



D5.1 External evaluation guidelines & contracts

Grant Agreement no.	825196
Project Title	Digital Technologies, Advanced Robotics and increased Cyber-security for Agile Production in Future European Manufacturing Ecosystems
Project Abbreviation	TRINITY
Project Funding Scheme	H2020 Innovation Action (IA)
Call Identifier	DT-ICT-02-2018: Robotics - Digital Innovation Hubs (DIH)
Project Website	http://www.trinityrobotics.eu/
Project Start Date	1.1.2019
Project Duration	48 months
Deliverable Information	D5.1 External evaluation guidelines & contracts
WP Leader	TAU (WP1)
Authors	M.Lanz
Contributors	All partners
Reviewers	I. Stefanik
Contractual Deadline	M14 – 29 February 2020

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VERSION	DATE	DESCRIPTION AND COMMENTS	AUTHOR
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DISSEMINATION LEVEL

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1 Introduction

The main objective of this document

The process for evaluation is divided in two phases, corresponding to: external remote evaluation based on applications and an interview with the most promising proposals and the eligibility control by TAU. Guidelines for these will be provided.

Documents included into this email:

- An Evaluation Summary Report (ESR) for each applicant;
- A ranking list/reserve list;
- Letters informing of rejection decision, informing that they are on the reserve list or invitation for the following steps (sub-grantee preparation).
- Guidelines for evaluators
- Contract for expert services



Attachment 1: An Evaluation Summary Report (ESR) for each applicant

Proposal no.:	<add here>	
Acronym:	<add here>	
Full Name:	<add here>	
Lead Participant:	<add here>	
Resource	Score/Threshold	Justification of the score
Impact in terms of Industrial relevance and exploitation plans		
Soundness of Concept		
Consortium: Partners of the consortium		
Resources: Deployment of resources		
Summary of the score		
Final weighted Score		Decision: <Proposal will be funded/ Proposal will not be funded.>



Attachment 2: Individual ESR for reviewers

Proposal no.:		<add here>	
Acronym:		<add here>	
Full Name:		<add here>	
Lead Participant:		<add here>	
Does the proposed solution address the corresponding challenge?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	If answer is NO , please explain below why and do not grade the following criteria.
	Score	Justification of the score	
Impact in terms of Industrial relevance and exploitation plans The extent to which the outputs of the project would contribute to each of the expected impacts mentioned in the work programme under the relevant topic; Any substantial impacts not mentioned in the work programme, that would enhance innovation capacity, create new market opportunities, strengthen competitiveness and growth of companies, address issues related to climate change or the environment, or bring other important benefits for society; Quality of the proposed measures to: Exploit and disseminate the project results (including management of IPR), and to manage research data where relevant. Communicate the project activities to different target audiences			
Soundness of Concept Clarity and pertinence of the objectives; Soundness of the concept, and credibility of the proposed methodology; Extent that the proposed work is beyond the state of the art, and demonstrates innovation potential (e.g. ground-breaking objectives, novel concepts and approaches, new products, services or business and organisational models) Appropriate consideration of interdisciplinary approaches and, where relevant, use of stakeholder knowledge and gender dimension in research and innovation content. Quality and effectiveness of the work plan, including extent to which the resources assigned to work packages are in line with their objectives and deliverables;			
Consortium: Partners of the consortium Complementarity of the participants and extent to which the consortium as whole brings together the necessary expertise;			
Resources: Deployment of resources			



<p>Appropriateness of the management structures and procedures, including risk and innovation management;</p> <p>Appropriateness of the allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfil that role.</p>		
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Attachment 4: Letters informing of acceptance and rejection decision



TRINITY Open Call 1 – Letter of Acceptance

Project Name: <Add here>
Project Acronym: <Add here>
Lead Participant: <Add here>
Project contact person: <Add here>
Date: <Add here>

We are pleased to inform you that your proposal has been accepted for funding. The first steps will be to confirm by email (opencall@trinityrobotics.eu) that you are ready to start the project. Please use following subject in your email: “ ‘Project Acronym’ ready to start in TRINITY’ ” The confirmation needs to be sent within 2 weeks (14 days) after receiving this letter. On the attachment you will find the Annex 4 – 3rd party agreement. With the confirmation you must also check, fill out, sign and submit the following documents, if these have not been submitted already:

- Annex 4 – 3rd party agreement
- Annex 5: Consortium Honour Declaration
- Annex 6: Declaration on information on the SME qualification
- Annex 7 - Bank account information form

Welcome to the TRINITY community!

