

# GUIDE FOR EVALUATORS

Second RobMoSys Open Call - 2nd cut-off

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## Definitions

<b>Instrument:</b>	Type of RobMoSys third-party contract outlining the contributions a successful applicant can make to RobMoSys. This Open call distinguishes three of these “Instruments”, each of them with a specific scope, an individual funding scheme and distinctive expected results & impact.
<b>RobMoSys Ecosystem:</b>	The collection of assets (tools, models, software components, application pilots, guidance documents) and services (e.g. for adoption, coaching) issued by RobMoSys, which are developed, maintained and evolved by the RobMoSys Community.
<b>RobMoSys Community:</b>	It is the keystone for the sustainability of the RobMoSys project. The functions of the RobMoSys Community include, but are not limited to: (i) developing RobMoSys models (see: <a href="https://robmosys.eu/wiki/model-directory:start">https://robmosys.eu/wiki/model-directory:start</a> ) , software components and tools (see: <a href="https://robmosys.eu/wiki/baseline:start">https://robmosys.eu/wiki/baseline:start</a> ) to be released/hosted in open source, (ii) operating dedicated code repositories, (ii) build chains, test facilities, fostering exchanges between RobMoSys partners and industry partners, (iv) managing the quality and maturity of RobMoSys tools, (v) ensuring open innovation through the sharing of the research, development, and maintenance efforts as far as possible, fostering sustainable commercial services and ecosystems around the RobMoSys tools.
<b>Integrated Technical Project (ITP):</b>	A third-party RobMoSys-funded project composed of one or more legal entities aiming at adopting, developing or boosting the RobMoSys Ecosystem.
<b>RobMoSys Academy:</b>	The set of structured resource providing guidance and support for RobMoSys stakeholders, including methodological guidance, tutorials, training, demonstrators and coaching.
<b>Coaching Support:</b>	The RobMoSys project assigns one member of the core consortium to each ITP with the following role: to assist the assigned ITP in aligning with RobMoSys background in a consistent way; to serve as main link between the ITP and the RobMoSys consortium for questions or requests or to trigger potential collaborations or interactions between ITPs.
<b>Project Steering Committee (SC):</b>	The RobMoSys Project Steering Committee comprises one representative from each of the core partners of RobMoSys. The Steering Committee is involved in evaluation and selection process to ensure fit between the selected projects and overall goals of RobMoSys.
<b>Expert Evaluators:</b>	The experts, independent of the RobMoSys consortium and of any proposer, with the role of assessing the proposals submitted in response to the Second RobMoSys Open Call.
<b>Expert Rapporteurs:</b>	They are responsible for drafting the consensus report (CR), it can be either one of the evaluators involved in the evaluation of the proposal or an additional expert.

## 1. General Aspects

### 1.1. Why this Guide

This guide aims at supporting the evaluation of proposals submitted to the *Second RobMoSys Open Call*. The evaluation process involves both external evaluators, hereafter called *Expert Evaluators*, and internal evaluators embodied in the RobMoSys Steering Committee (SC). The Second RobMoSys Call embraces three different *Instruments* characterized by distinctive contribution goals and hence different evaluation criteria. The extent of the (external and internal) evaluator role is different depending on the Instrument. This guide will help evaluators to assess proposals, contribute to evaluation panels, and draft evaluation reports.

Further information about RobMoSys vision, principles, adoption path and Instruments can be found in the Guide for Applicants, Section 1.

### 1.2. Evaluators Role

The underlying principles to bear in mind during evaluation are:

- **Excellence:** projects must demonstrate a high level of quality in relation to the topics and criteria set out in the calls
- **Transparency:** funding decisions must be based on clearly defined rules and procedures, and applicants should receive adequate feedback on the outcome of the evaluation
- **Fairness and impartiality:** all proposals must be treated equally and evaluated impartially on their merits, irrespective of their origin or the identity of the applicants
- **Confidentiality:** all proposals and related data, knowledge and documents must be treated in confidence
- **Speed and efficiency:** proposals should be evaluated and grants awarded and administered as swiftly as possible, without compromising quality or breaking the rules

### 1.3. Evaluator's Code of Conduct and Conflict of Interest

It should always be anticipated in the Open Call that entities being part of the RobMoSys core consortium ensure the impartial and objective implementation of the action and take all measures to prevent any situation resulting in a “conflict of interests” for reasons involving economic interest, political or national affinity, family or emotional ties or any other shared interest. Therefore, the beneficiaries cannot apply.

