



Reinforcing the AI4EU Platform by Advancing Earth Observation Intelligence, Innovation and Adoption

## D6.1: Overview of Open Calls operational planning and management

<b>Grant Agreement ID</b>	101016798	<b>Acronym</b>	AI4COPERNICUS
<b>Project Title</b>	Reinforcing the AI4EU Platform by Advancing Earth Observation Intelligence, Innovation and Adoption		
<b>Start Date</b>	01/01/2021	<b>Duration</b>	36 Months
<b>Project URL</b>	<a href="https://ai4copernicus-project.eu/">https://ai4copernicus-project.eu/</a>		
<b>Contractual due date</b>	31/07/2021	<b>Actual submission date</b>	31/07/2021
<b>Nature</b>	R = Document, report	<b>Dissemination Level</b>	PU = Public
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This project has received funding from the *European Union's Horizon 2020 research and innovation programme* under grant agreement No 101016798.

**Document Revision History (including peer reviewing & quality control)**

Version	Date	Changes	Contributor(s)
v1.0	01/07/2021	First version of the document	Xenia Ziouvelou, Dora Katsamori
v2.0	15/07/2021	Second version of the document	Xenia Ziouvelou, Dora Katsamori, Vangelis Karkaletsis
v3.0	26/07/2021	Third version of the document	Xenia Ziouvelou, Lefteris Koukianakis
v4.0	27/07/2021	Review Comments & Quality Control	Pal Boza, Philippe Fournand, Vangelis Karkaletsis
v5.0	29/07/2021	Inclusion of promotion related material	Elena Galifianaki, Fay Pitsilidou
V6.0	30/07/2021	Final version & Quality Control <b>(pending review by EC)</b>	Xenia Ziouvelou, Vangelis Karkaletsis, Dora Katsamori

## Executive Summary

This deliverable describes the process and sub-activities that are critical for the AI4Copernicus Open Calls and which will be conducted in direct collaboration with all the involved project partners. More specifically, it refers to the relative phases of the Open Calls and the relevant documents that will support the applicant to better understand the project's framework and his duties and benefits, in case of his project's selection to be funded.

The active Open Calls during this reporting period are:

- **1st Round of Open Calls for Use-Cases in four Industrial Domains:** Energy, Security, Health, Agriculture (M7-M28)
- **2nd Round of Open Calls for Citizen Social Challenges** (M8-M13)

As briefly will be described in the deliverable, the sub-activities include the following:

- Overview of the Open Calls
- Operational Planning and Management: Generic issues
- Open Calls Specifications
- Preparatory Activities
- Open Calls Evaluation Process
- Sub-grant Agreement Process
- AI4Copernicus Open Calls Platform
- 1<sup>st</sup> Round of Open Calls Operational Planning
- 2<sup>nd</sup> Round of Open Calls Operational Planning

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## List of Terms & Abbreviations

Abbreviation	Definition
<b>AI</b>	Artificial Intelligence
<b>AI4EU</b>	The AI on Demand Platform
<b>DIH</b>	Digital Innovation Hub
<b>EO</b>	Earth Observation
<b>M</b>	Months
<b>Q</b>	Quarter
<b>SME</b>	Small and Medium Enterprises

## 1. Introduction

This deliverable describes the process and sub-activities that are critical for the AI4Copernicus Open Calls and which will be conducted in direct collaboration with all the involved project partners. More specifically, it refers to the relative phases of the Open Calls and the relevant documents that will support the applicant to better understand the project's framework and his duties and benefits, in case of his project's selection to be funded.

The active Open Calls during this reporting period are:

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- 1<sup>st</sup> Round of Open Calls Operational Planning
- 2<sup>nd</sup> Round of Open Calls Operational Planning

### 1.1. Open Calls Overview

The AI4Copernicus Open Calls aims to bring together diverse communities, such as the Artificial Intelligence and Earth Observation Communities, AI4EU ecosystems, tools and services, Earth Observation data and DIAS ([Data and Information Access Services](#)) tools and services as well as AI4Copernicus tools and services with diverse market-driven challenges in diverse industrial domains and citizen-driven social challenges (Figure 1).

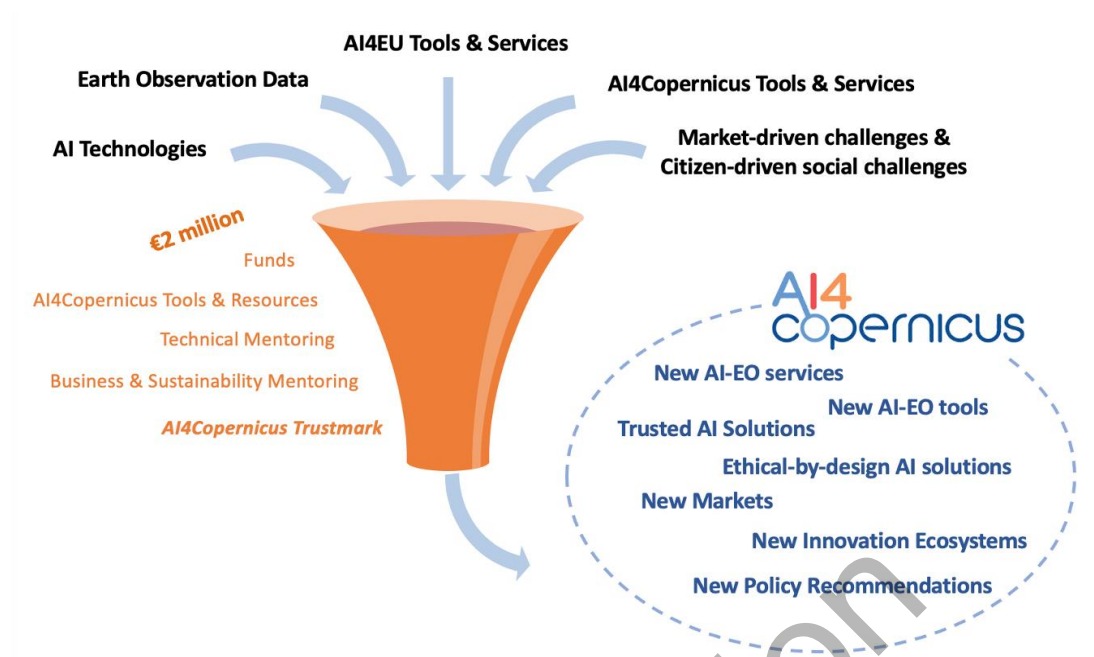


Figure 1: AI4Copernicus Open Calls

A high-level overview of all the AI4Copernicus Open Calls can be seen in the following figure.

## AI4Copernicus Open Calls

**Min. 19 Beneficiaries: 2 individuals, 9 consortia (use-cases), 8 SMEs (experiments)**  
**4 Open Calls**

**€ 150k for 9 Prototypes (SME consortia 2-3 partners), €80k for 8 Prototypes (SMEs)**  
**€5k for citizen-social challenges (2 challenges)**

### WHAT ACTIVITIES WE WILL SUPPORT?

Developing and testing AI technical solutions that address industrial and social challenges by exploiting AI resources and Earth Observation Data

**Prototypes:** AI TRL5 prototypes (use-cases SME consortia), TRL6 (experiments/single company)

**Type of beneficiaries:** SMEs, startups, spin-offs, high-tech & low-tech companies & individuals

**Dates:** 1st open call Q2 2021      2nd open call Q3 2021  
 3rd open call Q1 2022      4th open call Q1 2022

**Website:** <https://ai4copernicus-project.eu/>

**Total FSTP : €2 million**

### VERTICALS

Energy  
 Security,  
 Health,  
 Agriculture,  
 & other sectors like  
 Maritime,  
 Aviation, etc

### Support program

16 months acceleration

### Services included:

- AI4Copernicus resources & tools
- AI4EU & DIASes Services
- Technical Mentoring
- Business & Sustainability Mentoring
- Certification/Trustmark

### Results

17 AI solutions to be published at AI4EU  
 2 citizen-driven social challenges

Figure 2: AI4Copernicus Open Calls Overview

## 1.2 Open Calls Approaches

AI4Copernicus open calls adopt diverse innovation approaches (see figure 3) that involve both:

- top-down (prespecified) and bottom-up (open, market and civil society driven) innovation approaches; involving different types of users: (i) technology-advanced users, (ii) non-technology users, (iii) civil society.

- (b) One-stage approach (with pre-specified or open themes) and Two-stage approach (stage 1: citizen-driven social themes are selected, stage 2: SMEs solve the selected citizen themes)

## 2 Implementation Approaches:

### A. One-Stage Approach Open Calls (Pre-specified or Open Themes)

- A1:** Open Calls for Use-Cases  
**A2:** Open Calls for Small-scale experiments

### B. Two-Stage Approach Open Calls (citizen-driven themes/social causes)

- B1:** Open Calls for Social Cause  
**B2:** Open Calls for Use-Cases  
(based on citizen-driven themes)

Thematic Area/ Social Cause		Types of Users		
		Technology-advanced users	Non-Tech users	Citizens/ Community
Pre-Specified	High value priority thematic areas (Energy, Agriculture, Security & Health)	<b>A1: Open Calls for Use-Cases</b>	<b>A1: Open Calls for Use-Cases</b>	-
	Industrial Community-driven	<b>A2: Open Calls for Small-Scale Experiments</b>	-	-
Open	Citizen-driven/ Crowd-driven	<b>B2: Open Calls for Use-Cases</b>	<b>B2: Open Calls for Use-Cases</b>	<b>B1: Open Calls for Thematic Area/ Social Cause</b>

Figure 3: AI4Copernicus Open Call Approaches

## 1.3 Open Call Rounds

The AI4Copernicus Open Calls have four distinct Rounds, targeting:

- **SMEs:** 1st Round, 3rd & 4th Round
- **Individuals:** 2nd Round for Citizens

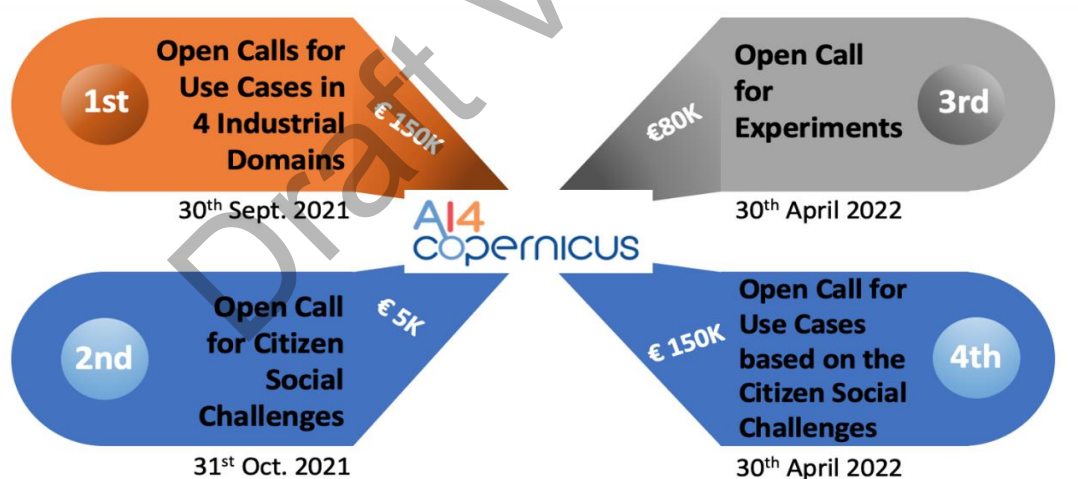


Figure 4: The 4 Rounds of the AI4Copernicus Open Calls (& submission deadlines)

As it can be seen, in the figure 4, these are:

- **1st Round of Open Calls for Use-Cases** (consortia projects with a low-technology SME by default) in 4 Industrial Domains: Energy, Security, Health, Agriculture
- **2nd Round of Open Calls for Citizen Social Challenges**
- **3rd Round of Open Calls for Experiments** (single company)
- **4th Round of Open Calls for Use-Cases** (consortia projects with a low-technology SME by default) based on the Citizen Social Challenges (of the 2nd Round)

## 2. Operational Planning and Management: Generic

The operational planning and management of the AI4Copernicus Open Calls, involves the definition of the open calls process, and sub-activities that are needed in order to ensure the effective operation of the Open Calls. These activities involve the early phases of the open calls that should be implemented in order to ensure the effective operation of the initial rounds of open calls in the course of 2021:

- Open Calls Specifications
- Preparatory Activities for the Open Calls
- Open Calls Management Platform
- Evaluation Process

### 2.1 Open Calls Specification

The AI4Copernicus Open Calls have two to four phases depending on their type.

