



# **CALL FOR PROPOSALS**

**For the  
Pilot Project  
on defence research**

**29 April 2016**

# I. Introduction

## I.1 Overview and summary

The objective of the present call for proposals is to award grant agreements within the scope of the Pilot Project (PP) for research in the field of Defence<sup>1</sup>, in particular (1) two technological development projects in the area of defence and (2) one research and development project linked to certification for military and civil uses.

The aim is to develop a proposal that: (1) fosters research cooperation between defence research actors in European Union Member States, (2) strengthens the defence industry's competitiveness and (3) raises the level of defence technological and industrial capacity for the armed forces.

The aforementioned Pilot Project has been launched in 2015. The Pilot Project runs from 1 December 2015 until 1 December 2018.

The project that will be selected and ranked first on the list will be awarded a grant agreement to be signed by end of December 2016 at the latest. The grant agreement will be signed by EDA and the leader of the consortium. Project duration shall not exceed 18 months and, in any case, shall be completed by 30 November 2018 at the latest.

Section 1.2 explains the context into which it was developed and Section II details the work-plan.

This Pilot Project Work-plan sets out the funding opportunity, describes the overall objective, the specific challenge of the three research activities and the expected impact to be achieved. This work-plan has two topics allowing participants to propose innovative solutions, and one topic that regards certification/standardisation related to existing completed or parallel collaborative research and technology projects within the European Defence Agency (hereafter also referred to as "EDA") context. Both should contribute to the competitiveness of the European Defence Technological and Industrial Base.

## I.2 Context

Research in defence related technologies is a critical area for the development of the European Defence Technological and Industrial Base and the strength and strategic autonomy of the EU Member States Armed Forces. The European Commission, in agreement with the European Council<sup>2</sup>, will launch a Preparatory Action on Defence research, as foreseen in the Commission's 2013 Communication on the defence and security sector and the 2014 implementation roadmap<sup>3</sup>, which will start in 2017 and last for three years, in order to test and prepare the ground for a possible Defence research programme in the next Multiannual Financial Framework. The Pilot Project, has been introduced by the European Parliament in the EU budget (2015 and 2016), with the aim to test the conditions for Defence research in the EU framework and pave the

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<sup>1</sup> EU Budget 2015 – Section III - Item 02 04 77 02 – Pilot project – CSDP research  
<http://eur-lex.europa.eu/budget/data/General/2015/en/SEC03.pdf>

<sup>2</sup> European Council Conclusions 18-19 December 2013  
[https://www.consilium.europa.eu/uedocs/cms\\_Data/docs/pressdata/en/ec/140245.pdf](https://www.consilium.europa.eu/uedocs/cms_Data/docs/pressdata/en/ec/140245.pdf),  
European Council Conclusions 25-26 June 2015  
<http://www.consilium.europa.eu/en/press/press-releases/2015/06/26-euco-conclusions>

<sup>3</sup> <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:52014DC0387>

way for the planned Preparatory Action on Defence Research. The Pilot Project has been entrusted to EDA by the European Commission through a Delegation Agreement. As a result, EDA is responsible for the execution and management of the projects. The call for proposals, the submission of proposals, the evaluation and the awarding of the grant agreement will be organised and coordinated by EDA.

### **I.3 Complementarity with other Union and Member States' research programmes**

While the present Pilot Project and its Work Plan tests the possibility of conducting cooperative defence research through the use of EU Budget, it is not part of any of the Union, including EDA, and/or Member States' R&I and/or R&T existing programmes. Whilst it is to be considered as a 'stand-alone project', the expected content to be delivered through the funded activities needs to be relevant for defence and ongoing activities in Europe's defence sector.

### **I.4 Key websites**

All information relating to the present call for proposal can be found on the EDA Procurement Gateway website: <http://www.eda.europa.eu/procurement-gateway>.

Information on the Pilot Project, is available at the following website:

EU Budget 2015 – Section III - Item 02 04 77 02 – Pilot project – CSDP research,

<http://eur-lex.europa.eu/budget/data/General/2015/en/SEC03.pdf>

## II. Work-Plan of the Pilot Project

The following call has the objective to request proposals to address the following three topics:

### II. 1 PP-15-INR-01: Unmanned Heterogeneous Swarm of Sensor Platforms

Specific Challenge: The project should demonstrate, through a live experimentation, that typical military missions and tasks can be performed in exemplary scenarios by an unmanned heterogeneous swarm system of systems (further referred to as “the system”), using emerging enabling technologies.

