

Q&A – Strategic Technology Foresight - PADR-STF-2017 and the General Annexes

Q1. What is the indicative duration of the CSA?

A1. Applicants make a proposal of the duration of the project in the project proposal. The proposal should take into account that this topic is complementary with topic "PADR-STF-02-2018: The European Defence Research Runway – part II", which is planned for next year (subject to the adoption of the 2018 financing decision and to the approval of the budget by the EU budgetary authorities). Grant agreements under this topic will therefore include the options for 'complementary grants', (including, in particular additional access rights to background and results for the purposes of the complementary grant).

Q2. The proposed methodology should take into account similar activity in EDA. How is transfer of results and transfer of ownership regulated for these activities or earlier projects?

A2. Beneficiaries need to identify the background for their action in any manner in a written agreement. The written agreement must set out in detail all existing restrictions on the use or export of this background. The work programme or the grant agreement may lay down specific provisions excluding any background which is subject to export control or restriction by a third country not associated to the Preparatory Action on Defence Research. However, the objective is not to build on existing or past activities carried out in different organizations, but to be aware of their existence and take them into account not to duplicate the activity.

Q3. The Call refers to similar activity in NATO. Does EDA assist with sharing information of this NATO activity, or should consortia collect the information?

A3. There is no arrangement with NATO in this regard.

Q4. Is this CSA expected to give results very quickly or in 3 years' time?

A4. The proposals will have to take into account the expected impact of the CSA. In terms of duration, the action should allow to:

- prepare the long term agenda for defence research in the EU;
- explore themes for a future European Defence Research Programme;

Q5. Should the proposal design a web platform or make use of earlier efforts of web platform design in this area?

A5. Activities that should be considered could include, amongst others, the management and controlled dissemination of results (secure web-based access with public and restricted dissemination).

If any, how the web platform design is proposed will be up to the participants.

Q6. If a winning proposal proposed a smaller budget than the indicative 950.000€, will the remaining budget be used for another Call of the PADR?

A6. The proposal can go below the maximum ceiling of 0.95 M€. The unspent available budget could be transferred, up to certain limits, to other calls of the PADR

Q7. Do proposals that bid with a lower budget than the indicative budget have an advantage when the ranking list is drawn up?

A7. No, the evaluation is only based on selection and award criteria.

Q8. What is the defence-specific element in the Strategic Technology Foresight Call?

A8. In the context of the development of the future EU-funded defence research programme, these analyses should suggest potential themes, draft initial trends and business models, leading to scoping EU-funded defence research based on scenarios illustrating potential future conflicts.

Q9. As far as the call PADR-STF-01-2017 is there an on-line tool for partner search activated?

A9. A new tool is now available on the Participant Portal for finding potential partners for project proposals:

https://ec.europa.eu/research/participants/portal/desktop/en/organisations/partner_search.html

Q10. For the call I PADR-STF-01-2017: is it possible to submit a proposal focusing on a civil application regarding natural disasters and man-made crises (e.g. fire)?

A10. Concerning the field of activity, the proposed action should aim at supporting strategic technology foresight in the defence domain. The action should focus in particular on identifying emerging defence research areas for potential exploration in the next Multi-annual Financial Framework. Please note that among the Standard eligibility conditions (Annex C to the PADR call for proposal) it is clearly stated that "A proposal will only be considered eligible if its content corresponds, wholly or in part, to the topic description for which it is submitted"

General Annexes

General issues:

Q1. Will only one proposal from each Call be funded?

A1. The number of action funded vary depending on the call for proposal:

PADR-US-01-2017: Technological demonstrator for enhanced situational awareness in a naval environment – No more than one action will be funded.

PADR-FPSS-01-2017: Force protection and advanced soldier systems beyond current programmes – More than one action can be funded.

PADR-STF-2017: The European Defence Research Runway - No more than one action will be funded.

Q2. Will EDA or the Commission administer the projects?

A2. In accordance with the Delegation Agreement signed between the European Union, represented by the European Commission and the European Defence Agency on the implementation of a Preparatory Action on Defence Research (PADR), the European Commission entrusted EDA to implement several tasks related to PADR including the monitoring and implementation of the awarded projects.

Q3. What are the expectations of the starting and ending dates of the projects?

A3. According to the Commission's Decision C(2017)2262 of 11/04/2017 on the financing of the "Preparatory Action on Defence Research" and the use of unit costs for the year 2017, the award of the grants is expected for early 2018 and the duration of the projects is expected to be between 12 and 36 months.