#### 2.1.1 Open Calls for SMEs (Use-Cases, Experiments)

The **Open Calls for SMEs** are 1st, 3rd, and 4th Round of Open Calls. These calls have four distinct phases as can be seen in figure 5.

In detail these phases are:

- **Phase 1** (3 months): Open Call Phase
- **Phase 2** (2 months): Selection Phase
- **GRANT AGREEMENT** (1 month): Grant Agreement preparation & signature
- **Phase 3** (14 months): Support Phase
- **Phase 4** (2 months): Sustain Phase

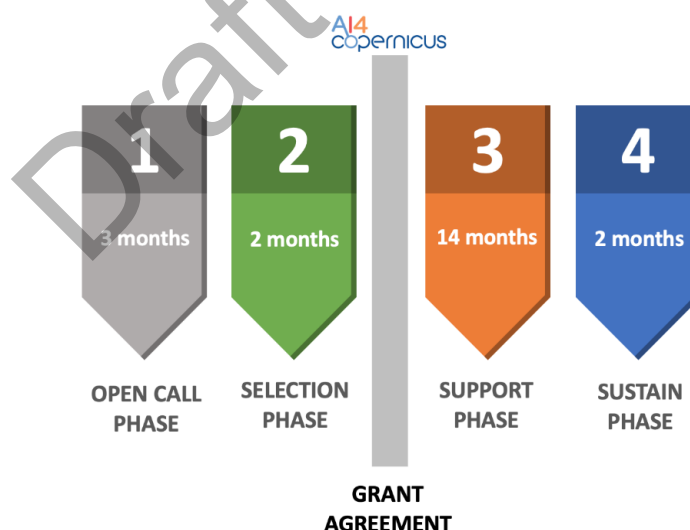


Figure 5: Open Call Phases for SMEs

#### 2.1.2 Open Calls for Individuals

The only **Open Calls for Individuals** is the **2nd Round of Open Calls**. These calls have only two phases as it can be seen in figure 6. In detail these phases are:

- **Phase 1** (3 months): Open Call Phase

- **Phase 2** (2 months): Selection Phase
- **AWARD** (1 month): Monetary Award



Figure 6: Open Call Phases for Individuals

## 2.2 Preparatory Activities for the Open Calls

The preparatory activities of the open calls have been designed as an internal/intra-consortium period for operational planning for each distinct open call ("Phase 0"), covering a period of 3 to 6 months depending on the open call type (see figure 7).

## AI4Copernicus Open Calls Timeplan

Open Call	YEAR 1												YEAR 2												YEAR 3													
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	M2	4	25	26	27	28	29	30	31	32	33	34	35	36	
1 <sup>st</sup>	Phase 0: Preparatory Phase (GENERIC, A1)						Phase1: Open Calls for Use-Cases			Phase2: Select			GRANT AGREEMENT	Phase 3: Support Phase – Initial Part (3A)				Assessment (3B)		Phase 3: Support Phase – Final Part (3C)				Final Assessment (3D)		Phase 4: Sustain												
3 <sup>rd</sup>										Phase 0: Preparatory Phase (A2)				Phase1: Open Calls for Small-Scale Experiments				Phase 2: Select		GRANT AGREEMENT	Phase 3: Support Phase - Initial Part (3A)				Assessment (3B)		Phase 3: Support Phase – Final Part (3C)				Final Assessment (3D)		Phase 4: Sustain					
2 <sup>nd</sup>				Phase 0: Preparatory Phase (B1)			1 <sup>st</sup> STAGE: Phase 1: Open Calls for Themes/ Social Causes			Phase 2: Theme/ Cause Selection			Award/ AGREEMENT																									
4 <sup>th</sup>									Phase 0: Preparatory Phase (B2)			2 <sup>nd</sup> STAGE: Phase 1: Open Calls for Use-Cases (B2) – Based on B1 Themes/Social Causes				Phase 2: Select		GRANT AGREEMENT	Phase 3: Support Phase - Initial Part (3A)				Assessment (3B)		Phase 3: Support Phase – Final Part (3C)				Final Assessment (3D)		Phase 4: Sustain							

A1: Use-Cases, pre-specified Themes, One-stage approach

A2: Small-Scale Experiments, Open Themes, One-stage approach

B1: Citizen-driven Theme/Social Cause definition (1<sup>st</sup> Stage of the Two-stage approach)B2: Use-Cases based on B1 themes/social causes (2<sup>nd</sup> Stage of the Two-stage approach)

Reviews: M9 (Technical check), M18, M36

Milestones: M9, M12, M18, M20, M26, M34

150K x 9  
(6+3)  
use-cases80K x 8  
experiments

Figure 7: Open Calls Timeplan &amp; Operational Planning

### 2.2.1 Community Building Activities

A critical aspect of the open calls relates to the establishment of the AI4Copernicus Community. This community of interested members (SMEs, researchers, individuals, policy makers, investors, etc.) will be the basis for the effective collaboration of the Open Calls. In order to support this purpose, the following activities have and will continue to be active until the end of the project:

- (1) **Ecosystem Creation & Engagement:** create linkages with
  - **[Industrial community]** (a) *Digital Innovation Hubs (DIHs)* focusing on AI, domain specific sectors, EO data/Big Data: (2-3 DIHs per partner); (b) *SME associations, clusters, initiatives* at a regional level (1-2 per partner), (c) *AI and/or EO/Big Data Industrial Associations* (i.e., BDVA (Big Data Value Association), etc) (1-2 per partner)
  - **[Research community]** EU-funded research projects (3-4 projects per partner)
  - **[Citizen community]** Citizen associations, citizen-science communities: 1 per partner
  - Create a list of “Associated partners” (relevant projects, initiatives, collaborators, etc) as a special section in the project website
- (2) **Knowledge-sharing activities & Organisation of Webinars:**
  - **Domain-specific:** 1 per partner in the domain specific areas (4 webinars)
    1. May 31<sup>st</sup>, 2021 (Equinor, smart city/Energy) - **conducted**
    2. June 29<sup>th</sup>, 2021 (Security, SatCen) - **conducted**
    3. August 31<sup>st</sup>, 2021 (UNITN, Agriculture) – *planned*
    4. Sept 7<sup>th</sup>, 2021 (ECMWF, Health) – *planned*
  - **AI-focused webinars:** 1 in relation to AI4EU and the linkage with AI4Copernicus
    - (1) Sep 15<sup>th</sup>, 2021, AI4EU cafe (AI4Copernicus & AI4EO) – *planned*
    - (2) Oct 2021: AI4EU Agriculture pilot (UoA) – *planned*
  - **EO-focused webinars:** DIASes specific webinars (1-2 Webinars)
    - (1) Aug-Sep 2021: CREODIAS (CF) – *planned*

### 2.2.2 Promotion - Visual Material

Acknowledging the importance of communicating the AI4Copernicus Open Calls to interested parties, distinct dissemination and communication activities have been planned to promote the Open Calls (as part of the wider communication and dissemination plan of the project).

The first steps towards this direction have been the creation of all the relevant documents/annexes with a user-centric approach and the creation of dedicated web pages on the AI4Copernicus website pertaining to each Call. These activities have been complemented by the necessary visual material (in collaboration with WP7) to accompany each document for the 1st and 2nd Rounds of Open Calls.



Figure 8: Sample of Open Calls Annexes

Subsequently, in order to further promote Open Calls, a special Communications Toolkit has been prepared in collaboration with WP7. The Toolkit will help partners and stakeholders disseminate Open Call information further to their networks thus reaching wider audiences of interested parties. This **Communication Toolkit**, is [available online](#) on the project website and includes the following:

1. Email template (short and long version of a template email to easily inform interested parties)
2. Banners in various sizes (to be used in emails, social media posts, websites etc.)
3. Suggested Social Media posts (Facebook, Twitter, LinkedIn)
4. Press Release/Announcement in English

Additional promotional activities have taken place which will be detailed in the relevant deliverables in WP7. Some of the indicative material produced and the activities planned are outlined below.



Figure 9: 'Save the date' banner

### 2.2.3 Publication of the Open Calls

**1st Round of Open Calls:** The call was published on the [AI4Copernicus website](#) on the 30th of June, 2021. Before this period, we organized special domain-specific webinars for the applicants (on May 31<sup>st</sup> and June 29<sup>th</sup>, 2021), in order to give them more details on the goals and aims of our 1<sup>st</sup> open call, as well as to answer their questions in a follow-up (non-recorded) session at the end of each webinar. Both webinars were recorded and published on the project website.

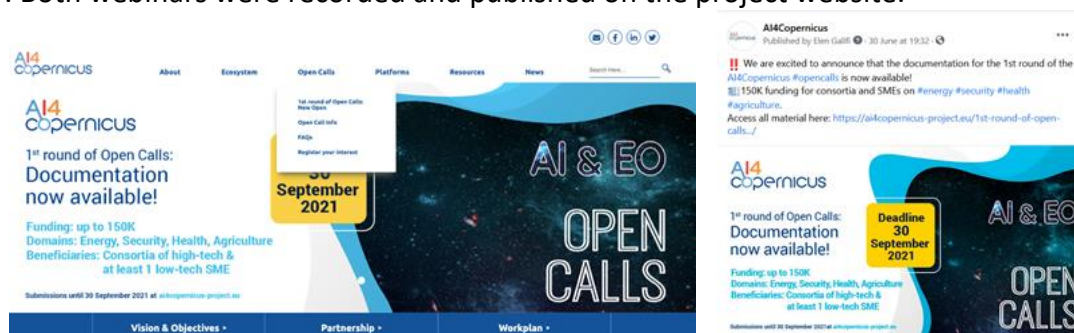


Figure 10: Announcement for 1st Round of Open Calls on website and social media

Additionally, we offered a pre-registration for interested parties, could register their interest for the Open Calls, by providing the name and email. This way we sent early notices related to any relevant open-call activity.

