



SESAR 3 JOINT UNDERTAKING
Call for tenders S3JU/LC/004/CFT -
SESAR 3 Development Support Service 2.0
Open procedure

TENDER SPECIFICATIONS

CORRIGENDUM 1

OF 29/07/2022

(changes tracked)

TABLE OF CONTENTS

1.	SCOPE AND DESCRIPTION OF THE PROCUREMENT	4
1.1.	Contracting authority: who is the buyer?	4
1.2.	Subject: what is this call for tenders about?	4
1.3.	Lots: is this call for tenders divided into lots?.....	4
1.4.	Description: what do we want to buy through this call for tenders?	4
1.5.	Place of performance: where will the contract be performed?.....	16
1.6.	Nature of the contract: how will the contract be implemented?.....	16
1.7.	Volume and value of the contract: how much do we plan to buy?.....	17
1.8.	Duration of the contract: how long do we plan to use the contract?	18
1.9.	Electronic exchange system: can exchanges under the contract be automated?	18
2.	GENERAL INFORMATION ON TENDERING.....	19
2.1.	Legal basis: what are the rules?	19
2.2.	Rules on access to procurement: who may submit a tender?	19
2.3.	Registration in the Participant Register: why register?.....	19
2.4.	Ways to submit a tender: how can economic operators organise themselves to submit a tender?	20
3.	EVALUATION AND AWARD	24
3.1.	Exclusion criteria	24
3.2.	Selection criteria	25
3.3.	Compliance with the minimum requirements specified in the procurement documents.....	31
3.4.	Award criteria	31
3.5.	Award (ranking of tenders)	33
4.	FORM AND CONTENT OF THE TENDER	34
4.1.	Form of the tender: how to submit the tender?.....	34
4.2.	Content of the tender: what documents to submit with the tender?	34

4.3. Signature policy: how can documents be signed?	37
4.4. Confidentiality of tenders: what information and under what conditions can be disclosed?	38
APPENDIX 1: LIST OF REFERENCES.....	40
APPENDIX 2: TOOL DETAILED REQUIREMENTS.....	42
1. Priority Levels.....	43
2. Requirement Streams	43
3. High-Level Requirements: Programme Management Processes.....	45
4. High-Level Requirements – Administration & Transversal Functional Areas	62
5. High-Level Requirements – Non-Functional Areas	81
ANNEXES.....	84
Annex 2. Declaration on Honour on exclusion and selection criteria	90
Annex 3. Power of attorney	91
Annex 4. List of identified subcontractors.....	93
Annex 5.1. Commitment letter by an identified subcontractor	94
Annex 5.2. Commitment letter by an entity on whose capacities is being relied	95
Annex 6. Financial offer form.....	96
Annex 7. List of acronyms, definitions and references	97
<u>Annex 8. Governing board decision ref. GB(D)003-21</u>	<u>99</u>
<u>Annex 9. Compliance to the Tool detailed requirements (Appendix 2).....</u>	<u>100</u>

1. SCOPE AND DESCRIPTION OF THE PROCUREMENT

1.1. Contracting authority: who is the buyer?

This call for tenders is launched and managed by the SESAR 3 Joint Undertaking, referred to as the *Contracting authority* for the purposes of this call for tenders,

1.2. Subject: what is this call for tenders about?

The subject of this call for tenders is SESAR 3 Development Support Services to the SESAR 3 JU for Digital European Sky (DES) Programme Management (see Annex 7 for list of acronyms).

1.3. Lots: is this call for tenders divided into lots?

This call for tenders is not divided into lots.

