Dutch Research Agenda

Synergy theme Artificial Intelligence: Human-centred AI for an inclusive society – towards an ecosystem of trust

Call for proposals
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1 Introduction

1.1 Background

About the NWA

What does the Netherlands want to know? This was the idea behind the creation of the Dutch Research Agenda (Dutch acronym NWA). The NWA has been created by an innovative process with input from scientists and citizens: the Dutch general public was invited to submit questions about science online. The national knowledge community, united in the Knowledge Coalition\(^1\), grouped the questions collected into 140 cluster questions that were used to formulate 25 routes\(^2\).

The NWA includes questions where coordination and cooperation have added value in order to achieve scientific and societal breakthroughs. The NWA therefore encourages cooperation between the various partners to ensure that the whole is more than the sum of the parts. The aim of the NWA is to make a positive, structural contribution to the global knowledge society of tomorrow, in which new knowledge flows easily from researcher to user and new questions arising from practice and society lead quickly and automatically to new research.

The core elements of the NWA are:

- The substantive agenda constituted by the 25 routes and 140 cluster questions;
- The knowledge-chain-wide approach, which means that NWA projects encompass fundamental, applied and practice-oriented research\(^3\). This means that knowledge institutes, universities and applied and practice-oriented research institutions all work together in the NWA.
- Bringing disciplines together: the research is interdisciplinary;
- Close cooperation between science and society: between researchers, civil society organisations (both public and private) and the general public, and actively giving back the results to society and dialogue/interaction with society.

In 2018, the Ministry of OCW entrusted NWO with implementing the Dutch Research Agenda. The NWA comprises four programme lines\(^4\):

1. Research along Routes by Consortia (ORC);
2. Thematic Programming in consultation with government bodies;
3. Innovations and Networks;
4. Science Communication and Outreach.

\(^1\) The Knowledge Coalition consists of Dutch research universities (VSNU), universities of applied sciences (VH), university medical centres (NFU), the Royal Netherlands Academy of Arts and Sciences (KNAW), the Dutch Research Council (NWO), employers (VNO-NCW and MKB-Nederland) and the institutes for applied research (TNO/TO2).

\(^2\) The 25 routes and corresponding cluster questions can be found at https://2.wetenschapsagenda.nl/overzicht-routes/ The 140 cluster questions can also be found in a PDF file available at https://vragen.wetenschapsagenda.nl/

\(^3\) The broad knowledge chain in the NWA-ORC 2020/21 call comprises the public knowledge institutions: universities of applied sciences, universities, NWO and KNAW institutes, university medical centres and TO2 institutes, as well as other public knowledge organisations such as National Knowledge Institutes (see Annex 6.1 for a full list of public knowledge organisations).

\(^4\) More information about the different programme lines is available at https://www.nwo.nl/en/researchprogrammes/dutch-research-agenda-nwa
This Call for proposals, ‘Human-centred AI for an inclusive society – towards an ecosystem of trust’, is being realised in the context of the NWA Synergy programme (NWA programme line 2). The initiators of this call are the Ministry of Economic Affairs and Climate Policy, Ministry of Defence, Ministry of Justice and Security, Ministry of the Interior and Kingdom Relations and the Ministry of Education, Culture and Science. It is expected that this is the first in a series of three calls on ‘Human-centred AI for an inclusive society’. In the NWA, the knowledge-chain-wide – involvement of different parties from the entire breadth of the knowledge chain – and interdisciplinary character, as equally the collaboration with government bodies, knowledge institutions, public and private organisations, including societal organisations, industry and civil society, are anchored in every consortium.

Knowledge utilisation promotes the potential contribution of research to questions from society and societal breakthroughs by stimulating productive interactions with societal stakeholders during both the development and realisation phases of the research. In accordance with the NWO knowledge utilisation policy⁵, the Impact Plan approach is applied in this call (see Section 2.3).

Background Research programme

Around the world, AI technology is seen as a transformational force for societal issues and economic development. Since late 2018, Europe has actively implemented AI policy aimed at the development of trustworthy and secure AI in which EU values and principles and the fundamental rights of citizens are fully respected. In line with this policy, Member States drew up national strategies. The vision of the Dutch government has been incorporated in the Dutch Digitalisation Strategy and the Strategic Action Plan for Artificial Intelligence (SAPAI, 2019)⁶. With this vision, the Dutch government underlines the importance of AI for our future prosperity and well-being and expresses the ambition to be at the forefront of AI applications that serve the interests of people and society. Accordingly, the Dutch government has chosen an inclusive approach with attention for safeguarding public values and weighing up the various interests of the different societal stakeholders (Rathenau, WRR). In response to the European White Paper on AI (2020)⁷ that describes a future for AI based on excellence (ecosystem of excellence) and trust (ecosystem of trust), the Netherlands underlines the importance of additional legislation for safeguarding public values and the protection of fundamental rights during AI developments. With this, the Netherlands proposes a learning approach based on research and experimentation.⁸ On 21 April 2021, the European Commission launched an AI package consisting of a draft regulation for AI, a revision of the coordinated plan concerning AI and a revision of the Machinery Directive.⁹ ¹⁰ Recently, the consequences of the COVID-19 pandemic underlined that without ‘intelligent’ digitalisation, society can no longer function in these times. The urgency of including the technological, ethical, legal and societal aspects from the outset of developing AI has become clear in recent years in many domains, such as in healthcare, education, politics, media, law enforcement and administration of justice, defence, security, democratic processes and trust in the government, but also financial markets.

The Netherlands AI Coalition (NL AIC)¹¹ strongly supports the responsible use of AI that everybody benefits from. NL AIC is a public-private partnership in which government, industry, educational and research institutions, and societal organisations (quadruple helix partnership) are committed to

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⁵ https://www.nwo.nl/en/knowledge-utilisation
⁸ BNC files on:
- Communication from the Comission to the European Parliament, the European Council, the European Economic and Social Committee and the Committee of the Regions Intelligence for Europe: Facilitating a European approach regarding artificial intelligence
- Proposal for a regulation of the European Parliament and of the Council laying down harmonised rules on artificial intelligence (Artificial Intelligence Act) and amending certain legislative acts
¹¹ https://nlaic.com/
accelerating AI developments in the Netherlands and connecting AI initiatives in the Netherlands with each other. The ambition is to place the Netherlands in a leading position in the area of knowledge about the application of AI for prosperity and well-being with due consideration for Dutch and European norms and values. The AI Coalition drew up the AlNed programme, which will receive a maximum of €276 million from the National Growth Funds from 2021 onwards. One of the building blocks stated in the AlNed programme is ‘societal acceptance and inclusion’, for which ELSA Labs will be deployed. Within these co-creation environments, focused on experimentation, ethical (E), legal (L) and societal (S) aspects (A) will be studied in relation to technological developments (see Section 2.2.1.4).

NWO contributes to the development of the knowledge base for AI with the AIREA-NL research agenda with the aim of applying focus and connection in Dutch AI research and strengthening the AI research field. The AI research agenda is an integral part of the AlNed programme. The AI research agenda AIREA-NL also forms the context for the AI research questions in this programme (see Annex 6.5).

The definition of AI from this agenda is therefore used in this call:

AI is the science and engineering of making machines intelligent and collaborative. AI solutions enable machines to assist in tasks that require intelligence, such as reasoning, learning, finding information, understanding text, speech and images, listening and speaking in dialogue systems, and optimising complex systems.

The NWO Executive Board is the decision-making body of this NWA call.

1.2 Available budget

A budget of € 11,370,000 is available for this Call for proposals. This budget is allocated as follows across the three phases of the programme:

I. Phase I: in Phase I, no funding is awarded.
II. Phase II: a budget of € 10,970,000 is available in this phase. Proposals for ELSA Labs of at least € 2,000,000 and at most € 2,194,000 can be submitted within four categories (see Section 6.6).
   A budget of € 2,194,000 is available for each of the Categories 1 to 3, and a budget of € 4,388,000 is available for Category 4.
   1. Economy, Local Government, Defence
   2. Economy, Local Government, Justice and Security
   3. Economy, Local Government, Culture and Media
   4. Economy, Local Government + societal challenge (see Section 2.2.1.3a ELSA Labs)
III. Phase III: a budget of € 400,000 is available in this phase. One network project can be awarded funding.

If the budget available for Categories 1 to 3 is not fully used in Phase II, then the remaining amount will be added to the budget for Category 4.

Subsequently, if the budget available is not fully used after the awarding of proposals in Phase II, then the remaining amount will be added to the budget for Phase III.

If only one proposal is eligible to be awarded funding in Phase II, then it will not be possible to realise the objectives of the programme. In that case, no funding will be awarded, Phase III will not go ahead, and a new call will be published.
1.3 Validity of the Call for proposals

This Call for proposals has three phases:

The deadline for submitting initiatives (Phase I) is **Thursday, 2 September 2021**, before 14:00:00 CEST.

The deadline for submitting proposals for ELSA Labs (Phase II) is **Thursday, 4 November 2021**, before 14:00:00 CET.

The deadline for submitting the network project (Phase III) is **Thursday, 2 June 2022**, before 14:00:00 CEST.

The NWA synergy Call for proposals ‘Human-centred AI for an inclusive society’ is valid until the date on which the NWO Executive Board takes a decision about full proposals (see Section 4.1 for the complete time schedule of this funding round). For projects awarded funding under this Call for proposals, the conditions mentioned in this call will continue to apply for the full duration of the project.
2 Aim

2.1 Aim of the programme

The aim of the NWA AI synergy programme ‘Human-centred AI for an inclusive society – towards an ecosystem of trust’ is to acquire knowledge and insights that contribute to the development and application of trustworthy, human-centred AI (hereafter referred to as human-centred AI).

The research in this programme facilitates, from the perspective of human-centred AI, the development of technological innovations that safeguard public values and constitutional rights, respect human rights – and strengthen these where possible – and that can count on public support. Accordingly, the research encourages the development of an ecosystem of trust.

In the framework of this call, human-centred AI is elaborated in the context of guidelines for ethical AI\(^\text{12}\) and the associated definition of human-centred AI. The following terms and issues are therefore important for the elaboration of the cases:

- Human-centred AI: AI in the service of people and the public interest;
- Trustworthy AI: lawful, ethical and robust (see Annex 6.9);
- Framework for developing trustworthy AI: human control and human supervision, technical robustness and security, privacy and data governance, transparency, diversity, non-discrimination and justice, public and environmental well-being, accountability (see Annex 6.9).

Foundations for AI

- Public values that should be taken into account in this programme against the background of the European treaty are the democratic constitutional state, tolerance, diversity, pluralism, transparency, freedom, solidarity, justice.\(^\text{13}\)
- Safeguarding human rights means that during the development of AI applications, consideration should be given to privacy, freedom of speech, human dignity, personal autonomy, the prohibition of discrimination and the right to a fair process.

The overarching question within this programme is:

How, by learning from concrete cases, can we acquire scalable and generalisable knowledge and insights for human-centred AI applications and, through this, contribute to an ecosystem of trust for an inclusive society?

The programme facilitates research in ELSA Labs.\(^\text{14}\) Consortia of public and private organisations, companies, societal parties and supervisory bodies jointly work in ELSA Labs together with citizens and the government on human-centred AI solutions using concrete cases. Solutions to be generated must be generalisable and scalable. Within the programme, ‘learning about the development of human-centred AI’ takes centre stage. All NWA routes apply to this programme.

The aims are to fund five ELSA Labs as well as a network project aimed at scalable and generalisable solutions, to develop connections with the NL AI Coalition and to realise a blueprint for ELSA Labs.

\(^{12}\) https://op.europa.eu/en/publication-detail/-/publication/d3988569-0434-11ea-8c3f-01aa75ed71a1

\(^{13}\) Art. 2 of the EU Treaty: ‘The Union is founded on the values of respect for human dignity, freedom, democracy, equality, the rule of law and respect for human rights, including the rights of persons belonging to minorities. These values are common to the societies of all Member States in which pluralism, non-discrimination, tolerance, justice, solidarity and equality prevail.’

\(^{14}\) The ELSA Labs build further upon previous related approaches: responsible research and innovation, (constructive) technology assessment, appropriate technology, value-sensitive design, anticipatory governance, ethics parallel research, ethics for emerging science and technology.
2.2 Substantive framework

Summary
This NWA AI call focuses on research into the regulation, development, assessment and implementation of human-centred AI. This requires that technological developments are studied in conjunction with ethical, legal, societal and economic aspects (ELSA) on the basis of concrete cases in various public domains. With this, efforts will be made to realise AI applications that respect public values and human rights and – where possible – advance these. In turn, this will contribute to the trust of citizens in AI applications on the one hand and legal clarity for public and private organisations to innovate on the basis of AI on the other. Furthermore, the knowledge developed must be generalisable and scalable so that it can actually be used in several application domains. NWO invites consortia to submit a proposal for an ELSA Lab.

