ISAAC helpdesk can be contacted from Monday to Friday between 10:00 and 17:00 hours CET on +31 (0)900 696 4747. Unfortunately, not all foreign telecom companies support calling to 0900-numbers. However, you can also submit your question by e-mail to isaac.helpdesk@nwo.nl. You will then receive an answer within two working days.

Assessment procedure and criteria

Procedure

Research teams submit one single joint Indian-Dutch research proposal. STW collects the digital proposals and forwards electronic copies of the proposals to DBT, the Indian Department of Biotechnology. The joint assessment procedure includes (1) eligibility check, (2) peer review (3) scoring and ranking by a joint assessment committee of independent scientific experts (4) funding decision by the Indian-Dutch Joint Committee.

Step 1: Eligibility of Joint Research Projects

The first step in the assessment procedure is to determine the admissibility of the application. This is done using the conditions stated in the previous chapter of this call for proposals. The eligibility of the proposals is checked by both STW and DBT. Eligible proposals enter the assessment procedure. Applicants of non-eligible proposals will be offered one opportunity to amend their application. Only if proposals meet the eligibility criteria within the amendment period offered, such proposals can enter the assessment procedure.

Step 2: Peer Review

The quality of the proposals will be assessed by independent scientific experts ('referees'), according to the criteria specified (Appendix III). Each proposal is sent to preferably six, but no less than four independent, scientific experts, who will review the proposal. The anonymously written reviews collected by STW are sent to the Dutch Principal Investigator. The research teams are given the opportunity to provide a written reply to the review reports ('rebuttal') to the comments of the referees.

Step 3: Assessment committee

The quality of the proposals will be assessed by the joint assessment committee. The assessment committee comprises independent scientific experts, of any nationality, selected by STW and DBT. The committee assesses the proposal on the basis of specific questions about scientific quality, utilisation and fit in the Water for Health programme (Appendix IV). The assessment committee convenes once to moderate, rank and recommend one application for funding. Appendix V contains an explanation of the meaning of the quality scores. The assessment committee's advice is sent to the boards of DBT and STW.

Step 4: Decision

The Indian board responsible for DBT grants, and the boards of STW and NWO take a 'conditional decision' on the advice of the assessment committee. After both boards have reached the same 'conditional decision', the joint decision becomes effective. Applicants are informed by their national boards on the decision made.

Step 5: Workshop India

During the week of 5-9 September 2016, the Indian-Dutch applicants of the selected research programme will come together in India for the launch of the experimental testing site. Next to that, selected applicants will receive further instructions for the elaboration of the individual project

descriptions, as recommended by the joint workshop programme. The programme proposal and matching full project proposals are to be submitted before **20 October 2016 14.00 CET**.

The assessment committee will evaluate the proposal again on scientific quality and utilisation. The final proposal can only be considered for funding if both the scientific quality criterion and the utilisation quality criterion together score no more than 7.0 and the individual criteria score no more than 4.0, and the co-funding criteria are met. Based on the advice of the assessment committee, the boards take a final, effective decision. The STW Board may attach additional conditions to an award. These conditions may relate to matters such as intellectual property, co-funding by (potential) users and/or special infrastructure facilities

NWO Code of Conduct on Conflicts of Interest

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

To ensure a fair assessment and transparency for applicants, STW uses a code of conduct on conflicts of interest that is in line with the NWO Code of Conduct on Conflicts of Interest. This code identifies possible forms of conflicts of interest and indicates the steps to be taken to avoid conflicts of interest. Parties subject to the code of conduct are: referees, jury members, committee members, members of decision-making bodies and STW officers.

The full text of the code of conduct on conflicts of interest used by STW is available at:

<http://www.nwo.nl/en/about-nwo/governance>

Timeframe

Deadline for the expression of interest form is Tuesday 3 May 2016, 14.00 CET. Researchers who do not submit an expression of interest are not eligible to submit a joint proposal.

Deadline for programme proposals is Tuesday 24 May 2016, 14.00h CET.

After the Indian board responsible for DBT grants and the board of STW have reached the same funding decision, selected applicants are expected to further elaborate the individual project descriptions. The programme proposal and elaborated project proposals are to be submitted before **20 October 2016 14.00 CET**. Co-funding criteria are to be met when submitting the elaborated final proposal.

