

# PREPARATORY ACTION ON DEFENCE RESEARCH

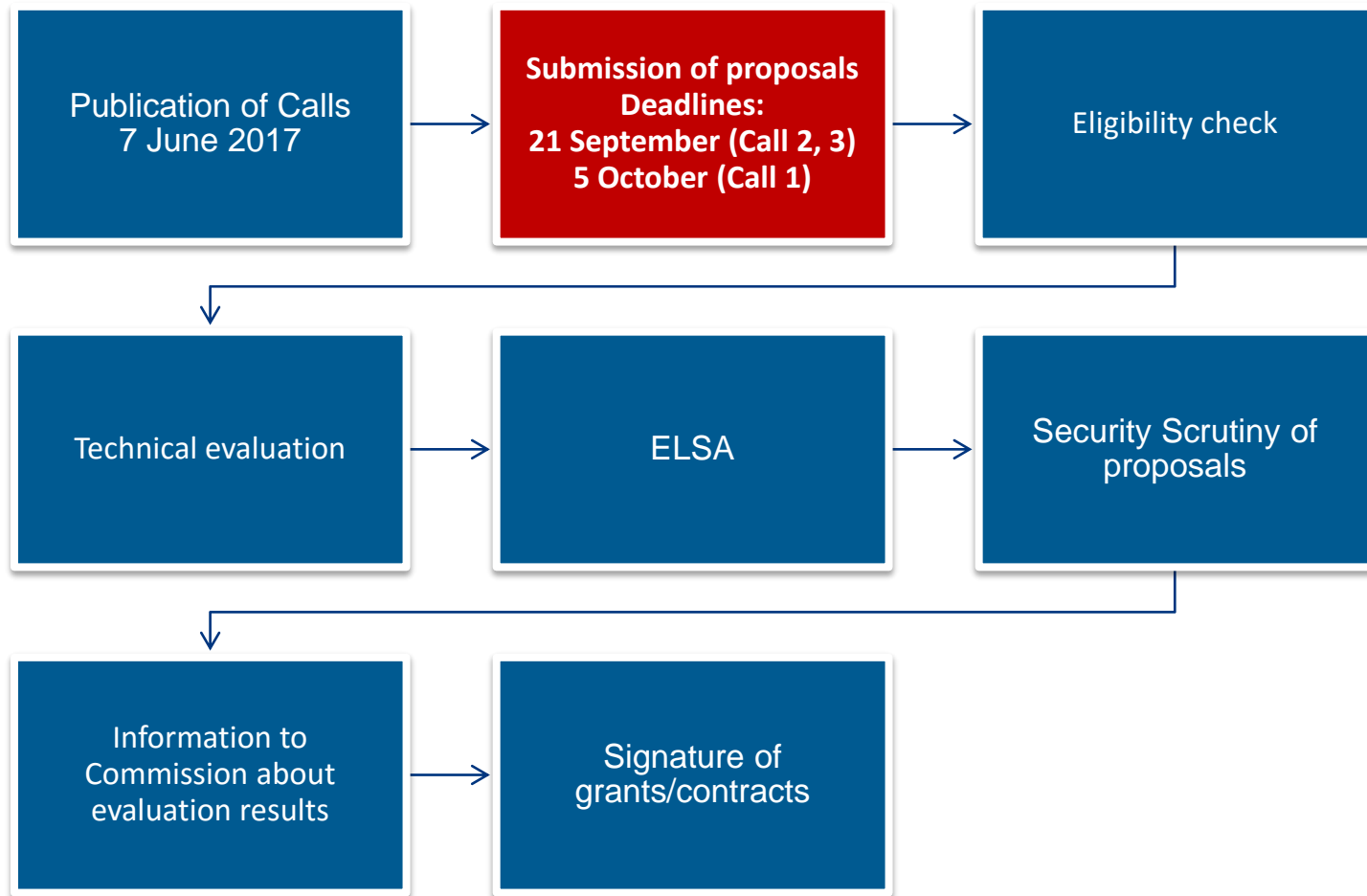


## Conditions for participation and evaluation

INFODAY AND BROKERAGE EVENT  
27 JUNE 2017

Does not represent an official legal opinion of the European Defence Agency

# From proposal to grant



# Call for proposals

- **PADR-US-01-2017:** Technological demonstrator for enhanced situational awareness in a naval environment. **Deadline 5 Oct. 2017**
- **PADR-FPSS-01-2017:** Force protection and advanced soldier systems beyond current programmes. **Deadline 21 Sept. 2017**
- **PADR-STF-01-2017:** The European Defence Research Runway. **Deadline 21 Sept. 2017**

# Call for proposals – General Annexes

- A. List of countries and entities eligible for participation and funding
- B. Standard admissibility conditions and related requirements
- C. Standard eligibility conditions
- D. Types of action: specific provisions and funding rates
- E. Technology readiness levels (TRL)
- F. Evaluation rules
- G. Review of ethical, legal and societal aspects ('ethics review')
- H. Actions involving classified information
- I. Exploitation and dissemination of results