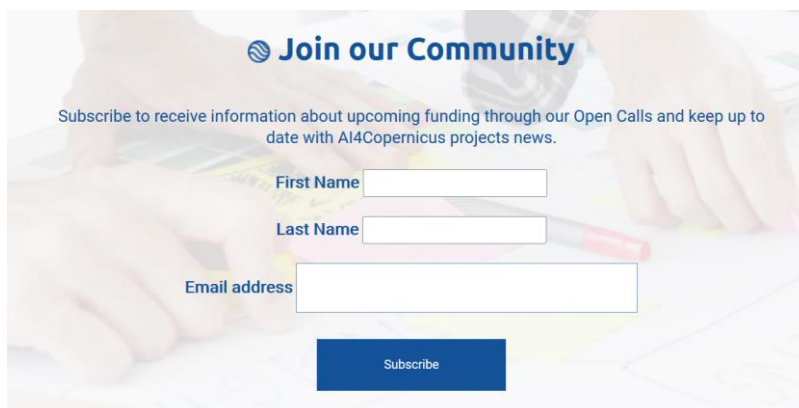
A screenshot of the 'Join our Community' registration form on the AI4Copernicus website. The form is overlaid on a background image of hands working on a map. It includes a heading 'Join our Community' with a globe icon, a subheading 'Subscribe to receive information about upcoming funding through our Open Calls and keep up to date with AI4Copernicus projects news.', and three input fields for 'First Name', 'Last Name', and 'Email address'. A blue 'Subscribe' button is at the bottom.

Figure 11: Registration of interest section on the AI4Copernicus website

**2nd Round of Open Calls:** The call will be published on the AI4Copernicus website on the 31st of July, 2021. Active dissemination activities will take place during August, September and October 2021 in order to ensure its promotion.



Figure 12: Announcement banners for 2nd Round of Open Calls

#### 2.2.4 Gender Equality

The consortium committed to gender equality is promoting equal opportunities between men and women in the design and implementation of the Open Call Projects.

Furthermore, an active linkage with the [Women in Copernicus](#) initiative has been established in order to support and co-create value with this community in the context of the AI4Copernicus Open Calls as well as other new joint activities.

## 2.3 The AI4Copernicus Open Calls Platform

The Open Calls Platform implemented by NCSR-D, aims to facilitate the process of proposal submission through a friendly and intuitive interface, adopting a **user-centric design approach** (see figure 13).

The platform provides the applicants with a set of tools to submit all the basic information about their proposal, include and manage their associate partners in their submission, tools to review and manage their proposal's budget with respect to the calls rules and manage their application's supplemental files. The various parts of the proposal can be reviewed and edited further at all times until the end of the application period.

At the end of the submission period the last existing draft will be submitted for evaluation. At all steps the applicant will receive an affirmative email for all changes performed therein.

If further information is required, the applicants can benefit from the **FAQ section** that details the various topics and functionalities of the platform and process of submission. Relevant documents related to the process and type of Open Calls can also be found under the **Documents section**.

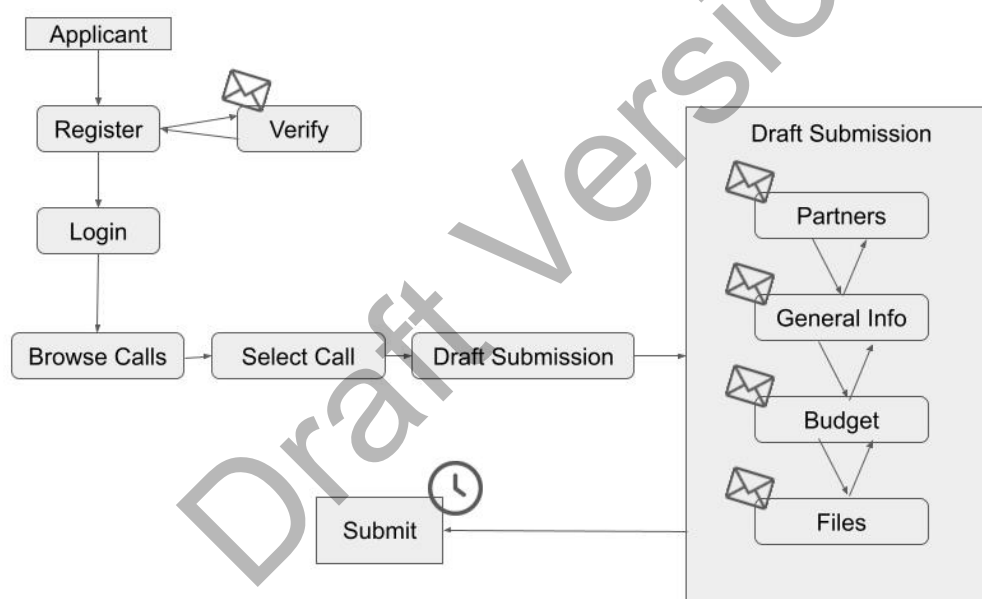


Figure 13: AI4Copernicus Open Calls Platform Workflow

### 2.3.1 Platform Overview

An overview of the platform is presented in the following sections and user-activities within the platform.

#### **Registration: User registration page**

The Applicant will be able to create an account in the platform by providing some basic info in order to be identified in future interaction with the platform.

**Welcome to the Register Page!**

Being part of our great community gives you all the innovative tools to **create a better world!**

**NAME SURNAME** Sayers  
this username already exists, login instead

**EMAIL** \_\_\_\_\_

**PASSWORD** \*\*\*

**RETYPE PASSWORD** \_\_\_\_\_

Individual Registration on behalf of an organisation Yes ☒ No ☐

☒ I acknowledge that I have read, and do hereby accept the [Terms & Conditions](#) contained in this Online/Mobile Disclosure & the Electronic Statement of [Consent Agreement](#)

☒ I agree to my data being used for the purpose of the AI4 Copernicus open calls

**Register Now!**

### Account Validation: email validation code to the user

To proceed further the applicant must validate their email. After successfully submitting the registration form, an email will be sent to the applicants chosen email address. The applicant then can complete the validation process by clicking the designated button on the received email. On the chance that the applicant did not receive the email immediately, they can request the platform to send another.

**Almost there!**

Please in order to login and use the content of AI4Copernicus Open Calls please **validate your account details check your email**

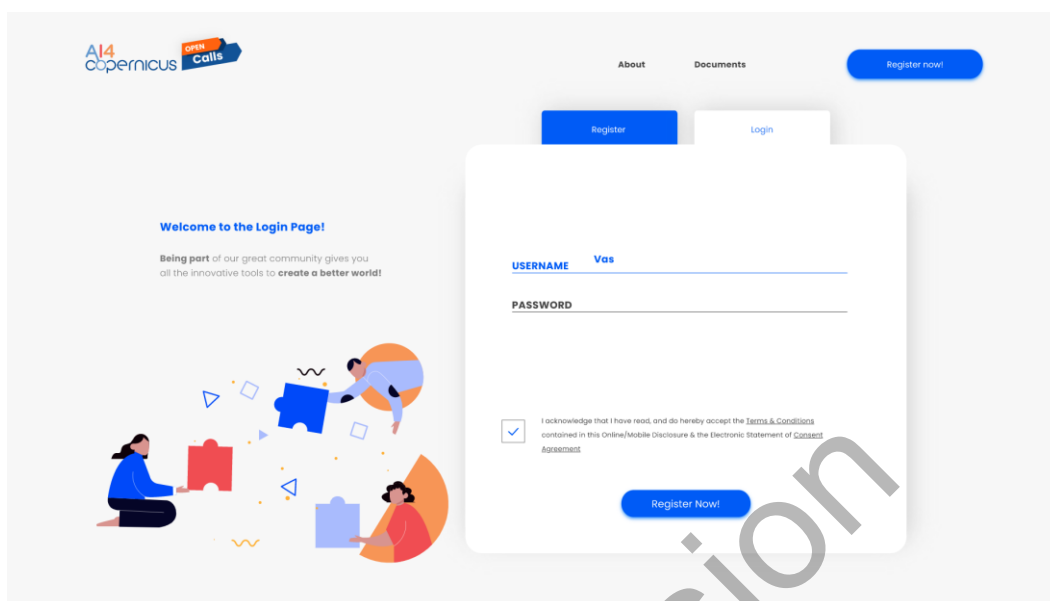
**Resend your email validation code**

**Need Guidelines?**  
[See Documents](#)

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**Login: user login page following the registration**

The user can log in by using their email and password.

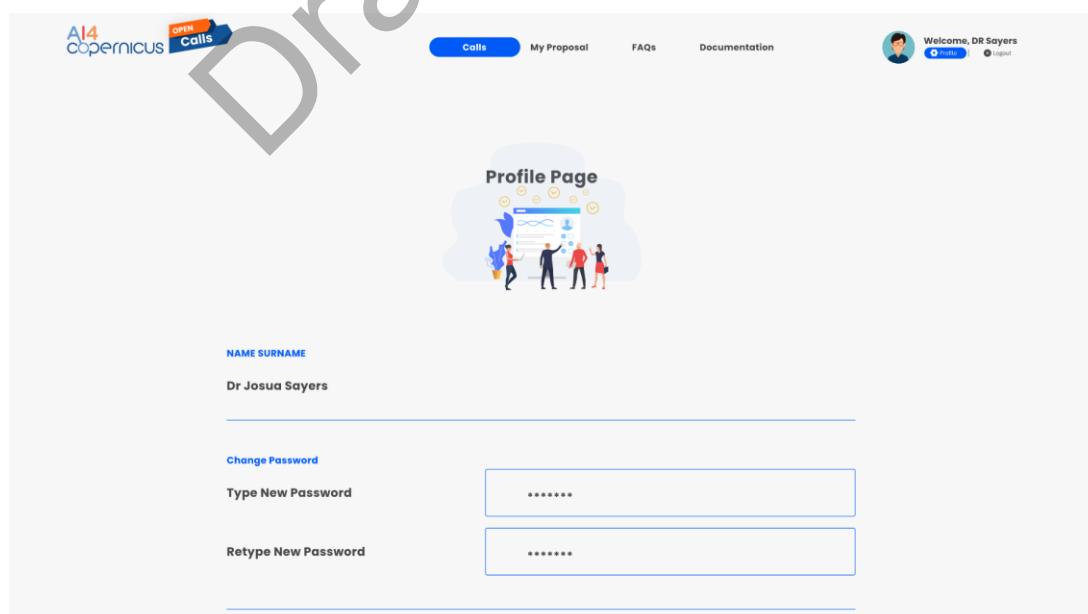


The screenshot shows the login page for AI4 Copernicus Open Calls. The page features a header with the logo, navigation links for 'About' and 'Documents', and a 'Register now!' button. Below the header, there are tabs for 'Register' and 'Login'. The main content area includes a welcome message, a motivational quote, and an illustration of people working together. A large white box contains the login form with fields for 'USERNAME' (labeled 'Vas') and 'PASSWORD'. Below the password field is a checkbox for terms and conditions, and a 'Register Now!' button.

**My Profile Page: registered user profile page**

The applicant after logging in, he/she can add additional contact details on his account or update the already submitted.