Best regards,
Professor Minna Lanz, coordinator of TRINITY
Tampere University

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TRINITY Open Call 1 – Letter of Rejection

Project Name: <Add here>
Project Acronym: <Add here>
Lead Participant: <Add here>
Project contact person: <Add here>
Date: <Add here>

We regret to inform that your proposal was not in the list of accepted proposals in first TRINITY open call. We hope that you will consider improving the proposal based on the reviewers' comments and re-submit the application in the Open Call 2. Please follow <https://trinityrobotics.eu/open-calls/> for more information about the open call 2, opening 2021.

Best regards,
Professor Minna Lanz, coordinator of TRINITY
Tampere University

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Attachment 5: Redress procedure



TRINITY Open Call 1 – Redress Procedure

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Request for redress

Applicants have received an official letter, together with the Evaluation Summary Report (ESR), showing the result of the admissibility/eligibility check or the outcome of the evaluation by independent expert evaluators of their proposal.

Within thirty (30) days from the receipt of the official letter, applicants may submit a request for redress if they consider that there has been a shortcoming in the way their proposal was evaluated that may have affected the final decision on whether to fund it or not, or if they believe the result of the admissibility/eligibility check is incorrect.

Requests for redress can only be based on procedural grounds¹, with clear evidence of the reasons for complaint.

Requests have to comply with the following requirements:

1. The request for redress can only be related to the evaluation process, admissibility or eligibility checks;
2. It clearly states the proposal name and acronym, and a clear description of the grounds for complaint;
3. It must be received within one month from the receipt of the official letter;
4. It must be sent by the coordinator
5. The request is sent to opencall@trinityrobotics.eu with a subject of the email being: **"TRINITY request for redress"**.

Only one request for redress per application will be considered.

Requests for redress will not be considered if they do not comply with the above requirements. The evaluation score following any re-evaluation will be regarded as definitive. It may be lower than the original score.

Review of the redress by open call committee

All requests for redress will be treated confidentially. An internal Open Call Committee will examine requests for redress and recommend an appropriate course of action to the TRINITY Consortium.

- The Open Call Committee's role is to ensure a coherent interpretation of such requests, and equal treatment of applicants.
- The Open Call Committee will not evaluate the application. If the Committee considers that there has been a shortcoming during the eligibility check or evaluation processes that is likely to have jeopardized the outcome of the evaluation of the proposal, it may suggest a further evaluation of the proposal by independent expert evaluators.
- A re-evaluation will be carried out only if there is evidence of a shortcoming that affects the final decision on whether to fund the proposal or not. This means, for example, that a problem relating to one evaluation criterion will not lead to a re-evaluation if a proposal has failed anyway on the other criteria.

Guidelines for Redress Procedure

¹ Procedural Grounds refers to only a deficiency in the way the eligibility check and/or evaluation processes were conducted. The assessment performed by independent expert evaluators cannot be appealed



The Open Call Committee will not judge the scientific or technical assessment of the independent expert evaluators, nor will it take into consideration any new information or explanations not included in the original proposal.

Communication of conclusions

Possible conclusions of the Open Call Committee:

1. Inadequate evidence to support the complaint;
2. Evidence to support the complaint but no further action required; or
3. Evidence to support the complaint, with a follow-up recommended such as the re-evaluation of the application.

A response will be sent by the TRINITY Consortium within one month of the deadline for receiving the request for redress. If a definitive response cannot be given at that stage, this reply will indicate when a definitive response will be provided.