The AI research agenda AIREA-NL forms the framework for the AI research questions in this programme (see Annex 6.5).

This call procedure consists of three phases. The first phase, the registration of an initiative, is followed by a second phase, the submission of a full proposal for ELSA Labs, and a third phase, the submission of the proposal for the network project.

2.2.1 Substantive framework

Human-centred AI for an inclusive society – towards an ecosystem of trust

Human-centred AI on the basis of public values and human rights
AI applications simultaneously lead to opportunities and challenges in the development of solutions for societal and economic issues. Technology (including algorithms and data) is not neutral. That makes AI both powerful and vulnerable. A secure and resilient digital domain is therefore necessary. The key value of this digital domain is ‘trust’. For example, how do we prevent automated decision-making based on prejudiced, incomplete or even manipulated data? How do we ensure that automated decision-making can be deviated from, and conversely, when may the system deviate from the decision of individuals? How can we develop AI in such a way that we can strengthen the trust in each other and in society instead of undermining this trust? The Netherlands, in line with Europe, is trying to facilitate public trust in AI through the development of human-centred AI. Human-centred AI requires that respect for public values and human rights is incorporated in AI applications. This contributes to the trust of citizens in AI applications on the one hand and provides legal clarity for public and private organisations to innovate on the basis of AI on the other.

AI and Society - studying ELSA aspects and technology in conjunction with each other
Within this programme, the focus is on the impact of (still to be developed) AI applications on people and/or society as a whole; AI in the service of people. The challenges lie, for example, within the domains of law and governance, defence, culture and media, society and the economy. This can include the use of data, data analyses and algorithms by the government or public actors, and private parties that touch upon public values and/or human rights. How do we realise the identification of and solutions for news personalisation, fake news, illegal content and hatred-inciting texts without violating the right to freedom of speech? How do we ensure that AI systems are set up in such a manner that they do not hinder innovation while at the same time offering consumers protection? How can AI challenge or strengthen existing balances of power? The development of AI that citizens can trust requires that such applications are investigated in conjunction with their ethical, legal,

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This does not happen in a legal vacuum. Existing (EU) legislation, such as human rights treaties, GDPR and the Dutch Equal Treatment Act already form an important minimum boundary.
societal and economic aspects (ELSA) on the basis of concrete cases. Research challenges can be sought at the micro, meso and macro levels (individual, organisation and society levels).

Assessment and (further) development of frameworks and guidelines for developing human-centred AI

Human-centred AI requires appropriate legislation. Think of the recently developed design principles for AI systems to prevent discrimination, the ‘human rights impact assessment’ for government bodies that is currently being produced, or the guidelines for the use of algorithms by government bodies. UNESCO is preparing an AI guideline, and a guideline is being realised within the OESO for responsible data use. In addition to these, there are more general regulatory frameworks that, for example, supervise data protection (GDPR), equal treatment (Equal Treatment Act) or cybersecurity. Are the existing legal framework and measures currently under development sufficient to guarantee the protection of people’s constitutional rights, such as their privacy, autonomy, equality and dignity? How can it be established with certainty that AI applications are ethically responsible? The assessment and further development of existing frameworks and guidelines for human-centred AI is necessary. This assessment is even more important in view of the recently published draft regulatory framework from the European Commission for AI (AI Act), the nomination of high-risk systems and the requirements imposed on AI systems that might pose a threat to security and people’s rights and livelihoods.

Furthermore, human-centred AI applications require a meticulous organisation of the infrastructure, clear and transparent accountability, supervision and control mechanisms and attention for liveability (green deal). Research must be tangibly aimed at protecting fundamental rights such as equality, privacy, autonomy, human dignity and procedural justice and non-discrimination.

2.2.1.1 Design of the programme

The research programme supports proposals for ELSA Labs (Section 2.2.1.3a) that firstly carry out research into human-centred AI for an inclusive society, and secondly, in collaboration with the ELSA Labs to be funded, assume responsibility for the development of a network project in which lessons will be learned across all projects (Section 2.2.1.3b).

Annex 6.7 states the requirements to be satisfied by a proposal for an ELSA Lab.

Themes research ELSA Labs

Within each ELSA Lab, research will be carried out in which the consortia will address the generic themes stated in Section 2.1 as equally the cases stated in Section 2.2.1.2.

The generic themes (Section 2.1) concern research into:

− Human-centred AI: AI in the service of people and the public interest;
− Trustworthy AI: lawful, ethical and robust (see Annex 6.9).

Based on the framework for developing trustworthy AI: human control and human supervision, technical robustness and security, privacy and data governance, transparency, diversity, non-discrimination and justice, societal and environmental well-being, accountability (see Annex 6.9).

The specific cases concern policy challenges for government ministries or cases based on societal challenges such as those described in Section 2.2.2.3a ELSA Labs.

The policy challenges of government ministries are stated in the cases ‘economy’, ‘local government’, ‘defence’, ‘culture and media’ and ‘justice and security’ (see Section 2.2.1.2). The focusses of the cases ‘economy’ and ‘local government’ are sufficiently overarching that aspects of these must be considered in all proposals.

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16 Guidelines for applying algorithms by governments and public information about data analysis, version 1 March 2021, https://led.pleio.nl/file/download/9a19cc1-65d7-4de7-a86c-c38a2d073eb9/richtlijnen-algoritmen.pdf (in Dutch)

Consequently, there are four categories to which proposals can be submitted in this call. Therefore, besides the aforementioned generic themes, a specific theme from one of the following categories is addressed in the proposal:

1. Economy, local government, defence;
2. Economy, local government, justice and security;
3. Economy, local government, culture and media;
4. Economy, local government plus societal challenge (see Section 2.2.1.3a ELSA Labs).

2.2.1.2 Specific cases government ministries

Background

The development of human-centred AI as a public and private task. The emergence of AI offers the government opportunities for the development of new public tasks and services. Data collection and the quality of data are important points of attention in this regard. Besides opportunities, there is also attention for the disruptive effects of technology. ‘As a government and society, how do we want to safeguard non-discrimination, privacy, autonomy, freedom of speech, electoral rights, human dignity and procedural justice in a digital world too?’ Proper case studies are required for human-centred AI. These case studies can be developed for and by government bodies (in consortia) for the development and utilisation of (digital) services, for policy purposes, for process optimisation and for inspection and law enforcement.

Economy (case general)

Within ‘Economy’, the emphasis is on learning as much as possible about how to deal with human-centred AI. For this, it is important to develop and use human-centred aspects of AI solutions that are based on the importance of the (end) user (citizen, company, government).

Both government bodies and companies must be able to develop cases for responsible and human-centred AI in their service for clients (other companies, consumers), during process administration for their (future) employees and in chains with suppliers and developers. Companies and government bodies can also learn from each other in finding a common language, through research, through insights on behaviour and the acceptance of people, and through the scaling up of applications.

Local government (case general)

In the context of the Dutch Digitalisation Strategy and collaboration between government bodies as equally from the viewpoint of the responsibility of the government for public values and constitutional rights, the following themes are important:

- Development, operationalisation and assessment of instruments in the area of public values and constitutional rights in relation to the specific domain of an ELSA Lab.
- Innovation and optimisation of public service to citizens, in which large government bodies and the implementing organisations have an important role, and for issues related to themes such as smart city/smart society in which transparency, resilience, privacy, security, efficiency and interoperability are important values.
- The role of AI in government policy.
Defence (specific case)
The Ministry of Defence wants to use technology to strengthen the role of people in the realisation of its tasks. Unmanned autonomous systems can make an important contribution to this; they increase the capability, efficiency and effectiveness, and they make the work more attractive, higher-quality and safer. Unmanned autonomous systems can be deployed in each of the Ministry of Defence’s domains – sea, land, air, cyber and space – and offer possibilities in the areas of (1) monitoring and security, (2) increasing the efficacy, (3) increasing military mobility, and (4) improving the information position. The early addressing of the ethical, legal and societal aspects of autonomous systems is vital for being allowed and able to deploy these systems as an armed force. Sometimes transparency is at odds with the security interest and sometimes with intellectual property. How can we ensure that people trust us as a security organisation to deploy these systems in a correct and transparent manner within the legal and societal frameworks and that we can consequently use these systems? We see an increased development of ethics algorithms. What are the technical possibilities for implementing meaningful human control and ethical target functions in unmanned autonomous systems? The Ministry of Defence’s position is to be able to retain meaningful human control at all times. However, is this feasible, and what does that look like in modern conflict situations where unmanned autonomous systems are increasingly deployed? How and where in the process do we organise the human-in-the-loop, and to what extent is this context-dependent? What is the role of the geopolitical context with respect to the use of unmanned autonomous systems?

Culture and media (specific case)
The large-scale use of AI in the domain of culture and media has had a large impact on how people create, use and experience culture and media. AI plays an increasing role in our social, cultural and political climate. For the vitality of cultural and media organisations, it is therefore important to acquire knowledge via research and experimentation about how AI can be used in a way that connects with the public values that these sectors convey.

- Research and experiments into applications of AI that contribute to the public values that the media sector conveys, such as opinion-forming, informed citizenship and public debate in a democratic society.
- Using creative applications for the general public to contribute to the awareness about how AI functions and its public impact.
- The deployment of AI for the inspiration of users, production of new material, access to collections and the distribution of digital material.
- Revealing multiple voices in productions, distribution and collections.
- Searching for the ethical and legal parameters of AI that fit the public values of these sectors; the development of new business models.
- The meaningful digital interpretation and connection of heritage in the Netherlands but also internationally, in which knowledge and data can be combined and supplemented on a large scale.

Justice and Security (specific case)
The following themes are important within the domain justice and security:

- Meaningful human control: development of tools that can be deployed for jurisprudence, for example. How do you ensure that supervision of automated systems by people is always present so that control is ensured?
- How can a robust AI be developed in which values such as cybersecurity and privacy are inherent and discrimination is excluded?

With that, solutions focus on (one of the) following three applications:

- automatic reporting and speech recognition;
- risk taxation by AI systems;
- optimisation of chains (capacity planning).
2.2.1.3 ELSA Labs – ethical, legal, societal and economic aspects

2.2.1.3a ELSA Labs are virtual or physical environments in which experimentation is possible. In this context, knowledge-chain-wide, quadruple helix consortia (research, government, industry, civil society organisations and civil society) can develop, test and implement human-centred AI solutions with impact for societal challenges through inter- and transdisciplinary research according to a joint approach and in co-creation. During this research, the technology development and the ethical, legal and societal aspects (ELSA) will be studied in conjunction with each other based on concrete cases. Therefore, the ELSA Labs will contribute to the connection of research, practice, education and policy for specific themes. The labs are ‘learning communities’ in which the collection, documentation and dissemination of knowledge play a central role.

Societal challenge

ELSA Labs can be conceived in many different public domains. In the ELSA Lab projects, issues are addressed that are formulated by society and aimed at realising widespread prosperity. Examples are the research agendas for mission-driven innovation policy of the Dutch top sectors, the United Nation’s Sustainable Development Goals (SDGs), and (commercial) AI applications with a major societal impact, the Dutch Research Agenda and policy challenges of government ministries.

An ELSA Lab has an open character. Within the frameworks of the NWO Grant Rules and conditions of this Call for proposals, it is possible to allow new cooperation partners (see Section 3.1.3) and co-funders (see Section 3.1.4) to join the consortium throughout the duration of the funded ELSA Lab project.

The AI Coalition has developed a reference framework for ELSA Labs (Annex 6.8) that describes specific characteristics of ELSA Lab. These characteristics are repeatedly found at various places in the call. Annex 6.7 states where the various characteristics can be found in the call.

N.B.: In view of the considerable importance of citizens within the research of the ELSA Labs, the research plan must clearly state how the integrity of the participating citizens and citizens’ organisations will be safeguarded.

Impact

The Impact Plan approach (see Section 2.3.1) is used within NWA research programmes. Use of this method means that all interested parties think about the outcome to be achieved and the impact of the research right from the start of the project. Output and outcome are continuously discussed, and due consideration is given to the interim adjustment of the project and guidance towards explicit learning moments. As a result of this, there is an iterative development environment that supports the ‘learning community’ aspect of the ELSA Labs.

**Theory of change**

![Diagram of theory of change](attachment:image.png)
2.2.1.3b ELSA Lab network project: blueprint and structure

The consortia of the proposals awarded funding for ELSA Labs in Phase II contribute to the network project in Phase III. The network project serves a three-fold purpose:

1. **Generalisation of research results and scaling up of solutions:** The insights and research results of the various ELSA Labs will be brought together in this network project. Based on this, best practices and guidelines for the development, assessment and implementation of AI will be realised. Through the systematic collection, recording and sharing of knowledge in the network project, ELSA Labs will contribute as individual labs and in collaboration with each other to the overarching objective of the programme: human-centred AI for an inclusive society (see Section 1.1).