Future military actions will have to cover wider areas than today, with increasing complexity, spectrum of risk, and a semi-permanent or “24/7” requirement. Demand of increased system robustness and resilience will be constrained by limited resources. Human actors will need support by autonomous systems, and single multi-functional platforms will have to be replaced or incorporated in shared networks of smaller devices with limited functionality (sensors, effectors, and interfaces), managed in a cooperative and automated manner, and sometimes connected to external (“civilian”) networks.

Scope: The proposal should consider typical military tasks such as Intelligence, Surveillance, Potential targets proposals, Reconnaissance, object/area protection, counter-Improvised Explosive Devices, Command and Control and Combat Search and Rescue. All other military tasks, except for purely offensive tasks, are possible.

In this respect, scenarios may depict the nature of future missions, and, support the proof of concept, reflect different typical challenges for the system, be it in space, time, quantity or quality. This may be complemented by a benchmarking scheme.

Characteristics of system performance include efficient resource sharing, automated reconfiguration, dynamic re-tasking, robust mode, graceful degradation.

The system may be based on an open architecture, documented in relevant (operational, technical) views of the NATO Architecture Framework (NAF) Version 3. The system architecture may follow an Enterprise Architecture and include both System Management Architecture and Cyber Security Architecture. The architecture should take common standards into account wherever appropriate or propose their development wherever necessary. Special attention should be given to Information Exchange Requirements (including external networks) and interface documentation.

The system should host a wide variety of piloted and autonomous swarm elements, such as unmanned air/ground/naval platforms, steerable mast, remote-controlled turrets, satellites, attended/unattended optical/acoustic/radio frequency sensors, protective devices (laser, jammer, smoke generators etc.), infrastructures, soldiers.

The proposal may consider the following technologies:

- Internet of Things
- Big Data
- High level command architecture and management for heterogeneous swarms of devices
- Intelligent sharing of available functionalities/capabilities (e.g. by priority)
- System (auto-)monitoring /degraded modes management
- Availability issues, Re-configurability

- Artificial Intelligence/decision tree/data farming
- Cyber defence
- Data fusion, multi-modal acquisition
- Machine-machine communication
- Ad-hoc networking

While the proposal shall avoid duplication with work performed in civil research programmes (FP7, Horizon 2020) or Defence research programmes within the Union, it shall also identify and, as far as possible, seek complementarity and synergies with such projects. On-going and planned projects can be identified by literature research on the European Commission and EDA website.

The work has to be planned over a period of 12 months.

Indicative budget: 434.625€

Expected output: The project is expected to deliver a first level description and specification of future autonomous swarm systems, and foster the convergence of related existing and planned research efforts. The open architecture approach will stimulate further innovation in platforms and devices, with an impact on military products, technologies and systems. The expected disruptive effect is expected to influence the military doctrine (tactics, techniques and procedures) for future missions.

Technology/System Readiness level (TRL/SRL): The project shall aim at low to mid SRL (2-4), taking into account a TRL for basic technologies to integrate between 2 and 6.

One project will be selected for funding. The *Rules for Participation* are detailed in Annex 1. Further requirements are found in Annex 2 and the *Procedure for the submission to the Call* is in Annex 3.

## II.2 PP-15-INR-02: Inside Building Awareness and Navigation for Urban Warfare

Specific Challenge: One of the main challenges in Urban Warfare in the realm of Force Protection is related to the capability of the dismounted soldier to enter into buildings or constructions when needed and the way to move or navigate inside. Operations entailing entering into buildings are of maximum risk for the life of the soldiers, given the lack of information and the unawareness about the opposite forces that can be hidden behind the walls. Additional information about non-combatants obtained through non-cooperative means would help to complete the picture for mission planning. Innovative technologies in the Situation Awareness domain have not been extensively explored for the direct use of the soldiers on the field when performing these engagement operations. One such case is the use of radar to allow inside building awareness and navigation as an aid to decision making and support to tactical operations. The use of these techniques can be supported as well by a new innovative concept that will be referred here as Mobile Miniaturized Ground-Air Network of Sensors (M2GANS). We can consider these as small sensors which have mobility and can change position to provide a better coverage and improved performance. When entering into buildings in the Urban Warfare domain the addition of information from these networks of heterogeneous sensors can permit the knowledge of the existence of hostile forces inside the building and the critical paths to follow to navigate indoors.