Guidelines for Evaluators

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Project Start Date	1.1.2019
Project Duration	48 months
Document Information	Guidelines for Evaluators
Call period	20.11.2019-13.3.2020 (17:00 CET) (extended from original deadline of 28 th Feb)
Call system	F6S platform https://www.f6s.com/trinitydih
Call title	Open Call 1
Evaluation period	15.3.-15.4.2020

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1 Introduction

The call and the selection of the third parties to be funded will follow the same principles which govern the Commission calls as described in the “Good practices and templates for organizing open calls under the H2020 Financial Support to Third Parties scheme”, namely:

- **Excellence.** The proposal(s) selected for funding must demonstrate a high quality in the context of the topics and criteria set out in the call;
- **Transparency.** Funding decisions must be based on clearly described rules and procedures, and all applicants should receive adequate feedback on the outcome of the evaluation of their proposals;
- **Fairness and impartiality.** All proposals submitted to a call are treated equally. They are evaluated impartially on their merits, irrespective of their origin or the identity of the applicants;
- **Confidentiality.** All proposals and related data, knowledge and documents are treated in confidence;
- **Efficiency and speed.** Evaluation of proposals and award of the financial support should be as rapid as possible, commensurate with maintaining the quality of the evaluation, and respecting the legal framework.

It is essential that the ethical implications comply with applicable international, EU and national law. Proposers should demonstrate that they are mindful of the fact that the citizens of Europe trust the public R&D endeavour to produce tangible results benefiting society by advancing health, economic growth, and quality of life across all communities.

Research activities in Horizon2020, and particularly in TRINITY must respect fundamental ethical principles, particularly those outlined in Guidance - How to complete your ethics self-assessment (URL: https://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/ethics/h2020_hi_ethics-self-assess_en.pdf)

1.1 Overall evaluation steps

The steps for evaluation are as following:

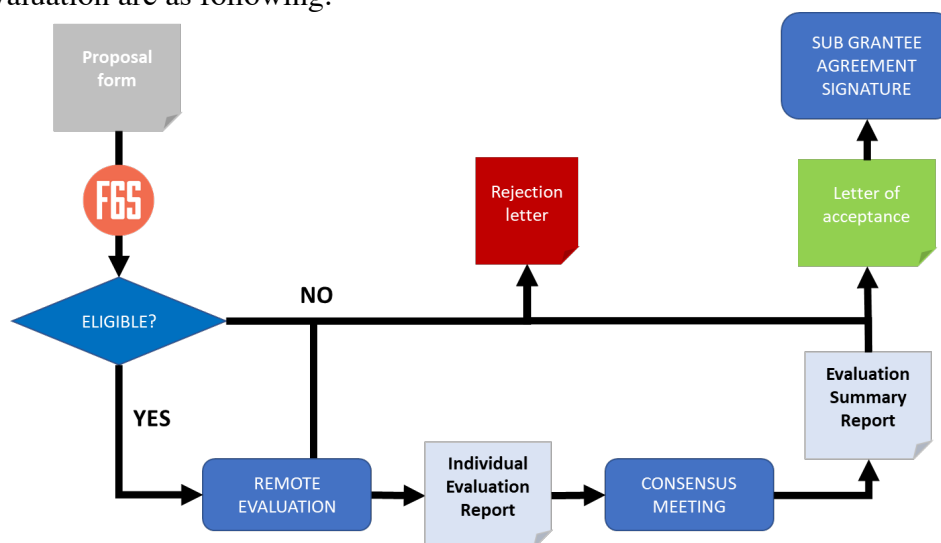


Figure 1 Workflow of TRINITY open call evaluation



1.2 Open Call information

Before proposals are sent for evaluation, they are checked for admissibility and eligibility. A proposal is admissible if it meets the following conditions:

- It must be submitted via online submission system before the call deadline,
- It must be accompanied by the requested administrative data, proposal description and any supporting documents specified in the call,
- It must be written in English,
- It must not exceed the maximum number of pages indicated in the proposal template,
- It must be readable, accessible and printable.

All applicants have to meet conditions set out in H2020 conditions to be eligible for funding (URL: https://ec.europa.eu/research/participants/docs/h2020-funding-guide/grants/from-evaluation-to-grant-signature/eligibility-check_en.htm) in order to be considered eligible for the TRINITY project. Because of expected step change contributions, the Call welcomes, in particular, consortia of partners offering complementary, multi-disciplinary competences. A consortium will be led by the SME or slightly bigger company, and other partners depending on the needs (e.g. research institutions, system integrators, hardware providers, etc.).