As regards other entities who have some link (loose or not) to the beneficiary entities, these can apply to the call as long as the evaluation process (thus the evaluators) is completely independent and none of the above situations occurs and neither is the impartial and objective implementation of the action compromised. The exact procedure for avoiding such conflict is described in the Guide for Applicants of the Second RobMoSys Open Call.

This impartiality will have to be demonstrated in the reports that the European Commission and the Project Officer (EC/PO) receives from the consortium describing the process and results of the calls that have taken place. The EC/PO should as usual not be otherwise involved in the open call process.

Both external experts (independent from the RobMoSys consortium and also without a conflict of interest with any of proposers) and internal experts (being employees of the members of the

RobMoSys consortium but not having a conflict of interest with any of proposers) will be involved in the evaluation process and will have confirmed their independence and neutrality before.

It is important to notice, that all experts perform evaluations in their private capacity, not as representatives of their employer, their country or any other entity. They will sign a declaration of confidentiality concerning the contents of the proposals they read and a declaration of absence of any conflict of interest. Both the confidentiality and the conflict of interest rules will follow the Code of Conduct set out in the Annex 1 of the H2020 Model Contract for experts:

([http://ec.europa.eu/research/participants/data/ref/h2020/experts\\_manual/h2020-experts-mono-contract\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/experts_manual/h2020-experts-mono-contract_en.pdf)).

In addition to a high level of competence, evaluators must not have any conflict of interests. A disqualifying conflict of interest exists if an evaluator:

- Was involved in the preparation of the proposal,
- Could stand to benefit, or to be disadvantaged, as a direct result of the evaluation carried out,
- Has a close family relationship with any person representing a participating organization in the proposal,
- Is a director, trustee or partner of any beneficiary, participating in the proposal, or by a subcontractor/third party carrying out work for any beneficiary in the proposal concerned,
- Is employed by one of the beneficiary in the proposal concerned,
- Is in any other situation that comprises his/her ability to review the proposal impartially. Evaluators with disqualifying conflicts of interest cannot take part in the evaluation of proposals. A potential conflict of interest may exist, even in cases not covered by the clear disqualifying conflicts indicated above, if any expert:
  - Was employed by one of the participating organisations in a proposal in the last three years,
  - Is involved in a contract or research collaboration with a participating organisation, or had been so in the previous three years
- Is in any other situation that could cast doubt on his/her ability to review the proposal impartially, or that could reasonably appear to do so in the eyes of an external third-party. Evaluators cannot evaluate proposals where they have a potential conflict of interest. Also, they are excluded from the panel meeting.

## 2. Evaluation Process

Project proposals and individual contracts are awarded through different processes depending on the kind of Instrument. Instrument #1 and #2 follow a mixed evaluation process with external and internal evaluators contributing to the peer-review and selection activities. Instrument #3 follows a workflow managed by internal evaluators. This section describes the different roles and workflows for each of the instruments.

### 2.1. Who is Who

- **External Evaluators:** The experts, independent of the RobMoSys consortium and of any proposer, with the role of assessing the proposals submitted in response to the Second RobMoSys Open Call.
- **RobMoSys Steering Committee (SC):** The RobMoSys Project Steering Committee in this document. It comprises one representative from each project partner.
- **Expert Rapporteurs:** He/she is responsible for drafting and finalizing the Consensus Report (CR).
- **Panel Moderator:** This role assists the participants of the evaluation panels to arbitrate the discussions.