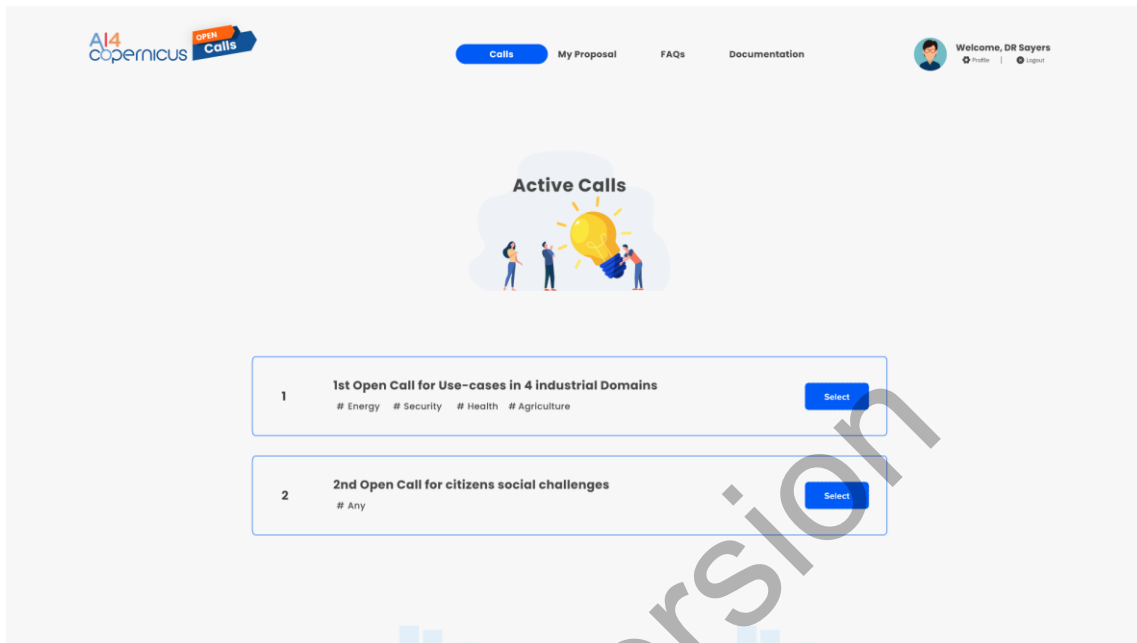
Applicants are requested to provide identification information concerning their organization or enterprise that they represent (in case of SMEs). Finally, they can change their password if they so choose.



The screenshot shows the 'My Profile Page' for a registered user. The page features a header with the logo, navigation links for 'Calls', 'My Proposal', 'FAQs', and 'Documentation', and a user profile section with a welcome message and a 'Logout' button. The main content area includes a 'Profile Page' illustration and a form for updating profile information. The form has fields for 'NAME SURNAME' (labeled 'Dr Josua Sayers'), 'Change Password', 'Type New Password', and 'Retype New Password'.

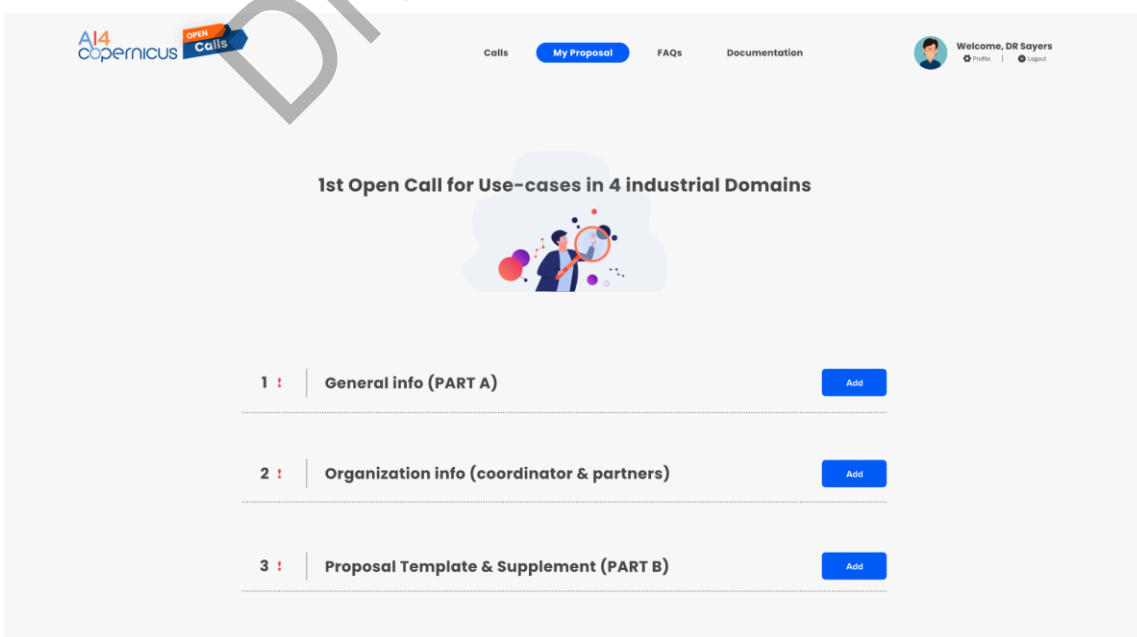
**Active Open Calls: information about the active open calls of the AI4Copernicus project**

The Applicant can see the Open Calls that are currently accepting submissions as well as the related areas which they address.

**My Proposal(s) Page: 1<sup>st</sup> Round of Open Calls Proposal related information**

The Applicant accessed the various areas that represent their submission. That is the generic information, the partners, the budget and the supplemental files required.

Please note that this page will be different for the 2nd Round of Open Calls, where we will have the general information about the user and his/her idea high-level details (Part A) and the proposal template (Part B).



**Part A of the Proposal: Proposal generic information (i.e., acronym, title, abstract, etc.)**

AI4 copernicus OPEN Calls

Calls My Proposal FAQs Documentation

Welcome, DR Sayers Profile Logout

1st Open Call for Use-cases in 4 industrial Domains

General info (PART A)

Proposal acronym

1 Please type proposal acronym

Proposal title

2 Please type proposal title

Proposal Abstract (limit 500 words)

**Organisational Information: Proposal consortium information (i.e., legal names of applicants, website, country, primary industrial domain, etc.)**

AI4 copernicus OPEN Calls

Calls My Proposal FAQs Documentation

Welcome, DR Sayers Profile Logout

1st Open Call for Use-cases in 4 industrial Domains

Organization info (coordinator & partners)

Legal name of the applicants organization

1 Please type Legal name organization

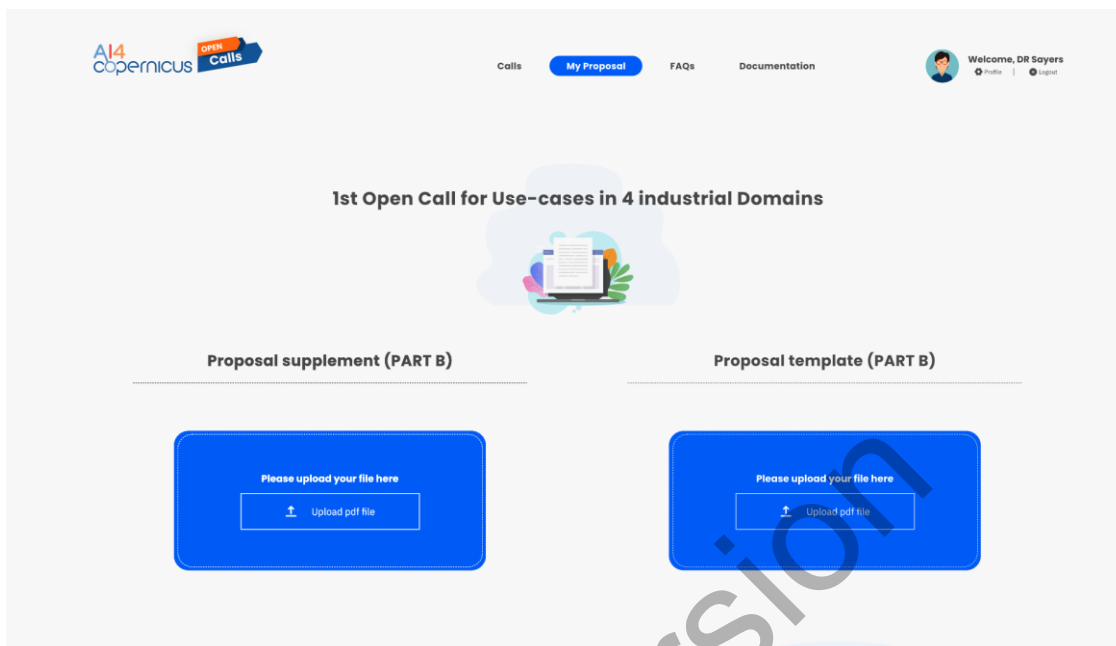
Website URL

2 Please type url

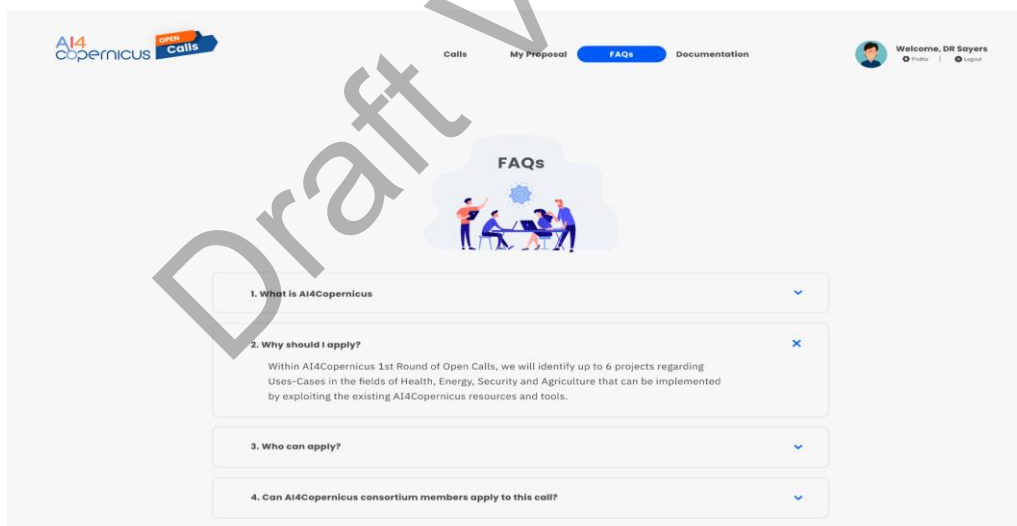
Country of registration

Primary Industrial Domain

## Part B of the Proposal: proposal template and supplement sections



## FAQs: Frequently Asked Questions



## 2.4 Evaluation Criteria for the Submitted Proposals

The evaluation criteria for the submitted proposals differs between: (1) Use-cases, and experiments and (b) citizen-driven social challenges. Please note that these are based on the criteria presented in the Grant Agreement (Section 4.3.3).

## 2.4.1 Evaluation Criteria for Use-cases & Experiments

### Proposal Evaluation Criteria

All eligible proposals will be evaluated by 2 (two) AI4Copernicus evaluators with wide expertise in AI within the fields prioritized in the AI4Copernicus's Target Use Areas. The experts will be selected accordingly with the specific characteristics of the project (additional information can be found in Section 2.5 of this report).

