

# PREPARATORY ACTION ON DEFENCE RESEARCH

## STF Call – ELSA Review Consensus Meeting

3 November 2017

## PREPARATORY ACTION ON DEFENCE RESEARCH

1. Welcome, Administrative Remarks and Round table presentations
2. Objectives of the meeting and rules of the ELSA review
3. Recommendations to ensure high quality evaluation reports
  - Preparation of the ELSA Review Consensus Reports (CRs)
6. Quality Check revision of the ELSA CRs
7. Q&A and further discussion

# PREPARATORY ACTION ON DEFENCE RESEARCH

## 1. Welcome, Administrative Remarks and Round table presentations

[REDACTED] Moderator of the ELSA Review Consensus Meeting)

# Welcome to EDA

Only Agency whose Steering Board meets at ministerial level

In 2017, European Commission and EDA signed a Delegation Agreement on the implementation of a Preparatory Action on Defence Research (PADR)



Established  
**2004**

Based in  
**BRUSSELS**

**+145 staff**  
connected with  
2,500 experts in  
Member States



**Jorge  
DOMEcq**

EDA Chief  
Executive



## 27 Member States

(all EU members except Denmark)  
& Administrative Arrangements  
with Norway, Serbia, Switzerland  
and Ukraine)

Operational budget 2017  
**€31 Mio (+ €0,5 Mio  
compared to 2016)**

Number and value of ad-hoc R&T  
projects negotiated in 2016:  
**26 projects / 120 Mio**

Value R&T projects 2004-2017 run  
within EDA: approx. **€1 billion**

# Welcome and Administrative remarks

- Toilets
- Smoking
- Coffee breaks
- Lunch
- Wi-Fi

Round the table presentations

# PREPARATORY ACTION ON DEFENCE RESEARCH

## 2. Objectives of the meeting and context

[REDACTED] Moderator of the ELSA Review Consensus Meeting)

# Objective of the ELSA Review

- The ELSA review procedure focusses on the compliance with ethical rules and standards, relevant European legislation international law binding upon the Union, national authorisations and ELSA approvals, proportionality of the research methods and the applicants' awareness of the ethical and legal aspects, as well as social impact of the planned research.
- The PADR ELSA procedures are based on the ethics appraisal procedure established in the context of Horizon 2020 yet simplified and with important differences to comply with the specificities of defence research.

# Objective of the ELSA Review Consensus Meeting

According to the PADR Delegation Agreement, during the ELSA review:

- Starts with an ELSA individual screening by independent experts followed by a
- **Consensus meeting** during which they will come to a common view on ethical, legal and societal aspects related to the proposals.
- When appropriate the ELSA experts can formulate recommendations in their **ELSA assessment consensus report**.
- EDA takes these recommendations into consideration during the grant preparation phase, e.g., by requesting additional information/documents to the Consortium, or including ELSA deliverables

In practical terms, finalize:  
ELSA Assessment Consensus Reports,  
Provide recommendations, if applicable



# Context: Preparatory Action - timetable, budget and objectives

- Launch 2017
- Duration: 3 years: 2017- 2019
- Budget: Commission requested total budget of 90 M€. (subject to yearly decisions)  
**2017 budget: 25 M€**

## Objectives

- Demonstrate and assess added-value of EU-supported defence R&T
- Results should foster further cooperation between MoDs and between EU defence industries
- Prepare for a basic act to launch a substantial defence research programme from 2021 onwards

# Context: PADR calls and proposals

- **PADR-US-01-2017:** Technological demonstrator for enhanced situational awareness in a naval environment  
Deadline 5 Oct. 2017  
Budget: 15.5 M€ (2017 budget) + up to 4 options (20 M€ max) in 2018  
Type of action: Research Action (RA)  
No more than one action will be funded
- **PADR-FPSS-01-2017:** Force protection and advanced soldier systems beyond current programmes  
Deadline 28 Sept. 2017
  - Subtopic a. Generic Open Soldier systems architecture
  - Subtopic b. Tailor-made blast, ballistic and CBRN protection of military personnel
  - Subtopic c. Adaptive camouflageType of action: Research Action (RA)  
Budget: 6.78 M€ (2017 budget)
- **PADR-STF-01-2017:** The European Defence Research Runway  
Deadline 28 Sept. 2017, Budget: 0.9 M€ (2017 budget)  
Type of action: Coordination and Support Action (CSA)  
No more than one action will be funded