1.4. Description: what do we want to buy through this call for tenders?

In order to ensure the adequate management of DES activities and to deal with the numerous components of the SESAR 3 Multi Annual Work Programme (MAWP) without increasing rigidity in its organisation and cost structure, the SESAR 3 JU requires the support of an external service provider for the provision of **SESAR 3 Development Support Services (S3DSS)**. These services will consist of assisting the SESAR 3 JU as well as SESAR 3 JU Members in the overall development and delivery of the SESAR Solutions and will aim ultimately at de-risking the timeliness technical execution of the MAWP. The provision of S3DSS will cover both the ramp-up and running of the new DES programme activities. This call also aims at ensuring a successful integrated transition from on-going activities in order to meet the objective of continuity and consolidation of programme management approach between SESAR 2020 and SESAR 3. It will integrate in particular the following activities:

- The current SDSS Support contract will be completed by 31 December 2022. A period for the transfer of knowledge to the new awarded contractor will be organised by SESAR 3 JU in due time.
- The current Programme collaborative tooling currently hosted by SESAR 3 JU will be de-commissioned when the new tool to be made available under S3DSS will be deployed in operations. Relevant Data transfer from the current tool to the new one will be planned by the contractor, selected as a result of this call.

The services that are the subject of this call for tenders, including any minimum requirements, are described in detail below.

The objective of this Call is to support the SESAR 3 JU with the implementation of the applicable programme management processes, procedures and tool, adapted to the specific SESAR 3 JU Programme business needs.

As further described below, this Call for tenders is about the execution of recurring defined programme management processes and procedures that support the DES programme management operations.

The objective of S3DSS is to support the SESAR 3 JU and the SESAR 3 JU Members under SESAR 3 in the implementation and execution of the processes and procedures required guaranteeing consistency in the Programme lifecycle, as defined in the Project handbook [<https://sesarju.eu/sites/default/files/documents/projects/SESAR3ProjectHandbook.pdf>].

The awarded tenderer shall provide the adequate level of professionalism to complement the SESAR 3 JU in these activities and provide an efficient, effective and economic interface to its Members.

Variants on the terms of reference are not permitted.

1.4.1 Background and objectives

SESAR 3 JU will award a direct service contract to support SESAR 3 JU teams in their daily programme management activities in order to secure and increase quality of the DES output (i.e. SESAR Solutions).

Programme Management approach was developed during SESAR 1 and consolidated during S2020, identifying robust and complex processes aiming at delivering high quality output in the form of SESAR Solutions.

SESAR 3 JU has been set up with new challenging objectives in terms of scope (new entrants and new operations such as U-space and Higher Airspace Operations) but also new quality criteria (e.g. filling the industrialisation gap and facilitating the bridge with implementation, Fast Track Innovation and Uptake).

While internal SESAR 3 JU teams and resources have demonstrated competences to address all these new objectives, additional support in specific operational expertise domains and agile methodology approach are expected to keep up to date with state of the art methodology approaches and support SESAR 3 JU digital transformation.

The contract to be awarded will be aimed at streamlining the programme management approach while increasing the quality of DES delivery according to the MAWP challenges and objectives and the project handbook.

1.4.2 Detailed characteristics of the purchase

The evaluation committee will check the technical tender form for compliance with the minimum requirements set out in the technical specifications.

Any tender which departs from the requirements set out in the tender specifications or which fails to meet all those requirements may be rejected on the grounds of non-compliance with the tender specifications and will not be evaluated.

The tender shall be in compliance with:

1.4.2.1 Programme management collaboration tool and operating services specification:

➤ 1.4.2.1.1 Objective and scope

The objective of this Programme Management collaboration tool is to provide a collaborative platform (called STELLAR 2.0) and associated operating services to support the SESAR 3 JU and its Members in execution of the Programme management processes. The tool shall offer a tailored and user-friendly interface to the wide community of users within the DES.

The tool will consist of a commercial off-the-shelf product (COTS) that will be customised in order to support the processes as described in the “SESAR 3 Project handbook”.

A first non-exhaustive list of requirements can be found in **appendix 2** (“Tool detailed requirements”). Any software application able to cope with the requirements will be welcomed. A classification of requirement is proposed (e.g. Mandatory...) to introduce an order in the development approach of the BMS and the tender is invited to provide a coverage matrix of all requirements in the proposal.

The Tool shall be dimensioned for 5 500 (five thousand five hundred) Users in total and 1000 (one thousand) concurrent accesses.