The proposals will be evaluated on the following criteria:

#### (1). EXCELLENCE will evaluate:

- **1.1 Ambition.** The applicants have to demonstrate to what extent that proposed project is beyond the State Of the Art related with the application of AI in the areas targeted by the project for: (a) Use-cases (One-stage approach): 4 high-value priorities: Energy, Agriculture, Security, Health, (b) Small-scale experiments (One-stage approach): Open themes covering all sectors/social causes (Bottom-up, industry-centric) (c) Use-cases (Two-stage approach): Pre-defined based on B1 results ((Bottom-up citizen driven). Applicants must describe the approach behind it (e.g., ground - breaking objectives, novel concepts and approaches, new products, services or business and organisational models).
- **1.2 Innovation:** Applicants should provide information about the level of innovation within their market and about the degree of **differentiation** that this experiment will bring.
- **1.3 Soundness of the approach:** Applicants should provide concrete and verifiable arguments, and/or evidence, with regard to the premises of the proposed ideas.
- **1.4 Ethical AI assessment:** Applicants will assess whether any ethical concerns, related to human rights and values could be raised by their proposed AI and EO projects and detail how they will be addressed/mitigated.

#### (2). IMPACT will analyse:

- **2.1 Economic impact:**
  - **(a) Market opportunity:** The applicants have to demonstrate a clear idea of what they want to do and whether the new/improved product/process is addressing a concrete market potential within the economic fields addressed in the project, e.g., because it solves a problem for a specific niche.
  - **(b) Competition:** The applicants have to provide information about the degree of competition for their particular product/process and if the idea is disruptive and breaks the market. i.e. the products/ process to be brought to market can be clearly differentiated from the competition.
- **2.2 Sustainability:** The applicants have to outline the strategy they will follow to get the scalability of the new/improved product/process beyond just solving a specific problem of a reduced number of end users.
- **2.3 Social impact:** The applicants have to show how the project might contribute to pave the way to, for example, new jobs, solve social challenges, and/or environmental challenges, etc.

#### (3). IMPLEMENTATION will consider:

- **3.1 Team:** The applicants have to demonstrate their management and leadership qualities, their ability to take a concept from ideas to market. The team should be balanced and show a strong commitment of the beneficiary organizations they are part of.

- **3.2 Resources.** Demonstrate the quality and effectiveness of the resources assigned in order to get the objectives/deliverables proposed. One important aspect is that applicants have to make clear in the proposal the intended use of technologies available in the AI4Copernicus platform, datasets, including technical and business solutions. It should be described till what extent the expected non-financial support to be provided by AI4Copernicus, will be critical for the execution of the project.
- **3.3 Liaison with AI4EU and DIAS platforms:** The applicants should provide concrete evidence on expanding and deepening the integration of AI4EU with DIAS platforms, so as to enrich the AI4EU service offering and enable far-reaching innovation between the AI4EU and DIASes.
- **3.4 Liaison with a critical mass of End Users:** The applicants should provide concrete evidence on their capabilities to reach out a critical mass of End Users that might adopt the resulting solutions

## 2.4.2 Ethical Evaluation

### 2.4.2.1 Ethical Assessment

Ethical Assessment is an integral part of the AI4Copernicus Open Calls proposals. Aligned with the [European Ethical Assessment in the context of the Horizon Europe Programme](#), a general ethical assessment section has been integrated in the AI4Copernicus proposals.

### 2.4.2.2 Ethical AI Assessment

**Ethical AI by design** is an integral part of the AI4Copernicus open calls projects from beginning to end. Thus, part of the ethical evaluation will be a dedicated AI Ethical Assessment. This will take place at the conceptual stage of the proposal not only to respect the legal framework including AI regulation but also to enhance the quality and envisioned impact of the AI4Copernicus Open Call projects.

As part of the Open Calls, applicants will be asked to conduct an a priori self-assessment of their AI Projects by answering the by detailing whether any ethical concerns, aligned with the Horizon Europe template. In addition, applicants are asked to self-assess whether any ethical concerns, related to human rights and values could be raised by their proposed AI and EO projects based on a short assessment tool (in general/overall project aim, as well as in relation to the system, input data, algorithm(s), AI model(s), Output) that has been created by NCSR-D (assessing the ethical AI issues during the conceptualisation/design phase of the projects) and detail how they will be addressed/mitigated.

Table 1: Ethical AI Assessment

AI System		None	Low	Moderate	High	Very High	Don't know	Detail your answer (& state the mitigation measures)
<b>System Aim</b>	Are there any ethical concerns related to human rights and values that could be raised by the aim/goal of the AI system that will be designed/developed/deployed in your project ?							
<b>Data</b>	Are there any ethical concerns related to human rights and values that could be raised by the data that will be used in your project ?							
<b>Algorithm</b>	Are there any ethical concerns related to human rights and values that could be raised by the algorithm(s) that will be designed/used in your project ?							
<b>AI Model</b>	Are there any ethical concerns related to human rights and values that could be raised by the AI model that will be designed/used in your project ?							
<b>Output</b>	Are there any ethical concerns related to human rights and values that could be raised by the output of your AI system in your project?							

### 2.4.3 Proposal Scoring for Use-Cases & Experiments

Applications will be evaluated following three main criteria as described below. Each evaluator will rank the application assigning a **score from 0 to 5 for each award criterion** (half point scores may be given) and produce an **Individual Evaluation Report**.

**The scale from 0 to 5 includes:**

- **0 – Fail.** Application fails to address the criterion or cannot be assessed due to missing or incomplete information.
- **1 – Poor.** The criterion is inadequately addressed or there are serious inherent weaknesses.
- **2 – Fair.** The application broadly addresses the criterion, but there are significant weaknesses.
- **3 – Good.** The application addresses the criterion well, but a number of shortcomings are present.
- **4 – Very good.** The application addresses the criterion very well, but a small number of shortcomings are present.
- **5 – Excellent.** The application successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

The **final score** will be calculated as the average of the individual assessments provided by the two Evaluators.

The default **threshold** for individual criteria is 3 (out of 5). The default overall threshold, applying to the sum of the three criteria scores, is 10 (out of 15). In order to be considered for support, the application must score above both individual and overall thresholds.

An overview of the proposal scoring is presented in the table below.

*Table 2: Scoring Criteria for the AI4Copernicus Proposals*

Criteria & Sub-criteria	1. Excellence	2. Impact	3. Implementation
	1.1 Ambition 1.2 Innovation 1.3 Soundness of the approach 1.4 Ethical & Ethical AI Assessment	2.1 Economic Impact 2.2 Sustainability 2.3 Social Impact	3.1 Team 3.2 Resources 3.3 Liaison with AI4EU and DIAS platforms 3.4 Liaison with a critical mass of End Users
Score per Criterion	0-5 points	0-5 points	0-5 points
Threshold per Criterion	3 points	3 points	3 points
Total Marks Awarded	0 -15 points		
Overall Threshold	10 points		

The AI4Copernicus external **Expert Advisory Board** will monitor the process and will finalize the list of projects that will be funded.

**Ties** will be solved using the following criteria, in order:

- Impact score,
- Team score (**ONLY** for Use-Cases and Small-Scale Experiments),
- Date of submission: earlier submitted proposals go first.

#### 2.4.4 Evaluation Criteria for Citizen-driven Social Challenges

All eligible proposals will be evaluated by 2 (two) AI4Copernicus evaluators with wide expertise in AI within the fields prioritized in the AI4Copernicus's Target Use Areas. The experts will be selected accordingly with the specific characteristics of the project (additional information can be found in Section 2.5 of this report).

The proposals will be evaluated on the following criteria:

**(1). EXCELLENCE will evaluate:**

**1.1 Soundness of the proposed social theme.** Applicants should provide concrete and verifiable arguments, and/or evidence, with regard to the premises of the proposed idea.

**(2). IMPACT will analyse:**

**2.1 Social Impact:** The applicants have to provide/indicate how the proposed theme/social cause might contribute to pave the way to create for example for the creation of new jobs (economic impact), solve social challenges, solve environmental challenges (environmental impact), etc.

**2.2 Other impact areas:** The applicants have to provide/indicate how the proposed theme/social cause might contribute to other impact areas for example: contribute to the realization of the United Nations Sustainable Development Goals ([SDGs](#)) as presented in the 2030 Agenda for Sustainable Development, etc.

**2.4.5 Proposal Scoring for Citizen social challenges**

Applications will be evaluated following two main criteria as described below. Each evaluator will rank the application assigning a **score from 0 to 5 for each award criterion** (half point scores may be given) and produce an **Individual Evaluation Report**.

**The scale from 0 to 5 includes:**

- **0 – Fail.** Application fails to address the criterion or cannot be assessed due to missing or incomplete information.
- **1 – Poor.** The criterion is inadequately addressed or there are serious inherent weaknesses.
- **2 – Fair.** The application broadly addresses the criterion, but there are significant weaknesses.
- **3 – Good.** The application addresses the criterion well, but a number of shortcomings are present.
- **4 – Very good.** The application addresses the criterion very well, but a small number of shortcomings are present.
- **5 – Excellent.** The application successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

The **final score** will be calculated as the average of the individual assessments provided by the two Evaluators.

The default **threshold** for individual criteria is 3 (out of 5). The default overall threshold, applying to the sum of the two criteria scores, is **7 out of 10**. In order to be considered for support, the application must score above both individual and overall thresholds.

The AI4Copernicus external **Expert Advisory Board** will monitor the process and will finalize the list of citizen challenges that will be funded.

**Ties** will be solved using the following criteria, in order:

- Impact score,
- Date of submission: earlier submitted proposals go first.

## 2.5 Evaluation Process

The evaluation process of the open calls will involve four distinct types of screening and will cover a period of 2 months for all Open Calls<sup>1</sup>. These screenings are:

- **Screening #1: Eligibility Screening.** Proposal will go through an eligibility check based on the eligibility criteria (see [Section 3.2](#) of this report) that have been specified by the AI4Copernicus partners.
- **Screening #2: Proposal Evaluation & Ethics Screening.** Proposals will be evaluated by 2 (two) AI4Copernicus evaluators with wide expertise in AI within the fields prioritized in the AI4Copernicus's target industrial domains.
- **Screening #3: Evaluation & Consensus Panels.** AI4Copernicus Domain experts will act as Proposal Chairs in the dedicated Evaluation and Consensus Panels that will be organised for each individual proposal. These panels will also involve the 2 Proposal Evaluators (that participated in Screening #2).
- **Screening #4: Expert Advisory Board Panels.** During this final screening the chairs of the Evaluation Panels will present the outcomes of "Screening #3" to the Expert Advisory Board. This process will essentially finalise the list of Successful Projects to be funded. Once this process concludes the Public Announcement of the Results will be made available.

### AI4Copernicus Individual Evaluators & Proposal Chairs Database

In order to coordinate the evaluation process, in the course of WP6 an online database has been created, with the AI4Copernicus Partners that will act as the: (a) Individual Evaluators (Screening #2) and (b) the Proposal Chairs that are domain experts and who will lead the Evaluation and Consensus Panels (Screening #3).

This database will be a living document until the end of the project so that project partners can constantly update it.

## 2.6 Sub-grant Agreement Process

The sub-grant agreement will cover a period of 1 month. It will include the following activities:

- Sub-grant Agreement preparation & signature
- Identification of the Support Officers for the successful projects

## 2.7 Funded Projects Assessment Criteria

Two assessments will be conducted in the course of the funded AI4Copernicus Open Call Projects, namely:

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<sup>1</sup> Please note that this process elaborates on the process presented in the Grant Agreement (Section 4.3.3).

