

Catalogue of criteria for selecting beneficiaries in Homing Programme (SG OP Measure 4.4)

A. Catalogue of criteria for selecting grantees

I. Formal criteria

The fulfilment of all listed formal criteria is required to qualify the application for further stages of evaluation.

1. Formal criteria – application:

- a. The application is submitted to the relevant institution;
- b. The application is submitted in the electronic system specified in the call for proposals;
- c. The application is submitted within the deadline specified in the call for proposals;
- d. The submitted application is complete.

2. Formal criteria – applicant:

- a. The applicant meets the formal requirements specified in the call for proposals;
- b. The applicant is registered and conducts activity in the territory of the Republic of Poland;
- c. The applicant is not excluded from applying for funding pursuant to Art. 207 of the Act of August 27, 2009 *on Public Finance*;
- d. The applicant owns the intellectual property rights necessary to perform the grant project subject to funding.

3. Formal criteria – project:

- a. The project will be realised in the territory of the Republic of Poland;
- b. The duration of the project does not exceed the time limits of the SG OP;
- c. The requested funding amount is compliant with the principles specified in the call for proposals;
- d. The project is compliant with the horizontal policies listed in Art. 7 and 8 of the Regulation No. 1303/2013 of the European Parliament and the Council (EU);
- e. The subject of the project does not refer to types of activity excluded from the possibility to receive funding under the given Measure of the SG OP.

II. Merit-based criteria

1. SCIENTIFIC AND ECONOMIC EVALUATION:

1.1 Merit-based access criteria (Evaluation: YES/NO)

- a. The project is realised in a field of research listed in the current version of the National Smart Specialisations list or the successful realisation of the project might result in updating the NSS list.

The fulfilment of this criterion is required to qualify the application for further stages of evaluation.

1.2 Scored merit-based criteria:

- a. The project meets the objectives of the Homing programme with respect to highest scientific quality (*score: 0 to 5*);
- b. The project meets the objectives of the Homing programme with respect to the socio-economic importance and it contributes to the increase of the commercialisation of research results (*score: 0 to 5*);
- c. The applicant guarantees that the project aims will be achieved (*score: 0 to 5*);
- d. Evaluation of the partnership and role of the partners in achieving the project objectives (*score: 0 to 5*);

Each of the criteria is evaluated by all experts involved in this stage of evaluation.

The experts shall use a 6-step scoring scale from 0 to 5. Scores awarded by experts on this stage of evaluation reflect the degree of fulfilment of the given criterion as follows:

5 – highest

4 – very good

3 – good

2 – average

1 – low

0 – insufficient

The criterion shall be deemed as fulfilled if the application receives an arithmetic average of scores awarded by all experts of at least 2 points.

The fulfilment of content-based criteria does not imply that the application will be qualified for further stage of evaluation.

Additionally, as a result of discussion and comparison of all applications evaluated by the given panel, members of the Scientific and Economic Panel award recommendations marked with symbols A, B and C, which mean:

A – positive recommendation – the application meets the objectives and goals of the programme at least to a very good extent; the application should be qualified for the subsequent stage of the competition;

B – conditional recommendation – the application meets the objectives and goals of the programme, but the panel has identified slight deficiencies; the application may be considered on the subsequent stage of the competition, subject to availability of free spots;

C – lack of recommendation – the application does not meet the objectives and goals of the programme, and the panel has identified significant deficiencies; the application shall not be considered on the subsequent stage.

The panel creates the ranking of applications based on the arithmetic average of scores awarded by each of the experts for each criterion and on the recommendations issued by the panel. In order to be qualified for subsequent evaluation stage, the application must meet all the criteria and, at the same time, receive recommendation A or B from the Scientific and Economic Panel. SEP qualifies at least 40% but not more than 60% of the best applications for further proceeding.