During the week of 5-9 September 2016, the Indian-Dutch applicants of the selected research programme will come together in India for the launch of the experimental testing site along the Barapullah drain (near Sarai Kale Kahn, New Delhi).

Programme proposals	
Activity	Date/ period
Opening of the call	4 March 2016
Deadline expression of interest	3 May 2016, 14.00h CET
Deadline for the submission of proposals	24 May 2016, 14.00h CET
Eligibility check	24-31 May 2016
Assessment by (international) referees	June 2016
Primary applicants' rebuttal	4-15 July 2016
Prioritisation by the assessment committee	August 2016
Board decision	19 August 2016
Announcement of the decision to the main applicants	22 August 2016
Programme full proposals	
Activity	Date/ period
Launch of experimental testing site	5-9 September 2016
Deadline for the submission of elaborated programme proposal with matching co-funding	20 October 2016, 14.00h CET
Evaluation by the assessment committee	November 2016
Final board decision	11 November 2016
Announcement of the decision to the main applicants	14 November 2016

Contact details

For specific questions about this call for proposals please contact:

The Netherlands - STW

Dr Lise de Jonge
l.dejonge@stw.nl
+31-(0)30-6001223

The Netherlands - NWO

Berry Bonenkamp
b.bonenkamp@nwo.nl
+31-(0)70-3494416

India - DBT

Dr Shailja V. Gupta, Director
Email: shailja.dbt@nic.in

Dr. Sanjay Kalia, Scientist 'D'
Email: sanjay.kalia@nic.in

Appendix I: Notes on Users, co-funding and letters of support

Utilisation

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

Users

Users of research are defined as natural or legal persons (at national or international level) who are able to apply the results of the research. A distinction is sometimes drawn between direct users of the knowledge generated, usually companies, and end users, who buy the products from those companies. Both have a role to play in the innovation chain and must be referred to in the utilisation plan. After the research proposal has been awarded, a minimum of four users should sit on the user committee and at least 50% of the users should be from industry. Research proposals from a medical faculty or university medical centre should have potential users, just like other proposals. At least one of the users should be a company. It is not sufficient in this case to state merely 'the patient' or 'a clinic'. The final composition of the user committee is subject to the same conditions as other STW projects.

Co-funding

See 'programme-specific criteria'. Please note that co-funding criteria only concern the Dutch part of the requested budget.

Notes on Criteria relating to co-funding

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

rate) or (3) as a user. Government agencies may act as users under the same conditions as private users.

- The co-funding to be provided by users must be confirmed in a letter of support. These letters must explicitly state: 1) the importance of the research proposal for the organisation, 2) the importance of the utilisation plan for the organisation's operations, 3) the pledged financial and/or the specified capitalised material and/or personnel contribution(s) and 4). whether the user intends (i) to allow STW to take the lead in making IP arrangements in accordance with STW's current IP policy or (ii) to make its own arrangements with the knowledge institution(s) and user(s) concerned. See also the requirements under 'Letters of support' and the 'Notes on Intellectual Property & Publication arrangements' later in this brochure.

Notes on Criteria relating to in-kind co-funding

- Part of the research may be conducted by third parties. A condition is that the expertise provided in the form of man-hours is not already available at the research institute(s) and is used specifically for the STW project. For personnel support by third parties, STW applies fixed rates in order to capitalise the number of man-hours used (up to 1250 direct hours/year/fte) for a senior or junior researcher. For the current rates, see www.stw.nl.
- For pledges of material resources, charge the cost price. Commercial rates are not accepted. For pledges of equipment, take previous depreciation and intensity of use into account.
- Pledges in the form of supplies of services are possible only if the service can be itemised as an identifiable **new** endeavour. The service should not already be available at the research institute(s) realising the research. Applicants may wish to claim services already supplied (such as a database, software or plant lines) as in-kind co-funding. Acceptance is not automatic in such cases. Contact STW about this. Further consultations will take place to decide whether a specific value can be determined for this supply of services.

NOT permissible as the co-funding

- STW guards against the improper mixing of funding sources: co-funding can never come from direct or indirect (NWO, KNAW) government funding. As a result, co-funding can also never come from the research institute of the (co-) applicant(s) or from institutes which are themselves eligible to apply to STW.
- Discounts on (commercial) rates for materials, equipment and/or services, for example.
- Costs relating to overheads, supervision, consultancy and/or participation in the user committee.
- Costs of services that are conditional. No conditions may be imposed on the provision of co-funding. Nor may the provision of co-funding be contingent upon reaching a certain stage in the research plan (e.g. go/no-go moment).
- Costs which are not paid by STW (e.g. clinical trials, costs relating to the exploitation of the research results, service costs equipment).
- Costs of equipment if one of the (main) aims of the research proposal is to improve this equipment or to create added value for it.