Scope: The project has to provide a proof of concept of an innovative system providing a new solution to the capability of inside building awareness giving support to indoor navigation. It will analyse the possibilities that new technologies and pioneering concepts provide to this aim. It should consider two main aspects:

- a) On one side and to be used basically from the exterior of the building, it has to study the application of outdoor multistatic radiofrequency sensors at the optimum frequency to penetrate inside and including antennas matched to this purpose. Magnetic, acoustic or sensors of other kind may be used as well for this purpose. This multistatic character implies several techniques like sensor networks synchronization, sensor interchange of information, innovative waveforms providing enhance resolution together with signal processing algorithms taking advantage an mitigating the effects of multipath. Multiple input – Multiple output (MIMO) related techniques should be considered as well as candidate, given they could provide the required functionality but the implications of its application have to be determined as they affect the size, weight, power and cost (SWAP-C) and complexity of the system.
- b) The system should provide the means to introduce miniaturized sensors into the building to enhance the performance of the outdoors system. Here is where the mobile sensors have to move to locate themselves in different places to enhance the information gathered by the outdoors sensors located in the exterior of the construction. Through effective and, if possible, simple means, the sensors have to displace to find optimum configurations that provide the system resolution enhancement needed. The addition of magnetic, optronics or acoustic sensors has to be analysed and the optimum mix of heterogeneous sensors discussed in order to allow the strongest synergies.

In order to allow for a future effective use of this system concept it is needed to portray the application scenarios and the theatre of operations characteristics that such system should cover. The proposed solution should be easily portable, of friendly use taking into account the human factor perspective. It should be highly reliable and looking for a low cost implementation

that makes it affordable for a generalized army use. The alignment to open architectures and standards for the sensor networking should be taken into account. Miniaturization is an important factor to be considered and the use of COTS preferential where possible.

The work has to be planned over a period of 12 months.

Indicative budget: 475.000€, subject to availability of funds

Expected output: The result of this project has to be the definition, instantiation and demonstration of a system concept aimed to provide inside building awareness and support to indoor navigation for the military to increase force protection. Through this affordable and easily deployed system the military forces of EU Member States will have advantage in the engagement in urban warfare when entering into buildings and constructions.

Technology Readiness Level (TRL): The project shall aim at different TRL levels given the different technologies involved, ranging from low to mid TRL (1-5) in order to provide a common TRL 4 underpinning the system.

One project will be selected for funding. The *Rules for Participation* are detailed in Annex 1. Further requirements are found in Annex 2 and the *Procedure for the submission to the Call* is in Annex 3.

### **II.3 PP-15-STAN-CERT-01: Standardisation of Remotely Piloted Aircraft System (RPAS) Detect and Avoid (DAA)**

Specific Challenge: Military have been using Remotely Piloted Aircraft Systems (RPAS) during the last decades and they will probably be the first RPAS operator requesting access to non-segregated air space in Europe once the regulation for these operations is in place. The Detect and Avoid technology is a key element in this regulation and there is a strong need to have a certifiable solution available for military applications that could benefit in the end civil applications.

The project should support the standardisation of Detect and Avoid functionality for RPAS on the basis of technological solutions developed by completed or on-going collaborative research and technology projects. The aim of these standardisation activities is to provide the technical grounds for the development of the abovementioned regulation and the certification of this technology.

Scope: The project shall address specific standardisation activities for a performant and affordable detect and avoid function usable on-board Remotely Piloted Aircraft. The project shall cover one or several topics from the following list:

- Development of standard specifications for cooperative and/or non-cooperative sensor suites;
- Development of standard specifications for sensor data integration (data fusion...) function;
- Development of standard specifications for RPAS self-separation function;
- Development of standard specifications for the Collision Avoidance function;
- Development of standard specifications for the human interface related to the Detect and Avoid function (including self-separation and collision avoidance).

Prioritization in the above list should be made based on the results of research projects undertaken on detect and avoid like EDA's ad-hoc MIDCAS project.

For the different technical points addressed, the production of draft standard specifications up to the level of MOPS (Minimum Operational Performance Standards) has to be considered. It is important that the output of the project is consistent with the standardisation processes currently implemented at the European level in the aeronautical domain, in particular EUROCAE WG73.