2. REVIEWER’S SCORE:

2.1 Scored merit-based criteria:

- a. Evaluation of the originality of the applicant’s scientific track record based on his/her achievements described in the application (*score from 0 to 10*);
- b. Evaluation of the assumptions, methodology and project results management (*score from 0 to 10*);
- c. Evaluation of the partnership and role of research partners in achieving of the objectives of the project (*score: 0 to 5*).

On this stage of evaluation, each application is assessed independently by at least 2 reviewers who award scores on a scale from 0 to 10 in both criteria a and b, meaning that the application meets the criteria to the following extent:

(10-9) – highest

(8-7) – very good

(6-5) – good

(4-3) – average

(2-1) – low

0 – insufficient

In the criterion marked by letter c., the reviewers award scores on a scale from 0 to 5, meaning that the application meets the criterion to the following extent:

- 5 – highest
- 4 – very good
- 3 – good
- 2 – average
- 1 – low
- 0 – insufficient

The criteria a and b shall be deemed as fulfilled if the application receives an arithmetic average of scores awarded by all experts of at least 3 points, and for criterion c – at least 2 points. The fulfilment of content-based criteria does not imply that the application will be qualified for further stage of evaluation.

Moreover, each of the experts awards individual applications recommendations on a scale from 1 to 5 points, according to the following scale:

- 5 - outstanding application that should certainly receive funding,
- 4- very good application that should receive funding,
- 3 - good application that may receive funding if there are sufficient funds,
- 2 - average application that should rather not receive funding,
- 1 - poor application that should not receive funding.

In order to be qualified for the subsequent stage of evaluation the application has to meet all the criteria and, at the same time, receive an average recommendation of at least 3 points.

3. MERIT-BASED EVALUATION BY INTERDISCIPLINARY PANEL OF EXPERTS:

3.1 Merit-based access criteria (evaluation YES/NO):

- a. Possibility to realise the project at the unit specified in the application;
- b. The planned product and result indicator values guarantee that the project objectives will be achieved;
- c. The project will gain wider influence on the understanding of the role of science in the economic and social development of Poland.

Members of the Interdisciplinary Panel of Experts (IPE) compare all applications evaluated by the given panel. The basis for the comparison are the written reviews obtained on the preceding stage and a direct interview with the applicant, who has an opportunity to express his/her opinion on the received score. Each member of the Panel evaluates all applicants without consulting his/her assessment with other members and creates his/her own ranking of applications by awarding recommendations on a scale from 1 to 5, where specific points have the following meaning:

- 5 - outstanding application that should certainly receive funding,
- 4 - very good application that should receive funding,
- 3 - good application that may receive funding if there are sufficient funds,
- 2 - average application that should rather not receive funding,
- 1 - poor application that should not receive funding,

The list of evaluations by all experts constitutes a preliminary ranking of applications (arithmetic average), which is then subject to discussion by the whole Panel. As a result of the discussion, a common, final ranking of applicants is created.

Moreover, on this stage, experts may recommend the introduction of modifications to individual applications, e.g. concerning the budget or planned purchases of laboratory equipment.

3.2 Additional criteria (evaluation YES/NO)

- a. The expenditures on laboratory equipment foreseen in the project are justified (limit: up to 5% of eligible costs).

This auxiliary criterion is used for the evaluation of the legitimacy of expenditures on laboratory equipment, i.e. the low-cost equipment necessary for the realisation of the project. The subject of evaluation is the substantial justification of the planned expenditures, in particular their necessity, adequacy and economic validity.

- b. The project has a positive influence on sustainable development, in particular on environmental protection.

This criterion of a preferential nature applies to projects that have a positive influence on sustainable development, in particular on environmental protection. This criterion shall be applied to applications that have the same position in the ranking if it is necessary to decide whether an application will be qualified for funding or not.