➤ 1.4.2.1.2 Ownership

The selected contractor shall act as repository and tool manager. The SESAR 3 JU and its Members retain full rights and ownership of the content of the database.

The selected contractor will provide a virtualised desktop environment providing suitably authorised and trained users remote access to the tool and repository. The selected contractor will have to maximise the overall effectiveness and value of the tool by ensuring that it meets the needs across the Programme and of the SESAR 3 JU to undertake responsibility. When required and upon SESAR 3 JU request (e.g. at the end of the contract), the future contractor will deliver the elements allowing the SESAR 3 JU to continue the Programme Management operations, in particular:

- The populated database;
- The set of tool configuration and customisation files.

➤ 1.4.2.1.3 Delivery approach

In the technical offer, the tenderer shall propose a suitable plan, methodology and organisation describing the delivery approach. The delivery approach shall be incremental and based on configuration items taking into consideration the management of projects portfolio (Remark : The iterative versions of the tool made available during the execution of the contract will be regularly assessed by SESAR 3 JU in particular at the bi-monthly progress review meetings).

This plan will also include and describe all activities required to ensure the transfer of knowledge to all users guaranteeing an effective launch into operations. Roles and responsibilities and control mechanism to be put in place during the execution of the contract

will be specified. Close coordination with SESAR 3 JU shall be ensured along the delivery of the tool, on the basis of the initial proposed plan.

The future contractor shall provide the server and hosting facilities. The tool shall provide remote access to the Users based on native functions of off-the-shelf Web browsers.

During the execution of the contract, the selected contractor will provide to the SESAR 3 JU the relevant training sessions and user manual for the effective use of the tool.

In the technical offer, the tenderer shall provide screenshots of functionalities of the tool, based on Use Cases (e.g. Annex 1) and will explain how the proposed tool will answer to the requirements through a coverage matrix of the BMS requirements.

➤ 1.4.2.1.4 Collaborative tool operating services

The tenderer is required to describe in the technical offer how the following aspects related to the operating services will be addressed:

✓ Service management

The tenderer shall propose a methodology (e.g. ITIL-like) that will describe the way maintenance and support will be provided together with the running of the operations and the hosting monitoring.

✓ Maintenance

The selected contractor shall be able to ensure incremental implementation of changes in order to either fix defects (bugs) or add new features to meet system evolution or user needs. A corrective maintenance throughout the contract duration will be guaranteed. The tendered shall also explain in its technical proposal its strategy for dealing with the obsolescence of the tool.

✓ Support

The tenderer is required to provide technical support/helpdesk service to the tool users. This support service will range from taking care of the user's feedback, like reporting a bug, raising a request for change, raising a question to the Multi-tiered technical support (Levels 1, 2 & 3).

✓ Availability

Server side Availability:

- Availability of supporting staff during business hours (from 08.00 to 18.00 Central European Time) or otherwise on prior request.
- Overall resilience (Redundancy/continuity, Back-up file for data recovery).

Client side

- Availability of supporting staff during business hours or otherwise on prior request.
- Secure access to the tool via web (https).
- Multiple and simultaneous access for 1000 different users called (concurrent users), as mentioned above in 1.4.2.1.1.