The project shall focus on European detect and avoid technical solutions and be consistent and complementary with on-going European activities in this field. The involvement of European authorities working on RPAS regulations, in particular EASA, should be ensured.

The work has to be planned over a period of 18 months.

Indicative budget: 434.625€

Expected output: This project is expected to support the widespread use of both civil and military Remotely Piloted Aircraft Systems (RPAS) in non-segregated airspace in Europe. The regulatory framework to enable these operations is currently being produced and the Detect and Avoid functionality is one of its key requirements. The project will contribute to set the European



standards that will provide the technical grounds for the certification of the Detect and Avoid technology in the frame of this regulation.

TRL: The project shall aim at mid to high Technology Readiness Levels TRL5-8

One project will be selected for funding. The *Rules for Participation* are detailed in Annex 1. Further requirements are found in Annex 2 and *the Procedure for the submission to the Call* is in Annex 3.

### III. Overview of Budget

Topics	2015 EU Budget	2016 EU Budget (subject to availability of funds)	Deadlines
	869.250		
PP-15-INR-01	434.625		20 May 2016, 17.00
PP-15-INR-02		475.000	20 May 2016, 17.00
PP-15-STAN-CERT-01	434.625		20 May 2016, 17.00

The table indicates the maximum rates of Union financial contribution for the project

Maximum reimbursement rates of actual eligible costs	EU Funding
<b>Direct Costs</b>	<i>100% of eligible costs<sup>4</sup></i>
<b>Indirect Costs</b>	<i>flat rate of 25% of direct eligible costs<sup>5</sup></i>

Eligibility costs are defined in Article II.20 of the draft Grant Agreement. With particular regard to VAT, VAT paid by beneficiaries of grants awarded following this call for proposals is eligible except:

- deductible VAT (VAT paid by the beneficiary for the implementation of taxed activities or exempt activities with right of deduction);
- VAT paid for the implementation of activities engaged in as a public authority by the beneficiary where it is a Member State, regional or local government authority of a Member State or another body governed by public law of a Member State. Considering that beneficiaries that are public bodies of Member States are expected to carry out activities as public authorities (to exercise prerogatives of public powers), VAT paid by beneficiaries that are public bodies established in Member States is, in principle, ineligible.

<sup>4</sup> As defined in Article II.20 of the Draft Grant Agreement

<sup>5</sup> As defined in Article II.20 of the Draft Grant Agreement

The payment scheme for the present grant will be as follows, subject to the provisions of Article I.5 of the draft Grant Agreement:

*grant estimated budget can be spread as follows, up to maximum of:*

25% as Pre-financing

25% as Interim payment

50% as final payment.

## Annex 1

### Rules of Participation for the Pilot Project for Research in the field of Defence

#### **1. ACTIVITIES AND FINANCIAL SUPPORT**

The Pilot Project launched in 2015 aims to test the conditions for Defence research in the EU framework and pave the way for the planned Preparatory Action on Defence Research foreseen in the Commission's 2013 Communication on the defence and security sector and the 2014 implementation roadmap.

The activities undertaken in the scope of the Pilot Project (PP) for research in the field of Defence shall be:

- a) two technological development projects in the area of defence and
- b) one research and development project linked to certification

Projects shall be invited by calls for proposals. The financial contributions to projects shall be covered by a written agreement (grant agreement).

Calls for proposals shall be published in the Official Journal of the Union.

For calls for proposals, the evaluation and negotiation procedures and the principles for IPR and grants contracts are described in sections 3, 4, 5, 6 and 7 below.

#### **2. PARTICIPATION**

##### **2.1. General principles**

Legal entities established in the Member States<sup>6</sup> shall be eligible to participate and receive a Union financial contribution. The participants can be public authorities, industrial organisations: public and private (including SMEs), higher education institutions and research organisations.

Participants should be established in the EU. If necessary to comply with EU classified information (EUCI) requirements, they shall be able to produce a security clearance at the appropriate level obtained from their National Security Authority.

In exceptional cases and over and above the minimum number of participants, legal entities established elsewhere in the European Economic Area (EEA) may participate. Involvement from EEA countries will be subject to arrangements of a reciprocal nature with that country.

Appropriate measures shall be taken to ensure that classified information is treated in accordance with the Commission provisions on security<sup>7</sup>. In addition, participants in a consortium shall ensure that the treatment of classified information complies with the security regulations applicable.

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<sup>6</sup> Member States means all States of EU-28.