B. Description of project selection criteria in the Homing programme

FORMAL EVALUATION CRITERIA			
Item	Name of the criterion	Description of the criterion	Evaluation
Formal criteria – application:			

1.	The application is submitted to the relevant institution.	The application has been submitted to the institution specified in the call for proposals.	YES/NO
2.	The application is submitted in the electronic system specified in the call for proposals.	The application has been submitted on the appropriate form and in the appropriate format.	YES/NO
3.	The application is submitted within the term specified in the call for proposals.	The application for funding was submitted within the deadline– as specified in the call for proposals.	YES/NO
4.	The submitted application is complete.	The application meets the following requirements: <ul style="list-style-type: none"> • it contains all the required appendices, • all fields required for the evaluation have been filled out, • it has been signed by the applicant – applicable to the required document in hardcopy format. 	YES/NO
Formal criteria – applicant:			
1.	The applicant meets the formal requirements specified in the call for proposal	Applicants are defined in the call for proposals. The applicant is both a person – holder of at least a doctoral degree and the entity where the project will be realised.	YES/NO
2.	The applicant is registered and conducts activity in the territory of the Republic of Poland.	The entity where the project will be realised is registered and conducts activity in the territory of the Republic of Poland.	YES/NO
3.	The applicant is not excluded from applying for funding pursuant to Art. 207 of the Act of August 27, 2009 <i>on Public Finance</i> .	The applicant is not subject to the prerequisites specified in Art. 207 of the Act of August 27, 2009 on Public Finance (Journal of Laws of 2013, item 885, incl. further amendments), prerequisites specified in Art. 12, item 1 point 1 of the Act of June 15, 2012 on the Effects of Hiring Foreigners Unlawfully Present in Polish Territory (Journal of Laws of 2012, item 769) that result in the exclusion of the contractor from the possibility to receive funding for the realisation of programmes co-financed from European funds nor the prerequisites specified in the Act of October 28, 2002 on the Liability of Collective Entities for Acts Prohibited under Penalty (Journal of Laws of 2012, item 768 incl. further amendments). This criterion shall be verified pursuant to the statement of the Applicant attached to the application.	YES/NO
4	The applicant owns the intellectual property rights necessary for the performance	The applicant declares that it owns the intellectual property rights to the intangible assets (copyrights) and industrial property rights (patents) necessary for the realisation of the grant project subject to funding.	YES/NO

	of the grant project subject to funding.		
Formal criteria – project:			
1.	The project will be realised in the territory of the Republic of Poland.	The place of project realisation specified in the application is located in the territory of the Republic of Poland. If the realisation of services, in particular research works, is entrusted to a foreign contractor by the Applicant, the criterion shall be deemed as fulfilled. It shall be also deemed as fulfilled if activities that are commonly performed on the international arena, including, but not limited to trainings, conferences or activities related to the co-operation with the foreign research partner are realised outside the territory of Poland.	YES/NO
2.	The duration of the project does not exceed the time limits of the OP SG	The schedule of the Project realisation (i.e. the realisation of research and development works) does not exceed the expiry date of the cost eligibility period (i.e. December 31 2023).	YES/NO
3.	The requested funding amount is compliant with the principles specified in the call for proposal.	The applicant has calculated the funding amount correctly, in compliance with: - the principles specified in the call for proposals with respect to specific eligible costs and the maximum value of funding for specific elements of the budget; - legal regulations on public aid (respecting the relevant limits for specific types of R&D works or subsidies) specified in the call for proposals. Should there be any discrepancies between the amount applied for and the conditions for granting support, the relevant modifications will be introduced on the stage of negotiating the funding agreement.	YES/NO
4.	The project is compliant with the horizontal policies listed in Art. 7 and 8 of the Regulation No. 1303/2013 of the European Parliament and the Council (EU).	The Applicant declares that the project is compliant with the horizontal policies listed in Art. 7 and 8 of the Regulation No. 1303/2013 of the European Parliament and the Council (EU).	YES/NO
5.	The subject of the project does not refer to types of activity excluded from the possibility to receive funding under the given Measure of the SG OP.	It is verified whether the subject of realisation of the project may be supported under the SG OP instrument in question, i.e. whether it does not constitute activity excluded from the possibility to receive aid under the regulation on public aid for R&D (in particular the activities listed in Art. 1 of the Regulation of the Commission (EU) of June 17, 2014, declaring certain categories of aid compatible with the internal market in the application of Art. 107 and 108 of the Treaty) and pursuant to Art. 3 item 1 of the European Parliament and the Council (EU) No. 1301/2013 on the European Regional Development Fund and on specific provisions concerning the Investment for	YES/NO