2. **AI ecosystem, learning network:** The ELSA Labs developed will jointly form a learning network (learning community). The ELSA Lab network has an open character, as a result of which parties such as a cooperation partner can join in different phases of the projects, and collaboration with other (ELSA) Labs, such as the ICAI Labs or international AI Labs (CLAIRE, ELLIS), is possible. This network will be part of the national AI ‘hubs and spokes’ ecosystem of the NL AI Coalition in which research, practice, education and policy on specific AI themes are interconnected. Within this ecosystem, partners from the quadruple helix will work together in co-creation and co-design.

3. **Blueprint ELSA Labs:** The network project also leads to the development of a blueprint for the ELSA Labs.

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<td>Overarching network project aimed at:</td>
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2.2.1.4. Programme Results

In summary, the results of the programme are:

1. **Results (individual) ELSA Labs:**
   - Solutions and answers for specific use cases;
   - Fundamental and applied AI research results (AIREA-NL);
   - Fundamental and applied knowledge for societal challenges (including policy challenges);
   - Blueprints, guidelines, best practices.

2. **Blueprint ELSA Labs.**

3. **Development network project: scalable solutions, and contribution to the development of the ‘hubs and spokes’ ecosystem of the NL AI Coalition.**
2.3 Research with societal impact

Programmes within the NWA focus on innovative research with the aim of bringing about scientific and societal breakthroughs. The term “breakthroughs” implies that a change will take place in science or society. This change can be interpreted broadly according to the breadth of the theme of the concerned NWA programme. Projects will relate to society and focus on research with societal parties and/or citizens, and are thus not only scientifically relevant but also socially relevant. The projects strive to realise impact: societal changes in both the short and long term.

NWA programmes include questions that cannot be answered by one party alone and that bring added value through coordination and cooperation. This added value lies in the mutual reinforcement of diversity and complementarity of knowledge, (technical) skills and expertise of individual consortium partners.

All consortia should therefore include organisations from across the entire knowledge chain. The budget of an NWA application should reflect the knowledge-chain-wide nature of the consortium, in terms of the division between fundamental research, on the one hand, and applied and practice-oriented research on the other.

In addition, all relevant scientific disciplines and relevant civil society organisations should be used in order to achieve the desired scale or depth of impact in finding the answers. Where appropriate, the general public can also be involved in the research through Citizen Science initiatives (see Section 3.2.1). Projects must demonstrably involve key stakeholders at each stage from consortium forming through to completion of the project in order to increase the potential for societal breakthroughs following the proposed research.

2.3.1 Impact Plan approach

In order to achieve an integrated strategy for increasing societal impact through research, the Impact Plan approach applies in this call (see https://www.nwo.nl/en/impact-plan-approach). This approach is part of the NWO-wide knowledge utilisation policy.

Societal impact is never solely an outcome of knowledge and insight from research. Furthermore, societal impact is often only realised in the years after a research project has been concluded. Knowledge utilisation is viewed as an iterative process towards societal impact. By ensuring continuous alignment between researchers and possible knowledge users from the start of the research formulation (co-creation) and during the realisation of the research (co-design), the chances of productive interactions and knowledge utilisation increase. And, accordingly, the chances of societal impact.

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18 NWO understands societal impact to mean the cultural, economic, industrial, ecological or social changes that are (partly) the consequence of knowledge and expertise generated by research. These usually occur after the research has been realised, but also require continuous attention during the preparation and realisation of the project.

19 Citizen Science means involving the public in research projects. For example, citizens can help researchers by collecting data (e.g. in the annual bird census), by providing computing capacity (e.g. in simulating molecular interactions such as protein configurations and computational drug design), or in formulating research questions and research projects.

20 A stakeholder is any person or group that can influence or is influenced by the achieving of goals.

21 NWO understands ‘productive interactions’ to be exchanges between researchers and stakeholders in which knowledge is produced and valued that is both scientifically robust and socially relevant.
The Impact Plan approach to knowledge utilisation is integrated into the research design and serves as an aid to increase the impact potential of the proposed research. In the pre- and full proposal form, the Impact Plan is included as integral parts of these proposals. The pre- and full proposal should describe how the approach for increasing the chances of impact is integrated into the research design and how it will be carried out by consortium partners together with stakeholders from fields such as policy, practice and industry. Consortia are expected to develop the pre-proposals and full proposals together with stakeholders.

Full proposals include the description of knowledge utilisation activities, which can be funded via the budget module Knowledge utilisation (see Annex 6.2.4).

Once the call is open, NWO will organise an online workshop in which the drawing up of an Impact Plan will be further explained to the consortia that will submit a full proposal (see Section 4.1).

More information about the NWO knowledge utilisation policy and related approaches and definitions can be found at: www.nwo.nl/knowledge-utilisation.
3 Guidelines for applicants

3.1 Who can apply

Proposals for both an ELSA Lab and the network project are submitted by a consortium in which the different types of research in the knowledge chain (fundamental, applied and practice-oriented) and parties from the field must be represented. Partners in the consortium can jointly contribute the knowledge (ethical, legal, societal, economic and technological/AI) necessary for the ELSA Labs.

There are four categories of participant within a consortium:
1. Main applicant
2. Co-applicant(s)
3. Cooperation partners
4. Co-funder(s) (optional)

A consortium should consist of at least main applicant, applicant and cooperation partner. Conditions per participant are further explained in the following sections.

After the awarding of funding in Phase II, the applicants from the ELSA Labs draw up a proposal for a network project (see Section 3.4.3). The proposal for this network project is submitted by a main applicant. The applicants from the ELSA Labs, in consultation with the supervisory committee, jointly decide who will take on this role. The main applicant does not have to be one of the main applicants or co-applicants from the ELSA Lab proposals awarded funding.

3.1.1 Main applicant

Phase II: The main applicant submits the application for the ELSA Lab on behalf of the consortium and is the point of contact for NWO. The main applicant receives the funding and is responsible, on behalf of the consortium, for scientific coherence, results and financial accountability.

Phase III: The main applicant submits the proposal for the network project on behalf of the consortium and is the point of contact for NWO. The main applicant receives the funding and is responsible, on behalf of the consortium, for the scientific coherence, results and financial accountability of the network project (for specific tasks of the network project main applicant, see Section 3.4.3).

Full, associate and assistant professors, lectors and senior researchers with a comparable appointment can submit an application in both Phases II and III if:
- they are employed (i.e. hold a salaried position) at one of the following organisations:
  - Universities established in the Kingdom of the Netherlands;
  - University medical centres;
  - KNAW and NWO institutes;
  - Universities of applied sciences as referred to in Article 1.8 of the Higher Education and Scientific Research Act (WHW);
  - TO2 institutes;
  - the Netherlands Cancer Institute;
  - the Max Planck Institute for Psycholinguistics in Nijmegen;
  - the DUBBLE Beamline at the ESRF in Grenoble;
  - NCB Naturalis;
  - Advanced Research Center for Nanolithography (ARCNL);

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22 See Sections 1.1 and 1.2 of the NWO Grant Rules 2017.
23 In this Call for Proposals, “researchers” refers to both women and men.
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- Princess Máxima Center.
  - and also have an appointment period for at least the duration of the application procedure and the entire duration of the research for which the grant is being applied for. Personnel with a zero-hour appointment is excluded from applying.

An exception to the required duration of appointment may be made for:
- lecturers employed by a university of applied sciences (HBO) and senior researchers employed by a university of applied sciences or a TO2 institute under a temporary appointment that does not cover the entire duration of the project. In this case, a senior researcher must be able to demonstrate three or more years of research experience in order to act as a main applicant.
- applicants with a “tenure track” appointment that does not cover the entire duration of the project. The applicants must demonstrate by letter that adequate supervision for all researchers for whom funding is requested will be guaranteed for the full duration of the research.

Additional conditions:
- In this call, the main applicant may only submit one proposal for an ELSA Lab in the capacity of main applicant. In addition, the main applicant of an ELSA Lab may act as the main applicant of the network project.
- In this call, the main applicant may not participate as a co-applicant in another consortium.

3.1.2 Co-applicant(s)

Phase II and Phase III
A co-applicant is a participant in the consortium and receives funding via the main applicant. In this call, a co-applicant may participate in that capacity in up to two consortia. A consortium may have more than one co-applicant.

Co-applicants may be affiliated to the institutions listed in Section 3.1.1 or to the public knowledge organisations listed in Annex 6.1, but also to other organisations.

If the organisation to which a co-applicant is affiliated is not listed in Section 3.1.1 nor Annex 6.1, then it must meet the cumulative criteria indicated below:
- it must be located in the Netherlands and
- have a public task and
- carry out research independently and
- have no profit motive other than for the purposes of conducting further research.

Please note: NWO will have to assess these conditions before the pre-proposal is submitted.
For this purpose, the co-applicant’s organisation should submit the following documents by email no later than ten working days before the submission deadline of 21 October 2021 before 14:00 CEST:
- a recent extract from the Commercial Register;
- the current deed of incorporation or current articles of association or other current formal document evidencing the public task and absence of profit motive;
- the latest available annual accounts accompanied by an audit statement.

It is allowed to add other relevant documentation. NWO may request additional information if the above documents are not sufficiently conclusive to determine whether the organisation may act as a co-applicant.

If the co-applicant’s organisation does not submit the necessary documents for the assessment in time, NWO cannot accept the organisation as a co-applicant.

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24 The word ‘applicants’ refers to both main applicants and co-applicants.
If new co-applicants are added to the consortium in Phase III and these new co-applicants are not affiliated to an institution listed in Section 3.1.1 nor Annex 6.1, the conditions will be assessed again. Here too, the above documents should be submitted by email no later than ten working days before the submission deadline of 19 May 2022, before 14:00:00 CEST.

3.1.3 Cooperation partners

Cooperation partners are mandatory in this Call for proposals. A cooperation partner is a party that is closely involved in conducting the research and/or in knowledge utilisation but does not receive funding and does not contribute co-funding to the proposal. This may include parties that are involved via participation in an advisory, guidance or user committee, or parties that are unable to capitalise their contribution in advance.

New cooperation partners can join the consortium during the course of both an awarded ELSA Lab project and the network project. This requires consultation with the supervisory committee and approval from NWO.

Please note: for personnel from organisations who participate as a collaboration partner in the consortium, no grant may be requested for salary or research costs, unless these employees are hired as third parties via the budget module “material costs” or “knowledge utilisation” (see Section 3.2 and Annex 6.2).

3.1.4 Co-funders

Co-funding is not compulsory within this call. Co-funders are organisations that participate in the consortium and contribute to the project in cash and/or in kind. Co-funders do not receive any funding from NWO. The conditions regarding co-funding are specified in Annex 6.4 to this call.

New co-funders can join the consortium during the course of both an awarded ELSA Lab project and the network project. This requires consultation with the supervisory committee and approval from NWO.

Knowledge institutions permitted to participate as main applicants and co-applicants as described in Section 3.1.1 may not participate as co-funders in this Call for proposals.

An exception will be made for TO2 institutes. They may participate in a consortium as co-funders, unless they also participate in the same consortium as a main applicant or co-applicant.

3.2 What can be applied for

Within this call, proposals can be submitted for ELSA Labs (Phase II) and a network project (Phase III). The network project can only be applied for by a collaboration between consortia from the ELSA Labs who received funding from this call.

ELSA Lab

For a proposal for an ELSA Lab in this call, a minimum of € 2,000,000 and a maximum of € 2,194,000 can be applied for. The budget modules (including the maximum amount) available within this Call for proposals are stated in the table below.

Within this call, funding is only available for new ELSA Labs that will be set up.

Relationship ELSA Lab – Network project

In its budget, every proposal includes a cost category ‘work package network project’. In this cost category, the applicants reserve € 75,000 for each ELSA Lab. From this work package, the ELSA Labs contribute to the network project in relation to:

- Generalising research results and scaling up solutions;
– AI ecosystem, learning network;
– Blueprint ELSA Labs.

**Network project**

A maximum of € 400,000 can be applied for the network project. Only the modules knowledge utilisation and project management are available in this phase. The budget applied for covers:

– **Project management**: maximum of € 250,000 for the appointment of the project leader whose tasks are:
  – ensuring the collection, recording and safeguarding of knowledge (scaling up) within the ELSA Lab network;
  – making and maintaining connections between the ELSA Labs and the NL AI Coalition;
  – ensuring knowledge dissemination between the ELSA Labs and with the stakeholders in the surrounding field.

– **Knowledge utilisation**: a maximum of € 150,000 must be reserved for programme meetings and research that is necessary in relation to:
  – Generalising research results and scaling up solutions;
  – AI ecosystem, learning network;
  – Blueprint ELSA Labs.