➤ 1.4.2.1.5 Service level agreement

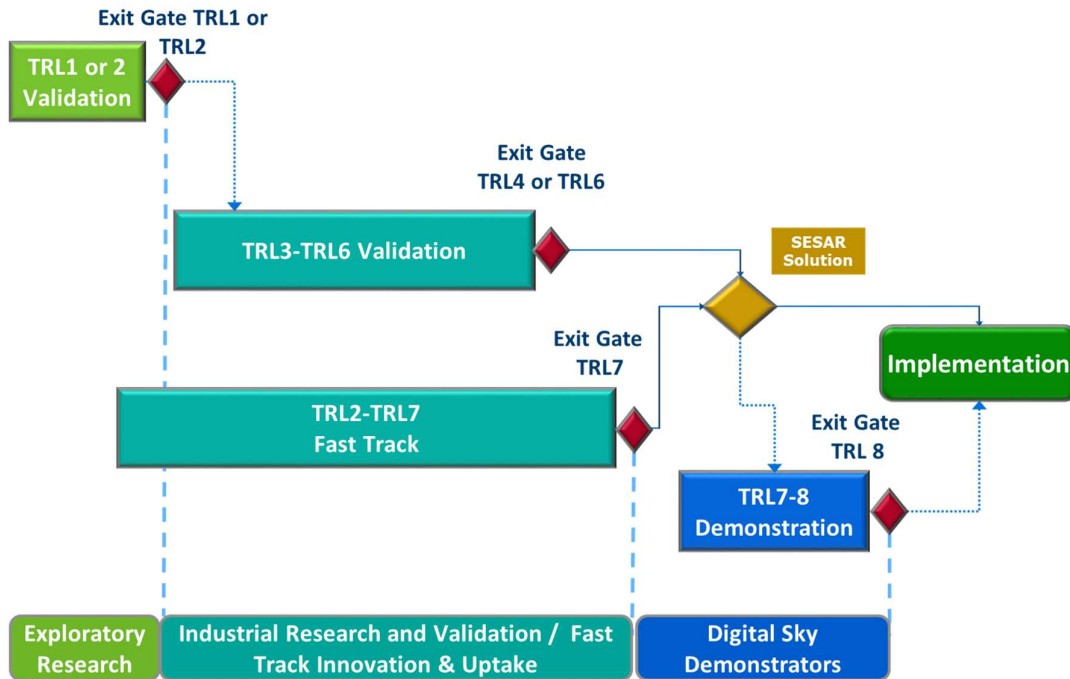
The tenderer shall also include in the offer a **Service Level Agreement** (including Quality Indicators) (hereinafter SLA) that will cover the above listed services and will address elements such as performance measurement, availability, security, problem management, customer duties, disaster recovery, termination of agreement. The SLA, upon agreement of the SESAR 3 JU, will be part of the contract and will be regularly monitored (Quarterly Reporting).

The technical offer shall also clearly identify the costs related to the delivery activities of the Programme management tool, the costs of licenses and the operating & services costs. Information related to the total fixed price covering the maximum contract duration (i.e. 8 years) shall be provided in the financial offer, as indicated in section 4.2 below.

1.4.2.2 Operational support specification as follow:

a) Support to SESAR Solutions Lifecycle management

The SESAR Solution lifecycle includes six Exit maturity Gates, which are decision points assessing the achieved results; it is supported by yearly Project review meeting during which solution self-assessment will be presented and reviewed to agree on the continuation of development and validation activities along the lifecycle.



Each maturity Gate is based on a set of maturity criteria. All these maturity Gates will address the related SESAR Solutions taking their lifecycles into consideration.

The objective of this activity is to provide first level support to the SESAR 3 JU for the preparation and execution of the maturity Gates through the following tasks:

- Produce maturity Gate Reviews guidance documents (including associated training material and actual training on the process), material and draft maturity Gate Reports;
- Support SESAR 3 JU in the organisation and execution of the maturity Gates.
- Support in the Standardisation and Regulatory area.
- Support in the Market Uptake area.

b) Extended Release Strategy production & maintenance

The delivery and monitoring of the Master Plan is based on the actual programme progress as monitored via the extended release strategy that mainly describes “What” and by “When” the Programme needs to deliver to meet member’s expectations (e.g. which SESAR Solution need to achieve full maturity) and that captures performance (and investments) contributions associated to each SESAR Solution.