### 2.2. Workflows

The sections below present the workflows of the evaluation and selection processes of the individual instruments of the Second RobMoSys open call.

#### Instrument #1: Fast Adoption

The evaluation will be performed in two steps. In the first step, the External Evaluators will review each proposal according to the expected impact, realistic estimations of effort and benefit, timeline, transfer potential to other domains and cost (see Section 3.1.).

Each proposal will be evaluated by at least two acknowledged evaluators with different expertise, for example in the technology field or in application area(s). Afterwards, for each of the proposals, a consensus report will be drafted by a rapporteur – one of the original evaluators – and agreed upon by all the evaluators assigned to the particular proposal.

The outcome of the first step will be a ranked list of all proposals based on the individual scores obtained by each proposal. In the second step the Steering Committee will identify the most promising candidates. The decision will be strongly based on the ranking created by the External Evaluators. However, the Steering Committee will ensure that the proposals are realistic in terms of time and effort, follow the RobMoSys approach and can have significant impact on the ecosystem. A justification for each alteration of the ranking will be provided by the Steering Committee.

The chair of the Steering Committee will inform all the participants about the results of evaluation and selection. A public summary report will be published on the project website within 30 days from the end of the selection procedure.

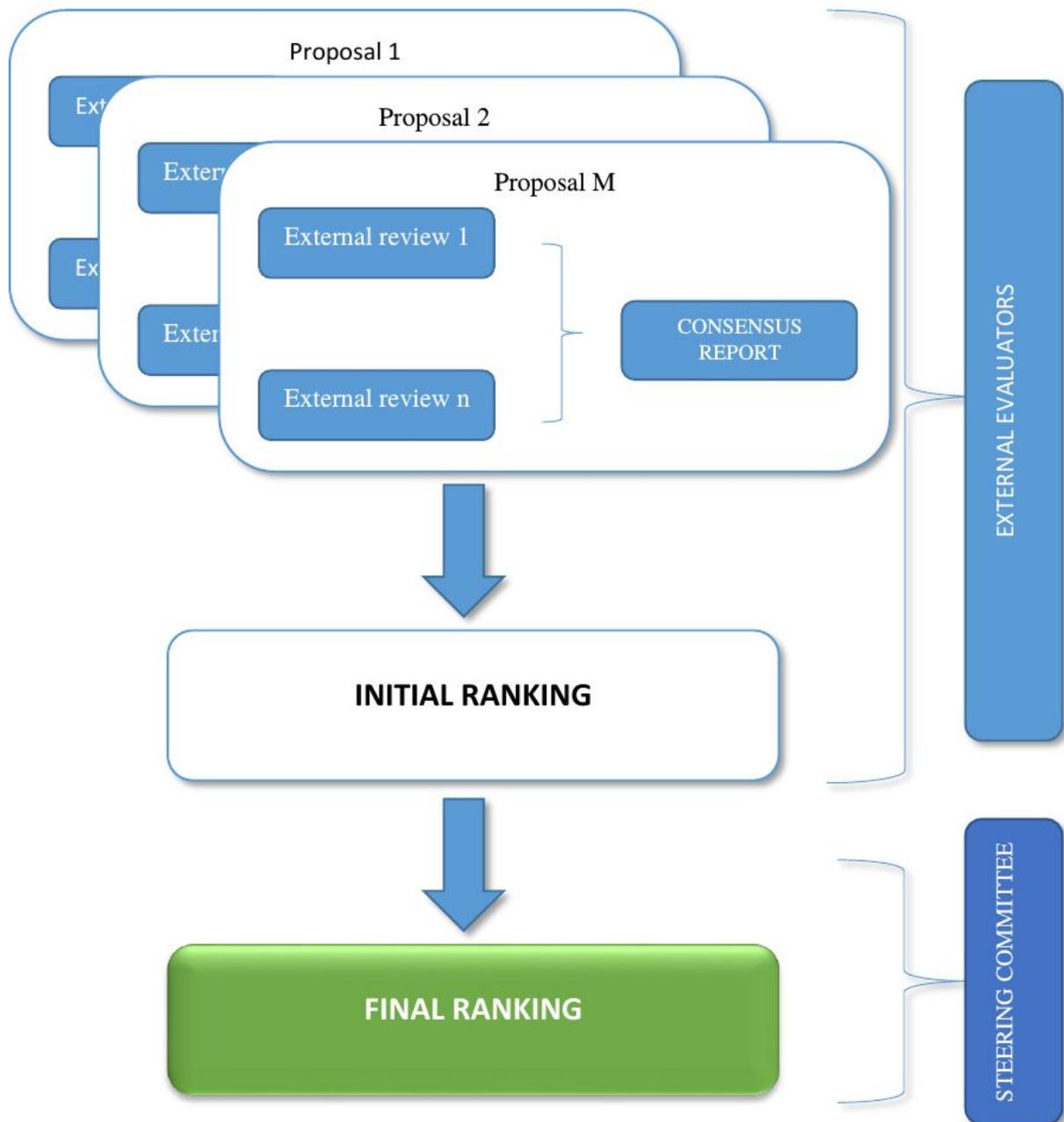


Figure 1. Evaluation workflow for Instrument #1

## Instrument #2: Ecosystem Challenges

Instrument #2 was available during the first cut-off date of the RobMoSys second open call. There is no possibility to apply to this instrument within second cut-off date (August 1st - October 31, 2019).

### Instrument #3: Innovation Expert Intake

The proposals will be assigned to individual members of Steering Committee who prepare the individual evaluation reviews based on the criteria described below (see Section 3.3.). An initial ranking will be created based on scores assigned to the individual proposals. Afterwards, the final decision is taken by the Steering Committee that analyses the ranking and reports and has a chance to vote on changing the initial ranking.