The budget of the network project is linked to the budget of the individual ‘network project work packages’ within the various ELSA Labs (see also Section 3.4.2).

<table>
<thead>
<tr>
<th>Budget module</th>
<th>Maximum amount</th>
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| PhD           | Phase II: according to VSNU or NFU rates<sup>25</sup>  
Phase III: Not available |
| Professional Doctorate in engineering (PDEng) | Phase II: according to VSNU or NFU rates<sup>25</sup>  
Phase III: Not available |
| Postdoc       | Phase II: according to VSNU or NFU rates<sup>25</sup>  
Phase III: Not available |
| Non-scientific staff at (NSS) universities | Phase II: € 100,000, according to VSNU or NFU rates<sup>25</sup>, in combination with PhD and/or postdocs(s) up to a maximum of € 300,000 per proposal.  
Phase III: Not available |
| Other scientific staff (OSS) at universities | Phase II: € 100,000, in combination with PhD and/or postdoc  
Phase III: Not available |
| Research leave | Phase II: 5 months, 1fte, Phase II: according to VSNU or NFU rates<sup>25</sup>  
Phase III: Not available |
| Personnel universities of applied sciences and other institutions (such as applied research organisations (TO2)) | Phase II: according to ‘hourly rate, productive hours, excl. Dutch VAT’, Table 2.2 of Handleiding Overheidstarieven 2021.  
Phase III: Not available |
| Material costs | Phase II: € 15,000 per year per full-time scientific position (incl. positions universities of applied sciences and other institutions/applicants)  
Phase III: Not available |
| Investments (up to € 150.000) | Phase II: Maximum € 150,000  
Phase III: Not available |
| Knowledge utilisation | Phase II: Minimum 5% and maximum 20% of the total budget applied for  
Phase III: maximum €150,000 |
| Internationalisation | Phase II: Maximum € 25,000  
Phase III: Not available |
| Money follows Cooperation | Phase II: less than 50% of the total budget applied for |

<sup>25</sup> For personnel outside of the Netherlands the local rates are remunerated up to the maximum VSNU rates.
An explanation of the budget modules can be found in the annex to this call.

3.2.1 Citizen Science

Involvement of civilians, so-called ‘citizen science’, might have an added value to the quality of science. They could offer data and insights that would not be available for science in other set-ups. NWO wants to finance citizen science as well and offers the possibility from 2020 onwards to apply for reimbursement of citizen involvement in research projects via the budget module ‘material, project-related goods or services, work by third parties’. This module offers researchers a possibility; this is by no means an obligation. Researchers can decide whether the involvement of citizens is desirable and how the budget is used for this (e.g. reimbursement of expenses for civilians, offering skill training or technical aids for participating citizens).

Researchers must ensure the responsible use of citizens\(^{26}\) and guarantee the quality of the work/data. This means that public involvement in the research entails obligations and requires constant time and attention. With regard to managing citizen science, NWO recommends that researchers:

- Organise sufficient interaction, ideally by combining virtual and physical events;
- Ensure regular feedback to participating citizens, for example from the project manager.

The effective implementation of citizen science also requires:

- That researchers are transparent towards the citizens/participants about the goals, working methods and phases of those parts of the research project in which the citizens are involved.
- That researchers explicitly state and monitor the quality standards. The same principles and standards apply to citizen science as to the assessment of scientific practice in general. The Netherlands Code of Conduct for Research Integrity also applies to citizen science. This means that participating citizens must also comply with privacy legislation.
- That researchers should fully recognise the participation of citizens involved in research, for example through acknowledgements in scientific publications.

3.3 When can applications be submitted

This Call for proposals has three phases and therefore three deadlines.

The deadline for submitting mandatory initiatives (Phase I) is Thursday, 2 September 2021, before 14:00:00 hours CEST.

The deadline for submitting proposals for an ELSA Lab (Phase II) is Thursday, 4 November 2021, before 14:00:00 hours CET.

The deadline for submitting the proposal for the network project (Phase III) is Thursday, 2 June 2022, before 14:00:00 hours CEST.

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\(^{26}\) By “responsible use”, NWO means that the use of citizens must have a clear added value for the research, that occupational health and safety and privacy legislation must be complied with, and that clear agreements must be made concerning hours to be contributed, supervision and further training. One way in which this can be implemented is by a volunteer agreement (for a model agreement in Dutch, see [https://www.movisie.nl/tool/model-vrijwilligersovereenkomst](https://www.movisie.nl/tool/model-vrijwilligersovereenkomst)).
If NWO needs to check whether an organisation may participate as a co-applicant of the consortium, then the organisation of the co-applicant should supply the necessary documents by email, as stated in Section 3.1.2, at least ten working days before the deadline for submitting the proposal for the ELSA Lab and the network project. If the organisation of the co-applicant does not provide the necessary documents on time to satisfy the conditions of the check, then NWO cannot accept the organisation concerned as a co-applicant.

When submitting your application to ISAAC, you will also need to enter additional details online. You should therefore start submitting your application at least three working days before the deadline for pre-proposals or full proposals under this call. NWO will not consider initiatives or proposals submitted after the deadline.

### 3.4 Preparing an application

#### 3.4.1 Phase I - Mandatory registration initiatives and mandatory participation matchmaking meeting

Prior to the submission of a proposal, the main applicants must digitally register the initiative on the NWO website. An initiative consists of a brief explanation of the category of the intended ELSA Lab (see Section 2.2.1.2), an initial indication of the parties involved in the consortium (if known), the main applicant and the contact details.

For the registration of an initiative, applicants should complete the online initiative form. A link to this form can be found on the grant page of this call under the tab ‘Submit’.

After registration of the initiatives, NWO will organise an (online) matchmaking meeting on 9 September 2021.

During the matchmaking, each consortium will give a pitch in which it explains the ‘theme’ and the generic and specific cases of the intended ELSA Lab and the provisional composition of the consortium.

For each initiative submitted, at least one representative should participate in the entire matchmaking meeting. Failure to participate in the mandatory matchmaking meeting will lead to the consortium being excluded from submitting a proposal.

The aim of the matchmaking is to make applicants aware of all current initiatives with respect to the call and to provide the opportunity for possible collaboration, merging of consortia or joining consortia. The meeting is a good opportunity to give parties, such as cooperation partners who are not yet involved in an initiative but who would like to participate in this call, the possibility to join existing initiatives. Therefore, these parties can also register for the matchmaking so that they can come into contact with and possibly join a consortium that intends to submit an ELSA Lab proposal.

#### 3.4.2 Phase II - drawing up the ELSA Lab proposal

Only main applicants who submitted an initiative on time may submit an ELSA Lab proposal. Furthermore, at least one representative from the intended ELSA Lab must have attended the entire matchmaking meeting on behalf of the consortium (see Section 3.4.1).

**Requirements ELSA Lab proposal**

The grant proposal for an ELSA Lab contains the following elements:

- **Substantive activities and research approach**, b. **Organisational form** and c. **Robustness** (see Annex 6.7 for a more detailed description of these elements).

A work package should also be included in the proposal from which the network project will be contributed to. The supervisory committee will guide the network project.

**Application form**
The application form for ELSA Lab proposals and mandatory templates for the annexes stated below can be found in ISAAC and on the grant page of this call. Instructions for preparing the full proposals can be found in the application form.

- Download the above-mentioned documents from the online application system ISAAC or from the NWO website (at the foot of the web page for the relevant funding instrument).
- Complete the forms.
- Save the proposal form as a PDF file and upload it to ISAAC.
- Attach the requested annexes to the proposal.
- Please note: The language to be used when preparing the full application is English. Annexes, other than the budget form, may be written in Dutch.

When submitting the full proposal, the following annexes are attached:

- The budget sheet (mandatory attachment).
- Declarations of commitment from cooperation partners (mandatory attachment, see Section 3.1.4).
- Letters of support from co-funders (mandatory if applicable).

Other types of annexes are not accepted at the full proposal submission stage. Annexes should be uploaded to ISAAC separately from the proposal. All annexes, with the exception of the budget spreadsheet, should be uploaded as PDF files. The budget spreadsheet can be uploaded to ISAAC as an Excel file.

### 3.4.3 Phase III - Drawing up the network project

After the granting of proposals for the ELSA Labs, the consortia awarded funding will be invited to draw up a proposal for a network project, under the supervision of the supervisory committee (see Section 3.5) and on the basis of the template approved by the supervisory committee. The network project will provide the basis for the further rolling out of the ELSA Labs and will therefore also form the structure that later calls will build upon with respect to connecting the Labs (see Section 2.2.1.3b).

The main applicant and co-applicants who accept that funding in Phase II therefore commit themselves to the consortium that will submit the proposal for the network project in Phase III. The consortium will therefore contain participants from all research projects in Phase II and the expected results from these research projects must be incorporated in the proposal for the network project in Phase III.

In the proposal for the network project, the generalisation of the research results and the scaling up of solutions will be elaborated upon (see Section 2.2.1.3b).

The consortia of the awarded ELSA Labs jointly appoint a single main applicant in consultation with the supervisory committee. The main applicant submits the proposal on behalf of all ELSA Labs involved. The proposal consists of a network project as described in Chapter 2.

### 3.5 Conditions on granting

The NWO Grant Rules 2017 and the Agreement on the Payment of Costs for Scientific Research 2008 apply to all applications.

#### Duration

ELSA Lab projects that apply for a grant have a maximum duration of six years. Proposals for a project with a longer duration will not be taken into consideration.

The network project also has a duration of six years. The network project will start in the first year after the start of the ELSA Lab projects and will therefore be completed one year after the ELSA Lab projects have been completed.
Declarations of commitment from cooperation partners

A cooperation partner (see Section 3.1.3) is requested to submit a letter of commitment indicating its reasons for acting as a cooperation partner in the research and its intended role within the project. This is not a letter of support for co-funding, as cooperation partners do not contribute co-funding to the project.

Co-funders

Co-funding is not compulsory within this call. However, co-funders may be included in the project proposal. A distinction is made between in-cash co-funding, which serves to cover the budget for the project activities described in the proposal, and in-kind co-funding, which can consist of the use of resources from the organisations involved. Conditions for co-funding are specified in Annex 6.4 to this call.

Letter of support from participating co-funders

In a letter of support, the co-funder declares support for both the content and financial aspects of the project and confirms the co-funding pledge. The letter of support from co-funders is a compulsory annex to the full proposal. If the proposal is awarded funding, NWO will ask the co-funder to confirm the contribution(s) (e.g. for invoicing purposes). NWO will make a standard template available for the letter of support.

Content monitoring with the help of a supervisory committee

NWO will be responsible for the content monitoring of proposals that have been awarded funding. A supervisory committee will be appointed to reinforce this and to increase support for implementation of the projects. The committee will monitor the connection between the various themes, the progress of all projects and the results achieved, focusing on knowledge transfer, knowledge utilisation and application of the results. Regular meetings will be held. Representatives of all consortia will be invited to attend and contribute to these meetings. Experts will be invited as required. Representation from the AI Coalition will, at the very least, be part of the supervisory committee to guarantee the connection with the AiNed programme, and the co-funding government ministries will also be represented for this same reason.

Accountability during the project and project closure

Both the main applicants of the ELSA Labs and the main applicant of the network project are responsible for reports about the project throughout its duration. NWO may request interim reports on a project’s content and finances, as well as an account of co-funding provided.

Upon completion of a project, final reports will be requested on both the content and finances of the project. The final amount of funding and co-funding will be determined after these final reports have been approved.

Consortium agreement

Consortium partners must sign a consortium agreement before the ELSA Lab project and the network project awarded funding can start. As a minimum, this agreement should govern rights (e.g. copyrights, intellectual property & publication rights, etc. on products or matters developed within the project), knowledge transfer and other matters such as payments, progress reports, final reports and confidentiality. In addition, the consortium agreement should contain agreements on the structure, management and governance of the consortium (which should provide an adequate guarantee of effective cooperation), finances, basic knowledge to be contributed where appropriate, liability, disputes and mutual sharing of information.
The initiative for making these agreements, including agreements on IP rights (see the following section) lies with the main applicant. NWO will check the agreements against the NWO Grant Rules 2017. NWO provides a standard consortium agreement. The use of this template is mandatory for projects awarded funding.

**Intellectual Property & Publications (IP&P)**

To increase the likelihood of new inventions and innovations, the acquisition, maintenance and use of intellectual property rights (patents and copyrights) by knowledge institutions is encouraged. To this end, NWO asks consortia to pay attention to intellectual property rights. It is important that research results are treated responsibly with a view to contributing to science and applying the knowledge concerned. The aim is both to ensure that the research results can be exploited and published as widely as possible, and to encourage collaboration between the knowledge chain and (semi-)public partners and industry. The NWO Grant Rules 2017 provide possibilities for the applicants to acquire intellectual property (IP) rights and possibly to transfer or license these to co-funders.