The main tasks related to Extended Release Strategy production and maintenance are:

- Generate Extended Release Strategy and update it on a yearly basis based on the Programme evolution (e.g. evolution of SESAR Solution);
- Analyse and identify potential inconsistency between the declared SESAR Solution maturity and the Extended release Strategy and performance information report;
- Analyse and identify potential inconsistencies between R&D activities and Deployment Programme (e.g. analyse L3 Plan and Report);
- Build and maintain a SESAR dashboard of the key activities of the Programme lifecycle (e.g. Transversal Deliverables) and perform the necessary regular coordination with the SESAR 3 JU to ensure a proactive and strategic steering of the content
- Generate ATM Master Plan level 2 report for regular reporting about the progress of SESAR Programme development against the Master Plan ambitions.
- Build and maintain a holistic view on high TRL projects (Fast track and DSD) and on SESAR market uptake. This includes generating reports on demonstrators’ locations, figures (e.g. number of flights, etc.), participants, maturity as well as progress of standardisation and regulatory tasks.

c) Support to SESAR 3 Releases Management

On a yearly basis and using the Extended Release Strategy as reference, the definition of the Release Plan will set the high-level yearly targets that the Programme is committed to achieve in the yearly Release cycle.

The objective of this activity is to provide first level support to the SESAR 3 JU Programme Management activities for the definition, documentation and monitoring of the execution of SESAR 3 Releases.

The main tasks related to the support to Releases Management are:

- For a dedicated Release, capture the descriptions of SESAR Solutions and perform their consolidation into the yearly Release Plan;
- Support Programme Management activities in the monitoring of the execution of the Releases validation and demonstration exercises and ensure regular reporting on the achievements of the supporting Milestones;
- Support the preparation of SESAR Solutions Data Packs as results of the maturity Gate;
- Prepare the Release Close out Report. For each Release, the Close Out Report shall be ready to be baselined at the beginning of each following year.

d) Support to SESAR 3 JU programme management processes

The awarded tenderer shall provide support to the SESAR 3 JU in the execution of the Programme Management with the level of quality desired. This support shall cover, among others, the following tasks:

- Update Programme management data and report on quality controls;
- Regular reporting on the Programme activities (e.g. integrated project plans, dashboards, SESAR solutions description, Validation and Demonstration (V&D) roadmap...);
- Timely preparation and availability of documentation and checklists for Project review and maturity gates covering Exploratory & Industrial Research projects and SESAR Digital Sky Demonstration activities;
- Creation and maintenance of Programme database and related queries enabling the creation of reports consolidating different views addressing budgets, members or beneficiaries contribution, calls, Projects, Solutions delivered, performance results, etc. (non-exhaustive list).
- the update/maintenance of the main milestones of the performance workflow on the future collaborative platform

In more details, the selected contractor shall support SESAR 3 JU in the following process:

i) Project initiation and management

The activity will consist of supporting the SESAR 3 JU in the management of the portfolio of projects with a focus on ensuring technical coherence. It also covers supporting SESAR 3 JU in the change management process of the project handbook. It will be performed through the main following tasks:

- ..1. Creation and maintenance of template(s) in word and power point (requiring expertise for internal data management in and between documents...);
- ..2. Definition and support to the change management process and organise training when required;
- ..3. Consolidation of SESAR Solution initial scope (e.g. title and definition at a publishable level, description to the most comprehensive level in alignment with

ATM master plan and performance expectations) with production of SESAR Solution summary slide(s);

- ..4. Consolidation of the complete project schedule decomposition, with full coherency between all project schedule elements (e.g. alignment to SESAR taxonomy, logical schedule sequence, member's contribution identification and global alignment to Grant Agreement...but also securing initial project outputs such as standardisation needs, regulatory needs, communication, dissemination and exploitation plan and finally Project Management Plan technical coherence quality).

ii) RIO management

Each project shall manage their RIO and report yearly on its progress. The activity will consist of supporting the SESAR 3 JU in the following tasks:

- ..1. The selected contractor shall ensure quality in the definition and management of Risk, Issues and Opportunities (RIO) by projects through constant monitoring of the correct definition of all necessary characteristics as well as the monitoring of good RIO management at each project level.
- ..2. The selected contractor will also generate a Risk report three times per year.
- ..3. Support to SESAR 3 JU Risk Manager in Risk Management activities.
- ..4. Support tracking risks on the market uptake of SESAR Solution. This includes a consolidated view over the risks and opportunities for high TRL projects.