In TRINITY, financial support may be provided to any legal entity possessing a validated Participant Identification Code (PIC). At the moment of submission though, the entity can apply with the provisional PIC. Once these conditions are met, financial support can be given to natural persons, public or private bodies, research organizations, non-profit organizations, small and medium enterprises, international organizations of EU interest, established in an EU Member State or in an Associated Country (URL: <https://ec.europa.eu/research/horizon2020/index.cfm?pg=country-profiles#associated>).

All applicants of TRINITY open calls are asked to register to TRINITY applicant database at (URL: <https://trinityrobotics.eu/register/>).

Only admissible and eligible proposals are considered for evaluation.

1.3 Evaluation Process

The call management process/ flow will be managed within F6S platform. The evaluation process defined by TRINITY was designed based on lessons learned from consortium partners previous experiences in funding to third parties. The process will take about 6-8 weeks and considers the following funnel approach:

1. **Eligibility control** - TRINITY team members will verify that the submitted applications comply with the following prerequisites:
 - All consortium entities are eligible for EC funding under the rules of H2020 [Y/N]
 - The consortium has maximum of 3 partners [Y/N]
 - Use case demonstration is under the technological domain of robotics and ICT solutions for supporting agile production [Y/N]



- Use case demonstration demonstrate Europe dimension (“through cross border experimentation or expanding the impact of local experiments to European scale”) [Y/N]

Consortiums that do not comply with the eligible criteria will not be evaluated or funded.

2. **External remote evaluation** - remotely and within F6S platform and via remote consensus meeting, 3 evaluators will score and comment each proposal:
3. **Consensus meeting** - In sequence, the three experts will take part in consensus meetings by online meeting system where the final score for each proposal will be established and to agree to a set of comments and marks for each of the criteria in the proposal. A TRINITY consortium member will act as a recorder and moderate the three experts in developing an agreed set of comments and scores.

After going through the 3 presented phases with external evaluators, a panel meeting will be held (organized by the TRINITY team) to unify the proposal grades and to rank the proposals.

In case there are proposals with equal scores the following criteria will be applied in strict order:

- The proposals will be ranked based on their higher impact potential (Criterion 1),
- In case there are proposals in the same position, priority will be given to proposals that have ranked higher in Criterion 2 (“Concept”).
- In case there are still proposals in the same position, priority will be given to proposals which have higher score in Criterion 3 (“Consortium”).
- In case there are still proposals in the same position, priority will be given to proposals which have higher score in Criterion 4 (“Resources”).
- In case there are still proposals in the same position, priority will be given to proposals which have higher total budget for SMEs

At the end all received applications will be informed about their scores and evaluator comments. TRINITY will publish the projects selected for funding. The financial support will be negotiated with each experiment after the evaluation and selection process and before the contract signature. The basis for negotiation is the amount requested by each experiment in the application form. During negotiations, the consistency of proposed activity plan and resources will be reviewed in order to assure that estimated costs are reasonable and comply with the principle of sound financial management in particular regarding economy and efficiency.

Activities that are already funded by other grants cannot be funded by TRINITY.

The external evaluators will receive the evaluation guidelines, templates, and will be duly informed about the timing for an agile process and conflict of interest issues. Also, all evaluators (and TRINITY consensus meeting moderator) will sign a declaration of impartiality and no-conflicts of interest.

1.4 Eligibility for funding

The financial support will be negotiated with each use case demonstration after the evaluation and selection process and before the contract signature. The basis for negotiation is the amount requested by each use case demonstration in the application form. During negotiations, the consistency of proposed activity plan



and resources will be reviewed in order to assure that estimated costs are reasonable and comply with the principle of sound financial management in particular regarding economy and efficiency. Activities that are already funded by other grants cannot be funded by TRINITY.

The maximum funding rate is 70%, but it is also true that it will depend on private investment defined by each use case demonstration. With each deliverable, the use case demonstration must also present information about the resources planned and effective spent with the project. This will support the reasoning for TRINITY proceed with payments as contracted.