	<p>growth and jobs goal and repealing Regulation (EC) No 1080/2006). According to the abovementioned regulations the following activities shall not be supported:</p> <p>1) Investment to achieve the reduction of greenhouse gas emissions from activities listed in Annex I to Directive 2003/87/EC;</p> <p>2) undertakings in difficulty, as defined under EU's state aid rules;</p> <p>3) investment in airport infrastructure unless related to environmental protection or accompanied by investment necessary to mitigate or reduce its negative environmental impact;</p> <p>4) activities directly connected with the amount of exported goods, the creation and maintenance of distribution networks or with other current expenses connected with conducting export activity.</p>	
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MERIT-BASED CRITERIA

I. SCIENTIFIC AND ECONOMIC EVALUATION (EXPERTS – ENTREPRENEURS/SCIENTISTS)

ACCESS CRITERIA:

Item	Name of the criterion	Description of the criterion	Evaluation
1.	The project is realised in a field of research listed in the current version of the National Smart Specialisations list or the successful realisation of the project might result in updating the NSS list.	The research topic proposed in the application matches the selected National Smart Specialisations included in the current list of National Smart Specialisations approved by the Steering Committee for National Smart Specialisations and published on the website of the Ministry of Economy, or, each time, by assessing their adequacy for new specialisations, among others to verify their potential as smart specialisations, which, if the project is successful, might result in updating the NSS list.	YES/NO

SCORED CRITERIA:

Item	Name of the criterion	Description of the criterion	Evaluation
1.	The project meets the objectives of the programme with respect to highest scientific quality.	The experts perform the evaluation considering that the objective of the programme is to improve the human potential in R&D in projects supervised by outstanding national and foreign young doctors pursuing research concerning a scientific problem adequate from the point of view of global competition in research works.	0-5

2.	The project meets the objectives of the programme with respect to the socio-economic importance and it contributes to the increase of the commercialisation of research results.	The experts perform the evaluation considering that the objective of the programme is to improve the human potential in R&D by means of pursuing research that will contribute to solving the key scientific, technological and social issues. Achieving this goal will significantly influence the economic development of Poland.	0-5
3.	The Project Manager guarantees that the project aims will be achieved.	The Project Manager not only has to meet the formal criteria, but also must provide a high level of relevant competences and experience. Any information concerning the scientific or innovative achievements of the leader as well as his/her scientific independence and experience in international co-operation is subject to evaluation.	0-5
4.	Evaluation of the partnership and role of the partners in the achievement of the project objectives.	The catalogue of potential partners in the project includes: a) local research partners, b) foreign research partners, c) local entrepreneurs as business partners. The participation of at least one local or foreign scientific partner unit is obligatory under the Homing programme. The partner should be involved in carrying out the project of the beneficiary of the grant on the basis of synergy or the principle of complementarity to the project. The participation of the partner should also enable sharing experiences in the areas of IP management and potential commercialisation. The partner may also provide access to students, doctoral students and young doctors as well as to other personnel or unique equipment. The partner may also be a sub-contractor in the project.	0-5

II. REVIEWERS' EVALUATION (NATIONAL AND FOREIGN REVIEWERS)

SCORED CRITERIA:

Item	Name of the criterion	Description of the criterion	Evaluation
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1.	Evaluation of the originality of the scientific achievements based on the achievements submitted by the applicant.	The following achievements are subject to evaluation: not more than 3 publications, implementations, patents or other achievements most valuable in the opinion of the applicant, enclosed to the application. The subject of the evaluation is the originality of the achievement (invention, discovery etc.), not the number. The experts take into account the relative evaluation of the achievements with respect to the stage of career of the scientist who submits the application. The experts evaluate the contribution of the applicant to the development of the given research area; whether the published works concern hypotheses posed by the applicant or by other researchers, whether they contain new hypotheses that are important for the given field of science or other domains.	0-10
2.	Evaluation of the assumptions, methodology and project results management.	Experts evaluate the project on the basis of its assumptions (or preliminary research) and its description in terms of applying appropriate procedures, methods and the data processing (project feasibility). Other important aspects include specifying the expected consequences of the project, assumptions concerning results management and potential recipients interested in the outcomes (project dissemination).	0-10
3.	Evaluation of the partnership and role of the partners in the achievement of the project objectives .	The project is realised in partnership with a scientist from Poland or from abroad. The partner should be involved in conducting research, should provide substantial contribution with respect to planning experiments, analysing the obtained results and disseminating them, including the project promotion on the international arena. The partner may also provide training opportunities, in particular for students, doctoral students and young doctors involved in the realisation of the project, including trainings in the operation of unique equipment and specialist software.	0-5

III. MERIT-BASED EVALUATION – INTERDISCIPLINARY PANEL OF EXPERTS – POLISH AND FOREIGN ENTREPRENEURS / SCIENTISTS

MERIT-BASED ACCESS CRITERIA:

Item	Name of the criterion	Description of the criterion	Evaluation
1.	Possibility to realise the project at the unit specified in the application.	Subjects of evaluation are: the form of co-operation (or employment) of the project manager at the unit that will realise the project, working conditions, access to human resources and equipment, proper infrastructure as well as the local environment of co-operation and development for project participants.	YES/NO
2.	The planned product and result indicator values guarantee that the project aims will be achieved	When presenting the indicators, the applicant has to specify the data and assumptions which constitute the basis for the creation of such indicators. The indicators must reflect the specificity of the project and its outcomes. The proposed indicator values must be realistic and adequate to project assumptions. Moreover, their durability should be ensured.	YES/NO

		The value of the proposed indicators may be agreed upon with the panel of experts.	
3.	The project will gain wider influence on the understanding of the role of science in the economic and social development of Poland.	All final beneficiaries of the Measure – improving the human potential in R&D must foresee in their projects the manner of popularisation of their achievements and knowledge in the society, in particular among young generations of scientists and the public opinion, by pointing to the essential role of science in the social and economic development.	YES/NO
ADDITIONAL CRITERIA:			
1.	The expenditures on laboratory equipment foreseen in the project are justified (limit: up to 5% of eligible costs).	The legitimacy of expenditures on laboratory equipment, i.e. the low-cost equipment necessary for the realisation of the project, is subject to evaluation. The substantial grounds for planned expenditures are also evaluated, in particular it is evaluated whether they are necessary, adequate and economically justified, i.e. whether the unit realising the project fails to possess the given equipment/facility that might be used as a substitute and obtaining it from another entity is economically unreasonable. The maximum total cost of the planned low-cost research equipment should not exceed 5% of the eligible costs of the project.	YES/NO
2.	The project has a positive influence on sustainable development, in particular on environmental protection.	The applicant's declaration, which is included in the application form, and which concerns the positive influence of the project on environmental protection is subject to evaluation. Other subjects of evaluation – pursuant to the description of the research programme, its assumptions, methodology, and results management enclosed to the application, – include the influence of the project outcomes on new solutions (products, technologies or services) that have a positive impact on the environment as well as the publication of research results, e.g. patents, publications or information in the media in the eco-innovation sector.	YES/NO