- **1st Assessment:** Interim Assessment
- **2nd Assessment:** Final Assessment

Please note that these are based on the assessment process presented in the Grant Agreement (Section 4.3.3).

### 2.7.1 1st Assessment: Interim Assessment

The AI4Copernicus external Expert Advisory Board will review the funded Open Call projects' performance at the **interim assessment milestone**, according to the following criteria.

**Each criterion will be scored from 0 to 10 and the weight of each one of these criteria**, in the final score, will be as follow:

1. **Deliverable quality (30%)**
2. **Technical performance indicators (30%)**
3. **Business performance indicators (30%)**
4. **Ethical AI Assessment (10%)**

According with this final score:

- **Best-in-class Projects** having a score above 75% will successfully receive the next payment and be candidate to continue in the program
- **Behind the Best-in-class.** Those projects who haven't reached the threshold will be reviewed by the Expert Advisory Board within 3 months after the interim assessment so as to take the final decision considering all possible objective reasons for underperformance (i.e. external factors which might have influenced the beneficiaries' performance). Those not passing this review will be invited to leave the AI4Copernicus Open Calls Program (their funding will not exceed 50% of the project budget).

### 2.7.2 2nd Assessment: Final Assessment

The Expert Advisory Board will review the projects (Use-cases or Small-scale experiments) performance at the final review, based on:

- **the same criteria as in the INTERIM ASSESSMENT:**
  1. **Deliverable quality (30%)**
  2. **Technical performance indicators (30%)**
  3. **Business performance indicators (30%)**
  4. **Ethical AI Assessment (10%)**
- **a presentation "video pitch" that each team will make so as to provide an overview of their project and its accomplishments.**

According with this final score:

- **Best-in-class Projects (Graduates)** having a score above 75% will be awarded the AI4Copernicus Trustmark in order to support and empower them further during the commercialisation process.
- **Behind the Best-in-class.** For those beneficiaries who haven't reached the threshold, the Expert Advisory Board will consider all possible objective reasons for underperformance (i.e. external factors which might have influenced the beneficiaries' performance) and will provide suggestions for future improvement.

Please note that “**Assessment Forms**” will be created in order to facilitate the assessment of projects (both interim and final).

In addition, an **ethical AI self-assessment tool** will be developed in order to assist beneficiaries in course of their projects both in the interim and final assessments. This tool will be based on the [European Commission's Artificial Intelligence High-Level Expert Group \(AI HLEG\)](#) published Assessment List for Trustworthy Artificial Intelligence and the [self-evaluation tool for organisations](#) to assess, identify and mitigate risks related to AI systems; as well as the ethical AI Assessment tool (design phase of a project) that has been included in the assessment of projects submitted via the Open Calls (see Section 2.4.2.2 of this report).

### 3. Operational Planning: 1st Round of Open Calls for Use-Cases in 4 Industrial Domains

#### 3.1 Phases of the 1st Round of Open Calls

The **1st Round of Open Calls** for Use-Cases (consortia projects with a low-technology SME by default) focusing on **4 Industrial Domains: Energy, Security, Health, Agriculture**. An overview of all the phases of the 1st Round of Open Calls, can be seen in the following figure 14.

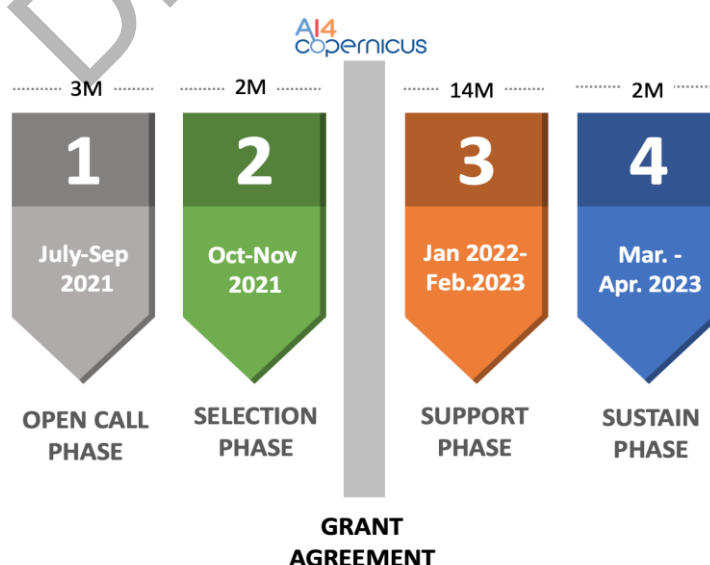


Figure 14: 1st Round of Open Call Phases for SMEs

In detail the phases of the 1st Round of Open Calls is presented in the following sections.

### 3.1.1 Phase 1: Open Calls Phase

Time: July-September 2021

Phase 1: “Open Calls” involves the announcement of the 1st Round of the AI4Copernicus Open Calls for projects and will cover a period of **3 Months (3M)**.

During this phase all relevant AI4Copernicus Open Call Annexes (Open Calls Documentation, see Appendix 1) were provided for interested participants to prepare their proposals.

#### 1<sup>st</sup> Open Calls Documentation ([accessible online](#))

1. **Annex 1: Open Calls Related Information:** which provides information regarding the open call for proposals
2. **Annex 2: Guidelines for Applicants:** which sets out the guidelines for participation in the AI4Copernicus open calls
3. **Annex 2.1: Indicative Project Scenarios:** which provides some indicative open call projects
4. **Annex 3: Proposal Form:** the application form will be made available via the AI4Copernicus website
5. **Annex 3.1: Proposal Supplement:** providing information on proposal consortium details, Ethical & Security details
6. **Annex 4: Project Consortium Declaration & Declaration of Honour:** which declares that all consortium partners are in agreement, all data provided are true and legally binding and that all conditions of the open call are accepted by an SME legal representative and/or open call participant & Declaration of Honour on exclusion criteria and absence of conflict of interest
7. **Annex 5: SME Declaration:** evaluates the status of the SMEs participating at the open call (for open calls for use-cases and small-scale experiments)
8. **Annex 6: Bank Account Information:** collects information on the applicant’s bank account where the AI4Copernicus payments will be transferred to.
9. **Annex 7: Sub-grant Agreement Template for projects (use-cases):** provides a template of the sub-grant agreement that the successful applicants will be requested to sign.
10. **FAQs:** Frequently asked questions & answers published via the AI4Copernicus website

In order to assist users, we have classified these Annexes into three key phases: **(1) Proposal Preparation Documents, (2) Proposal Submission, (3) Grant Agreement Preparation** (see Figure 15).

### 1st Open Call for Use-cases in 4 Industrial Domains: Energy, Security, Health, Agriculture

Below you can download the relevant documents for the 1st round of Open Calls and for the following phases:

<p><u>Proposal Preparation</u></p> <ul style="list-style-type: none"> <li>• Annex 1: 1st Open Call Related Information</li> <li>• Annex 2: Guide for Applicants</li> <li>• Annex 2.1: Indicative Projects</li> <li>• Annex 2.2: Technical Documentation</li> <li>• FAQs</li> </ul>	<p><u>Proposal Submission</u></p> <ul style="list-style-type: none"> <li>• Annex 3: Proposal Form</li> <li>• Annex 3.1: Proposal Supplement</li> </ul>	<p><u>Grant Agreement Phase</u></p> <ul style="list-style-type: none"> <li>• Annex 4: Project Consortium Declaration &amp; Declaration of Honour</li> <li>• Annex 5: SME Declaration</li> <li>• Annex 6: Bank Account Information</li> <li>• Annex 7: Sub-grant Agreement Template for use-case projects</li> </ul>
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Figure 15: 1st Round of Open Calls Annexes in the [AI4Copernicus website](#)

#### 3.1.2 Phase 2: Selection Phase

Time: October-November 2021

Phase 2: “Selection” involves the evaluation of all the eligible AI4Copernicus Open Call Proposals and will cover a period of **2 Months (2M)**. During this phase four types of screenings will take place as presented in the previous sections of this report.

#### 3.1.3 Grant Agreement

Time: December 2021

The Grant Agreement process will cover a period of **1 Month (1M)** and will involve the contractual arrangements with the beneficiaries (selected AI4Copernicus project consortia), during the 1st Round of Open Calls.

#### 3.1.4 Phase 3: Support Phase

Time: January 2022- February 2023

Phase 3: “Support” (see Figure below) includes four sub-phases:

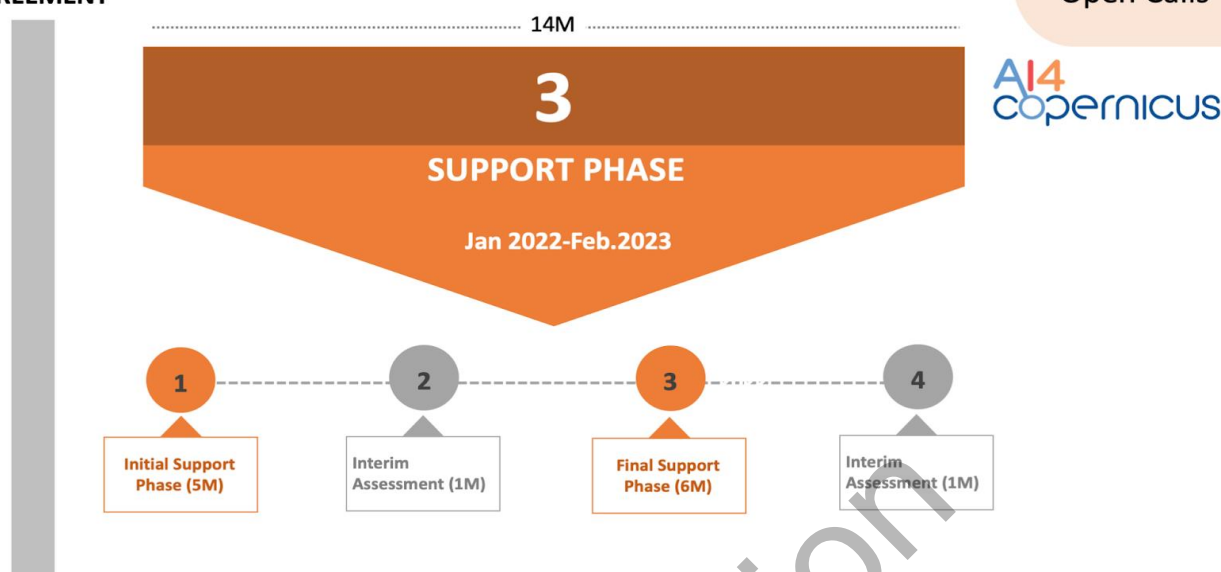
GRANT  
AGREEMENT1<sup>st</sup> Round of  
Open Calls

Figure 16: Phase 3 for the 1st Round of Open Calls

1. **Initial support:** will involve the preparation and launch of the AI4Copernicus selected projects (i.e., requirements regarding data, tools, components/services, identify missing tools, data, identify adaptations needed & design workflows, analyse legal, ethical, privacy, security concerns) as well as an initial implementation (experiment and implement workflows, etc.) with an on-going mentoring process. This sub-phase will cover a period of **5 Months (5M)**.

**Phase 3: Support Phase - "3A Initial Support (5M)"****1. Launch Phase (1M):**

- Assign 1 Support Officer per project (WP6 Partners)
- **Project Launch preparation:** missing data, tools, adaptations, design workflows, etc.