**The San Francisco Declaration (DORA)**

NWO is signatory to the San Francisco Declaration on Research Assessment (DORA). DORA is a worldwide initiative that aims to improve the way research and researchers are assessed. DORA contains recommendations for research funders, research institutions, journals and other organisations.

DORA aims to reduce the uncritical use of bibliometric indicators and curb unconscious bias in the assessment of research and researchers. DORA’s overarching philosophy is that research should be evaluated on its own merits rather than on the basis of surrogate measures such as the journal in which the research is published. For NWO this means that committee members are requested not to rely on indicators such as the Journal Impact Factor or the H-index when assessing applications. Applicants are not allowed to mention these in their applications. When assessing the scientific track record of applicants, NWO considers a broad range of research outputs. In addition to research publications, applicants are encouraged to include other scholarly outputs such as datasets, patents, software and code, etc. in their applications.

For more information on how NWO is implementing the principles of DORA see: [www.nwo.nl/en/dora](http://www.nwo.nl/en/dora)

**Open Access**

As a signatory to the Berlin Declaration (2003) and a member of cOAlition S (2018), NWO is committed to making the results of research funded by NWO openly accessible via the internet. NWO is thus fulfilling the ambitions of the Dutch government to make all publicly funded research openly available. Scientific publications arising from projects awarded on the basis of this Call for proposals must therefore be made available in open access in accordance with the Open Access Policy Framework.

**Scientific articles**

Scientific articles must be made available immediately at the time of publication (without embargo) via one of the following routes:

- publication in a fully open access journal or platform registered in the DOAJ;
- publication in a subscription journal and immediately (without embargo) depositing of at least the author accepted manuscript of the article in an open access repository registered in OpenDOAR;
- publication in a journal for which a transformative Open Access agreement exists between VSNU and a publisher. For further information see: [www.openaccess.nl](http://www.openaccess.nl).

**Books**

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CC BY licence
To ensure the widest possible dissemination of publications the Creative Commons (CC BY) licence must be applied. Alternatively – in case of serious objections - the author may request to publish under a CC BY-ND licence. For books, book chapters and collected volumes all CC BY licence options are allowed.

Costs
Costs for publication in fully open access journals can be budgeted in the project proposal using the budget module for 'material costs’. Costs for publications in hybrid journals are not eligible for reimbursement by NWO. For Open Access books a special NWO Open Access Books Fund is available.

For more detailed information about NWO’s open access policy, see www.nwo.nl/en/open-science

Data management
The results of scientific research must be replicable, verifiable and falsifiable. In the digital age this means that, in addition to publications, research data must also be freely accessible. As much as possible, NWO expects that research data resulting from NWO-funded projects will be made publicly available for reuse by other researchers. “As open as possible, as closed as necessary” is the guiding principle in this respect. As a minimum, NWO requires that the data underpinning research papers should be made available at the time of the article's publication. The costs for doing so are eligible for funding and can be included in the project budget. In the data management section, and in the data management template if the project is awarded funding, researchers explain how they plan to manage the data expected to be generated by the project.

1. Data management section
The data management section is part of the research proposal. Researchers are asked to prospectively consider how they will manage the data the project will generate and plan for which data will be preserved and be made publicly available. Measures will often need to be taken during the production and analysis of the data to make their later storage and dissemination possible. If not all data from the project can be made publicly available, the reasons for not doing so must be explained in the data management section. Due consideration is given to aspects such as privacy, public security, ethical limitations, property rights and commercial interests.

2. Data management plan
After a proposal has been awarded funding, the researcher should elaborate the data management section into a data management plan. In this plan, the researcher describes whether use will be made of existing data, whether new data will collected or generated, and how the data will be made FAIR: Findable, Accessible, Interoperable, Reusable. The data management plan must be completed in consultation with a data steward or equivalent research data management support staff at the home institution of the project leader. The plan should be submitted to NWO via ISAAC within four months after the proposal has been awarded funding. NWO will approve the plan as quickly as possible. Approval of the data management plan by NWO is a condition for disbursement of the funding. The plan can be adjusted during the research.

Further information on the NWO data management protocol can be found at www.nwo.nl/datamanagement-en.

Nagoya Protocol
The Nagoya Protocol became effective on 12 October 2014 and ensures an honest and reasonable distribution of benefits emerging from the use of genetic resources (Access and Benefit Sharing; ABS). Researchers who make use of genetic sources from the Netherlands or abroad for their research should familiarise themselves with the Nagoya Protocol (www.absfocalpoint.nl). NWO assumes that researchers will take all necessary actions with respect to the Nagoya Protocol.
Scientific integrity

The NWO Grant Rules 2017 specify that research funded by NWO must be carried out in accordance with nationally and internationally accepted standards of scientific conduct as laid down in the Netherlands Code of Conduct for Research Integrity (2018). By submitting a proposal, applicants undertake to comply with this code. In the event of a (possible) breach of the above-mentioned standards in research funded by NWO, the applicant must inform NWO immediately and submit all relevant documents to NWO. More information about the NWO code of conduct and policy on research integrity can be found on the website: https://www.nwo.nl/en/policies/scientific+integrity+policy.

Ethical aspects

In order to carry out scientific research, it is important that research proposals that may raise ethical issues are handled carefully. Certain research projects may require approval from a recognised Medical Research Ethics Committee (MREC) or an Animal Experiments Committee (CCD). In addition, certain research proposals require a licence under the Population Screening Act (WBO). More information on the MRECs and WBO is available from the Central Committee on Research Involving Human Subjects (CCMO).

A consortium itself is responsible for checking whether the research proposal may raise ethical issues and for obtaining approval from the relevant ethics committee(s) and/or obtaining a licence under the WBO, or from similar organisations.

NWO endorses the Code on Openness in Animal Testing and the Biosecurity code. For NWA proposals, applicants must endorse and comply with these existing codes.

An NWA project should start within six months after the funding is awarded. A research project cannot start until NWO has received a copy of any necessary ethics approval and/or WBO licence.

NWO expects applicants to take into account the time schedule of the assessment procedure and the time required for an ethics committee review or to obtain a WBO licence. In the event of complex ethical issues, NWO reserves the right to consult an external advisor. If, after consulting the applicant, NWO is of the opinion that an ethics review of a proposal is necessary, the applicant is still obliged to take measures for a review by an ethics committee. In the absence of a necessary approval from an ethics committee, the grant award will lapse. Applicants can contact the coordinator if they have any questions. See Section 5.1.1 for contact details.

3.6 Submitting an application

Phase I – Registration of an initiative
An initiative is registered via the NWO website (see Section 3.4.1). Main applicants should register their initiative individually. Please note: main applicants should bear in mind that the information they provide in the form will be published on the NWO website and will therefore be publicly available.

Phases II and III – Submission proposal ELSA Lab and proposal network project

An application in Phases II and III can only be submitted to NWO via the online application system ISAAC. Applications not submitted via ISAAC will not be taken into consideration.

A main applicant must submit his/her application via his/her own ISAAC account. If the main applicant does not have an ISAAC account yet, then this should be created at least one day before the application is submitted to ensure that any registration problems can be resolved on time. If the principal applicant already has an NWO-account, then he/she does not need to create a new account to submit an application. For technical questions please contact the ISAAC helpdesk, see Section 5.1.2.
4 Assessment procedure

The NWO Code for Dealing with Personal Interests applies to all persons and NWO staff involved in the assessment and/or decision-making process. See also: www.nwo.nl/en/code

4.1 Procedure

4.1.1 Submission of initiatives
In accordance with the conditions stated in Chapter 3, applicants must submit an initiative (see also Sections 3.4.1 and 3.6).

4.1.2 Meetings: matchmaking and Impact Plan workshop, network project
NWO will organise a matchmaking meeting, impact workshop and a meeting for developing the network project.

Phase I - Matchmaking
NWO will organise a matchmaking meeting for all applicants who submit an initiative. At least one representative (main applicant or another representative) should attend the entire programme of the matchmaking meeting on behalf of each initiative submitted. Proposals submitted for ELSA Labs in Phase II for which no representative from the consortium was present at the matchmaking meeting after submitting the initiative, will not be taken into consideration by NWO.

Phase II - Workshop
NWO will organise a workshop in the form of a physical or online meeting during which the drawing up of an Impact Plan will be explained to the consortia that will submit a full proposal (see also Section 2.3.1). Further information about this workshop will be shared with all applicants of initiatives and will also be announced on the programme website [link].

Phase III – Drawing up the network project proposal
After the awarding of funding to the ELSA Labs, the consortia awarded will be invited by NWO to draw up the proposal for the network project (see Section 3.4.3) under the supervision of the supervisory committee (see Section 3.5) and based on the template approved by the supervisory committee.

4.1.3 Admissibility of the proposal in Phases II and III
The first step in the assessment procedure in both Phases II and III is to test whether an application is admissible. The conditions set out in Section 3 of this Call for proposals are applied to this end. Only those proposals that satisfy the criteria stated in Chapter 3 are admissible and will be taken into consideration.

If NWO decides that the proposal does not meet the administrative conditions, the main applicant will be given a one-off opportunity to amend the proposal within five working days27. If the corrected proposal is not received within the set time frame, NWO will not consider the proposal. Corrected proposals that have been received on time and meet the conditions after being corrected will be accepted once they have been approved.

In the following cases, the main applicant in Phase II will not be given the opportunity to correct the proposal and the proposal will not be considered:
- The proposal was received by NWO after the relevant deadline stated in Section 3.3;
- The proposal was not submitted via ISAAC;
- The proposal was not written in English;

27 “Working days” means working days as defined in Dutch law. When setting the deadline for submitting a corrected proposal, NWO cannot take personal working days into account.
Chapter 4: Assessment procedure / Dutch Research Agenda

- The proposal was not registered previously by way of an initiative;
- No representative for the consortium of a submitted proposal was present at the matchmaking meeting after the submission of the corresponding initiative.

In the following cases, the main applicant in Phase III will not be given the possibility to correct the proposal, and the proposal will not be considered:
- The proposal was received by NWO after the relevant deadline stated in Section 3.3;
- The proposal was not submitted via ISAAC;
- The proposal was not written in English;
- The proposal was not submitted by the main applicant appointed for this.

### 4.1.4 Selection committee

For this NWA Call for proposals, an international selection committee will be appointed by the NWO Executive Board. The selection committee will have a broad composition. This means that not only scientific expertise will be represented in the selection committee, but also expertise from the entire knowledge chain, including societal stakeholders who are highly familiar with the subject and representatives from the target groups.

The selection committee will assess the proposals and the network project based on the criteria in Section 4.2 and will issue an advice to the NWO Executive Board.

### 4.1.5 Phase II – Assessment ELSA Lab proposals

The proposals will be assessed by an international committee whose members have knowledge of the Dutch research landscape. Due to the unusual form of the ELSA Labs and how these are embedded in the research, no use will be made of referees.

#### Interview

Interviews are part of the selection procedure. NWO retains the right not to invite all consortia for an interview if the total number of proposals exceeds four times the number that can be awarded funding. In that case, the three highest prioritised proposals per category for Categories 1 to 3 (see Section 1.2) will be invited for an interview, as well as the six highest prioritised proposals for Category 4. Furthermore, the proposals selected for interview on the basis of the provisional assessment by the committee must receive at least the qualification ‘good’.

If there are no proposals of sufficient quality within one of the categories, then the next highest prioritised proposals within the other categories will be jointly prioritised again, and the selection for the interviews will be supplemented up to a maximum of 15 proposals. Furthermore, the proposals selected for interview on the basis of the provisional assessment by the committee must all receive at least the qualification ‘good’.

Prior to the interviews, the committee will deliberate the proposals. The possible points of attention from the committee and the questions that arise from the deliberation will be sent to the consortia to prepare for the interview. During the interview, a delegation (maximum 3 members) from the consortium will explain the proposal by means of a presentation to the selection committee. After the presentation, the selection committee has the opportunity to pose questions. The consortium can respond to the committee during the interview. In this manner, hearing and rebuttal take place. During the subsequent meeting, the selection committee will discuss all proposals and interviews and will reassess proposals based on the selection criteria of this call.

### 4.1.6 Phase III - Assessment of the network project

The selection committee will assess the proposal according to the criteria in Section 4.2.2. During the interview, the consortium will be given the opportunity to present the proposal and to respond to the questions from the selection committee. In this manner, hearing and rebuttal are applied. During the subsequent meeting, the selection committee will discuss the proposal and interview, reassess the proposal and issue an opinion about whether or not to award funding to the proposal.
In the case of an opinion not to award funding, the selection committee will state in writing which elements are unsatisfactory and suggest points for improvement. The consortium will be given a one-off chance to submit a revised proposal that addresses the points for improvement. After the announcement of the decision, the main applicant will receive one month to submit the revised proposal. Once the revised proposal has been received, an interview will be planned to discuss the proposal with the selection committee, after which the selection committee will establish its final opinion.