<sup>7</sup> Commission Decision (EU, Euratom) 2015/444.

## **2.2. Minimum number of participants**

Projects shall be carried out by a consortium composed of at least three independent legal entities from three different Member States<sup>8</sup>. It should be noted that collaborative working between different Member States entities, is strongly encouraged and represents one key objective of this Pilot Project.

Consortia shall be represented by a coordinator who shall ensure coordination tasks and administer the Union funding regarding its allocation between the participants.

## **2.3. Technical competence and resources**

Participants shall have the knowledge and technical competence needed to carry out the activity. As work progresses, participants shall have the resources as and when needed to carry out the activity. The resources needed to carry out the activity are understood to be human resources, infrastructure, financial resources and, if necessary, intangible property and other resources made available by a third party on the basis of a prior commitment.

## **3. EVALUATION OF PROJECT PROPOSALS**

### **3.1. Evaluation and selection procedure**

EDA is responsible for eligibility check and evaluation of proposals. The proposals for projects submitted in response to a call for proposals shall be evaluated according to the procedure described below. Classified documentation shall be treated in accordance with the applicable rules on classified documents.

### **3.2. Eligibility check**

EDA shall verify that proposals meet the following eligibility criteria:

- receipt of proposal by EDA on or before the deadline date and time established in the call;
- minimum number of participants, as referred to in the call for proposals;
- completeness of the proposal, i.e. presence of all requested administrative forms and the proposal description, see annex 2;
- possession of the necessary accreditation to handle classified information

Only proposals that fulfil the eligibility criteria shall be retained for evaluation.

### **3.3. Evaluation criteria**

Each proposal shall be assessed on the basis of the following criteria:

- relevance of the proposal to the Work Plan of the Pilot Project;
- scientific and/or technological excellence and contribution to tangible and demonstrable improvements in the field of defence;
- encouraging cooperation and building effective partnerships between (public) users, industry and research;

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<sup>8</sup> If the composition of project partners in an EEIG (European Economic Interest Group) is comparable with these conditions, the EEIG shall also be eligible.

- ability of the consortium to carry out the project successfully and to ensure its efficient management and clear plans for the management and protection of intellectual property.

#### **3.4. Scoring, thresholds and weighting of evaluation criteria**

Each evaluation criterion shall be marked on a six-point scale from 0 to 5 indicating the following:

0 - the proposal fails to address the issue under examination or cannot be judged against the criterion due to missing or incomplete information.

1 - poor; 2 - fair; 3 - good; 4 - very good; 5 - excellent.

A minimum threshold of 3 shall be set for all the criteria. Any proposal, which fails to achieve one of the threshold scores, shall be rejected. A total score shall be calculated for all the proposals, which pass all thresholds with all criteria weighted equally. A minimum threshold of 15/20 shall be set for the total score.

#### **3.5. Description of proposals' evaluation**

Each proposal shall be evaluated by at least three evaluators (working independently and without any conflict of interest). They shall give marks and comments for each criterion.

Once all the evaluators to whom a proposal has been assigned have completed their individual assessment, a consensus discussion may be convened to discuss the marks awarded and agree on a consensus mark for each criterion.

A panel of evaluators shall carry out a final examination, consolidate the scores and agree on the consensus reports.

The outcome of the panel meeting is a report containing for each proposal the scores and underpinning comments for each criterion, and a list of proposals passing thresholds, if any, along with a final mark for each proposal passing the thresholds and the panel recommendations for priority order.

#### **3.6. Feed back to proposers**

The coordinator of each proposal shall receive the evaluation report of his proposal. For those proposals rejected after failing an evaluation threshold, the comments may only be complete for those criteria examined up to the point when the threshold was failed.

### **4. FINALISATION OF THE EVALUATION**

#### **4.1. List of proposals to pass evaluation**

EDA shall draw up a ranking list of all the proposals evaluated.

#### **4.2. Reserve list**

The list of proposals to be retained for negotiation takes into account the budget available (which is set out in the call for proposals). If necessary, a number of proposals are kept in reserve to allow for the failure of negotiations, withdrawal of proposals and/or savings to be made during grant negotiation. If two proposals have the same final score, the Commission services shall take into account the Pilot Project's objectives, the compatibility of the proposals with stated Union objectives and the available budget.

The coordinators of any proposals held in reserve receive confirmation that negotiations with a view to preparing a grant may be offered, but only if funding becomes available.