iii) Performance management

The activity will consist of supporting the SESAR 3 JU in the management of Performance processes by each project (e.g. Cost Benefit Analysis, Safety, Security, Human Performance, Environment, digitalisation/automation...but also operational performance). It will be performed through the main following tasks:

- Monitoring of the performance activity performed by each project through the definition and management of appropriate KPI;
- Consolidating project performance output in terms of timely delivery and quality of information for further integration and processing by the Performance transversal project.

iv) Content Integration

The activity will consist of supporting the SESAR 3 JU in the management of the portfolio of projects with a focus on progress and consolidation of the SESAR Architecture. It will be performed through the main following tasks:

- ..1. Analysing and reporting on content integration progress done by transversal project,
- ..2. Analysis and reporting on SESAR Solution content integration progress.

v) Quality assessment of deliverable management

The activity will consist of supporting the SESAR 3 JU in the management of the portfolio of projects with a focus on ensuring technical coherence. It also covers supporting SESAR 3 JU in the change management process of the Execution framework. It will be performed through the main following tasks:

- ..1. Preparation and organisation of the deliverable assessment session;
- ..2. Support the SESAR 3 JU in the maintenance of deliverable assessment criteria;
- ..3. Maintain deliverable assessment supporting tools in line with the applicable assessment criteria;
- ..4. Perform quality assessment on the deliverables produced by solution projects;
- ..5. Support to deliverable assessment through the provision of a report comparing the coverage of the SESAR Solution deliverable with its defined scope.

vi) Maturity Assessment

Maturity assessment consists of measuring the maturity of the SESAR Solution against pre-defined maturity criteria. This assessment is performed by the projects along the solution lifecycle and according to the each maturity level.

The tasks related to the Maturity Assessment are:

- ..1. Support the SESAR 3 JU in the maintenance of maturity assessment criteria;
- ..2. Maintain maturity assessment supporting tools in line with the applicable assessment criteria;
- ..3. Perform quality assessment on the maturity assessments produced by solution projects;
- ..4. Aggregate the maturity assessment and prepare the yearly Release Report and update of the Extended Release Strategy (ERS).

vii) Project Review

The project review is a yearly mandatory process part of the ‘reporting and payment’ contractual process of a project from two main perspectives:

- ..5. Assessment of the project execution;
- ..6. Monitoring the progress done in the development of SESAR Solution(s) with the analysis of the Maturity achieved.

The tasks related to Project review are:

- Plan, prepare and support the Project review meeting set up;
- Consolidate and analyse from technical coherence perspective all necessary inputs to be provided by projects;
- Support conclusion and recommendations elaboration and their implementation and monitoring.

viii) Communication, dissemination and exploitation

The Communication, dissemination and exploitation (CDE) activities consists of informing, promoting and communicating project's activities and results, as well as sharing knowledge and making project results public and finally making concrete use of results. These activities are key for DES programme but also for the European Research community. The activity will consist of supporting the SESAR 3 JU in the management of CDE activities planning and delivering. It will be performed through the main following tasks:

- Challenging project in their planning of CDE activities by reviewing their proposed plan from Technical coherence with the project schedule and development activities;
- Support SESAR 3 JU in monitoring the timely and quality delivery of the planned activities.

ix) External Stakeholder Management

External Stakeholders (e.g. Professional Staff Associations, National Supervisory Authority) bring "additional" expertise in the technical coherence of the SESAR programme. They support SESAR 3 JU in various processes of the Execution framework (e.g. Quality Assessment of Deliverables, Maturity gate...). The management of these External Stakeholders will be performed through the main following tasks:

- Support SESAR 3 JU in the planning of involvement of external stakeholders in the programme execution;
- Support external stakeholders in their delivery expected by SESAR 3 JU (through appropriate training or equivalent);
- Consolidate external stakeholder contribution through consolidated report.