4.1.7 Decision-making

Phase II – ELSA Labs
The evaluation, qualifications and prioritisation are presented in the form of an opinion to the Executive Board, which then makes a decision on the allocation and rejection of applications.

In this phase, a maximum of five proposals can be awarded funding distributed across the different categories (see Section 1.2). In Categories 1 to 3 (as long as the selection criteria and qualification conditions are satisfied), one proposal will be awarded funding in each category. In Category 4 (as long as the selection criteria in the qualification conditions are satisfied), two proposals will be awarded funding. A separate prioritisation will be drawn up for each category. In all cases, the project should have at least the qualification ‘good’.

NWO may, if the budget is not sufficient to allocate a subsequent application in the prioritisation for the projects in Category 4, deviate from that prioritisation and allocate the subsequent application in the prioritisation that meets the criteria of this Call for proposals, meets the minimum qualification and fits within the remaining budget.

For example:
There may be a jump in the prioritisation from the application at position 5 to the application at position 8 in the prioritisation for the purpose of optimal budget utilisation. In doing so, the applications at positions 6 and 7 are skipped in the prioritisation because they do not fit within the remaining budget.

Phase III – Network project
The assessment and qualification will be offered to the NWO Executive Board in the form of an opinion, who will then make a decision about whether or not to award the proposal funding.

Data management
The data management section in the application is not evaluated and therefore not included in the decision about whether to award funding. However, the committee can issue advice with respect to the data management section. After a proposal has been awarded funding, the researcher should elaborate the data management section into a data management plan. Applicants can use the advice from the committee when writing the data management plan. A project awarded funding can only start after NWO has approved the data management plan.

Qualification
NWO will award a qualification to all full proposals and will make this known to the researcher with the decision about whether or not the application has been awarded funding.

Only proposals in both Phases II and III that receive the qualification ‘good’ will be eligible for funding. For more information about the qualifications, see Applying for funding, how does it work? | NWO.
4.1.8 Intended time schedule

<table>
<thead>
<tr>
<th>Date and time</th>
<th>Event Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2 September 2021, before 14:00:00 CEST</td>
<td>Deadline registration initiative (Phase I)</td>
</tr>
<tr>
<td>9 September, 14:00 CEST</td>
<td>Mandatory information and matchmaking meeting for submitters of initiatives</td>
</tr>
<tr>
<td>21 October, 14:00 CET</td>
<td>Deadline submission assessment forms for non-typical applicants (if applicable, see Section 3.1.2)</td>
</tr>
<tr>
<td>4 November 2021, before 14:00:00 CET</td>
<td>Deadline ELSA Lab proposals (Phase II)</td>
</tr>
<tr>
<td>Week of 22 November</td>
<td>First assessment meeting</td>
</tr>
<tr>
<td>Week of 22 November</td>
<td>Applicants sent questions</td>
</tr>
<tr>
<td>Week of 29 November</td>
<td>Interviews + assessment meeting</td>
</tr>
<tr>
<td>January 2022</td>
<td>Decision NWO Executive Board Phase II</td>
</tr>
<tr>
<td>January 2022</td>
<td>Template network project in consultation with supervisory committee</td>
</tr>
<tr>
<td>March 2022</td>
<td>Start development network project</td>
</tr>
<tr>
<td>19 May 2022, 14:00:00 CEST</td>
<td>Deadline submission assessment forms for non-typical applicants (if applicable, see Section 3.1.2)</td>
</tr>
<tr>
<td>2 June 2022, before 14:00:00 CEST</td>
<td>Deadline submission network project (Phase III)</td>
</tr>
<tr>
<td>Week of 13 June 2022</td>
<td>Assessment meeting network project</td>
</tr>
<tr>
<td>Early July 2022</td>
<td>Decision NWO Executive Board Phase III</td>
</tr>
</tbody>
</table>

4.2 Criteria

The criteria that will be used in each phase are stated below. The criteria are weighted equally, and each criterion counts for one third of the overall assessment. The assessment criteria are operationalised below on a number of sub-aspects.

4.2.1 Phase II – Applications for ELSA Labs

I. Alignment with the objective of the NWA programme ‘Human-centred AI for an inclusive society’:
   - The research proposal addresses a problem relevant for this programme. It is convincingly substantiated how the research relates to the aim of the NWA programme, as described in Section 2.1.
   - The research question is aligned with the objective of the ELSA Lab and makes it clear how the ethical, legal and societal aspects are addressed in relation to the technological aspects.
   - The substantive activities are presented convincingly.
   - The methodology is appropriate for the research to be realised (see Section 2.2.1.3).
   - The proposed research addresses the principles set out in the substantive framework of the call, see Section 2.2, with respect to the generic themes and specific cases.
   - The consortium indicates clearly and convincingly how it will proceed to achieve scientific and societal breakthroughs. The intended breakthroughs are also clearly defined.
   - The problem statement is important, original and innovative from a scientific perspective.
   - The problem statement is relevant from a societal perspective.
The expected impact and the route to impact are described convincingly. A clear approach to involving stakeholders and the wider society in the research is presented, including their role in this process and which knowledge utilisation activities are deployed.

II. Quality of the consortium:
- Interdisciplinarity: All disciplines/areas of expertise relevant to the problem statement are included in the research proposal.
- Knowledge-chain-wide: it is convincingly demonstrated that the parties from the knowledge chain (fundamental, applied and practice-oriented) necessary in order to address the problem appropriately have been included in the consortium, and their role is clearly described, see Section 3.1. The degree of connection with the relevant national and international hubs and building blocks and workgroups within the national AI Coalition.
- Societal involvement: the collaboration partners relevant to the research question or problem statement are part of the consortium and their role is convincingly described; see Section 3.1.
- A provision has been made for safeguarding the integrity of participating citizens.
- The consortium is coherent, complementary and diverse.
- The composition of the consortium is convincingly appropriate for the intended breakthroughs and the consortium describes the individual roles in the team with attention for, amongst other things, management, diversity and knowledge utilisation.
- There is a strong, logical and clearly shaped organisational structure within the consortium.

III. Quality of the research proposal:
- The scientific question is specific and clearly defined.
- The objectives are specific and clearly defined.
- The proposed approach and methodology are appropriate to achieve the intended objectives and answer the question. The approach and methodology are coherent and well formulated.
- The individual work packages are clearly described, and it is clear how the work packages cohere to contribute to the intended breakthroughs.
- The consortium convincingly describes the feasibility of the proposed research.
- The budget is appropriate to the proposed activities and reflects the knowledge-chain-wide nature of the proposal in terms of the division between fundamental research on the one hand, and applied and practice-oriented research on the other. There is a clear and specific justification of costs.
- The robustness of the ELSA Lab is specifically substantiated.

4.2.2 Phase III – network project

I. Alignment with the objective of the programme;
   - Extent to which the research specifically contributes to the regulation, development, assessment and implementation of human-centred AI.
   - Focus on network formation and dissemination.

II. Quality of the consortium;
   - Organisation of the network project in relation to the ELSA Labs.
   - Degree of connection with the national network of hubs and spokes of the NL AI Coalition.

III. Quality of the proposal;
   - Based on the activities with respect to the scaling up of solutions and the generalisation of the research results from the different ELSA Labs.
   - How the ‘learning community’ has been realised.
   - The proposed blueprint for ELSA Labs in relation to the definition of these Labs.
5 Contact details and other information

5.1 Contact

5.1.1 Specific questions

For specific questions about this Call for proposals please contact:

Ms Lisa de Kok MSc
tel: +31 70 349 4069
e-mail: nwa-ai@nwo.nl

Ms Marieke van Duin Msc
tel +31 70 344 0921
e-mail: nwa-ai@nwo.nl

5.1.2 Technical questions about the electronic application system ISAAC

For technical questions about the use of ISAAC please contact the ISAAC helpdesk. Please read the manual first before consulting the helpdesk. The ISAAC helpdesk can be contacted from Monday to Friday between 10:00 and 17:00 hours CE(S)T on +31 (0)20 346 71 79. However, you can also submit your question by e-mail to isaac.helpdesk@nwo.nl. You will then receive an answer within two working days.

5.2 Other information

NWO processes the personal details that it receives within the context of this call in accordance with the NWO Privacy Statement (https://www.nwo.nl/en/privacyverklaring).
6 Annexes:

6.1 Public Knowledge Organisations

The public knowledge organisations listed below may act as co-applicants in a consortium. The check mentioned in Section 3.1.2 is not required for these organisations.

National knowledge institutes (from: https://www.to2-federatie.nl/nl/to2federatie/Organisaties.htm - Dutch only):
5. CBS – Centraal Bureau voor de Statistiek (Statistics Netherlands)
6. CPB – Centraal Planbureau (Netherlands Bureau for Economic Policy Analysis)
7. KiM – Kennisinstituut voor Mobiliteitsbeleid (Netherlands Institute for Transport Policy Analysis)
8. KNMI – Koninklijk Nederlands Meteorologisch Instituut (Royal Netherlands Meteorological Institute)
9. NFI – Nederlands Forensisch Instituut (Netherlands Forensic Institute)
10. PBL – Planbureau voor de Leefomgeving (Netherlands Environmental Assessment Agency)
11. RCE – Rijksdienst voor het Cultureel Erfgoed (Cultural Heritage Agency of the Netherlands)
13. RKD – Nederlands Instituut voor Kunstgeschiedenis (Netherlands Institute for Art History)
14. RWS – Rijkswaterstaat (Directorate-General for Public Works and Water Management)
15. SCP – Sociaal en Cultureel Planbureau (Netherlands Institute for Social Research)
16. WODC – Wetenschappelijk Onderzoek- en Documentatiecentrum (Research and Documentation Centre)

17. Boekman Foundation – Institute for arts, culture and related policy
18. Clingendael – Netherlands Institute of International Relations
19. Geonovum – Knowledge organisation for geographic information
20. Movisie – Centre for social issues
21. Mulier Institute – Centre for sports research
22. (N) IFV – (Netherlands) Institute for Safety
23. NIVEL – Netherlands Institute for Health Services Research
24. NJI – Nederlands Jeugdinstituut (Netherlands Youth Institute)
25. Police Academy – Training, knowledge and research for the Dutch National Police
26. SWOON-NLDA – Stichting Wetenschappelijk Onderwijs en Onderzoek Nederlandse Defensieacademie (foundation for scientific education and research of the Netherlands defence academy)
27. SWOV – Stichting Wetenschappelijk Onderzoek Verkeersveiligheid (Institute for Road Safety Research)
28. Trimbos Institute – Institute for mental health, drug abuse and addiction
29. VeiligheidNL – Organisation to promote safe behaviour
30. Vilans – Research into long-term care
6.2 Explanation of budget modules

6.2.1 Explanation of budget module Personnel

Funding for the salary costs of personnel who make a substantial contribution to the research can be applied for. Funding of these salary costs depends on the type of appointment and the organisation where the personnel are or will be appointed. In this call, a distinction is made between the funding of personnel at academic institutions as stated in Section 3.1.1 and personnel at universities of applied sciences and other institutions. 28

- For university appointments, the salary costs are funded in accordance with the VSNU salary tables applicable at the moment the grant is awarded (

- For university medical centres, the salary costs are funded in accordance with the NFU salary tables applicable at the moment the grant is awarded

- For personnel from universities of applied sciences and other institutions, the salary costs are funded on the basis of the collective labour agreement salary scale of the employee concerned, based on the Handleiding Overheidstarieven 2021.

- For the Caribbean Netherlands, the Dutch government employs civil servants on Bonaire, Sint Eustatius and Saba under different conditions than in the European part of the Netherlands.

The rates for all budget modules are incorporated in the budget format that accompanies the application form. For the budget modules “PhD”, “PDEng” and “Postdoc”, a one-off individual bench fee of €5,000 is added on top of the salary costs. This bench fee is intended to encourage the scientific career of the project employee funded by NWO. Remunerations for PhD students/PhD scholarship students at a Dutch university are not eligible for funding from NWO.

The available budget modules are explained below.

Personnel academic institutes

PhD (including MD-PhD)

A PhD is appointed for 1.0 fte for a duration of 48 months. The equivalent of 48 full-time months, for example an appointment of 60 months for 0.8 fte is also possible. If a different duration of appointment is considered necessary for the realisation of the proposed research, then as long as this is properly justified, the standard time can be deviated from. However, the duration of appointment must always be at least 48 months.

In line with the NWO strategy, Industrial and Societal Doctorates are included in this category under this call. Conditions regarding Industrial and Societal Doctorates are explained in Annex 6.3.