Q4. How will the budget of 2017 for the PADR be allocated to the different projects?

A4. The total estimated budget of 23.33 EUR million is assigned as follows: 15.5 EUR million to PADR-US-01-2017; 6.78 EUR million to PADR-FPSS-01-2017; 0.95 EUR million to PADR-STF-01-2017; 0.10 EUR million to contracts for experts.

Q5. Can the costs incurred by end-users' be reimbursed?

A5. If the eligibility criteria are met, every beneficiary, third party and subcontractor which participate in a funded project will have its costs reimbursed by the grant agreement, as the consortium has described and requested it in the proposal and in the related budget.

Q6. What happens if one of the consortium members goes bankrupt or must be replaced for unexpected reasons which could not be foreseen when the Grant Agreement was signed?

A6. The participation of one or more beneficiaries may be terminated by the coordinator, on request of the beneficiary concerned or on behalf of the other beneficiaries. This has to be done through an amendment to a Grant Agreement. An amendment to a Grant Agreement is a legal act modifying the commitments initially accepted by the parties and which may create new rights or impose new obligations on them, or modifying significant parts of the MGA. It allows the parties to modify the MGA during its lifetime. The amendment can focus on i.e. termination/addition of a beneficiary, modification of the budget, modification of duration, etc.

Q7. Is there a criterion on having a large number of Member States as participants?

A7. Each call for proposal foresees only the minimum number of legal entities that have to participate in the proposal as condition of eligibility. The award criteria are then detailed in Annex F of the call for proposal.

Q8. Will the slides be available after the event?

A8. Yes, the slides presented during the Info Day are available at the following link:
<https://www.eda.europa.eu/what-we-do/activities/activities-search/preparatory-action-for-defence-research>

Q9. When the Guide for Applicants and the Model Grant Agreement will be available?

A9. The Guide for Applicants is available on the Participant Portal. The Draft Model Grant Agreement is now available at the following link:

<http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/pppa/topics/padr-us-01-2017.html>

<http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/pppa/topics/padr-fpss-01-2017.html>

<http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/pppa/topics/padr-stf-01-2017.html>

Q10. Could you please provide definitions for both direct costs and indirect costs? Are sub-contractors also subject to the same budgetary stipulations? Specifically, would 100% of sub-contractors' direct costs and 25% of indirect costs be recoverable?

A10. Direct costs are directly linked to the implementation of the action and can be therefore attributed to it directly (i.e. direct personnel costs, direct costs of subcontracting, etc.). Indirect costs are costs that are not directly linked to the action implementation and therefore cannot be attributed directly to it. Indirect costs are eligible if they are declared on the basis of the flat-rate of 25% of the eligible direct costs, from which are excluded the costs of subcontracting. In order to have a detailed information on the direct/indirect and eligible/ineligible costs, please refer to the Grant Agreement.

Q11. Is an on-line tool for partner search activated somewhere?

A11. A new tool is now available on the Participant Portal for finding potential partners for project proposals:

https://ec.europa.eu/research/participants/portal/desktop/en/organisations/partner_search.html

The list of programmes in the Partner Search tool includes the programmes under which organisations have funded projects. PADR has not reached that stage yet therefore it is not in the list. However, the tool can be used by selecting the other filters (e.g. using appropriate keywords) to identify entities that might be interested in the Preparatory Action topics.

Q12. Our company is an SME interested in EDA Grants (Pilot Project and Preparatory Action) and in particular in the 3 calls of the Preparatory Action 2017. We would like to get some more information about procedure call for proposals.

A12. Concerning the Pilot Project activities, please note that the final deadline for submission of proposals expired on 20 May 2016. The calls for proposal for Preparatory Action for Defence Research (PADR 2017) are still open.

Q13. Is it possible that an institution or two different departments of the same institution participate in different consortia for different PADR calls? And how is the situation if different departments participate in different consortiums of the same call?

A13. There are no obstacles for the possible participation of an given legal entity (or two departments of the same institution) in two different proposals to be submitted for different PADR calls. There are no obstacles also for the participation of two different departments of the same institution in different consortia of the same call. However, each participant shall consider the limitations that might arise from potential agreements already in place among the members of the consortia.

Q14. Do I need to be part of an organization or can I apply to the calls for proposals also as a natural person?

A14. It is not possible to submit a proposal as natural person. Only legal entities established in an EU Member States or Norway can apply. See “Calls for proposals, Annex C – Standard eligibility conditions” for more details.