Letters of support

A letter of support is obligatory if co-funding is provided by the users. STW advises applicants to ensure that the users pay particular attention to endorsing the importance of the utilisation plan for their operations. The letter of support should satisfy the following requirements.

A. General requirements

- Letters of support must be printed on the letter paper of the co-funder.
- Letters of support are addressed to the project leader with a copy to STW.
- Letters of support must be written in English.
- The address on the letter is correct.
- Letters of support must be signed by an authorised signatory.
- The cash contribution (inclusive of Dutch VAT) stated in the letter is paid to STW.

B. Specific requirements

- Brief description of the company and the core business (type of company, size, which service, products).
- A statement that the company is interested in and will commit itself to the research.
- An explanation as to why the answering of the research question is important to the company. How does this solution fit in their strategy?
- A brief explanation as to why this particular research group and research proposal are receiving support.
- What the company will contribute in concrete terms (incl. capitalisation) and why this fits in the research proposal/planning.
- Further specification of the in-kind support, both hours (number and/or tariff applied) and materials (numbers; cost price; tariff; percentage that can be attributed to the project, etc.).
- The company provides the contribution described without additional conditions.

C. Declaration and signing by the User

- The company states that it has read the proposal and signs for this.
- The company states that it will actively participate in the User Committee (UC) and signs for this.
- The company states that it agrees to the General Conditions of STW and signs for this.
Optional: The company states, and signs accordingly, that - contrary to the provisions of Part 3 of the General Conditions - it will make its own IP arrangements with all users and knowledge institutions concerned.

Letters of support are unconditional and do not contain any opt-out clauses.

The amounts stated in the letters of support must correspond with the amounts stated in the budget presented.

A copy or scan of the letter will suffice for the submission of a research proposal.

STW will not approach persons or organisations who have signed letters of support to act as referees (code of conduct on conflicts of interest).

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

Appendix II: Notes on Intellectual Property Policy & Publication arrangements

STW facilitates the transfer of knowledge between the technical sciences and users. In this process it is important that a responsible approach is taken with regard to research results in general, and patentable inventions and discoveries in particular. STW's aim is firstly to exploit and publish the results of research as widely as possible, whilst retaining the possibility to establish IP rights and to subsequently transfer these rights to user(s) or grant a licence to user(s) for these and, secondly, to stimulate collaboration between researchers and various external companies.

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

As from 15 April 2015, STW will also offer knowledge institutions the opportunity to make their own IP and Publication (IP&P) arrangements with the parties with which they cooperate. In this way, STW hopes to respond better to the wishes of the researchers and co-funders who are involved in STW projects. It will continue to be possible to opt for the approach whereby STW takes the lead in making arrangements for IP and similar matters; in such cases, STW's Intellectual Property policy will be followed.

If knowledge institutions prefer to make their own arrangements, they must make this known - with the approval of the companies concerned - at the time the application is submitted, and have concluded the arrangements within three (3) months of receiving STW's approval for the project. The knowledge institution has the lead in these circumstances. The arrangements will subsequently be reviewed by STW to ensure they are compatible with five criteria that reflect the task and mission of STW.

Make choice known on submission

STW asks the party submitting the research proposal to indicate, in advance, which option has been chosen with regard to IP&P arrangements for the results of the research. The two options and the attendant implementing conditions are described in the table below.