Professional Doctorate in Engineering (PDEng)

Funding for the appointment of a PDEng can only be applied for if funding for a PhD or postdoc is also applied for.

The appointment for a PDEng position is a maximum of 1.0 fte for 24 months. The PDEng trainee is employed by the institution applying for funding and can realise activities within the research at an industrial partner for a specified time. If the research proposal is awarded funding, then an agreement must be concluded with the industrial partner(s) concerned. The underlying “Technological Designer Programme” should be described in the funding proposal.

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28 Universities of applied sciences, TO2 institutions and public knowledge organisations (see also Annex 6.1) and other applicants who participate as an applicant but are not part of the academic institutions described above.
Postdoc

The size of the appointment of a postdoc is at least 6 full-time months and at most 48 full-time months. The size and duration of the appointment is at the applicant’s discretion, but the appointment is always for at least 0.5 fte or for a duration of at least 12 months. The product of fte x duration of appointment should always be a minimum of 6 full-time months. The material budget is available to cover the costs of a more limited appointment of a postdoc.

Non-scientific staff (NSS) at universities

Funding for the appointment of non-scientific personnel necessary for the realisation of the research project can only be applied for if funding for a PhD or postdoc is also applied for. A maximum of € 100,000 can be requested for NSS, up to a maximum of € 300,000 per application. This includes personnel such as student assistants, programmers, technical assistants or analysts. Depending on the level of the position, the appropriate salary table for non-scientific staff at MBO, HBO or university level applies. The size of the appointment is at least 6 full-time months and at most 48 full-time months. The size and duration of the appointment is at the applicant’s discretion, but the appointment is always for at least 0.5 fte or for a duration of at least 12 months. The product of fte x duration of appointment should always be a minimum of 6 full-time months. The material budget is available to cover the costs of a more limited appointment of non-scientific personnel.

Other scientific personnel (OSS) at universities

Budget for other scientific personnel such as AIOS (doctor training to be a specialist), ANIOS (doctor not training to be a specialist), scientific programmers or employees with a master’s degree can only be applied for if funding for a PhD or postdoc is also applied for. For this category, a maximum of € 100,000 can be applied for. The size of the appointment is at least 6 full-time months and at most 48 full-time months. The size and duration of the appointment is at the applicant’s discretion, but the appointment is always for at least 0.5 fte or for a duration of at least 12 months. The product of fte x duration of appointment should always be a minimum of 6 full-time months.

Research leave for applicants

With this budget module, funding can be requested for the research leave costs of the main and/or co-applicant(s). The employer of the applicant concerned can use this to cover the costs of relinquishing him or her from educational, supervisory, administrative or management tasks (not research tasks). The time that is released through the research leave grant can only be used by the applicant(s) for activities in the context of the project. The proposal must describe which activities in the context of the project the applicant(s) will carry out in the time relinquished. The maximum amount of research leave that can be applied for is the equivalent of five full-time months. NWO funds the research leave in accordance with the salary tables for a senior scientific employee (scale 11) at the time the grant is awarded (www.nwo.nl/en/salary-tables).

Personnel universities of applied sciences and other institutions

For the funding of costs of personnel employed at a university of applied sciences, educational institutions (with the exception of personnel that fall under the VSNU or NFU) or at other organisations, the rates (hourly/daily) below are used. These are in accordance with the Handleiding Overheidstarieven (HOT) 2021 (Table 2.2; column ‘hourly rate productive hours, excl. Dutch VAT’).
6.2.2 Explanation of budget module Material

For each fte scientific position (PhD, postdoc, PDEng) applied for, a maximum of € 15,000 material budget can be applied for per year of the appointment. Per 0.2 fte scientific employee at a university of applied sciences or other institutions (junior, medior and senior level, with a minimum appointment of 0.2 fte for a period of 12 months), a maximum of € 15,000 material budget can be applied for each year of the appointment. Material budget for smaller appointments can be applied for on a proportionate basis and will be made available by NWO accordingly²⁹.

The applicant is responsible for distributing the total amount of material budget across the NWO-funded personnel positions. The material budget that can be applied for is specified according to the three categories below:

Project-related goods/services
- consumables (glassware, chemicals, cryogenic fluids, etc.);
- measurement and calculation time (e.g. access to supercomputer, etc.);
- costs for acquiring or using data collections (e.g. from Statistics Netherlands), for which the total amount may not be more than € 25,000 per proposal;
- access to large national and international facilities (e.g. cleanroom, synchrotron, etc.);
- work by third parties (e.g. laboratory analyses, data collection, citizen science, etc.);
- personnel costs for the appointment of a postdoc and/or non-scientific personnel for a smaller appointment size than those offered in the personnel budget modules.

Travel and accommodation costs for the personal positions applied for
- travel and accommodation costs;
- conference attendance (maximum of two per year per scientific position applied for);
- fieldwork;
- work visit.

Implementation costs
- national symposium/conference/workshop organised within the research project;
- costs for Open Access publishing (solely in full gold Open Access journals, registered in the “Directory of Open Access Journals” https://doaj.org/);
- data management costs;
- costs involved in applying for licences (e.g. for animal experiments);
- audit costs (only for institutions that are not subject to the education accountants protocol of the Ministry of Education, Culture and Science), maximum € 5,000 per proposal; for projects with a duration of three years or less, a maximum of € 2,500 per proposal applies.

NWO encourages public involvement in research. In this module, the applicant can also request funding for the use of citizens for the purposes of the research, according to the rates set at:

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²⁹ Per 0.2 fte scientific employee at a university of applied sciences (junior, medior and senior level, with a minimum appointment of 0.2 fte for a period of 12 months), a maximum of € 15,000 material budget can be applied for each year of the appointment.
Costs that cannot be applied for are:
- basic facilities within the institution (e.g. laptops, desks, etc.);
- maintenance and insurance costs.

If the maximum amount of €15,000 per year per full-time scientific position is not sufficient for realising the research, then it may be deviated from if a clear justification is provided in the proposal.

6.2.3 Explanation of budget module Investments (up to €150,000)

In this budget module, funding can be requested up to a maximum of €150,000 for investments in equipment, datasets and/or software (e.g. lasers, specialised computers or computer programs).

6.2.4 Explanation of budget module Knowledge utilisation

The aim of this budget module is to facilitate the use of the knowledge that emerges from the research. Due to the difference in the objective of the ELSA Labs (Phase II) and the network project (Phase III), different conditions for the budget module Knowledge utilisation apply to each phase.

Phase II – ELSA Lab proposals

Knowledge utilisation takes many different forms in different scientific fields. Examples include producing a teaching package, conducting a feasibility study into potential applications, filing a patent application, or employing a business developer.

It is up to the consortium to specify in the proposal which costs are required.

In the context of the Impact Plan approach, consortia are expected to estimate costs within this module for the following types of activities:
- Specific activities to promote knowledge utilisation towards intermediary or other parties not funded in the projects, e.g. knowledge platforms. These activities include joint learning, training and communication activities.
- Stakeholder engagement: activities organised by the consortium aimed at involving stakeholders, such as consultation workshops, expert meetings, round table meetings, etc.
- Communication: activities organised by the consortium such as national and international learning events, development of videos, blogs, newsletters and other media communications. This may include the hiring in of communication expertise.
- Skills development: Activities aimed at developing skills beyond the levels of individual students, PhD students or postdocs, such as developing courses for stakeholders or Master’s students.
- Monitoring and evaluation moments in which knowledge utilisation is discussed, such as interim evaluations and Advisory Committee meetings (see also Annex 6.3.5).

Travel expenses for consortium partners are explicitly not eligible for funding in this module. However, travel expenses for cooperation partners and external parties in the social practice of the project are eligible. The budget applied for should be adequately specified in the proposal.

Phase III

For the network project, a maximum of €150,000 can be applied for to fund programme meetings and research that is necessary in relation to:
- Generalisation of research results and scaling up of solutions;
- AI ecosystem, learning network;

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30 In this budget module, the definition for “knowledge transfer” used by the European Commission in the Framework for State Aid for research and development and innovation applies (PbEU, 2014, C198).

31 A stakeholder is any person or group that can influence or is influenced by the achieving of goals.
6.2.5 **Explanation of budget module Internationalisation**

The budget for internationalisation is intended to encourage international collaboration. The budget applied for may not exceed € 25,000. The amount requested must be specified. If the maximum amount is not sufficient for realising the research, then it may be deviated from if a clear justification is provided in the proposal.

Funding can be requested for:
- travel and accommodation costs in so far as these concern direct research costs emerging from the international collaboration and additional costs for internationalisation that cannot be covered in another manner, for example from the bench fee;
- travel and accommodation costs for foreign guest researchers;
- costs for organising international workshops/symposia/scientific meetings.

6.2.6 **Explanation of the budget module Money follows Cooperation (MfC)**

The module Money follows Cooperation provides the possibility of realising a part of the project at a publicly funded knowledge institution outside of the Netherlands.

The applicant must convincingly argue how the researcher from the foreign knowledge institution will contribute specific expertise to the research project that is not available in the Netherlands at the level necessary for the project.

This condition does not apply if NWO has concluded a bilateral agreement concerning Money follows Cooperation with the national research council of the country where the foreign knowledge institution is located. On this NWO web page you will find an overview of research councils that signed a bilateral MfC agreement with NWO.

The budget applied for within this module cannot be more than 50% of the total budget applied for.

A co-applicant from the participating foreign knowledge institution should satisfy the conditions set for co-applicants in Section 3.1 of this Call for proposals, with the exception of the condition that the co-applicant should be employed in the Kingdom of the Netherlands.

The rates for the personnel costs of researchers at the foreign knowledge institution are calculated on the basis of the correction coefficients table of the Marie Skłodowska-Curie grants (EU, Horizon 2020), based on the Dutch VSNU rates. The table can be found on this web page of NWO.

The main applicant receives the grant and is responsible for transferring the amount to the foreign knowledge institution and for providing accountability for the MfC part of the grant. The MfC part will be part of the overall financial accountability of the project.

The exchange rate risk lies with the applicants. Therefore, gains or losses due to the exchange rate are not eligible for funding. The applicant is responsible for:
- the financial accountability for all costs in both euros and the local currency, for which the exchange rate used must be visible;
- a reasonable determination of the size of the exchange rate. If requested by NWO, the applicant must always be able to provide a description of this reasonable determination.

If more than 125,000 Euros is requested within this module, the final financial statement must be accompanied by an auditor’s report.

NWO will not issue any funding to co-applicants in countries that fall under national or international sanction legislation and rules. The EU Sanctions Map ([www.sanctionsmap.eu](http://www.sanctionsmap.eu)) is guiding in this respect.
6.2.7 Explanation of budget module Project Management

The Project Management module offers the opportunity to request a project management post. For Phase II, this can be up to a maximum of 5% of the budget applied for from NWO. For Phase III, a maximum of €250,000 can be applied for (see also Section 3.2). The main applicant must adequately justify this post.

Project management includes the following: optimising the organisational structure of the consortium, supporting the consortium and the main applicant, safeguarding the coherence, progress and unity of the project, and coordinating between the sub-projects within the project. These tasks may also be carried out by external parties if they are not available within the main applicant’s knowledge institution.

Knowledge institutions should take account of public procurement rules in the tender procedure for selecting a third party and, where appropriate, follow a European procurement procedure. The activities of main applicants and co-applicants themselves in relation to the project or project management may not be funded under this budget module.

The budget to be requested for project management can consist of material or implementation costs and personnel costs. For personnel costs, a maximum rate of €119.00 per hour can be claimed. The hourly rate of personnel to be appointed must be based on a cost-covering rate and is calculated on the basis of the standard productive number of hours used by the organisation. The cost-covering rate includes:

- (average) gross salary corresponding to the position of the employee who will contribute to the project (based on the collective labour agreement grade of the employee concerned);
- holiday allowance and 13th month (if applicable in the relevant collective labour agreement) in proportion to the FTE deployed;
- social security charges;
- pension costs;
- overheads.

Project management tasks may be carried out by external parties, but the part of (commercial) hourly rates that exceeds the rates stated is not eligible for funding and therefore cannot be included in the budget.
6.3 **Explanation of conditions regarding Industrial and Societal Doctorates**

Industrial and Societal doctorates are understood to be PhD students who will do their research at both the knowledge institution and an organisation that is not a (co-)applicant. If an organisation and the knowledge institution closely collaborate, then this increases the chance that the knowledge will actually find its way into everyday practice. The research should be an integral part of the project. In the case that an Industrial or Societal Doctorate is appointed, the private or public organisation which is involved in the doctorate should assume responsibility for at least 25% of the salary costs. This contribution may be part of the minimum required co-funding and in that case should always be in cash.