Eligibility for participation and funding:

Q15. What are the consequences for UK companies involved in the projects when the UK leaves the EU?

A15. For British applicants: Please be aware that eligibility criteria must be complied with for the entire duration of the grant. If the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that British applicants continue to be eligible, you will cease to receive EU funding (while continuing, where possible, to participate) or be required to leave the project on the basis of Article 50.3 of the grant agreement.

Q16. Are entities from Israel eligible?

A16. Annex A states that the legal entities eligible to receive funding through PADR grants are those established in the following countries and territories:

- The Member States of the European Union, including their overseas departments;
- The overseas countries and territories linked to the Member States (the complete list is mentioned in annex A);
- Norway (subject to amendment of protocol 31 to the EEA Agreement).

The legal entities have to be established in the above mentioned countries for the whole duration of the grant agreement.

Therefore, Israel is not an eligible country.

Q17. If there must be a consortium which consist three legal entities from three different UE countries, can one partner be from Switzerland?

A17. Participants from Switzerland are not eligible for PADR calls. Please refer to Annexes A to PADR call for proposal (List of countries and entities eligible for participation and funding).

Q18. Are the overseas or offshore offices of entities established in Europe eligible ?

A18. The list of eligible countries and entities is stated in Annex A. The Annex A also includes a complete list of overseas departments like countries and territories linked to the Member States.

The Annex C, Standard eligibility conditions, states that “All the infrastructure, facilities, assets and resources used by the applicants, including subcontractors and other third parties, in actions funded under the Preparatory Action on Defence Research should not be located on the territory of non-Member States or non-associated countries. The use of such infrastructure, facilities, assets and resources shall not be subject to control or restriction by third countries”.

It is also mandatory that all relevant elements and infrastructure to be used in the action are clearly identify before the grant agreement is signed.

Q19. Can MoDs, procurement agencies, the armed forces participate in the consortia?

A19. Yes

Q20. How far is MoD support allowed or wanted in the PADR process an proposals to come. For example can a MoD – who is the ultimate and the potential end-user - play a role in a proposal for testing and validation ? Or just as a deliverer of military personnel/test object, military terrain etc. Can we give support letter to a Dutch participant in a consortium ?

A20. An MoD can be an end-user, and play a role in testing and validation (also in other areas). An MoD must be duly included in the Grant Agreement as beneficiary or third party.

In order to be eligible for reimbursement, the end-users must meet the eligibility conditions set in the call for proposal (general Annexes A; B, point 4; C).

For any legal reference, please refer to the Model grant Agreement that will be published soon on the Participant Portal and on EDA website.

Support letters are not required.

Q21. Can a single company (from one Member State) may apply for PADR grants?

A21. No, for the call PADR-US-01-2017 at least five independent legal entities shall participate in a proposal/action, these five legal entities shall be established in a different Member State or associated Country.

No, for the call PADR-FPSS-01-2017 at least three legal entities must participate in a proposal/action. Each of the three must be established in a different EU Member State or Norway (subject to the amendment of Protocol 31 to the EEA Agreement). All three legal entities must be independent of each other.

Yes, for PADR-STF-01-2017 (CSA) at least one legal entity established in an EU Member State or Norway can participate.

Q22. Can a single company may apply directly to EDA or only by own MoD?

A22. Each proposal must be submitted exclusively by electronic means, through the EU Research Participant Portal <http://ec.europa.eu/research/participants/portal4/desktop/en/home.html>

Q23. How many projects can be submitted/financed from one MS?

A23. There are no thresholds or ceilings applicable for financing actions/projects submitted by entities from one single Member State. The proposals satisfying the eligibility and admissibility conditions established in General Annexes A, B and C to the call for proposal will be evaluated according to the criteria set out in points 1 , 2 and 3 of the General Annex F “Evaluation rules”.

Evaluation

Q24. When the priority order for proposals with the same score is established during the evaluation, is the EU budget allocated to SME or the number of SMEs taken into account

A24. Priority order for proposals are established following a method described in annex F. The third element of the method is a prioritisation according to the size of the EU budget allocated to SMEs.

Q25. Will the experts for the evaluation get an expert briefing before the assessments?

A25. Yes, experts will get a briefing on the evaluation procedure by EDA.

Q26. Is the degree of involvement of partners among the evaluation criteria?