Option 1

STW takes the lead in making Intellectual Property and Publication* arrangements ('STW IP&P arrangements')

- Part 3 of STW's 'General Conditions' on 'Intellectual Property & Publication' is applicable.
- Access to foreground IP rights for private party or parties / consortium:**
 - 0-10% private contribution private party or parties: private party/parties have no automatic right
 - 11-30% private contribution private party or parties: private party, parties or consortia have right of option
 - 31-50% private contribution private party or parties: non-exclusive non-transferable commercial licence + right of option to exclusive right. Contribution towards patent costs can be required
 - Private parties can combine their contributions so as to achieve a more favourable ranking
 - Confidential information remains confidential
 - Results can always be published but publication may be suspended for a maximum of 9 months in connection with the protection (patent) of the results
- Agreements must be confirmed in writing within six months of the project being awarded
- *Further information on Options 1 and 2 can be found in STW's 'General Conditions' and in the relevant/underlying 'Guidelines for financing applications'*

Option 2

Knowledge institution takes the lead in making Intellectual Property and Publication* arrangements ('Own IP&P arrangements')

- 'Own IP&P arrangements' fulfil the following criteria:
 - i All necessary foreground information (IP ensuing from the STW project) and - insofar as legally possible - background information (already existing IP from company and/or knowledge institution) is available for the execution of the project
 - ii The agreement is aimed at the application or allocation of the results by way of publication
 - iii Publication of scientific knowledge from the project will not be obstructed by users, but the beneficiary and users may determine the publication schedule
 - iv Any results generated from the project by the beneficiary remain available for the beneficiary for educational and research purposes
- On submission: The knowledge institution(s) and all users agree that the provisions under 'Own IP&P arrangements' will apply to the STW project and declare that they do or will satisfy the criteria from i to iv above
After award: The knowledge institution(s) and all users approve the agreement in writing
- STW will receive, no later than three (3) months after awarding the project:
 - i. The signed agreement in which IP&P arrangements are made with the user(s)
 - ii. A signed IP&P statement in which the knowledge institution declares that the agreement relating to the IP&P arrangements with the user(s) satisfies all the pre-determined criteria. The knowledge institution hereby refers to the relevant provisions in the agreement
- STW reviews the agreement against the pre-determined criteria; if STW approves the agreement, STW informs the project leader - in accordance with Article 2 (4) of STW's 'General Conditions' - that the project can be started

***NB:** All scientific publications resulting from research that is funded by grants derived from this Call for proposals are to be immediately (at the time of publication) freely accessible worldwide (Open Access). There are several ways for researchers to publish Open Access. A detailed explanation regarding Open Access can be found on www.nwo.nl/openscience-en.

Notes on Option 1: when STW makes Intellectual Property & Publication arrangements

STW takes the lead in the negotiations on the subject of IP&P arrangements. Once a project has been approved, all users that contribute to the project receive a letter from STW informing them that the project has been awarded to the knowledge institution. In addition, STW asks the user to sign the letter to (re)confirm its participation in and contribution to the project. The user can also indicate a desire to enter into a more comprehensive agreement, setting out the reciprocal rights and obligations involved in the cooperation. That is possible.

Further details of STW's IP policy can be found below.

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

- **Ownership of the results of research**

The results of research carried out by the research institute(s) in the context of an STW project are owned jointly by the participating institute(s) and by STW.

- Ownership of the results of research that are generated exclusively by user(s) in the context of an STW project is vested in the user(s) in question. The user(s) will allow STW and the research institute 'freedom to operate'.
- The results of research that are generated jointly by the research institute(s) and the user(s) in the context of an STW project are owned jointly by the participating institute(s) and by STW. If the co-inventing user has itself provided more than 10% of the project funding in the form of personnel, that user will be granted a non-exclusive, royalty-free and non-transferable licence for the use of the invention, patent or patent application.
- Existing IP rights continue to be vested in the holder(s) of such right who contribute these rights to the project. Insofar as it is possible under the law, and insofar as it is not detrimental to the reasonable commercial interests of the right holder, this/these right holder(s) will facilitate, at their own discretion and in all reasonableness, a freedom to operate.
- 'Freedom to operate' means that the holder of the intellectual property right grants licences to others within the project:
 - ▶ insofar as legally possible;
 - ▶ insofar as necessary for the project (without charge);
 - ▶ insofar as necessary for the exploitation of the results of the research and possible concomitant results (at a fair market price);
 - ▶ insofar as such freedom to operate is not detrimental to the reasonable commercial interests of the right holder.

- **Protection of research results, confidentiality and publications**

STW attaches considerable importance to the protection of knowledge in the process of knowledge transfer. Users admitted to the user committee, undertake to maintain confidentiality with regard to the research results. However, parties can agree - either prior to or during the lifecycle of the project - that protection of the knowledge generated by the project can be suspended if that would be beneficial to the commercial exploitation of the expertise and intellectual property generated by the project.