**2. Concept Validation & Early Development (4M):**

- **Mentoring process:** online periodic (ad hoc) sessions to track the development of the solution, so as to provide guidance and support the development process aligned with the needs of each project

2. **Interim assessment:** will provide an initial feedback of the AI4Copernicus projects progress and will cover a period of **1 Month (1M)**. It will evaluate the status as well as the final potential of each project aiming to provide feedback that will enable the 1st Round of Open Calls project partners to adapt their projects as needed (if needed), ensuring this way the successful implementation of each project.

**Phase 3: Support Phase - "3B Interim Assessment (1M)"****Assessment Panels:**

- **Review:** Expert Advisory Board (per project) in assessment panels with the Support Officer per project
- **Results & feedback to the projects**

3. **Final support:** during this sub-phase the implementation of the 1st Round of Open Call projects will continue, considering the feedback from the interim-assessment and the on-going mentoring process. This sub-phase will cover a period of **6 Months (6M)**.

**Phase 3: Support Phase - "3C Final Support (6M)"**

Same as in "Phase 3A"

- **Mentoring process:** online periodic (ad hoc) sessions to track the development of the solution, so as to provide guidance and support the development process aligned with the needs of each project

4. **Final assessment:** will involve the final evaluation of the output of the AI4Copernicus funded projects and will provide an overall final scoring.

**Phase 3: Support Phase - "3D Final Assessment (2M)"**

**Assessment Panels:**

- **Review:** Expert Advisory Board (per project) in assessment panels with the Support Officer per project
- **Results & feedback to the projects**

The Assessment of the projects (Interim and Final Assessment) will be conducted, as specified in Section 2.7 of this document.

### 3.1.5 Phase 4: Sustainability Phase

Time: March - April 2023

Phase 4: "Sustain" (see figure 11) will facilitate two distinct aspects:

- (1) **Sustainability of the AI4Copernicus projects** (use-cases and experiments) that will successfully graduate from "Phase 3: Support". All graduated projects will acquire the "**AI4Copernicus Trustmark**" and will have access to the AI4EU marketplace;
- (2) **Sustainability of the AI4Copernicus and AI4EU ecosystems**, via a two-way user-driven feedback process:
  - (A) AI4Copernicus beneficiaries will assess and test, in a measurable manner the (A1) AI4Copernicus (service and open calls process) and (A2) AI4EU platform and service offering (covering scalability, usefulness, ease of (re)use, robustness, etc.). Respondents will be able to propose potential optimisations and enhancements, contributing this way to the sustainability of the AI4Copernicus & AI4EU ecosystems.
  - (B) AI4Copernicus will analyse input from the interim and final assessments of the different project which will subsequently cross-validate it with beneficiaries. This way it will provide user-driven insight (at a policy level<sup>2</sup>) related to AI adoption barriers/challenges for the different types of users and at a macro-level (generic) and micro-level (platform/ecosystem-centric - AI4EU and AI4Copernicus).

<sup>2</sup> User-driven policy guidelines for AI-adoption barriers and challenges at a micro (platform-ecosystem level) and macro (generic level).

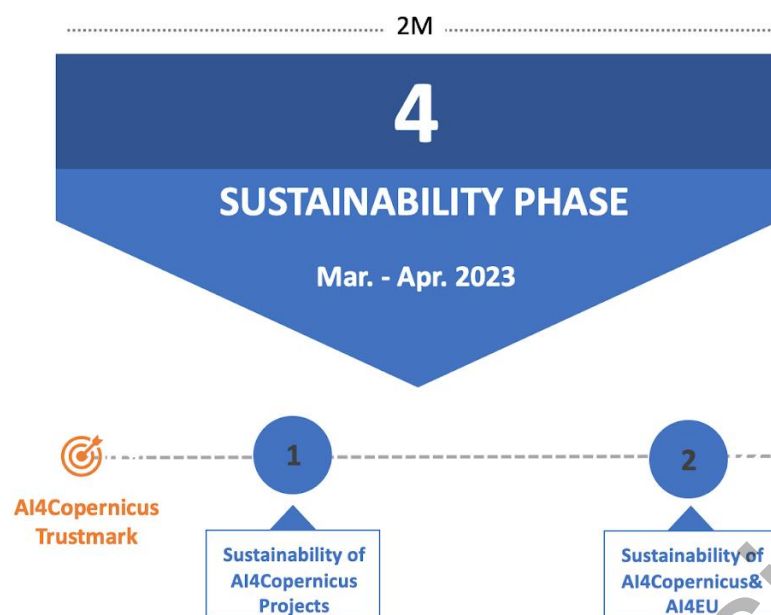
1<sup>st</sup> Round of  
Open Calls

Figure 17: Phase 4 for the 1st Round of Open Calls

### 3.2 Eligibility Criteria: 1st Round of Open Calls

All proposals received via the Open Calls, will be checked according to the following items:

- 1. Type of Activity:** Use-Case, Small-Scale experiments, Social challenges, etc
- 2. Type of Beneficiary:** depending on the type of activity, the beneficiaries can be:
  - (a) *Open Calls for Use-Cases:* SMEs (individual SMEs and/or consortia of SMEs that are high-technology and/or low or no-tech SMEs from EU member state or Associated Countries)
    - (a1) *Open Calls for Use-Cases in the domains of Health, Energy, Security, Agriculture (1st Round of Open Calls for Use-Cases):* Consortia of SMEs including at least 1 non-or low-tech SME by default
- 3. English-language.** English is the official language for the open calls. The proposal must be in English in all its mandatory parts in order to be eligible. If the mandatory parts of the proposal are in any other language, the proposal will not be eligible.
- 4. Submission system.** All the proposals should be submitted through the AI4Copernicus Open Call Platform. Proposals submitted by any other means, will not be evaluated.
- 5. Submission before the Deadline.** Applications must be submitted by the closing time and date published in the open call. The time recorded by the Open Call Management Tool, as submission time of the proposal, will be the official one. Late proposals will not be admitted.

**6. Absence of conflict of interest.** Applicants shall not have any potential conflict of interest (if applicants are directly linked with an AI4Copernicus Partner or a member of the Advisory Board) with the AI4Copernicus selection process<sup>3</sup>.

**7. All Required documentation.** All the requested documents must be submitted.

### 3.3 Evaluation Process: 1<sup>st</sup> Round of Open Calls

As described in Section 2.4, the evaluation process includes 4 types of screenings. In the course of the 1<sup>st</sup> Round of Open Calls the evaluation phase will take place during October and November 2021, as it can be seen in the Table below.

*Table 3: Evaluation Process Plan for the 1<sup>st</sup> Round of Open Calls*

Month	Evaluation Process
<b>October 2021</b>	<ul style="list-style-type: none"> <li>• <b>Screening #1: Eligibility Screening</b> (NCSR-D)</li> <li>• <b>Screening #2: Proposal Evaluation &amp; Ethics Screening</b> (Individual evaluations by 2 (two) AI4Copernicus evaluators)</li> <li>• <b>Screening #3: Evaluation &amp; Consensus Panels.</b> (Between the AI4Copernicus Proposal Chairs (domain experts) and the 2 Proposal Evaluators (that participated in Screening #2))</li> </ul>
<b>November 2021</b>	<ul style="list-style-type: none"> <li>• <b>Screening #4: Expert Advisory Board Panels</b> (Proposal chairs will present the outcomes of “Screening #3” to the Expert Advisory Board, so as to finalise the list of Successful Projects to be funded)</li> </ul>

The applicants of the 1<sup>st</sup> Round of Open Calls will be informed at the end of November 2021.

**AI4Copernicus reviewer & proposal chair database** (see Section 2.5 of this report): In order to coordinate the intra-consortium review process, an online database has been created with the: (a) Individual evaluators and their areas of expertise (for Screening #2), and (b) Proposal Chairs (domain experts that will lead Screening #3) has been created.

### 3.4 Sub-grant Agreement Process

The sub-grant agreement will cover a period of 1 month (December 2021). As presented before, the key activities of this period will be:

1. Sub-grant Agreement preparation & signature
2. Identification of the Support Officers for the successful projects of the 1<sup>st</sup> Round of Open Calls

<sup>3</sup> Please note that, AI4Copernicus may withdraw an application in the event the participant is directly linked with an AI4Copernicus Partner or a member of the Advisory Board.

## 4. Operational Planning: 2nd Round of Open Calls for Citizens

### 4.1 Phases of the 2nd Round of Open Calls

As presented in the Section 2.1.2 of this report, this type of Open Call has only two phases, namely:

- **Phase 1** (3 months): Open Call Phase
- **Phase 2** (2 months): Selection Phase
- **AWARD** (1 month): Monetary Award

#### 4.1.1 Phase 1: Open Call Phase

Time: August-October 2021

Phase 1: “Open Calls” involves the announcement of the 2<sup>nd</sup> Round of the AI4Copernicus Open Calls for social causes/thematic areas and it will cover a period of **3 Months (3M)**.

During this phase all relevant AI4Copernicus Open Call Annexes (Open Calls Documentation, see Appendix 2) were provided for interested participants to prepare their proposals.

#### 2<sup>nd</sup> Open Calls Documentation ([accessible online](#))

- **FAQs- 2nd Round of Open Calls:** Frequently asked questions & answers published via the AI4Copernicus website
- **Annex 1: Open Call Announcement:** which provides information regarding the 2nd AI4Copernicus Open Call for proposals
- **Annex 2: Guidelines for Applicants:** which sets out the guidelines for participation in the AI4Copernicus open calls
- **Annex 3: Proposal Form:** the application form will be made available via the AI4Copernicus website
- **Annex 4: Bank Account Information:** collects information on the applicant’s bank account where the AI4Copernicus payments will be transferred to.

In order to assist users, we have classified these Annexes into three key phases: **(1) Proposal Preparation Documents, (2) Proposal Submission, (3) Award Phase** (see Table 4).

Table 4: 2<sup>nd</sup> Round of Open Calls relevant documents

Relevant Documents for the:		
Proposal Preparation (Documents that you need in order to prepare the proposal)	Proposal Submission (Document that you need in order to write the proposal)	Award Phase (Document that you need if your proposal is selected for funding)
<ul style="list-style-type: none"> <li>• Annex 1: 1st Open Call Related Information</li> <li>• Annex 2: Guide for Applicants</li> <li>• FAQs - 2nd Round of Open Calls</li> </ul>	<ul style="list-style-type: none"> <li>• Annex 3: Proposal Form</li> </ul>	<ul style="list-style-type: none"> <li>• Annex 4: Bank Account Information</li> </ul>

#### 4.1.2 Phase 2: Selection Phase

Time: November - December 2021

Phase2: “Selection” involves the evaluation of all the eligible AI4Copernicus Open Call Proposals and will cover a period of **2 Months (2M)**.

#### 4.1.3 Award Phase

The monetary rewards will be offered to the successful social challenges. This will cover a period of **1 Month (1M)**.