When the budget for the call has been used up, any proposal remaining from the 'reserve' which could not be funded shall be rejected and the coordinators informed.

#### **4.3. Rejection decision**

The proposals found to be ineligible, out of scope, failing any of the individual thresholds for evaluation criteria and those which, because they fall below a certain ranking cannot be funded for budgetary reasons shall be rejected by a decision of the EDA authorising officer.

### **5. SELECTION PROCEDURE**

Immediately following the approval of the final ranked list by the Commission services, EDA may invite to begin negotiations with the coordinators of proposals that have not been rejected and for which funding is available.

Negotiation may cover any scientific, legal or financial aspects of the proposal, based on any issue raised during the evaluation or any other issue that was taken into consideration at the ranking stage.

Future contractors must be in compliance with the Regulation (EU, Euratom) 966/2012. In addition, any potential contractor subject to a conflict of interest or having been found guilty of misrepresentation in supplying the information required as a condition for participation in the contract or failing to supply such information shall be excluded from participation in any future grant contract.

If it proves impossible to reach agreement with proposers within 30 working days at maximum, EDA may impose that negotiations on grant preparation be terminated and the proposal rejected.

If negotiations are successful, grant agreements shall be awarded.

### **6. REPORTS AND AUDIT**

The projects shall regularly report to EDA in order to allow proper monitoring. EDA in turn shall report to the Commission services as established.

In performing monitoring of activities, EDA may be assisted by independent experts (appropriately cleared if necessary). EDA, the Commission, or any representative authorised by them, shall have the right to carry out scientific, technological and financial audits on the participants, in order to ensure that the activities are being or have been performed under the conditions claimed and in accordance with the terms of the grant.

### **7. CONTRACT AND INTELLECTUAL PROPERTY RIGHTS**

#### **7.1. General principles**

The grant agreement for projects shall follow Title VI of the Regulation (EU, Euratom) 966/2012. The grant agreement shall be signed by EDA's authorising officer and the consortium coordinator representing all participants of the consortium, or all of them.

Depending on the type of project, innovative research or certification, varying degrees of special clauses may be added during grant agreement negotiations concerning ownership of knowledge, protection of knowledge, use and confidentiality, and access rights in order to test the specificities that may arise in the activities of this Pilot Project.

## **7.2. Union financial contribution**

The Union financial contribution shall take the form of a grant to the budget, calculated as a percentage of the budget established by the participants to carry out the project. The expenses needed to implement the project or the supporting activity shall be certified by an external auditor or, in the case of public bodies, a competent public officer.

Eligible expenses must meet the following conditions:

1. They must be actual, economic and necessary for the implementation of the project or supporting activity;
2. They must be determined in accordance with the usual accounting principles of the individual participant;
3. They must be recorded in the accounts of the participants or, in the case of the resources of third parties in the corresponding financial documents of those third parties;
4. They shall be exclusive of indirect taxes, duties and interest and may not give rise to profit.

## **7.3 Intellectual property rights**

Regarding the IPR arrangements of the projects a case by case approach shall be adopted with negotiations with the participants taking place before the award.

As a general framework for the IPR arrangement:

Funding shall take place through Grants. The results<sup>9</sup> shall be owned by the beneficiaries. The beneficiaries shall identify the background<sup>10</sup> for their action in any manner in a written agreement.

A member of the consortium shall enjoy access rights<sup>11</sup> to the results and the background of another member of the consortium if this is needed by the former to exploit its own results. Subject to agreement, such access shall be granted under fair and reasonable conditions<sup>12</sup>.

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<sup>9</sup> "Results" means any tangible or intangible output of the action, such as data, knowledge or information, that is generated in the action, whatever its form or nature, whether or not it can be protected, as well as any rights attached to it, including intellectual property rights

<sup>10</sup> "Background" means any data, know-how or information whatever its form or nature, tangible or intangible, including any rights such as intellectual property rights, which is: (i) held by participants prior to their accession to the action and (ii) needed for carrying out the action or for exploiting the results of the action.

<sup>11</sup> "Access rights" means rights to use results or background under the terms and conditions laid down in accordance with these rules.