The call text explicit defines a range that can be granted: “[...] the maximum amount of FSTP is EUR 300.000 per third party for the entire action duration)”. Consortia applying to TRINITY are entitled to present proposals up to the total budget of each call. However, the consortium members have to comply with the eligibility criteria defined for the budget:

- Each third party cannot exceed €300.000
- Non-industry partners (non SMEs/ midcaps) can not exceed 40% of total budget

“SMEs or slightly bigger” is defined by extending the current European Commission definition of SME to increase the Employee Threshold by 100% to 500 and the Turnover by 100% to €100M.”

The target is to close the complete evaluation of the proposals within 2 months after the submission. The remote evaluation will start with a webinar organized by the TRINITY, where we will explain the call objectives and methodology. After getting access to the proposals, the expert should check if s/he is able to evaluate the proposal, if there is any conflict of interest unknown to the TRINITY consortium and then accept or reject the assigned proposals within 2 working days.

Each selected project will receive the funding on a lump sum scheme and according to the terms of the contract signed between TAU and selected project. There will be a payments’ calendar tied to programme stages:

- Planning (M1): 30% of the budget
- Implementation (M3-6): 40% of the budget
- Dissemination (M6-M12): 30% of the budget

The experience of the partners in the consortium in their respective accelerators proves that this approach is by far more effective and appreciated by the SMEs/midcaps and that the maximum amount of grant defined (€300.000) is suitable with the activities and ambition of TRINITY programme.



2 Remote evaluation

In the first step, the experts will review each proposal according to the technical/research excellence, expected impact, realistic estimations of effort and benefit, timeline, transfer potential to other domains and cost. Each proposal will be evaluated by three acknowledged evaluators with different expertise in the technology field or in the application area(s) and in business development. Only external experts (independent from the TRINITY consortium and also without a conflict of interest with any proposer), will be involved in the evaluation process and have confirmed their independence and neutrality.

The evaluator will have 4-6 proposals. Each proposal will be evaluated by 3 evaluators. One of the 3 will be appointed as Rapporteur.

2.1 Evaluation guidelines for content

The main aim of TRINITY is fund Proof-of-Concepts. In order to justify the impact, the applications should present a vision, roadmap to success and the first step. TRINITY can support in the first step e.g. Proof-of-concept. The topics can range from robotics to ICT/IoT and to cyber-security with the aim to improve the agility of the production. The applications can contribute directly to the improvement of agility in the factory floor or they can be technical solutions that will in the end contribute to the improvement of production agility in the customer site.

The proposal are not high-level research proposals, instead we wish to fund the proposals that clearly state their current status and have plan to improve their own competences and product assortment.

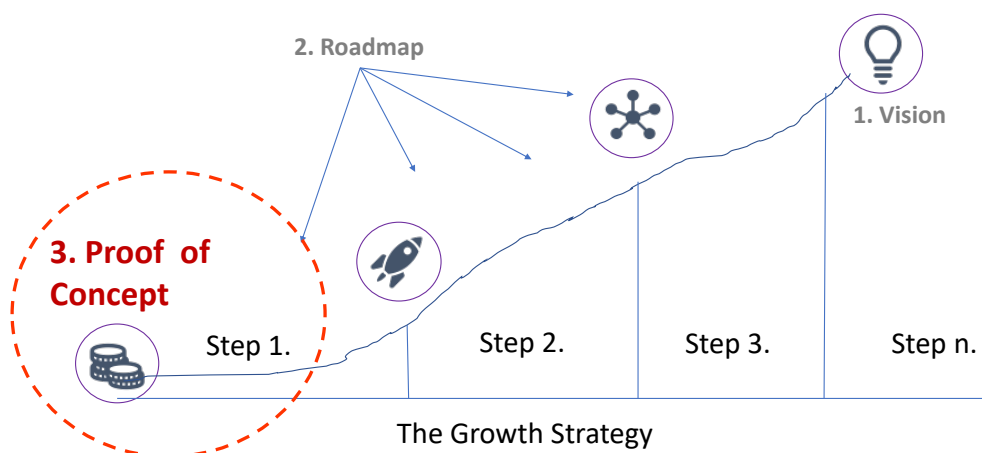


Figure 2 What TRINITY actually wants to fund

2.2 Scaling the proposal

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. For each criterion, the evaluators give a provisional score between 0 and 10 points, which are detailed in Table 1 Evaluation scale and formulate a set of positive or negative arguments. Each argument should be described with minimum two or three sentences of text.