The intended PhD student may be employed by the knowledge institution or the organisation. The activities realised by the PhD student must always fall under fundamental or industrial research. The salary costs of the PhD student are always remunerated in accordance with the valid VSNU rate. NWO will fund a maximum of 75% of this amount and at least 25% of the amount must be contributed by the organisation that is not a (co-)applicant. Any additional salary costs – due to an actual salary that is above the VSNU rate – should be covered by the employer and may be contributed to the project in the form of in-kind funding. For the calculation of a surplus, the employer costs minus the VSNU rates for an appointment of the same size is assumed. The support/grant may not be transferred to the organisation that is not a (co-)applicant.

If an industrial doctorate or societal doctorate PhD position is applied for, then the parties should make agreements about possible IP rights that are generated by the PhD student concerned. With this, allowance should be made for possible access to the research results by other project participants, under FRAND (fair, reasonable and non-discriminatory) conditions or otherwise. The NWO grant is only awarded to the knowledge institution for the purpose of the PhD research project. In this context, it is relevant to state that in accordance with the application of the NWO Grant Rules 2017, all research results should be published as soon as possible in Open Access form and accordingly serve the public interest. Furthermore, all other provisions from Section 3.5, such as Consortium agreement and Intellectual Property & Publications, apply.
6.4 Conditions for co-funding

NWO will invoice the private or public party that has committed to a cash contribution. Once the funds have been received, they will be allocated to the project.

Conditions for in-kind co-funding

In-kind co-funding should be capitalised, in other words expressed in financial terms (i.e. number of units at cost price or hours x rate), and forms part of the budget. The co-funding organisation should clarify the rates used. NWO determines whether the rates need to be adjusted.

Valuation of in-kind co-funding

The hourly rate can be based on the maximum cost-covering rate including the applicable increments. The hourly rate is calculated on the basis of the standard productive number of hours used by the organisation.

For the calculation of a cost-covering hourly rate, the following elements can be included:

- (average) gross salary for the post of the employee who will contribute to the project;
- holiday allowance and 13th month (if applicable in the relevant collective labour agreement) in proportion to the use in FTE;
- social security contributions;
- pension costs.

The co-funding organisation should clarify the rates in its letter of support. Hourly rates for in-kind personnel contributions from co-funders are capped at € 119 per hour regardless of tax laws or regulations applying to the co-funder. The use of students is subject to a maximum rate of € 25 per hour.

NWO may request additional substantiation and documentary evidence for the rates used; it may also request adjustment of the rates.

Admissible as in-kind co-funding:

- **Personnel input and material contributions** on condition that these are capitalised and form an integral part of the project. This should be made clear in the description and planning/phasing of the research. For pledges of equipment, the current market value is used. For both personnel input and material contributions, it must be possible to demonstrate that the pledged in-kind contribution has been made. Voluntary organisations and citizens’ initiatives must unite in a foundation or association in order to provide co-funding.

- Part of the research may be conducted by third parties. Personnel input is subject to the condition that the expertise provided in the form of man-hours is not already available at the research institution(s) and is therefore used specifically for the project. The capitalising of personnel input by third parties is subject to the valuation of in-kind co-funding referred to below.

- Material contributions in the form of supplies of services are subject to the condition that the service can be identified as a new endeavour. The service should not already be available at the research institution(s) conducting the research. Consortia may wish to claim services already supplied (such as a database or software) as in-kind co-funding. Acceptance is not automatic in these cases. The main applicant should contact NWO about this in advance. NWO will determine whether a specific value can be defined for this supply of services.

Accounting for in-kind co-funding

Private and public parties should account to NWO for their in-kind contributions by providing the main applicant with a statement of costs contributed, within three months of the end of the research project to which the contribution was made. The main applicant should submit the co-funders’ statements and the financial accounts of the project to NWO for the purposes of determining the grant. If the in-kind contribution to be accounted for by a single co-funder exceeds € 125,000, this co-funder should submit an audit statement; otherwise, it is sufficient to submit a written declaration from the main applicant stating that the in-kind endeavours made were actually allocated to the project.
In the event of failure to account for the pledged co-funding or to deliver the pledged co-funding, NWO is entitled to withdraw the entire grant.

Non-admissible co-funding
The following may not be contributed as co-funding (both in cash and in kind):
- funding awarded by NWO32;
- PPP allowance;
- co-funding originating from organisations where the main applicant or applicant(s) are employed;
- discounts on commercial rates, e.g. on materials, equipment and services;
- costs related to overheads, supervision, consultancy and/or participation in the user committee;
- costs of services that are conditional. The co-funding provided may not be subject to any conditions. The provision of the co-funding does not depend on whether a certain stage in the research plan is achieved (e.g. go/no-go moment);
- costs that are not reimbursed according to the Call for proposals;
- costs of equipment if one of the (main) objectives of the proposal is the improvement or creation of added value for this equipment.

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32 Funding awarded by NWO is defined as funding obtained as the result of acceptance of a proposal submitted to NWO. It is irrelevant under which programme this funding was obtained or who the funding recipient was.
6.5 **AIREA-NL: AI research agenda**

The AI research agenda AIREA-NL, written in 2019 at the initiative of NWO by a broad group of AI researchers, forms the framework for the AI research questions in this programme.

The AIREA-NL research agenda spans the entire breadth of the AI research field. The agenda is aimed at the four developmental stages an AI algorithm passes through. The technological and societal aspects are included in each of these stages.

**Developmental stages:**
- **Creation of AI components:** This is aimed at researching which new AI algorithms are being developed and all technological and societal aspects that must be taken into account.
- **Creation of AI systems:** This concerns the construction and use of AI systems. Important elements include the interaction between various AI components, the predictability of the system’s behaviour in a certain context and the access to data.
- **AI systems and people:** Here, the question posed is how AI systems and people can learn from each other and collaborate as well as possible.
- **AI systems and society:** Here, the question is how AI and society can interact with and shape each other.

6.6 **Learning Communities**

The term ‘learning community’ as used by NWO concerns public-private learning-work practices intended to boost innovation. In learning communities, learning, working and innovating by students and professionals are organised in close proximity to each other. It concerns larger partnerships of educational institutions with companies or societal organisations. These are called, among other things, Centres of Expertise (CoE), Centres for Innovative Craftsmanship (CIV), field labs and living labs.

Learning communities connect the three functions of lifelong learning: conditional learning for a diploma, reactive learning in the workplace and proactive learning to innovate. Especially proactive learning – learning through and for innovation – is seen as an important factor for working on societal missions and economic growth.

Through the deliberate sharing of knowledge and experience, also between learning communities from different sectors, the scope of research and development activities is strongly increased.

6.7 **Elements ELSA Labs proposal**

The full proposal for an ELSA Lab contains the following elements:

a. Substantive activities and research approach, b. Organisational form and c. Robustness.

a. **Substantive activities ELSA Lab and Research – alignment substantive framework and categories or societal challenges:**
- Describe the aim, objectives, intended results (SMART), impact and planning of the ELSA Lab and the dissemination of the results. Describe the ethical, legal and societal aspects in relation to the AI technology.
- Formulate the key research question for the research that will be realised in the ELSA Lab.
- Include a work package for the contribution to the network project.
- Describe how the research connects with the AI agenda (see Annex 6.5), the generic themes and the cases (Section 2.2.2). State within which category the proposal is submitted.
- Provide a justification for the need to set up the experimental environment (ELSA Lab) so that it is clear why this research can only take place in this context.
- Explain how the research in the different disciplines contributes to the development of the research domains concerned.
Explain how the following principles are embedded in the proposal: Human-centred AI (see Section 2.1), FAIR and FACT data (standard NWO conditions). The access to and ownership of data is an important consideration in this regard.

Describe whether and how citizens / civil society are actively involved and state how integrity will be safeguarded in this context.

Describe how sustainable societal impact will be realised by applying the Impact Plan Approach (NWA standard criteria).

Describe how the ELSA Lab will function as a learning community (see Annex 6.6).

Include a work package for the purpose of the overarching network project that is aimed at the scaling up of results, network formation and knowledge dissemination.

**Research approach**

- Describe the central approach and the research method. Describe how the research method supports experimentation and iterative knowledge development.
- Describe how the results of the research can contribute to scalable solutions (solutions and insights from the labs can, for example, be translated to guidelines and best practices for the development of human-centred AI applications).
- Include a specific work package with the associated budget in the project proposal for the development of the joint network project. Explain what the intended contribution of the lab to the overarching project could be.

**b. Organisational form**

- Describe the governance: the management, accountability structure and the allocation of tasks, competencies and responsibilities.
- In line with the governance, state the organisational plan: organisational structure and allocation of the participants’ roles within the consortium and a transparent multiannual budget.
- Describe the connection of existing networks and hubs and with the building blocks and workgroups within the Netherlands AI Coalition.
- Describe how free access to the ELSA Lab will be guaranteed.
- State whether the ELSA Lab will have a physical or virtual form:
  - virtual central / distributed;
  - physical central / spread;
  - 1 central access point (physical);
  - 1 central point of contact (virtual).
- Describe how the ELSA Lab focuses on/is open for network formation.
- Describe how the responsibilities and competencies within the consortium are covered.
- Record the intellectual property agreements. For example, what will happen with the data that are developed in the ELSA Lab?

**c. Robustness of the ELSA Lab**

- In the context of the robustness, draw up an exit plan, a plan that shows what will happen with the ELSA Lab after the funding period ends. Which activities will be undertaken to enable the ELSA Lab to continue to exist as a useful structural facility?
- In the proposal, include a draft investment plan for the further development of the ELSA Lab. Which potential private and public investors are in view? Who has a (financial) interest in the continued existence of the ELSA Lab?

**6.8 Reference framework ELSA Labs NL AI Coalition**

The NL AI Coalition drew up a reference framework for ELSA Labs. This reference framework has been incorporated in this research programme. For each item, it is stated below in which section of this call the model is incorporated.

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33 The grant can only be received if the cooperation agreement approved by NWO has been signed by the main applicant, co-applicant(s), cooperation partner(s) and, if applicable, the co-funder(s).
1. In the lab, challenges are worked on that are formulated by society and that are aimed at realising widespread prosperity. Examples are good care for everybody, each child being able to use its talents, a life without hunger, work for everybody, always safe, never lonely again, responsible living, lifelong learning, et cetera. The 17 Sustainable Development Goals of the United Nations and the required transformations that emerge from these provide inspiration for societal challenges. In this context, we also refer to the research agenda for mission-driven innovation from the Dutch top sectors. (see Section 2.2.1.3)

2. Insights are collected and documented in the multi-stakeholder context. Where possible, the insights are validated with scientific methods and made available to all participants in the lab and the national AI ecosystem connected to it. (see Section 2.2.1.3)

3. Solutions are developed with the help of one of the key enabling design methodologies (for example design thinking) in which an assessment takes place by means of successive improvement cycles in relevant applied situations. This assumes the broad interpretation of the design process in which all stakeholders are included, to mean: end users, specialists, technicians, policymakers and administrators. (see Section 2.2.1.3)

4. ELSA Lab projects focus on worthwhile human-centred solutions that are data-intensive and based on AI. (see Section 2.2.1)

5. ELSA Labs represent all four helix dimensions. These actively participate and jointly contribute to a good management and coordination of activities and also ensure the active involvement and influencing of the broader societal ecosystem in which they function. (see Section 2.2.1)

6. ELSA Labs have an effective policy to communicate findings in a transparent manner with stakeholders, involve the stakeholders and enter into dialogue with society. (see Section 2.2.1.3)

7. ELSA Labs have a responsibility to scale up solutions and to transfer these to society. (see Section 2.2.1.3)

6.9 Guidelines Ethical AI

Image taken from: Ethics guidelines for trustworthy AI HLG, 2018
Hoofdstuk 6: Annexes / Dutch Research Agenda – Syngriethema Artificiële Intelligentie

**Framework for Trustworthy AI**

**INTRODUCTION**

- Lawful AI (not dealt with in this document)
- Ethical AI
- Robust AI

**CHAPTER I**

- **Foundations of Trustworthy AI**
  - Adhere to ethical principles based on fundamental rights
  - 4 Ethical Principles
  - Acknowledge and address tensions between them
  - Respect for human autonomy
  - Prevention of harm
  - Fairness
  - Explicability

**CHAPTER II**

- **Realisation of Trustworthy AI**
  - Implement the key requirements
  - 7 Key Requirements
  - Evaluate and address these continuously throughout the AI system’s life cycle via
  - Technical Methods
  - Non-Technical Methods
  - Human agency and oversight
  - Technical robustness and safety
  - Privacy and data governance
  - Transparency
  - Diversity, non-discrimination and fairness
  - Societal and environmental wellbeing
  - Accountability

**CHAPTER III**

- **Assessment of Trustworthy AI**
  - Operationalize the key requirements
  - Trustworthy AI Assessment List
  - Tailor this to the specific AI application