

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;

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. 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.

Q.7 Is there a criterion on having a large number of Member States as participants?

A.7 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?

A7. 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 Model Grant Agreement will be available as soon as all internal legal checks are finalised. It will be 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-fpps-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?

A.10 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. At this moment, there are no partner search facilities or tools available for the PADR.

Eligibility for participation and funding:

Q12. What are the consequences for UK companies involved in the projects when the UK leaves the EU?

A12. "In general Annex A, it is stated that if, due to a change of circumstances, a beneficiary of a grant agreement does not comply with the eligibility/participation criteria, the grant agreement with regard to this beneficiary shall be terminated".

Q13. Are entities from Israel eligible?

A13. 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.

Q14. Are the overseas or offshore offices of entities established in Europe eligible ?

A14. 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.

Q15. Can MoDs, procurement agencies, the armed forces participate in the consortia?

A15. Yes

Evaluation

Q16. 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

A16. 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.

Q17. Will the experts for the evaluation get an expert briefing before the assessments?

A17. Yes, experts will get a briefing on the evaluation procedure by EDA.

Q18. Is the degree of involvement of partners among the evaluation criteria?

A18. 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.

Q19. How will the operational capacity of SMEs and start-ups be evaluated?

A19. 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).

Classified information

Q20. Are Facility Security Clearances required for universities that are part of a consortium?

A20. 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.

Q21. What criteria apply to give a classification to a project and what impact does that have for the later use of the results?

A21. 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.

Q22. Are the NATO standards or the EU standards for the security classification of the projects?

A22. 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.

Q23. Can academic and research organisations be part of a consortium and just deal with non-classified information?

A23. Yes

Ethics review

Q24. What are the ethical, moral and legal standards of the ethics review?

A24. 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

Q25. What is meaning of background?

A25. 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.

Q26. Can an existing patent owned by an organisation or an application for a patent in a national country be used in a proposal?

A26. 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”

Q27. Do the open access rules of Horizon 2020 apply to the PADR?

A27. No

- underpin coordination of agendas and optimisation of synergies between the EU defence and civil research activities under the next Multiannual Financial Framework;
- test the approach through proposing topics for the Future Disruptive Technologies technology area in the last year of the Preparatory Action on Defence Research.

The results of this year can be repeated in time – methodology can be applied in next phases. Proposals should include elements to ensure continued monitoring and updating beyond the action's lifetime.

Q44. If classified information is integrated in the proposal, are personal security clearances and facility security clearances of the consortium members needed?

A44. In the case of actions involving security-related activities, special provisions for classified information (as defined in the Commission Rules of Procedure (Decision 2015/444/EC, ECSC, Euratom) will be taken in the grant agreement, as necessary and appropriate.

It is possible that the output of an action ('results') needs to be classified, or that classified inputs ('background') are required. In such cases proposers have to ensure and provide evidence of the adequate clearance of all relevant facilities. Consortia have to clarify issues such as e.g. access to classified information or export or transfer control with the national authorities of their Member States/Preparatory Action on Defence Research associated countries prior to submitting the proposal. Proposals need to provide a draft security classification guide, indicating the expected levels of classification. Appropriate arrangements will have to be included in the consortium agreement.

Submission of classified information is excluded from the obligation to be submitted in the electronic submission system.

Q45. Should the proposal design a web platform or make use of earlier efforts of web platform design in this area?

A45. 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.

Q46. 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?

A46. 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

Q47. Do proposals that bid with a lower budget than the indicative budget have an advantage when the ranking list is drawn up?

A47. No, the evaluation is only based on selection and award criteria.

Q48. What is the defence-specific element in the Strategic Technology Foresight Call?

A48. 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.