TRINITY will adopt the same scoring scale (0-10 excellent). The four criteria have been assigned specific weights.

Table 1 Evaluation scale

Fail	Poor		Fair		Good		Very good		Excellent	
0	1	2	3	4	5	6	7	8	9	10

0 Fail: The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information;

1-2 Poor: The criterion is addressed in an inadequate manner, or there are serious inherent weaknesses;

3-4 Fair: While the proposal broadly addresses the criterion, there are significant weaknesses;

5-6 Good: The proposal addresses the criterion well, although improvements would be necessary;

7-8 Very good: The proposal addresses the criterion very well, although certain improvements are still possible;

9-10 Excellent: The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor

2.3 Writing the individual ESR

Although an ideal length for each section of the report cannot be defined, reports that are too brief or too broad should be avoided. In particular, negative evaluations should always be detailed with example. Please keep the instructions above in mind in order to avoid confusing the different criteria (e.g., comments related to technical quality reported in sections 2 and/or 3) or repetitions (i.e., the same comment in different sections). This means, that we cannot punish the proposal twice from the same shortcoming/weakness.

Good Examples:

- Excellent: The approach and methodology are clearly described and justified in application. The goals are ambitious, and impact of the solution is clearly justified. The KPIs are clearly defined.
- Good: The approach and methodology are described; however, it is not entirely clear how these will be reflected in the task-level.
- Poor: The concept is not clearly described. The approach lacks details in terms of XX and YY. The resource description lacks details, and costs are not well justified in the proposal.

To avoid examples:

- When the views of the evaluators are summarized in the ESR, internal contradictions must be avoided (which may be due to partially contradictory statements by evaluators, e.g., when a sentence like “The goals of the proposal XXXX are unclear/vague” is followed by a bold statement on the goals, e.g., “The project goals will represent a significant advance with respect to the state of the art in the field”).
- The experts should not refer to individual evaluations (i.e., do not use sentences like “Evaluator# thinks that”).
- Comments expressing personal preferences or views for equipment items chosen by proposers are not appropriate (e.g., avoid sentences like “XXX data protection strategy should be used instead of



YYYY”). Should a suggestion for alternative equipment be needed, the general features of the alternative equipment should be reflected in the report.

- Avoid definite terms such as lacks all details, no KPIs, etc

The Table 2 shows the evaluation criteria with Thresholds.

Table 2 Evaluation criteria

Evaluation criteria	Sub-criteria	Scoring (0-10)
Impact Industrial relevance and exploitation plans	Overall impact of the proposed demonstration if successful; Industrial relevance of the proposed demonstration if successful; Quality of the exploitation plans and market potential; Relevance of the demonstration to the objectives of the call.	Threshold 6/10; Weight 2
Concept Soundness of concept	Feasibility of the proposed demonstration and technological contribution; Level of innovation and technological challenges addressed; Quality of the work plan.	Threshold 6/10; Weight 1
Consortium Partners of the consortium	Quality of the consortium and cross-sector check; Clarity of partner roles and completeness of the consortium; Technical capacity and excellence of the proposer and its capability to achieve the deployment of TRL 7-8 services; Quality of the individual participants.	Threshold 6/10; Weight 1
Resources Deployment of resources	Allocation of appropriate resources to the proposed use case demonstration; Justification of the proposed resources.	Threshold 6/10; Weight 1

2.4 Individual Evaluation

Individual evaluation will follow the template shown in Table 3. Consensus meeting with other evaluators will result in the ESR shown in Table 4.

