



Substantive assessment criteria

Institution	National Centre for Research and Development, National Centre for Science
Project	Joint National Undertaking: ARTIQ - AI Centres of Excellence
Call	I
Call announcement	July 30, 2021
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„Substantive assessment criteria” is a very important call document, determining the criteria of substantive assessment of applications submitted under ARTIQ call. Each application is appraised in accordance with the: (1) access criteria (the application meets/does not meet particular criterion), (2) criteria credited (the application is awarded a grade within certain criterion, shown in credit points) as described in this document.

Access criteria¹
<ol style="list-style-type: none"> 1. Compliance of the project with the substantive scope of the call. 2. Eligibility, reasonability and adequacy of expenses. 3. Intellectual property rights. 4. Fulfilling ethical principles in scope of artificial intelligence.
Credited criteria²
<ol style="list-style-type: none"> 5. The objective and scientific value of the project. 6. The possibility of commercialising the outcomes of the project and anticipated advantages of commercialising. 7. The scope and adequacy of works planned for the project against planned outcomes. 8. Scientific and application achievements of the Leader, experience of the Applicant in implementing R&D projects and commercialising as well as human and administrative resources.

SUBSTANTIVE ASSESSMENT CRITERIA			
ACCESS CRITERIA			
No.	Criterion	Description of the criterion and methodology of granting credit points	Grade
1.	Compliance of the project with the substantive scope of the call	Within this criterion the compliance of planned research with substantive scope of the call is appraised as well as complementariness of particular kinds of general research, industrial research, development works or pre-implementation works against reasonability of financing the project. In part of the project where the implementation of general research is to be performed (financed by NCN), it is assessed if planned tasks meet the criterion of general research.	YES/NO
2.	Eligibility, reasonability and adequacy of expenses	Within this criterion eligibility of planned expenses is appraised, their adequacy and reasonability against planned works.	YES/NO

¹ Reviewers do not evaluate access criteria.
² Individual opinions are only descriptively assessed. Especially credited points are granted by the Team of Experts at the stage of final assessment of the application.

		<ol style="list-style-type: none"> 1) Eligibility of particular cost items planned in the application, in accordance with the catalogue indicated in the documents “NCBR Cost Eligibility Guide” and “Costs in a call ARTIQ – Centres of Excellence in the field of artificial intelligence for financing general research by NCN”, 2) Assigning eligible costs to appropriate category of research or works, 3) Assigning eligible costs (particular cost items planned in the application) to appropriate category of costs i.e., salaries, subcontracting, other direct costs, 4) Eligibility and reasonability of planned costs i.e., whether they are adequate to the scope of particular works. In particular assessed is if: <ol style="list-style-type: none"> a) The costs are necessary and directly related to implementation of works planned in the project, b) The value of costs is appropriate and adequately justified against the substance and scope of planned research, c) The costs are adequate to anticipated outcomes, 5) Compliance of the amount of financing applied for with: <ol style="list-style-type: none"> a) limits of values of subsidising/qualified costs determined in the Rules and Regulations of the Call, b) limits for subcontracting determined in the Rules and Regulations of the Call . <p>Criterion is considered met if all the requirements mentioned in this point are met.</p>	
<p>3.</p>	<p>Intellectual property rights</p>	<p>Within this criterion it is assessed if:</p> <ol style="list-style-type: none"> 1) the Applicant has intellectual property rights, necessary for performing works planned in the project, 2) it was plausibly established that there is a lack of available and protected solutions, technologies or outcomes of works, which occurrence would either make impossible or unreasonable to implement or utilise the outcomes of the project in practice. <p>Criterion is considered met if all the requirements mentioned in this point are met.</p>	<p>YES/NO</p>

4.	Fulfilling ethical principles in scope of artificial intelligence	Within this criterion it is assessed if the actions taken in the project are appropriate ethically in scope of research and works related to artificial intelligence and lead to creating a safe and reliable system (if applicable).	YES/NO
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SUBSTANTIVE ASSESSMENT CRITERIA			
CREDITED CRITERIA			
No	Criterion	Description of the criterion and methodology of granting credit points	Number of points
5.	The objective and scientific value of the project	<p>Within this criterion assessed is:</p> <ol style="list-style-type: none"> 1) the objective and expected outcome of the project as well as the correctness of the definition, 2) scientific level, authenticity and cutting-edge/innovative character of planned research and innovation of the expected outcome of the project; the objective and scientific value of the project need to be assessed in international context, 3) comprehending latest achievements in the field of artificial intelligence in the way of implementing the project, 4) adequacy of methodology of project implementation against objectives, tasks and assumed outcomes, 5) possibility of achieving one main goal and at least one detailed aim of the enterprise, 6) potential influence of the effects of project implementation on the area of artificial intelligence in international range. <p>Required point threshold within the criterion, conditioning positive assessment for the project equals 4 points.</p> <p>In case:</p> <ul style="list-style-type: none"> • the outcomes of the project do not contribute to achieving one main goal and at least one detailed aim of the enterprise or • the project is about research problem of mediocre significance for the field of artificial intelligence or • planned research and expected outcomes do not characterise as new in international range 	from 0 to 5