# Context: Type of action

## Coordination & Support Action

### Call PADR-STF-2017

- Actions consisting primarily of accompanying measures such as
  - standardisation, dissemination, awareness-raising and communication, networking, coordination or support services, policy dialogues and mutual learning exercises and studies, including design studies for new infrastructure, and
  - may also include complementary activities of strategic planning, networking and coordination between programmes in different countries

# Context: PADR calls and proposals

- Defence research, Not dual-use
- Complementarity with existing EU Programme in the security domains (e.g. H2020 Secure Societies), as well as R&T activities in Member States and EDA
  - Avoid duplications
- Calls are open to innovative proposals
  - Calls do not outline the expected solutions, nor the approach to be taken
  - Calls/topics descriptions allow applicants to propose innovative solutions
- Emphasis on “Impact” in view of Defence capability development
  - Applicants asked to explain how work will bring about described impacts
  - During the evaluation, you are asked to assess the potential contribution of the proposed research in the development of the defence capabilities, as described in the calls
- Proposals may bring together different disciplines, sectors and actors to tackle specific defence challenges
  - e.g. industry, SMEs, science, societal partners, end-users (MoDs),...

# Context: Coordination & Support Actions

## Call PADR-STF-2017

### Excellence

*To the extent that the proposed work corresponds to the topic description in the work programme:*

- Clarity and pertinence of the objectives
- Soundness of the concept, and credibility of the proposed methodology
- Quality of the proposed coordination and/or support measures

