From proposal to grant

Publication of Calls
7 June 2017

Submission of proposals
Deadlines:
21 September (Call 2, 3)
5 October (Call 1)

Eligibility check

Technical evaluation

ELSA

Security Scrutiny of proposals

Information to Commission about evaluation results

Signature of grants/contracts

From proposal to grant
Call for proposals


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
Conditions for participation and evaluation

INFODAY AND BROKERAGE EVENT
27 JUNE 2017