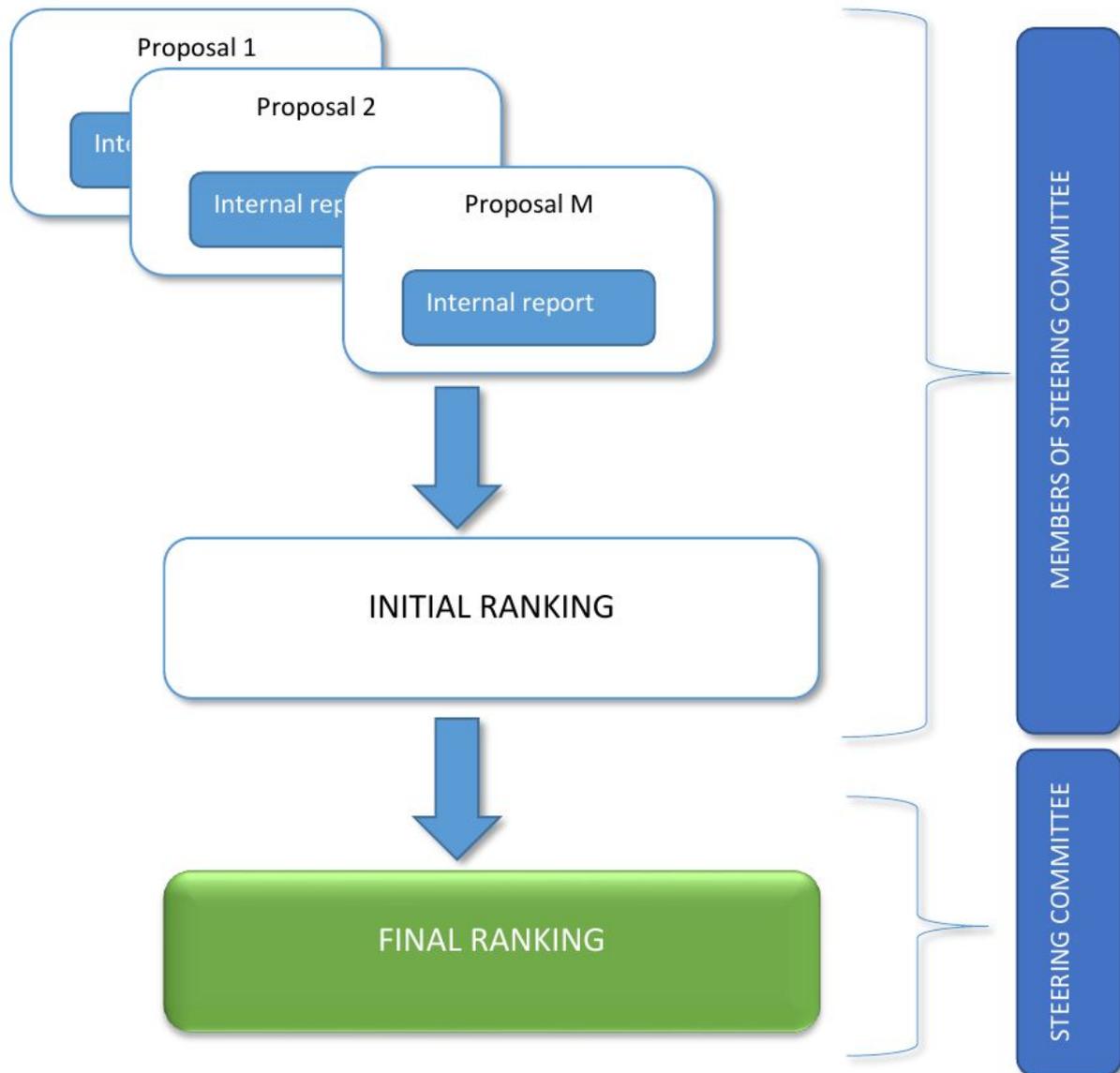


Figure 3. Evaluation workflow for Instrument #3

### 3. Evaluation Criteria

The sections below present the evaluation criteria for each of the individual proposals of the Second RobMoSys Open Call. The criteria reflect the expected impact of project funded under those instruments.

#### 3.1. Instrument #1

<b>1. Expected impact</b>	<b>Weight: 40%</b>
<ul style="list-style-type: none"> <li>● Size of the potential users group(s)</li> <li>● Accessibility of the results</li> </ul>	Score: ? / 10 (Threshold: 6/10)
<b>2. Technical excellence</b>	<b>Weight: 30%</b>
<ul style="list-style-type: none"> <li>● Compliance with the RobMoSys meta-models and methodology</li> <li>● Development or adaption of (existing) pilots demonstrating RobMoSys added value in the context of real industrial settings</li> <li>● Description of the use case that will be developed</li> <li>● Description of the knowledge of the team/company in proposed work domain</li> </ul>	Score: ? / 10 (Threshold: 6/10)
<b>3. Implementation of the ITP</b>	<b>Weight: 30%</b>
<ul style="list-style-type: none"> <li>● Work Description</li> <li>● Risk management</li> </ul>	Score: ? / 10 (Threshold: 6/10)
<b>Remarks</b>	
Ethical implications and compliance with applicable international, EU and national law	<i>Essential</i>