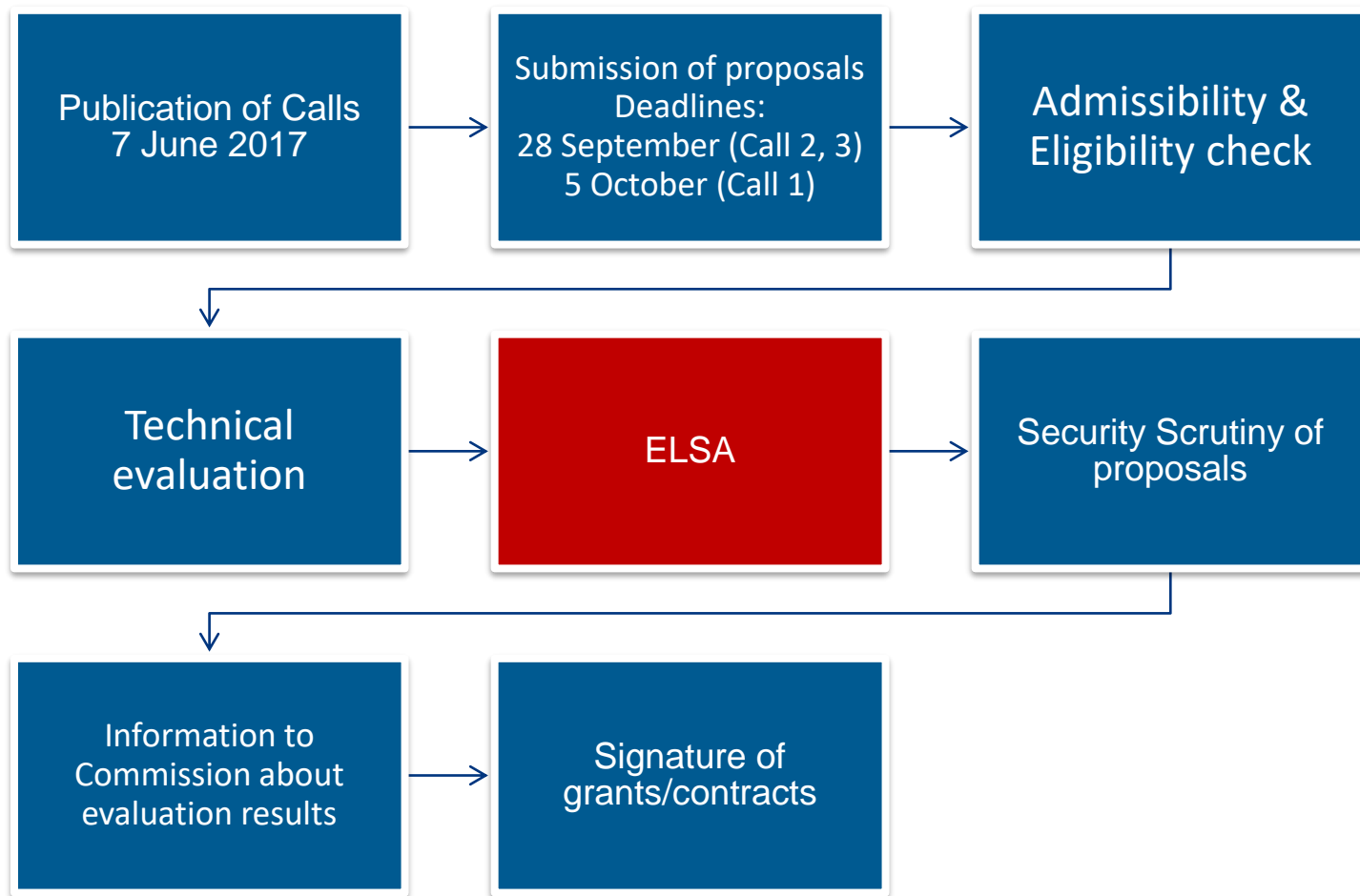
### Impact

- The expected impacts listed in the work programme under the relevant topic
- Quality of proposed measures to:
  - Exploit and disseminate project results (including IPR, manage data research where relevant);
  - Communicate the project activities to different target audiences

### Implementation

- Quality and effectiveness of the work plan, including extent to which resources assigned in work packages are in line with objectives/deliverables
- Appropriateness of management structures and procedures, including risk and innovation management
- Complementarity of the participants and extent to which the consortium as a whole brings together the necessary expertise
- Appropriateness of allocation of tasks, ensuring that all participants have a valid role and adequate resources in the project to fulfill that role

# Context: From proposal to grant – Calls 2017



# Consensus Meeting Moderator

- The Moderator is typically the Project Officer who is responsible for the Project
- The moderator's role is to enable a group of experts to reach a consensus view on a proposal.
- The key principle is impartiality.
- The moderator is not passive, and must ensure that
  - the discussion is kept on track, in line with the evaluation guidelines, and
  - may provide general information or technical assistance on request.
  - Depending upon the dynamics of the meeting, the moderator may in fact pass back and forth between that of a moderator and that of a chairperson.

# Rapporteur

- The *rapporteur* is responsible for drafting the CR
  - Including consensus comments and scores
  - In some cases, the rapporteur does not take part in the discussion
- The role of rapporteur is link to a proposal
  - Different proposals may have different rapporteurs
- During the Consensus Meeting, the rapporteur will:
  - Summarize the status of the draft Consensus Report
  - Highlight the main issues/discrepancies
  - Draft the CR towards its finalization



# Role of independent experts

- As an independent expert, you evaluate proposals submitted in response to a given call
- You are responsible for carrying out the evaluation of the proposals yourself
  - You are not allowed to delegate the work to another person!
- You must close reports in the electronic system within a given deadline
  - This is part of your contractual obligations!
  - The allowance/expenses you claim may be reduced or rejected otherwise
- Significant funding decisions will be made on the basis of your assessment
- If you suspect any form of misconduct (e.g. plagiarism, double funding), please report this to EDA staff

### Observer(s)

- Appointed by the Commission/EDA may attend any meetings or monitor remote evaluation, to ensure a high quality evaluation
- They check the functioning and running of the overall process
- They advise, in their report, on the conduct and fairness of the evaluation sessions and, if necessary, suggest possible improvements
- They do not evaluate proposals and, therefore, do not express any opinion on their quality
- They may raise any questions - please give them your full support

# Guiding principles

- *Independence*
  - You are evaluating in a personal capacity
  - You represent neither your employer, nor your country!
- *Impartiality*
  - You must treat all proposals equally and evaluate them impartially on their merits, irrespective of their origin or the identity of the applicants
- *Objectivity*
  - You evaluate each proposal as submitted; meaning on its own merit, not its potential if certain changes were to be made
- *Accuracy*
  - You make your judgment against the official evaluation criteria and the call or topic the proposal addresses, and nothing else
- *Consistency*
  - You apply the same standard of judgment to all proposals

# Confidentiality

## You must:

- **Not discuss evaluation matters**, such as the content of proposals, evaluation results or opinions of fellow experts, with anyone, including:
  - Other experts or EDA staff or any other person (e.g. colleagues, students...) not directly involved in the evaluation of the proposal
  - The sole exception: your fellow experts who are evaluating the same proposal in a consensus group or Panel review
- **Not contact partners in the consortium, sub-contractors or any third parties**
- **Not disclose names of your fellow experts**
  - The EDA publishes the names of the experts annually - as a group, no link can be made between an expert and a proposal
- **Maintain confidentiality of documents**, paper or electronic, at all times and wherever you do your evaluation work (on-site or remotely)
  - Please take nothing away from the evaluation building (be it paper or electronic)
  - Return, destroy or delete all confidential documents, paper or electronic, upon completing your work, as instructed