# The General Annexes

## Annex A: List of countries and entities eligible for participation and funding

### Eligible countries:

- Member States of the EU, including their overseas departments
- OCT linked to MS
- Norway\*

Also eligible: JRC + IOs

Note: security conditions apply

\* subject to amendment of Protocol 31 to the EEA Agreement

# The General Annexes

## Annex B: Standard admissibility conditions and related requirements

- Electronic submission system
- Proposal must be readable, accessible and printable
- Incomplete proposals are inadmissible
- Operational capacity
- Plan for exploitation and dissemination

Addition requirements - page limits:

70 for RA and 50 for CSA

# The General Annexes:

## Annex C: Standard eligibility conditions

- Proposal must correspond to topic description
- RA: min 3 legal entities – each from diff MS or NO
- CSA: min 1 legal entity from MS or NO
- Infrastructure, facilities,.... etc should not be located on territory of non-MS or NO
- Possible: additional conditions in the Call

## The General Annexes:

### Annex D: Types of actions: specific provisions and funding rates

- Research Action  
100% of the eligible costs
- Coordination and Support Action  
100% of the eligible costs
- Indirect costs: 25% of eligible direct costs,  
excluding eligible direct costs for subcontracting.



# Form of eligible costs

- Direct Personnel Costs: staff costs related to the personnel working for the beneficiary and assigned to the action
- Cost of subcontracting
- Cost of Third parties
- Other direct costs: travel costs and related subsistence allowances, other good or services
- Indirect costs: 25%

Ineligible costs: debt and debt service charges, interest owed, currency exchange losses, etc...

# The General Annexes:

## Annex E: TRL levels

Where a topic description refers to a TRL, the following definitions apply, unless otherwise specified:

- TRL 1 – basic principles observed
- TRL 2 – technology concept formulated
- TRL 3 – experimental proof of concept
- TRL 4 – technology validated in lab
- TRL 5 – technology validated in relevant environment
- TRL 6 – technology demonstrated in relevant environment
- TRL 7 – system prototype demonstration in operational environment
- TRL 8 – system complete and qualified
- TRL 9 – actual system proven in operational environment (competitive manufacturing in the case of key enabling technologies; or in space)

# The General Annexes: Annex F: Evaluation (1)

## Evaluation according to Art 133 of EU Financial Regulation

- Selection criteria
- Award criteria

# The General Annexes: Annex F: Evaluation (2)

## Award criteria

- Excellence
- Impact
- Quality & Efficiency of the implementation

# The General Annexes: Annex F: Evaluation (3)

## Scoring and weighing

- Each criteria scored out of 5
- Threshold for individual criteria: 3
- Overall Threshold: 10

# The General Annexes: Annex F: Evaluation (4)

## Priority order for ex aequo proposals:

- ✓ Topics not covered
- ✓ Criteria Excellence
- ✓ Criteria Impact (this is reverse when Call gives more weight to impact)
- ✓ Size of budget to SME/ gender balance
- ✓ Further prioritization based on synergies between topics and general objectives of the PA

# The General Annexes:

## Annex F: Evaluation procedure (1)

- One-step submission
- One evaluation
- Evaluation committee by EDA,  
assisted by independent experts

# The General Annexes:

## Annex F: Evaluation procedure (2)

### Experts:

- Chosen based on skills, experience, knowledge
- Security clearance
- Validation by MS
- Balanced composition of experts
- Conflict of interest

### Next steps for evaluation committee and EDA:

- Ranked list
- Evaluation Summary Report (ESR) to proposal coordinator



# The General Annexes:

## Annex G: Ethics or ELSA review

- Review of ethical, legal and societal aspects
- Respect of legislation, compliance with international law, societal impact of the proposed action
- Review by a group of experts on military ethical and legal issues

# The General Annexes:

## Annex H: classified information

- Security Scrutiny of proposals
- Security Aspects Letter & Security Classification Guide
- Personnel Security Clearance and Facility Security Clearance
- Security Scrutiny of results
- Information must be treated according to classification level until reassessment

## The General Annexes:

### Annex I: Exploitation and dissemination of results (1)

- Ownership: results are owned by the beneficiary generating them
- Joint ownership
- Protection of results
- Best efforts to exploit results
- Transfer and licensing of results
- Transfer of ownership or granting a licence to third parties established in a third country

# The General Annexes:

## Annex I: Exploitation and dissemination of results (2)

- Background
- Access rights principles for beneficiaries
- Access rights for implementation by beneficiaries
- Access rights for exploitation by beneficiaries
- Access rights for the Union, the Member States and Norway
- Special Report

# Additional documents

The Guide for Applicants

The Model Grant Agreement

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# Q&A