<sup>12</sup> "Fair and reasonable conditions" means appropriate conditions, including possible financial terms or royalty- free conditions, taking into account the specific circumstances of the request for access, for example the actual or potential value of the results or background to which access is requested and/or the scope, duration or other characteristics of the exploitation envisaged;



The Union (including its institutions and agencies) and the Member States shall enjoy royalty-free access rights to results funded by the Union for the purpose of the development of their policies and programmes. Access rights to the results shall be limited to non-commercial and non-competitive use.

With regard to results generated through Union funding, the Commission may object to transfers of ownership or to grants of a license or sub-license to another entity registered or based outside the EU Member States, if it considers that such action is inconsistent with the interests of the Union or security considerations. In such cases, the transfer or licensing shall not take place unless the Commission is satisfied that appropriate safeguards will be put in place. The Commission is to be notified in advance of any such transfer or licensing.

## Annex 2

### Requirements for participation to the Call

#### **1.1 Exclusion Criteria**

Applicants must provide documents certifying that they are not in any of the situations listed below:

- i. they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
- ii. they or persons having powers of representation, decision-making or control over them have been convicted of an offence concerning their professional conduct by a judgment of a competent authority of a Member State which has the force of *res judicata*;
- iii. they have been guilty of grave professional misconduct proven by any means which the contracting authority can justify including by decisions of the EIB and international organisations;
- iv. they are not in compliance with their obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or with those of the country of the contracting authority or those of the country where the contract is to be performed;
- v. they or persons having powers of representation, decision-making or control over them have been the subject of a judgment which has the force of *res judicata* for fraud, corruption, involvement in a criminal organisation, money laundering or any other illegal activity, where such illegal activity is detrimental to the Union's financial interests;
- vi. they are subject to a financial or administrative penalty referred to in Article 109(1) of the EU Financial Regulation;<sup>13</sup>
- vii. they are subject to a conflict of interests;
- viii. they are guilty of misrepresenting the information required by the contracting authority as a condition of participation in the procurement procedure or have failed to supply that information. Proposals failing to meet the above criteria will not be further evaluated. These same exclusion criteria apply to affiliated entities. Applicants and their affiliated entities, if applicable, must certify that they are not in one of the situations listed above

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<sup>13</sup> Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002 (OJ L 298, 26.10.2012, p. 1)

### **1.2 Selection Criteria – Financial Capacity**

Applicants must have stable and sufficient sources of funding to maintain their activity throughout the period during which the action is being carried out and to participate in its funding. Applicants' financial capacity will be assessed on the basis of the following supporting documents to be submitted with the application:

- the profit and loss account, the balance sheet for the last financial year for which the accounts were closed, which may be audited;
- for newly created entities, a letter of support obtained from a third party.

The requirement for applicants to demonstrate their financial capacity does not apply to Member States, public bodies established in the EU/EEA countries, international organisations, European Economic Interest Groupings (EEIG)<sup>11</sup> which are 50% owned by public body(ies), and affiliated entities unless the applicant relies fully on them for implementing the action.

### **1.3 Selection Criteria – Operational Capacity**

Applicants must have the operational and technical competencies and capacities required to complete the proposed activities for which the grant is awarded. They must provide the appropriate documents attesting to that capacity (e.g. organisation activity reports, proof of experience in carrying out equivalent actions in related fields).

## Annex 3

### Procedure for submission to the Call

Applicants are requested to carefully read all call-related documents. Proposals must be submitted using the application forms in the annex which are also available at:

<http://www.eda.europa.eu/procurement-gateway>

Proposals must be signed by the consortium leader or its duly authorized representative and must be perfectly legible so that there can be no doubt as to words and figures.

Applicants are strongly encouraged to submit their applications in English.

Submission of a proposal implies acceptance of all the terms and conditions set out in the present call for proposals and draft grant agreement and, where appropriate, waiver of the applicant's own general or specific terms and conditions.

This call for proposal is in no way binding on EDA to award a grant. The Agency's contractual obligation commences only upon signature of the grant agreement with the successful selected applicant. Up to the point of signature, EDA may either abandon the call for procedure or cancel the award procedure, without the candidates being entitled to claim any compensation.

All costs incurred in preparing and submitting proposal are borne by the candidate and cannot be reimbursed.

#### **FINAL DEADLINE AND ADDRESS FOR SUBMISSION OF PROPOSALS**

The final deadline for submission of proposals is the **20 May 2016 at 17.00 CET**.