# Conflicts of interest (COI) (1)

*\*COI rules are in Annex 1 Code of Conduct of the expert contract*

## You have a COI if you:

- were involved in the preparation of the proposal (including pre-proposal checks/'mock' evaluations)
- stand to benefit directly/indirectly if the proposal is successful
- have a close family/personal relationship with any person representing an applicant legal entity
- are a director/trustee/partner of an applicant or involved in the management of an applicant's organisation
- are employed or contracted by an applicant or a named subcontractor
- are a member of an Advisory Group or Programme Committee in an area related to the call in question
- are a National Contact Point or are directly working for the Enterprise Europe Network

# Conflicts of interest (COI) (2)

### You have a COI if you:

- If you are involved in a competing proposal\*
- In the following situations, the Commission/EDA will decide whether a COI exists
  - Were employed by an applicant including third parties or linked third parties involved in the proposal
  - Were involved in a grant agreement/decision, the membership of management structures or a research collaboration with an applicant in the last 3 years
  - Are in any other situation that casts doubt on your impartiality or that could reasonably appear to do so

### Conflicts of interest (COI) (3)

- **You must inform the EDA as soon as you become aware of a COI**
  - Before the signature of the contract
  - Upon receipt of proposals, or
  - During the course of your work
- **If there is a COI for a certain proposal you cannot evaluate it**
  - Neither individually
  - Nor in the consensus group
  - Nor in the panel review
  - The Commission/EDA will determine if there is a COI on a case-by-case basis and decide the course of action to follow
- **If you knowingly hide a COI, you will be excluded from the evaluation and your work declared null and void**
  - The allowance/expenses you claimed may be reduced, rejected or recovered
  - Your contract may be terminated

## Context: Useful docs for the evaluation

- Financing Decision
- Calls for proposals
- Q&A files

Other reference documents in your folders



## Consensus Meeting

- It usually involves a discussion on the basis of the individual evaluations
  - For full proposals, don't immediately converge on the average score
  - For first stage proposals, the average is a starting point
- The aim is to find agreement on comments and scores
  - **Agree comments before scores!**
  - If an applicant lacks basic operational capacity, you make comments and score the proposal without taking into account this applicant and its associated activity(ies)
- “Outlying” opinions need to be explored
  - They might be as valid as others – be open-minded
  - It is normal for individual views to change
- Moderated by EDA staff
  - Neutral and manages the evaluation, protects confidentiality and ensures fairness
  - Ensures objectivity and accuracy, all voices heard and points discussed
  - Helps the group keep to time and reach consensus

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## 2. Recommendations to ensure high quality evaluation reports

# The ELSA Review Procedure in Practice

## Consensus report (CR)

- The quality of the CR is of utmost importance
  - It often remains unchanged at the panel stage
- The aim of the CR is to give:
  - A clear assessment of the proposal based on its merit, with justification
  - Clear feedback on the proposal's weaknesses and strengths, of an adequate length, and in an appropriate tone
  - Explain shortcomings, and make recommendations
- Avoid:
  - Comments not related to the topic in question
  - Comments too long, or too short and inappropriate language
  - Categorical statements that have not been properly verified

**Remember, applicants will read your comments and, based on them, can challenge the evaluation through the evaluation review procedures**

# The ELSA Review Procedure in Practice

## Other tips...

- **Evaluate each proposal as submitted**  
...not on its potential if certain changes were to be made
- If you identify shortcomings (other than minor ones and obvious clerical errors), reflect those in your comments for the relevant question
- Explain the shortcomings, and make recommendations
  - Successful applicants are invited to address shortcomings
- Proposals with significant weaknesses that prevent the project from achieving its objectives must be highlighted

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# PREPARATORY ACTION ON DEFENCE RESEARCH



Preparation of the Consensus Reports (CRs)

# Preparation of the ELSA Review Consensus Reports (CRs)

- General presentation of the ELSA review draft Consensus Report
- Presentation and discussion on the ELSA issues
- Final drafting and approval of the ELSA review

# Lunch Break

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## 6. Quality Check revision of the ELSA CRs

All

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## 7. Q&A and further discussion

All

## 7. Q&A and further discussion



End of the meeting

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Thanks!