### 4.2 Eligibility Criteria: 2nd Round of Open Calls

All proposals received via the 2nd Round of Open Calls, will be checked according to the following items:

1. **Type of Activity:** Use-Case, Small-Scale experiments, Social challenges, etc
2. **Type of Beneficiary:** depending on the type of activity, the beneficiaries can be: **individuals (age 18 or older)**
3. **English-language.** English is the official language for the open calls. The proposal must be in English in all its mandatory parts in order to be eligible. If the mandatory parts of the proposal are in any other language, the proposal will not be eligible.
4. **Submission system.** All the proposals should be submitted through the AI4Copernicus Open Call Platform. Proposals submitted by any other means, will not be evaluated.
5. **Submission before the Deadline.** Applications must be submitted by the closing time and date published in the open call. The time recorded by the Open Call Management Tool, as submission time of the proposal, will be the official one. Late proposals will not be admitted.
6. **Absence of conflict of interest.** Applicants shall not have any potential conflict of interest (if applicants are directly linked with an AI4Copernicus Partner or a member of the Advisory Board) with the AI4Copernicus selection process<sup>4</sup>.
7. **All Required documentation.** All the requested documents must be submitted.

### 4.3 Evaluation Process: 2nd Round of Open Calls

As described in Section 2.4, the evaluation process includes 4 types of screenings. In the course of the 2nd Round of Open Calls the evaluation phase will take place during November and December 2021, as it can be seen in the Table 5.

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<sup>4</sup> Please note that, AI4Copernicus may withdraw an application in the event the participant is directly linked with an AI4Copernicus Partner or a member of the Advisory Board.

*Table 5: Evaluation Process Plan for the 2<sup>nd</sup> Round of Open Calls*

Month	Evaluation Process
November 2021	<ul style="list-style-type: none"> <li>• <b>Screening #1: Eligibility Screening</b></li> <li>• <b>Screening #2: Proposal Evaluation &amp; Ethics Screening</b> (Individual evaluations by 2 (two) AI4Copernicus evaluators)</li> <li>• <b>Screening #3: Evaluation &amp; Consensus Panels.</b> (Between the AI4Copernicus Proposal Chairs (domain experts) and the 2 Proposal Evaluators (that participated in Screening #2))</li> </ul>
December 2021	<ul style="list-style-type: none"> <li>• <b>Screening #4: Expert Advisory Board Panels</b> (Proposal chairs will present the outcomes of “Screening #3” to the Expert Advisory Board, so as to finalise the list of Successful Projects to be funded)</li> </ul>

The applicants of the 2<sup>nd</sup> Round of Open Calls will be informed during January 2022.

**AI4Copernicus reviewer & proposal chair database** (see Section 2.5 of this report): The AI4Copernicus internal database will be utilised for the evaluation process of these open calls as well.

#### 4.4 Award Process

The award will cover a period of 1 month (January 2022). As presented before, the key activities of this period will be:

1. Award preparation
2. Award funding

## 5. Conclusions

The deliverable provides an overview of the AI4Copernicus Open Call process and sub-activities that are critical for the project.

In addition, special emphasis is placed on the operational planning and management of the initial rounds of Open Calls, active **during 2021**, namely:

- **1st Round of Open Calls for Use-Cases in four Industrial Domains (Energy, Security, Health, Agriculture) (M7-M28)**
- **2nd Round of Open Calls for Citizen Social Challenges (M8-M13)**

It examines the relative phases of the open calls (Phase 1: Open Call Phase, Phase 2: Selection Phase and Grant Agreement/Award Phase<sup>5</sup>), the processes and the supporting documents that will support the applicants, to (a) prepare the proposal, (b) submit their proposal (c) sign the grant agreement and/or receive the award, in case of his/her project is selection.

The AI4Copernicus partners will ensure that the same process will be followed for the two additional Open Calls that will be active **during 2022**, namely:

- **3rd Round of Open Calls for Experiments in any Industrial Domain (M13-M35)**
- **4th Round of Open Calls for Use-Cases addressing the Citizen Social Challenges (selected during the 2nd Round) (M13-M35)**

Additional information regarding the submission statistics and open call process implementation will be documented in the upcoming WP6 deliverables.

## References

European Commission (2020), "On Artificial Intelligence - A European approach to excellence and trust", White Paper, COM(2020) 65 final, Brussels, 19.2.2020.

European Commission (2019), High Level Expert Group on Artificial Intelligence (AI HLEG), "Ethics Guidelines for Trustworthy AI", 8.4.2019, <https://ec.europa.eu/digital-single-market/en/news/ethics-guidelines-trustworthy-ai>

European Commission (2019), High Level Expert Group on Artificial Intelligence (AI HLEG), "Policy and Investment Recommendations for Trustworthy AI", 26.6.2019.

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<sup>5</sup> Please note that additional details about the evolution of the Open Calls and Phase 3: Support Phase and Phase 4 Sustain Phase will be detailed in the deliverables of WP6.

## Appendices

### Appendix 1: Annexes for the 1st Round of Open Calls

The relevant documents for the 1st Round of Open Calls are presented below and can be found via the [AI4Copernicus website](https://ai4copernicus.eu).

Phases	Type of Annex
<b>Annexes for the Proposal Preparation Phase</b>	<ul style="list-style-type: none"> <li>● <b>Annex 1: Open Calls Related Information:</b> which provides information regarding the open call for proposals</li> <li>● <b>Annex 2: Guidelines for Applicants:</b> which sets out the guidelines for participation in the AI4Copernicus open calls</li> <li>● <b>Annex 2.1: Indicative Project Scenarios:</b> which provides some indicative open call projects</li> <li>● <b>Annex 2.2: Technical Documentation</b></li> <li>● <b>FAQs - 1st Round of Open Calls</b></li> </ul>
<b>Annexes for the Proposal Submission Phase</b>	<ul style="list-style-type: none"> <li>● <b>Annex 3: Proposal Form:</b> the application form will be made available via the AI4Copernicus website</li> <li>● <b>Annex 3.1: Proposal Supplement:</b> providing information on proposal consortium details, Ethical &amp; Security details</li> </ul>
<b>Annexes for the Grant Agreement Phase</b>	<ul style="list-style-type: none"> <li>● <b>Annex 4: Project Consortium Declaration &amp; Declaration of Honour:</b> which declares that all consortium partners are in agreement, all data provided are true and legally binding and that all conditions of the open call are accepted by an SME legal representative and/or open call participant &amp; Declaration of Honour on exclusion criteria and absence of conflict of interest</li> <li>● <b>Annex 5: SME Declaration:</b> evaluates the status of the SMEs participating at the open call (for open calls for use-cases and small-scale experiments)</li> <li>● <b>Annex 6: Bank Account Information:</b> collects information on the applicant's bank account where the AI4Copernicus payments will be transferred to.</li> <li>● <b>Annex 7: Sub-grant Agreement Template for projects (use-cases):</b> provides a template of the sub-grant agreement that the successful applicants will be requested to sign.</li> </ul>

## **Appendix 1.1: Annexes for the Proposal Preparation phase**

Below you could find the Annexes for the 1<sup>st</sup> Round of Open Calls for the phase of the 'Proposal Preparation':

- A. Annex 1: 1st Open Call Related Information*
- B. Annex 2: Guide for Applicants*
- C. Annex 2.1: Indicative Projects*
- D. Annex 2.2: Technical Documentation*
- E. FAQs - 1st Round of Open Calls*

### ***Annex 1: 1st Open Call Related Information***

This Annex can be found [online](#) in the AI4Copernicus website.

### ***Annex 2: Guide for Applicants***

This Annex can be found [online](#) in the AI4Copernicus website.

### ***Annex 2.1: Indicative Projects***

This Annex can be found [online](#) in the AI4Copernicus website.

### ***Annex 2.2: Technical Documentation***

This Annex can be found [online](#) in the AI4Copernicus website in the 1st Round for Open Calls area.

### ***FAQs - 1st Round of Open Calls***

This Annex can be found [online](#) in the AI4Copernicus website in the 1st Round for Open Calls area.

## **Appendix 1.2: Annexes for the Proposal Submission phase**

Below you could find the Annexes for the 1<sup>st</sup> Round of Open Calls for the phase of the 'Proposal Submission':

- A. Annex 3: Proposal Form*
- B. Annex 3.1: Proposal Supplement*

### ***Annex 3: Proposal Form***

This Annex can be found [online](#) in the AI4Copernicus website in the 1st Round of Open Calls.

### ***Annex 3.1: Proposal Supplement***

This Annex can be found [online](#) in the AI4Copernicus website in the 1st Round of Open Calls.

## **Appendix 1.3: Annexes for the Grant Agreement phase**

Below you could find the Annexes for the 1<sup>st</sup> Round of Open Calls for the phase of the 'Grant Agreement':

- A. Annex 4: Project Consortium Declaration & Declaration of Honour*
- B. Annex 5: SME Declaration*

- C. *Annex 6: Bank Account Information*
- D. *Annex 7: Sub-grant Agreement Template for use-case projects*

### *Annex 4: Project Consortium Declaration & Declaration of Honour*

This Annex can be found [online](#) in the AI4Copernicus website in the 1st Round of Open Calls.

### *Annex 5: SME Declaration*

This document can be found [online](#) in the AI4Copernicus website in the 1st Round of Open Calls.

### *Annex 6: Bank Account information*

This document can be found [online](#) in the AI4Copernicus website in the 1st Round of Open Calls.

### *Annex 7: Sub-grant Agreement Template for use-case projects*

This document can be found [online](#) in the AI4Copernicus website in the 1st Round of Open Calls.

## **Appendix 2: Annexes for the 2nd Round of Open Calls**

The [2<sup>nd</sup> Round of Open Calls](#) will be supported by the following documents covering three key periods (preparation, submission, selection/grant agreement):

Relevant Documents for the:		
Proposal Preparation (Documents that you need in order to prepare the proposal)	Proposal Submission (Document that you need in order to write the proposal)	Selection Phase (Document that you need if your proposal is selected for funding)
<ul style="list-style-type: none"> <li>Annex 1: 1st Open Call Related Information</li> <li>Annex 2: Guide for Applicants</li> <li>FAQs -2nd Round</li> </ul>	<ul style="list-style-type: none"> <li>Annex 3: Proposal Form</li> </ul>	<ul style="list-style-type: none"> <li>Annex 4: Bank Account Information</li> </ul>

Please note that all the relevant documents for the 2<sup>nd</sup> Round of the Open Calls can be found online in the AI4Copernicus website in the [2<sup>nd</sup> Round of Open Calls page](#).

### **Appendix 2.1: Annexes for the Proposal Preparation phase**

Below you could find the Annexes for the 2nd Round of Open Calls for the phase of the 'Proposal Preparation':

- Annex 1: 1st Open Call Related Information*
- Annex 2: Guidelines for Applicants*
- FAQs -2nd Round*

### ***Annex 1: 1st Open Call Related Information***

This Annex can be found [online](#) in the AI4Copernicus website.

### ***Annex 2: Guidelines for Applicants***

This Annex can be found [online](#) in the AI4Copernicus website.

### ***FAQs -2nd Round of Open Calls***

This Annex can be found [online](#) in the AI4Copernicus website.

## **Appendix 2.2: Annexes for the Proposal Submission phase**

Below you could find the Annexe for the 2nd Round of Open Calls for the phase of the 'Proposal Submission':

- *Annex 3: Proposal Form*

### ***Annex 3: Proposal Form***

This Annex can be found [online](#) in the AI4Copernicus website in the 2nd Round of Open Calls.

## **Appendix 2.3: Annexes for the Proposal Selection phase**

Below you could find the Annexe for the 2nd Round of Open Calls for the phase of the 'Proposal Selection':

- *Annex 4: Bank Account Information*

### ***Annex 4: Bank Account Information***

This Annex can be found [online](#) in the AI4Copernicus website in the 2nd Round of Open Calls.