<b>OVERALL SCORE :</b>	Score: ? / 30 (Threshold 21/30)

#### 3.2. Instrument #2

Instrument #2 was available during the first cut-off date of the RobMoSys second open call. There is no possibility to apply to this instrument within second cut-off date (August 1st - October 31, 2019).

### 3.3. Instrument #3

<b>1. Expected impact</b>	<b>Weight: 40%</b>
<ul style="list-style-type: none"> <li>● Size and significance of the community to be reached</li> <li>● Expected results of the planned activities</li> <li>● Quality and importance of events to be attended</li> </ul>	Score: ? / 10 (Threshold: 6/10)
<b>2. Technical excellence</b>	<b>Weight: 30%</b>
<ul style="list-style-type: none"> <li>● Quality of the technical idea to be analyzed with the core consortium</li> <li>● Experience of the expert assigned to the project</li> <li>● Technical correctness of the community building activities</li> </ul>	Score: ? / 10 (Threshold: 6/10)
<b>3. Implementation of the ITP</b>	<b>Weight: 30%</b>
<ul style="list-style-type: none"> <li>● Cost effectiveness</li> <li>● Realistic timeline</li> <li>● Planning of the events and/or workshops</li> </ul>	Score: ? / 10 (Threshold: 6/10)
<b>Remarks</b>	
Ethical implications and compliance with applicable international, EU and national law	<i>Essential</i>
OVERALL SCORE :	Score: ? / 30 (Threshold 21/30)