Research results that are not susceptible to IP protection, and not subject to a written know-how licence, can be used freely by all parties. The researcher is obliged to report any invention to STW immediately. Draft publications are submitted to the user committee by STW; the committee is

asked whether, in their opinion, the publication contains a patentable invention and/or whether there are utilisation opportunities. If knowledge protection measures need to be taken, such as the submission of a patent application, STW may decide to suspend the publication for up to 9 months.

- **Commercial usage rights to results that accrue in part or in whole to STW and the research institute(s)**

- **Contribution 0-10%**

A user who contributes less than 10 percent to the costs of the research project by way of in-kind or in-cash resources will be the first party to receive information about the results of the research. Companies are at liberty to use the results generated by the research for internal, non-commercial purposes.

- **Contribution between 10% and 30%: Right of option**

A user who contributes more than 10 percent to the costs of the research project by way of in-kind or in-cash resources is also entitled to a right of option on a licence to, or the transfer of the results of the research when full or joint rights are held by STW and the research institute(s). If a user exercises this option, the transfer of an exclusive or non-exclusive licence will be effected against payment of a fair market price (see below). If multiple users are eligible for an option, an agreement will be made as to the scope of their usage. If this is not possible, the contributing users will be granted a joint option on a semi-exclusive licence.

- **Contribution between 30% and 50%: Right of option on a commercial NERF right**

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

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

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

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

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

- **Combining contributions from companies**

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

- **Patent costs**

The following provisions apply if the user deems it desirable that a patent application be submitted:

The patent application is submitted in the name of STW and the research institute(s) where the invention or discovery takes place.

The user bears the costs of the patent. The patent costs are not offset in the calculation of a fair market price.

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

- **Licensing**

The right to use or apply research results is acquired through a licence, transfer agreement or know how agreement.

In all cases, a licence agreement or transfer agreement will contain provisions concerning:

- exclusivity or non-exclusivity;
- royalty-free research and education licence for STW and the research institute(s) concerned;
- determination of a fair market price (with the exception of a NERF licence when contributions exceed 30%);
- anti-freezer clause or best endeavours obligation concerning application or commercialisation
- reporting obligations;
- indemnification against liability on the part of STW and the knowledge institute(s);
- market price + discount arrangements.

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

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

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

Notes on Option 2: when own Intellectual Property & Publication arrangements are made

If the knowledge institution elects to make its own arrangements with the user for Intellectual Property rights and Publication, those arrangements must be set out in writing. They must also satisfy the following conditions:

- i. All necessary foreground information (IP ensuing from the STW project) and - insofar as legally possible - background information (already existing IP from company and/or knowledge institution) is available for the execution of the project;
- ii. The agreement is aimed at the application or sharing of the results by way of publication;
- iii. Publication of scientific knowledge from the project will not be obstructed by users, but beneficiaries and users may determine the publication schedule;
- iv. Any results generated from the project by the beneficiary remain available for the beneficiary for educational and research purposes.

Furthermore, the following conditions apply on submission or on award of a project:

- On submission: the knowledge institution(s) and all users agree that the provisions under 'Own IP&P arrangements' will apply to the STW project and declare that they do or will satisfy the criteria from i to iv above.
- After award: The knowledge institution(s) and all users approve the agreement in writing.

Within three (3) months of the award of the project, the applicant knowledge institution will submit a copy of the agreement to STW, indicating where arrangements for each of the specified conditions can be found.

Within three (3) months of the award of the project, all knowledge institutions and users concerned will also declare that all the conditions have been satisfied; this will be done by signing and returning the appropriate form (Appendix 6).

If, on review, it transpires that the arrangements made do not satisfy the conditions set out above, STW can extend the original three (3) month period after award by a further period of up to two (2) months, to enable the user(s) and the knowledge institutions to modify the arrangements so that they do satisfy the pre-determined conditions.

If at the end of this period the conditions have not been satisfied, this means that the conditions attached to the award have not been fulfilled and there can be no allocation of funding.