Table 3 Individual evaluation template

Proposal no.:		<add here>	
Acronym:		<add here>	
Full Name:		<add here>	
Lead Participant:		<add here>	
Does the proposed solution address the corresponding challenge?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	If answer is NO , please explain below why and do not grade the following criteria.
	Score	Justification of the score	
Impact in terms of Industrial relevance and exploitation plans			



<p>The extent to which the outputs of the project would contribute to each of the expected impacts mentioned in the work programme under the relevant topic; Any substantial impacts not mentioned in the work programme, that would enhance innovation capacity, create new market opportunities, strengthen competitiveness and growth of companies, address issues related to climate change or the environment, or bring other important benefits for society;</p> <p>Quality of the proposed measures to: Exploit and disseminate the project results (including management of IPR), and to manage research data where relevant.</p> <p>Communicate the project activities to different target audiences</p>		
<p>Soundness of Concept</p> <p>Clarity and pertinence of the objectives; Soundness of the concept, and credibility of the proposed methodology; Extent that the proposed work is beyond the state of the art, and demonstrates innovation potential (e.g. ground-breaking objectives, novel concepts and approaches, new products, services or business and organisational models)</p> <p>Appropriate consideration of interdisciplinary approaches and, where relevant, use of stakeholder knowledge and gender dimension in research and innovation content.</p> <p>Quality and effectiveness of the work plan, including extent to which the resources assigned to work packages are in line with their objectives and deliverables;</p>		
<p>Consortium: Partners of the consortium</p> <p>Complementarity of the participants and extent to which the consortium as whole brings together the necessary expertise;</p>		
<p>Resources: Deployment of resources</p> <p>Appropriateness of the management structures and procedures, including risk and innovation management;</p> <p>Appropriateness of the allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfil that role.</p>		

Summary of the scores to be added to the final ESR to be sent to the applicants

Table 4 ESR template to be sent to applicants

Proposal no.:	<add here>
Acronym:	<add here>
Full Name:	<add here>
Lead Participant:	<add here>



Resource	Score/Threshold	Justification of the score
Impact in terms of Industrial relevance and exploitation plans		
Soundness of Concept		
Consortium: Partners of the consortium		
Resources: Deployment of resources		
Summary of the score		
Final weighted Score		Decision: <Proposal will be funded/ Proposal will not be funded.>

2.5 Consensus

Once the evaluation is 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 scores. Rapporteur gives a short presentation of the proposal. Discussion of the criteria will follow. The moderator will facilitate the discussion on the remote meeting where the provisional marks are turned into a final score.

The final marking is based on the comments the evaluators made on the remote meeting and not on the arithmetical mean of the scores of the individual reports. The evaluators explicitly agree on both the text and the final mark for each criterion. Each proposal will have maximum of 45 minutes for processing time, and tentatively 6 proposals are planned to be processed in 4 hours.

The consensus group discussion results in an Evaluation Summary Report (ERS) 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 ESR is the base document for the decisions to be made in the panel meeting. Moreover, the ESR will be sent to the applicants whose proposals are below threshold score.

A fourth evaluator is involved if evaluators cannot agree on a common score. The scores of all evaluators will be combined by the end of the evaluation.

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, during a consensus meeting, the most promising candidates will be identified based on the individual evaluations. The chair of the panel will inform all participants about the results of evaluation and selection. A public summary report of the Open Call 1 will be published on the project website within 30 days from the end of the selection procedure.



3 Contracting Process

3.1 Requirements

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. Once the proposals have been assigned to the expert evaluators, they will receive their contract documents including:

1. The declaration of confidentiality and non-existence of conflict of interest (if any conflict arises in the course of duties, the experts must inform the consortium);
2. The statement to ensure that the expert will be acting as an independent/ self-contracted individual;
3. The list of the proposals assigned as evaluator and/or rapporteur; and upon submission of (1) and (2) signed, they will receive their contract.

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

(URL: http://ec.europa.eu/research/participants/data/ref/h2020/experts_manual/h2020-experts-mono-contract_en.pdf).

3.2 Conflicts of Interest

It should always be anticipated in the Open Call that entities that are beneficiaries to the Grant Agreement (GA) 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 with conflict of interest occurs and neither is the impartial and objective implementation of the action compromised. This will have to be demonstrated in the reports that EC/PO receives from the consortium as regards 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.

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 beneficiaries 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 experiments. 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 remote meeting.