## 4. Evaluation Reports

### 4.1. Individual Evaluation Report (IER)

The evaluators indicate if the proposal falls entirely outside of the scope of the part of the call that they are evaluating or involves ethical issues that will need further scrutiny. They evaluate each proposal considering the evaluation criteria in Section 3. For each criterion, the Expert Evaluators give a **provisional score** between **0 and 10 points**, which are detailed in Table 1 and formulate a set of positive or negative **arguments**. Each argument should be described with two or three lines of text.

**Table 1.** The grading criteria

<b>0</b>	The proposal fails to address the criterion	The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information.
<b>1-2</b>	Poor	The criterion is addressed in an inadequate manner, or there are serious inherent weaknesses.
<b>3-4</b>	Fair	While the proposal broadly addresses the criterion, there are significant weaknesses.
<b>5-6</b>	Good	The proposal addresses the criterion well, although improvements would be necessary.
<b>7-8</b>	Very good	The proposal addresses the criterion very well, although certain improvements are still possible.
<b>9-10</b>	Excellent	The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.

The eligibility of proposals follows the following two-step process: i) only the score per criterion is considered and ii) the overall score is calculated considering the weight of each criterion. The criteria used to evaluate proposals in Instruments 1-3 will be the same as the ones used by the EC, namely **Expected Impact, Technical Excellence, and Implementation**:

- The **Expected Impact** considers the following aspects: the foreseen degree in which goals stated in the addressed robotic challenge will be achieved, the potential to develop a ready-for-the-market solution and the potential key exploitation results of the proposed project.
- **Technical/Research Excellence evaluates** adequacy and progress with respect to state of the art in the three instruments and seven robotic topics (Instrument #2) outlined in the call.
- **Implementation (Clarity of the work plan)** considers the adequacy between objectives and allocated resources (including equipment), as well as the overall organisation of the work.

The proposal must have 6/10 per criterion to be considered eligible for funding. The weight and the threshold for each criterion are defined as follows:

1. Technical/Research Excellence: weight 40% and threshold 6/10
2. Expected Impact: weight 30% and threshold 6/10,
3. Implementation (Clarity of the management plan): weight 30% and threshold 6/10.

## 4.2. Consensus Report (CR)

In Instruments #1 and #2, once the evaluations are completed, the expert evaluators form a remote consensus group to come to a common view, discuss their individual evaluation reports and agree on comments and final scores. The evaluators explicitly agree on both the text and the final mark for each criterion.

The consensus group discussion results in a Consensus Report (CR) drafted by the Rapporteur including justification of scores and dissenting views, if any. It is of the utmost importance that, once the consensus is reached, each evaluator explicitly agrees with the report and the marks. This CR is the base document for the decisions to be made in the panel meeting. Moreover, the CR will be sent to the applicants whose proposals are below threshold score.

## 5. Ethical issues

Research activities in Horizon 2020, and particularly in RobMoSys, should respect fundamental ethical principles, particularly those outlined in “The European Code of Conduct for Research Integrity”. Therefore, questions about ethical issues are to be addressed in the proposal text, if ethical issues apply to an ITP, before and during the runtime of the research activities within RobMoSys, including the approval by the relevant committees.

## 6. Redress procedure

Upon receiving the evaluation results the applicants have two weeks to start the redress procedure by sending complaint via the e-mail: [opencalls@robmosys.eu](mailto:opencalls@robmosys.eu).