Appendix III: Specimen form 'Declaration and signing by the applicant'

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

Declaration and signing by the applicant:

- All applicants and co-applicants satisfy the criteria relating to 'Who can act as main or co-applicant?'
- All compulsory letters of support are attached (separate appendices in PDF format).
- The 'Financial Planning' form is attached (separate appendix in PDF format).
- By submitting this document I declare that I satisfy the nationally and internationally accepted standards for scientific conduct as stated in the Netherlands Code of Conduct for Scientific Practice 2012 (Association of Universities in the Netherlands).
- Where applicable (other applications): Funding has been requested for (parts of) this research proposal from another funding provider (other than indicated potential users).
- Where applicable (use of animals in laboratory testing): I agree to comply with the Code on Openness in Animal Testing¹.
- Where applicable (use of genetic resources): I agree to comply with the Nagoya Protocol (see 'Links').

I hereby declare that I have truthfully and completed and signed the application, including the answers to the following questions, and that I have also done this on behalf of the co-applicants.

Surname and initials:

Place:

Date:

Signature:

In relation to STW's Intellectual Property Policy, please answer the following questions. Please provide a brief explanation where necessary.

1. Are there any applicants or co-applicants who are involved in one of the indicated users or in parties to which paid or unpaid work is to be tendered? yes/no If so, state the nature of the involvement (appointment, advisor, member of (governing) board, etc.).
2. Are there any users who indirectly (e.g. via material or investment credit) receive STW finances? yes/no If so, this should be stated in the research proposal (8.5).
1. Make a choice: STW takes the lead in making Intellectual Property & Publication arrangements (Option 1) or your knowledge institution takes the lead in making Intellectual Property & Publication arrangements (Option 2).
Check your choice with the Tech Transfer Office(s) (TTOs) of the university/universities and potential user/users involved.

¹ If the project involves animal experimentation, the applicants declare that they agree to comply with the 'Code on Openness in Animal Testing', as drawn up by the KNAW, VSNU and NFU (April 2008).

- Option 1: STW takes the lead
- Option 2: Knowledge institution takes the lead

If you check Option 1 above, please answer questions 4 through 11.

If you check Option 2 above, please answer questions 12 and 13.

Option 1:

2. The knowledge generated in the project will be jointly owned by the research institute(s) and STW. Are the intended user committee members who shall provide co-funding aware of this? yes/no
3. Are the users aware of the final version of the research proposal, of each other's involvement and any positions with regard to intellectual property? yes/no
4. Are there already any verbal or contractual agreements between (one of the) users and the research institute(s) submitting the application? yes/no
5. Are there any users who wish to enter into contractual agreements at the time when the project is awarded? For example, a joint expression of the wish to use the right to an option. yes/no
6. Are any materials or methods/technologies/ software of third parties (including users) used which are subject to restrictions or commercial secrecy? yes/no
7. Are any materials or methods/technologies/ software of third parties (including users) used which were obtained through the signing of a material transfer agreement? yes/no If so, which conditions are imposed on their use?
8. Are there any relevant patents/patent applications on the part of the research groups involved and/or potential users? yes/no
9. Are there any relevant patents on the part of parties not involved in the project application which might obstruct the utilisation? yes/no

Option 2:

10. Are all the users and knowledge institutions involved in agreement that own Intellectual Property & Publication arrangements are to be made?
11. Are all users and knowledge institutions involved aware that the Intellectual Property & Publication arrangements must satisfy certain conditions, and that failure to satisfy these conditions within the given time limit will result in the cancellation of the allocation of funding?

Initials

Other:

- The research described in the proposal falls within the top sector(s): (see selection list)
- The research described in the proposal falls within the scientific discipline(s): (see selection list)

Please note: It is **obligatory** to fill in this main discipline in ISAAC (tab "General Information" section "Research fields") before submitting the proposal.

Appendix IV: Evaluation items

The expert referees and assessment committee evaluate the proposal on the basis of specific questions about scientific quality, utilisation and fit in the Water for Health programme.