A26. Yes, the award criteria among the others include also “Complementarity of the applicants and extent to which the consortium as whole brings together the necessary expertise” (please refer to page 35 of the Preparatory Action on Defence Research 2017 Calls for Proposals and General Annexes). Also the appropriateness of the allocation of tasks, the effective involvement of all the applicants and the adequacy of their role and resources in the project will be taken into account.

Q27. How will the operational capacity of SMEs and start-ups be evaluated?

A27. In such a case, Annex B, point 3, of the call for proposal states that supporting documents (such as curriculum vitae, list of relevant publications or previous projects, etc..) will be required to determine the operational capacity for grant proposals.

Annex F of the call for proposal states that, as a distinct operation, carried out during the evaluation of the award criterion “Quality and efficiency of the implementation”, the evaluators will indicate whether the applicants have sufficient operational capacity to carry out the proposed work, based on the competence and experience of the individual applicant(s).

Q28. Experts: registration in the database does not automatically mean that you will be selected for task assignments?

If selected, you will need to get appropriate security clearance before appointment, and need to be validated by the Member State that issued the security clearance”.

At what stage of the process the experts registered to Participant Portal experts database need to have their security clearance and validation conducted by the Member State?

A28. According to the text of the call for experts, an appropriate security clearance and the validation by the Member State that issued the security clearance are mandatory in order to be eligible.

The expert should request the security clearance and the validation from the appropriate national authority as soon as he/she is registered and not wait for a potential contact by EDA.

Please refer to the call for experts <https://www.eda.europa.eu/docs/default-source/procurement-library/2017-call-for-experts.pdf> to find the contact of your National Authority

Classified information

Q29. Are Facility Security Clearances required for universities that are part of a consortium?

A29. Each consortium member (including higher and secondary educational establishments) is required to have a Facility Security Clearance if in the project implementation it has to manage classified information.

Q30. What criteria apply to give a classification to a project and what impact does that have for the later use of the results?

A30. The security classification per topic and per project will be determined in advance in the annual work programmes. Also proposals submitted will be scrutinised with a view of identifying the expected security classification level and proper protection of grant deliverables. Such security scrutiny will be conducted only on proposals which after the evaluation procedure may be eligible for funding. Additional or different security protection may require security scrutiny also for all the projects' results after the completion of the projects' implementation. More detailed information will be included in the Preparatory Action on Defence Research Guide for Applicants which will be soon published.

Q31. Are the NATO standards or the EU standards for the security classification of the projects?

A31. Only the EU standard for classified information will apply. Please refer to Commission Decision (EU, Euratom) 2015/444 of 13 March 2015 on the security rules for protecting EU classified information and Council Decision of 23 September 2013 on the security rules for protecting EU classified information (2013/488/EU).

Q32. Can academic and research organisations be part of a consortium and just deal with non-classified information?

A32. Yes

Q33. I have two national security clearances (Home Affairs and Defence) from one Member State. Which of the above security clearances should/could I use?

A33. As specified in the text of the call, you need to provide the appropriate security clearance, up to EU Secret. For your personal security clearance, you should contact your National Security Authority (NSA) as soon as you are registered in the EMI system without waiting for a potential contact by EDA. From a legal point of view, experts with a security clearances other than those issued by one of the Member State and not included in the Annex I to Commission Decision (EU, Euratom) 2015/444 of 13 March 2015 on the security rules for protecting EU classified information are not eligible.

Ethics review

Q34. What are the ethical, moral and legal standards of the ethics review?

A34. This type of review will verify the respect of legislation and the compliance with provisions of international law binding upon the Union and the societal impact of the proposed action.

Exploitation and Dissemination

Q35. What is meaning of background?

A35. Background means any data, know-how or information – whatever its form or nature (tangible or intangible) including any rights such as intellectual property rights – that:

- a) is held by participants prior to their accession to the action;
- b) needed for carrying out the action or for exploiting the results of the action;
- c) identified by the participants in accordance with the terms and conditions laid down in the Agreement.

Q36. Can an existing patent owned by an organisation or an application for a patent in a national country be used in a proposal?

A36. As stated in Annex I to the call, Exploitation and dissemination of results, “Beneficiaries in the same action need to inform each other and the EDA before their accession to the grant agreement of any legal restriction or limit to granting access to their background. Any agreement concluded thereafter by a beneficiary regarding background should ensure that any access rights may be exercised”

Q37. Do the open access rules of Horizon 2020 apply to the PADR?

A37. No