



# CONDITIONS FOR PARTICIPATION AND EVALUATION

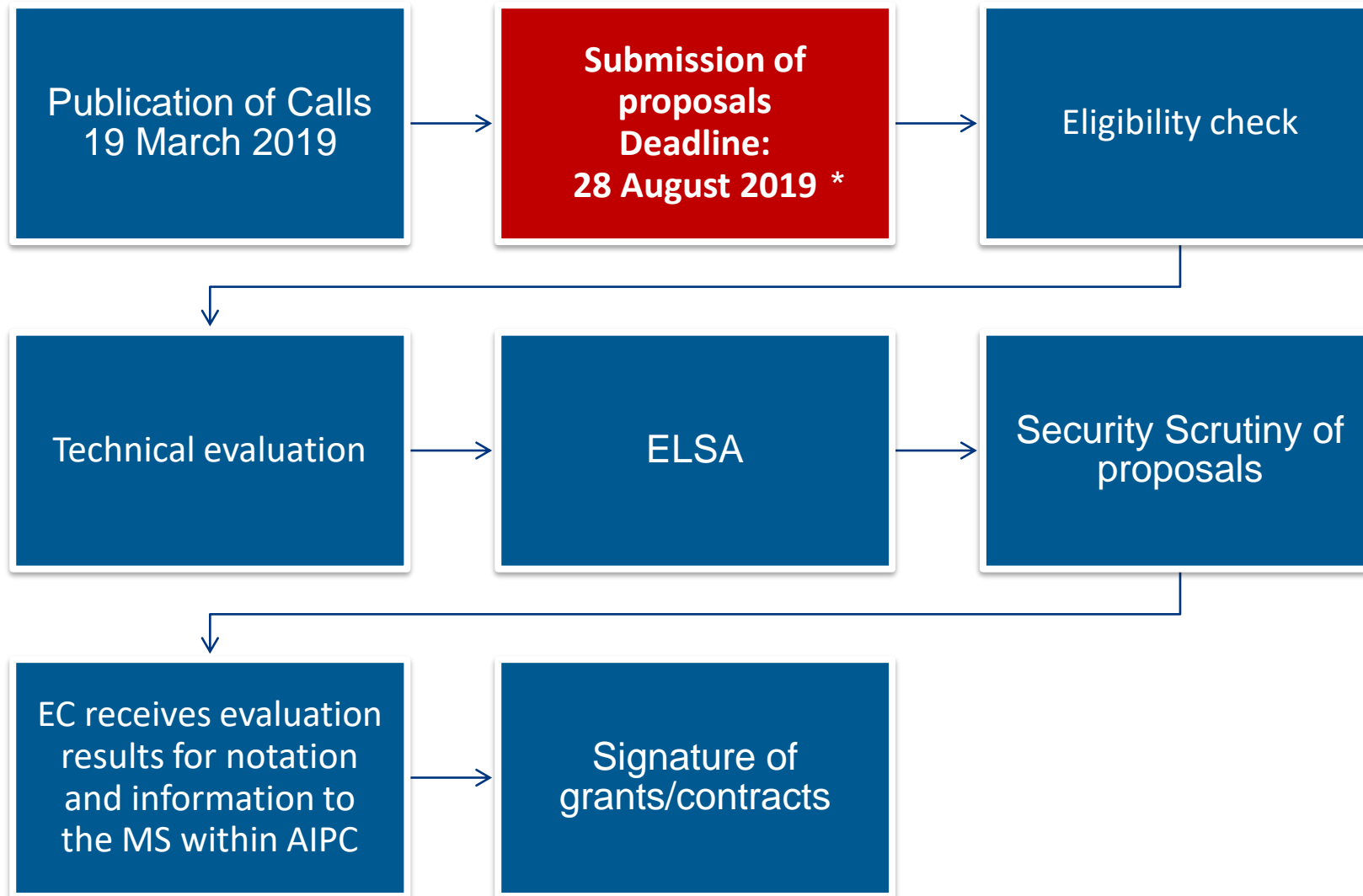
INFODAY AND BROKERAGE EVENT  
11 APRIL 2019

European Union's Preparatory Action on Defence Research - PADR programme has received Union's funding

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# FROM PROPOSAL TO GRANT



\*The deadline applicable for 3 topics managed by EDA: PADR-EMS-03-2019; PADR-FDDT-EMERGING-03-2019; PADR-US-03-2019; excluding the topic PADR-FDDT-OPEN-03-2019.

# CALL FOR PROPOSALS (1/2)

- **PADR-EMS-03-2019:** Combined radar, communications, and electronic warfare functions based on European Active Electronically Scanned Arrays (AESA) for military applications.
- **PADR-FDDT-EMERGING-03-2019:** Emerging Game-changers.
- **PADR-US-03-2019:** Interoperability standards for military unmanned systems.