Date of publication of call for proposal	March 2016
Deadline for the submission of proposals	20 May 2016 - 17:00 CET
Evaluation of Proposals	June - July 2016 <i>indicative</i>
Consultation of the Commission and <i>as-if</i> Member States' Committee	July 2016 <i>indicative</i>
Adoption of the award decision	Sept 2016 <i>indicative</i>
Preparation and signature of grant agreements	Oct 2016 <i>indicative</i>

You can submit your proposal:

- either by registered post or by courier service to the below address (**the post office stamp or the date of the deposit slip from the courier service will be considered as proof of the date of submission**). In this case, you are requested to send a message to EDA's dedicated e-mail address ([grant@eda.europa.eu](mailto:grant@eda.europa.eu)) indicating the fact that you have submitted a proposal. Proposal sent after the final deadline will automatically be rejected.

- or by hand to the below address, not later than 17h00 (Brussels local time). Any proposal hand delivered after the final deadline will automatically be rejected.

The proposal must be sent to the following postal address:

<p><b>European Defence Agency - EDA</b> <b>Procurement &amp; Contract Unit</b> <b>PP-15-INR-01, PP-15-INR-02 and/or PP-15-STAN-CERT-01<sup>14</sup></b> <b>Rue des Drapiers 17-23</b> <b>B – 1050 Brussels</b> <b>Belgium</b></p>
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### **HOW TO SUBMIT THE PROPOSALS**

Your proposal must be submitted using the double envelope system. The **outer** envelope should bear the above address and reference of the Call;

The **inner** envelope is to be sealed with adhesive tape, signed across the seal and carry the following information:

- the reference number of the Call PP-15-INR-01 and/or PP-15-INR-02 and/or PP-15-STAN-CERT-01
- the name of the applicant;
- the indication: "Proposal - Not to be opened by postal and/or security services"

Proposal must be complete and must include the completed Application form (including all annexes) in 1 original paper version and 1 electronic (CD/USB) containing the complete set of documents as submitted on paper. This electronic version must be identical to the paper version.

In case of any discrepancies between the electronic and original paper version, the latter will prevail. All documents presented by the applicant become the property of EDA and are deemed confidential.

Further information or clarifications on this call for proposals will be published on the call page at the following link: <http://www.eda.europa.eu/procurement-gateway>.

### **Contacts between EDA and applicants**

Contacts between EDA and applicants are prohibited throughout the procedure save in exceptional circumstances and under the following conditions only:

#### **Before the final date for submission of proposals:**

- \* At the request of the applicants, EDA may provide additional information solely for the purpose of clarifying the nature of the Grant agreement.

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<sup>14</sup> Applicants must indicate the grant proposals for which they are submitting a proposal. In case applicants submit a proposal for both, proposals are to be sent separately as distinct proposals.

Any requests for additional information must be made in writing only and shall be addressed to the following e-mail address: Grant@eda.europa.eu

Requests for additional information received less than six working days before the final date for submission of proposals will not be processed.

\* EDA, on its own initiative, inform interested parties of any error, inaccuracy, omission or any other clerical error in the text of the call for tenders.

\* Any additional information including that referred to above will be posted EDA Webpage (<http://www.eda.europa.eu/procurement-gateway>) under “question & answers”. The website will be updated regularly and it is the applicants' responsibility to check for updates and modifications during the tendering period.

#### **After the opening of proposals:**

If clarification is required or if obvious clerical errors in the proposal need to be corrected, EDA may contact the applicants provided the terms of the proposal are not modified as a result.

All applicants will be informed of the outcome of their application by e-mail. **It is the applicant's responsibility to provide a valid e-mail address together with their contact details in their application and to check their e-mail regularly**

#### **Data protection**

Processing applicant's reply to the call for proposal involves the recording and processing of personal data (such as name, address and CV), such data will be processed pursuant to the rules laid down in Regulation (EC) No 45/2001 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data, in accordance with Article 31 of Council Decision (CFSP) 2015/1835<sup>15</sup>. Unless indicated otherwise, the replies to the questions and any personal data requested are required to evaluate the proposal in accordance with the specifications of the call for proposal and will be processed solely for that purpose by EDA and the Commission. Details concerning the processing of personal data are available on the privacy statement at: <http://www.eda.europa.eu/docs/default-source/procurement/privacy-statement.pdf>

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<sup>15</sup> Council Decision (CFSP) 2015/1835 of 12 October 2015 defining the statute, seat and operational rules of the European Defence Agency (OJ L 266, 13.10.2015, p. 55).