Contract for work or services

For the
Digital Technologies, Advanced Robotics and increased Cyber-security for Agile Production in Future European
Manufacturing Ecosystems (TRINITY) GA number 825196
open call proposals' evaluation

Between:

Tampere University Foundation sr
BIC 2844561-8
Tampere University FI-33014
Tampere University, Finland
as the Coordinator for the Trinity Project (hereinafter "**The Coordinator**")

And

XXX

(hereinafter "**The Contractor**")

Together referred to as the "**Parties**", individually as a "**Party**"

The Parties agree as follows:

1. BACKGROUND AND PURPOSE

The Coordinator is involved in a Horizon 2020 Innovation Action project Digital Technologies, Advanced Robotics and increased Cyber-security for Agile Production in Future European Manufacturing Ecosystems (TRINITY) GA number 825196, which is funded by the European Union. The Coordinator is responsible for the evaluation and selection of candidates under the 1st call for TRINITY Demonstration Programme. All selected evaluators shall have different expertise in the technology field or in the application area(s) and in business development under TRINITY call topics. All experts are selected as private persons, not as representatives of their employer, their country or any other entity.

2. OBLIGATIONS OF THE CONTRACTOR

Contractor shall perform the following work and/or services (collectively, the "Services")

Evaluator's Services:

Evaluation of the assigned proposals [see the external document "Proposals list" with titles of assigned proposals] Namely:

1. assess the proposal on the basis of the following evaluation criteria set down in the Guidelines for Applicants: (a) Technical / Research Excellence, (b) Expected impact and (c) Implementation (clarity of the work plan);
2. provide comments for each criterion (a) through (c) and score them between 0 (poor) and 10 (excellent);
3. fill out the template or web form as indicated by Coordinator for all the proposals assigned to the expert;
4. active contribution in the consensus-finding phase, together with the other evaluators and the rapporteur of the respective proposal and in drafting the Evaluation Summary Report (ESR) as described in detail in the TRINITY Guidelines for Evaluators attached as Annex 3

3. TERM

The term of this contract is: Beginning on 15.03.2020 and ending on 01.08.2020 or when the decision has been made concerning the winning proposal of the call, which ever is earlier.

4. THE AUTONOMY OF THE CONTRACTOR

The assignment covered by this contract is of a project nature and does not constitute an employment or subordinate relationship. The obligations of the Contractor shall be carried out personally by the Contractor in full autonomy. The Contractor can not assign any part of the Services to a third party.

5. REMUNERATION PAID TO THE CONTRACTOR

The Contractor shall be entitled to remuneration of [REDACTED] € (consisting of individual work and consensus meeting based on the number of proposals) before taxes, social security and welfare contributions to be borne by the Contractor according to the law. The Payment shall be made at the end of the assignment after the acceptance of the services by the Coordinator. The Coordinator will provide the recipient with a withholding tax certificate showing the gross salary paid and any withholding tax withheld.

6. CONFIDENTIALITY

Without Coordinator's express approval, Contractor shall not use and/or disclose any results and/or confidential information that Contractor becomes aware of in the performance of the Services, the Proposal/Proposals itself/themselves and/or any other results and/or confidential information from third parties. Confidential information is any and all information which are either marked or identified as confidential or should reasonably be considered as confidential due to their nature. The obligation of confidentiality shall continue to apply after completion of the Services unless otherwise agreed upon.

7. ENTRY INTO FORCE

This contract shall take effect from the date of the signature by the parties.

8. MISCELLANEOUS

This Undertaking is acknowledged to have been made and shall be construed, governed, interpreted and applied in accordance with the laws of Finland without giving effect to its conflict of laws provisions.

Any controversy, claim or dispute arising out of or relating to this Undertaking, shall be settled in Helsinki District Court, except for such matters for intellectual property and copyright, which has been enacted to be within the jurisdiction of the Market Court.

9. CONTRACTOR'S WARRANT AND THE SIGNATURES

I do not, to the best of my knowledge, have any interest in any of the proposals submitted in this call, I have not been involved in their preparation and I do not benefit either directly or indirectly from the eventual selection. Should I discover a conflict of interest during the evaluation, I undertake to declare this and to withdraw from the evaluation. With my signature I commit to this contract.

Contractor

Time and place _____

Signature _____

Name _____

Coordinator

Time and place _____

Signature _____

Name Martti Kauranen

Title Dean

Attachment 1. Employee information form.