		it is only possible to gain 3 points within the criterion.	
6.	The possibility of commercialising the outcomes of the project and anticipated advantages of commercialising	<p>Within this criterion it is assessed if:</p> <ol style="list-style-type: none"> 1) planned concept for commercialising the outcomes of the projects is feasible, assumptions are realistic, justified and make economic success of commercialising the outcomes of the project feasible, 2) the Applicant has potential to implement the outcomes of the project, 3) there are other advantages of commercialising the outcomes of the project (for instance, social or environmental), 4) intellectual rights protection has been proprietarily planned, 5) potential risks related to commercialising the outcomes of the project have been proprietarily identified and managing those risks adequately planned. <p>Required point threshold within the criterion, conditioning positive assessment for the project equals 3points.</p>	from 0 to 5
7.	The scope and adequacy of works planned for the project against planned outcomes	<p>Within this criterion it is assessed if:</p> <ol style="list-style-type: none"> 1) planned works have been clearly specified as constituting logically whole tasks, assigned to adequate categories of research or works, 2) the schedule of implementation of the project is realistic and adequate to the scope of planned works, 3) planned works are adequate (i.e., necessary, sufficient and justified) to achieving the goal of the project, 4) the final outcome (milestone) of each task has been accurately and measurably determined as well as the influence of non-achieving milestone on reasonability of continuing the project, 5) planned method of managing the project provides its appropriate implementation, 6) the most significant risks related to implementation of the project have been identified and described and risk management has been proprietarily planned. 	from 0 to 5

		<p>Required point threshold within the criterion, conditioning positive assessment for the project equals 3 points.</p> <p>In case:</p> <ul style="list-style-type: none"> • milestones are determined accurately (measurably) or • research works schedule has inconsistencies/breaches or • risk management plan has critical gaps <p>it is only possible to gain 2 points within the criterion .</p>	
8.	<p>Scientific and application achievements of the Leader, experience of the Applicant in implementing R&D projects and commercialising as well as human and administrative resources</p>	<p>Within this criterion it is assessed if:</p> <p>The Leader has scientific achievements and international experience in scope of artificial intelligence, including experience in implementing R&D projects, commercialising research outcomes and successes in collaborating with business,</p> <p>The Applicant has experience in implementing R&D projects, and commercialising research outcomes,</p> <p>Key R&D staff has scientific achievements and practical experience, including experience in implementing R&D projects corresponding to the scope and kind of works planned in the application,</p> <p>Qualifications of R&D staff planned to be engaged in implementing the project correspond to the scope and kind of works planned in the application,</p> <p>Human and technical resources including scientific and research infrastructure at disposal or to be obtained by the Applicant, provide appropriate implementation of the project, including tasks related to commercialising in accordance with planned substance list,</p> <p>Human and technical resources have been selected adequately to the scope and kind of works planned in particular tasks.</p> <p>Required point threshold within the criterion, conditioning positive assessment for the project equals 4 points.</p>	from 0 to 5

		<p>In case:</p> <p>Scientific achievements of the Leader are at the most good (are not very good or perfect) and have limited recognisability in the field of artificial intelligence or</p> <p>The Applicant's resources are not sufficient to implement the project</p> <p>it is only possible to gain 3 points within the criterion.</p>	
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Comment. It is possible to correct the application for funding in scope of information verified within the above criteria (not applicable to criterion No. 1).

Correcting the application for funding cannot regard:

- the objective of project,
- the nature of research/technology problems,
- increasing the amount of financing planned in the application before correcting.

In the course of appraising the application within each of the criteria, the experts and reviewers can draw up questions to the Leader/Applicant which could constitute grounds for the Team of Experts to talk to the Leader and Applicant.

In case of credited criteria, the assessment is performed in scale from 0 to 5 (in round numbers), while the number of points means the project meets certain criterion as:

- 5 – perfect,
- 4 – very good,
- 3 – good,
- 2 – average,
- 1 – low,
- 0 – insufficient.