**Deadline: 28 August 2019**

# CALL FOR PROPOSALS (2/2)

- **PADR-FDDT-OPEN-03-2019:** Challenging the future.

First stage deadline: 03 September 2019

Second stage deadline: 30 January 2020

# 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
- J. Processes to obtain classified information which is part of a call for proposals

# THE GENERAL ANNEXES

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

Legal entities established in the following countries and territories for the whole duration of the grant agreement:

- Member States of the EU<sup>\*</sup>, including their overseas departments
- OCT linked to MS
- Norway<sup>\*\*</sup>
- Also eligible: JRC + IOs

Note: security conditions apply

<sup>\*</sup> For British applicants, until the UK leaves the EU, EU law continues to apply to and within the UK, when it comes to rights and obligations; this includes the eligibility of UK legal entities to fully participate and receive funding in actions such as those called for in the 2019 work programme of the PADR. The eligibility criteria must be complied with for the entire duration of the grant. If the UK 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, they will no longer be eligible to receive EU funding and their participation may be terminated on the basis of Article 50 of the grant agreement

<sup>\*\*</sup> For Norwegian applicants, all eligibility criteria must be complied with at least on the 31 December 2019. If the participation of the Kingdom of Norway in the PADR is not confirmed at that date, Norwegian participants will cease to receive EU funding (while continuing, where possible, to participate) or be required to leave the consortia on the basis of Article 50 of the grant 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 & Financial capacity
- Plan for exploitation and dissemination

Additional requirements – page limit (for sections 1-3 only)

- **70 pages\***

\* Specific page limits for the 2 stages of PADR-FDDT-OPEN-03-2019 topic

# THE GENERAL ANNEXES

## Annex C: Standard eligibility conditions

- Proposal must correspond to the topic description
- At least 3 legal entities – each from different MS or NO
- Infrastructure, facilities, etc. should not be located on territory of non-MS or non-associated countries
- Possible: additional conditions in the Call



# THE GENERAL ANNEXES

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

Funding rate:

- 100% of the eligible costs

Indirect costs: 25% of eligible direct costs, excluding eligible direct costs for subcontracting

# THE GENERAL ANNEXES

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

### Form of eligible costs (PADR MGA Art 6):

- Direct Personnel Costs: staff costs related to the personnel working for the beneficiary and assigned to the action
  - Cost of subcontracting
  - Cost of Linked Third parties
    - Not applicable - PADR MGA Art 11 and 12 - use of in-kind contributions provided by third parties
  - Other direct costs: travel costs and related subsistence allowances, other goods or services
  - Indirect costs: 25% of Direct Personnel Costs + Other direct costs
- 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 150 and 200 of Regulation (EU, Euratom) No 2018/1046**.

- Selection criteria
  - Financial capacity
  - Operational capacity
- Award criteria
  - Excellence
  - Impact
  - Quality and efficiency of the implementation

# THE GENERAL ANNEXES

## Annex F: Evaluation (2)

Scoring and weighing:

- For topics **PADR-EMS-03-2019** and **PADR-US-03-2019** Annex F is applicable (each criterion scored out of 5, threshold for individual criterion: 3, overall threshold: 10)
- For topics **PADR-FDDT-EMERGING-03-2019** and **PADR-FDDT-OPEN-03-2019** specific criteria, scoring and threshold apply.

Priority order for ex aequo proposals:

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

# THE GENERAL ANNEXES

## Annex F: Evaluation procedure

- Calls subject to a one-stage submission and evaluation procedure (except PADR-FDDT-OPEN-03-2019)
- Evaluation committee by EDA and assisted by independent experts:
  - Chosen based on skills, experience, knowledge
  - Security clearance
  - Validation by MS
  - Balanced composition of experts
  - No 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 (ELSA)
- 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
  
- Additional information: *Guidance on How to complete your self-assessment on “ethics, legal and societal aspects (ELSA)” accessible on Funding & tender opportunities portal*

# THE GENERAL ANNEXES

## Annex H: Classified information

- Security Scrutiny of proposals
- Security Aspects Letter (SAL) & Security Classification Guide (SCG)
- Personnel Security Clearance (PSC) and Facility Security Clearance (FSC)
- 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 license 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

# THE GENERAL ANNEXES

## Annex J: Processes to obtain classified information which is part of a call for proposals

- Access to part of a call for proposals classified at RESTREINT UE/EU RESTRICTED level under EUCI regulation
- Different rules regarding the access to RESTREINT UE/EU RESTRICTED documents in various countries
- **Please be aware that EDA will not deal with requests received later than 15 working days before the deadline of the Call for Proposals.**

# THE GENERAL ANNEXES

## Annex J: Processes to obtain classified information which is part of a call for proposals

- General Process:
  1. Request
  2. Assessment of the 'need to know' by EDA
  3. Requesting approval of the EC
  4. Informing the requesting entity (Rejection/ Approval of the request by the EC)
  5. Sending the classified Annex
  6. Return of the classified Annex
- Specific sub-processes depending on the specific rules of eligible countries' NSAs
  - Different cases when PSC/FSC are/are not required.