- What is your opinion concerning the novelty and innovative nature of the proposed research? Does the proposed research have an added value compared to other possible international initiatives?
- What is your opinion concerning the programme's scientific and technical objectives?
- What is your opinion concerning the programme's level of ambition?
- What is your opinion concerning the necessity and urgency of tackling this subject now in the form of a programme?
- Does the programme have sufficient focus and mass to achieve a visible and distinct profile at an international level?
- What is your opinion concerning the structure and coherency of the programme? What is your assessment of the coherency between the different lines of research (if present) and the various projects within these?
- Do all of the different projects make a sufficient contribution to the scientific, technical and/or economic objectives of the programme? Do you have suggestions for improvements? Clearly state for which project(s) you propose improvements.
- What is your assessment of the quality of the researchers involved from an international perspective? Do those submitting the proposal belong to the internationally leading research groups? Do you miss prominent Dutch/Indian researchers or research groups who could make a positive contribution to the coherency, objectives, or quality of the programme?
- What is your opinion concerning the economic and social relevance and impact of the research theme?
- What is your opinion concerning the involvement and commitment of potential users (third parties) and how knowledge dissemination is planned to take place? What is your assessment of the balance between the users' contribution to the programme and their (commercial) interest in the programme's success?
- Has sufficient thought been put into how the results (of each project) can be utilised? What do you consider the feasibility and timing of the implementation of the results?
- Is the budget requested (personnel and resources) in line with the objective(s) of the programme described?
- What is your opinion regarding the strategic contribution of this programme to the aims of the joint DBT-STW programme (see programme description)?

Appendix V: Evaluation scales

Scientific quality

1. Excellent

An excellent researcher or outstanding research team.
A well-chosen problem.
The method is especially/pre-eminently effective and original.
Very urgent.

2. Excellent to very good

3. Very good

A competent researcher or competent research team.
A significant problem.
The method is original and effective.
An urgent approach is important.

4. Very good to good

5. Good

An average researcher or average research team.
A routine problem.
With the method, which has some original details, the project can be addressed, although other possibilities are conceivable.

6. Good to moderate

7. Moderate

It is far from certain that this work is within the capacity of the researcher and / or the research team:
the proposal itself contains no obvious errors.
The problem is moderately interesting.
Whether the project can be successfully tackled with this standard method, is questionable.
The project may well be postponed.

8. Moderate to poor

9. Poor

The competence of the investigator or research team is inadequate.
The proposal contains serious errors or mistakes.
This old method is not good for this project.
Not to be executed, even if there is money left.

Utilisation

1. Excellent

This will certainly lead to important new techniques or to very important applications in industry, society and other sciences.
This research is urgently needed to make an estimate of the consequences of the use of this technology or technique.
The utilisation is very well thought out and the approach ensures the greatest likelihood of an effective use of the results.

2. Excellent to very good

3. Very good

This research will likely lead to important new techniques or to important applications in industry, society, or in other sciences.

This research is highly desirable to make an estimate of the consequences of the use of this technology or technique.

The utilisation is well thought out and the approach makes it plausible that the results of this work will be used well.

4. Very good to good

5. Good

This work will possibly lead to new technologies or applications that might be useful for industry, society, or other sciences.

This research will be needed to make an estimate of the impact of this technology or technique.

The utilisation is sufficiently thought through, it can probably be improved during the execution of the work. The results of this work will probably be used.

6. Good to moderate

7. Moderate

Technically this work could possibly be useful at some time or it is conceivable that in due course another science, industry or society or of the results could make use of it.

The results of this research are not exactly awaited, but they may be useful in the future if an evaluation is made of the consequences of using this technology or technique.

The utilisation is very unsatisfactory. This should certainly be improved, otherwise it is likely that the results of this work will not be used.

8. Moderate to poor

9. Poor

Technically the work is bad and redundant, i.e. different, better or similar techniques, which are cheaper are already available.

This study does not evaluate the consequences of using this technology or technique, moreover, it increases the confusion.

The utilisation is completely wrong.

Fit in the programme

1. Excellent

The project fits the aims of programme exactly.

It is in the heart of one or more of the themes of the programme.

This is a key project for the topic of the programme.

2. Excellent to very good

3. Very good

The project fits the programme very well.

It is a very good elaboration of one or more themes of the programme.

This is very important project for the topic of the programme.

4. Very good to good

5. Good

The project fits the programme.

It is a good elaboration of one or more themes, but some parts are outside the scope of the programme.

This project could give an important contribution to the topic of the programme. For this, it is important to focus it on the themes of the programme during its execution.

6. Good to moderate

7. Moderate

The project partly fits the programme.

The described work has some relation with the themes of the programme, but the main activities are outside scope.

This project can only have a minor, indirect contribution to the topic of the programme. Its main focus is on a different topic or it focuses on a minor and/or insignificant part of the themes.

8. Moderate to poor

9. Poor

The project does not fit the programme.

The described work is not in any of the themes of the programme.

The vocabulary of the programme is used but in the wrong context or without substantiation in the research activities.

This project will have no contribution to the topic of the programme.