# THE GENERAL ANNEXES

## Appendices

- Appendix 1: Template for Non-Disclosure Agreement (NDA) for the release of the Call PADR-2019-EMS classified document
- Appendix 2: Template for Facility Security Clearance (FSC) Information Sheet

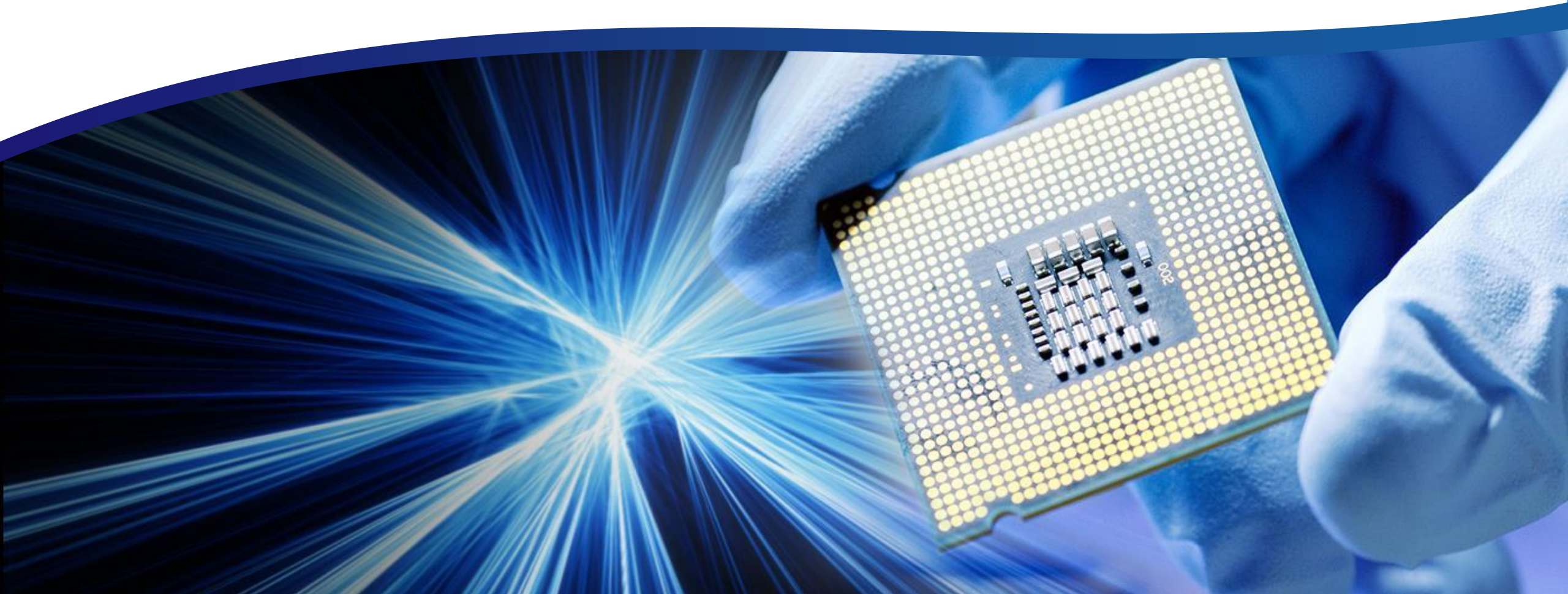
## ADDITIONAL DOCUMENTS

- Guide for Applicants
- Model Grant Agreement
- Guidance on ELSA Self-Assessment
- Standard Proposal Template for Research Actions
- PADR Programme Security Instructions (PSI)
- Security Classification Guide (SCG)
- Q&A – Already available with FAQ

**All of them already available on the Funding & Tender Opportunities Portal.**



EUROPEAN  
DEFENCE  
AGENCY



# THANK YOU – Q&A

PLEASE BE INFORMED THAT THE Q&A SESSIONS WILL BE AUDIO RECORDED, AND THE QUESTIONS AND ANSWERS WILL BE INCLUDED IN THE RELEVANT Q&A FILE, PUBLISHED IN THE CALL WEB. YOUR NAMES WILL NOT BE INCLUDED. HOWEVER, IF YOU HAVE ANY OBJECTION TO THIS, PLEASE AVOID TO STATE YOUR NAME BEFORE ASKING THE QUESTIONS