e) Support to quality assurance of the overall SESAR 3 JU framework

The activity will consist of supporting the SESAR 3 JU in the management of the portfolio of projects with a focus on ensuring technical coherence of SESAR Solution. It also covers supporting SESAR 3 JU in the change management process of the programme execution. It will be performed through the main following tasks:

- Analyse and report to the SESAR 3 JU status of the Programme management KPIs of each project and SESAR Solution.
- Monitor and provide advice to ensure that all projects and SESAR Solutions apply the principles as defined by the SESAR 3 Project Handbook.
- Monitor and provide advice on the progress of standardisation and regulatory activities related to high TRL projects in view of accelerating the market uptake.

The selected contractor ensures the quality on the processes related to the Programme Management execution. This support shall cover, among others, the following tasks:

- Smooth running of Programme execution processes by monitoring them, providing amongst other training to staff and to the organizations involved in the SESAR Programme activities, and when necessary maintain/update the processes,
- Collection of data, adequate implementation of the relative processes and assessment of the data quality,
- Creation and maintenance of reports from members, Projects and Programme perspective about the status of Programme KPIs (e.g. Validation activities, quality of deliverables, delivery forecast, project Risk Management...).

1.4.3 Way of Working and contract information

A close relationship between the SESAR 3 JU and the selected contractor will be necessary all along the Contract lifecycle, to efficiently manage in a responsive manner, the DES Programme and SESAR 3 JU priorities that may occur.

➤ 1.4.3.1 Teams for contract implementation

The tenderer shall propose a team to ensure the adequate achievement of the tasks. The team proposed shall cover at least following profiles:

- A Project Manager who will be the interlocutor with the SESAR 3 JU
- Senior Experts
- Junior Experts, and
- Other team members

Accurate reference on the requirements of each of the profiles is provided in section 3.2.4 below.

The tender should provide details on the allocation of time and human resources and the rationale behind the choice of this allocation. Details should be provided as part of the technical offer. It is not a budget requested as part of the financial offer.

➤ 1.4.3.2 Meetings

In addition to the day-to-day activity, formal planning and coordination meetings will be held between the SESAR 3 JU and the selected tenderer, as follows:

- A **kick-off meeting** shall take place in Brussels at the SESAR 3 JU's premises. The selected Contractor will prepare the agenda taking into consideration the requirements in this present document, minutes and monitor the resulting actions
- **Bi-monthly Progress Meetings** between the selected Contractor and the SESAR 3 JU will be held either at the SESAR 3 JU's premises in Brussels, at the selected Contractor's premises or through electronic conferencing systems. The selected Contractor will prepare the agenda, minutes and monitor the resulting actions.
- **Additional meetings** may be organised depending on the needs.

➤ 1.4.3.3 Knowledge acquisition for SESAR 3 development support services

Following contract signature, there shall be a “handover phase” from the current SDSS contractor to the future selected S3DSS contractor. This handover phase will take place at the end of 2022, allowing the selected Contractor to get ready to take over the management and provision of SESAR 3 Development Support Services, in order to cause minimal disruption in the SESAR 3 JU operations.

The tenderer is required to include in the technical offer a proposed approach for the acquisition of the knowledge. Once selected, the tenderer will have to refine this approach into a formal deliverable called “Knowledge Acquisition Plan” describing the different activities, the timeline and the approach to be performed with a view to acquire the necessary knowledge in terms of processes execution.

1.4.4 Applicable legislation

In accordance with Point 3.3 below, the tenders shall comply with the legislation applicable in the field as well as with applicable data protection, environmental, social and labour law obligations established by Union law, national legislation, collective agreements or the international environmental, social and labour law conventions listed in Annex X to the Directive 2014/24 EU. The tenderer will declare in the Declaration on Honour on Exclusion Criteria and Selection criteria (Annex 2) being compliant with these requirements.

1.4.5 Deliverables

The technical offer shall also include:

- a summary of a S3DSS Management Plan describing the S3DSS processes and organisation, the schedule of deliveries as well as the working relationship with the SESAR 3 JU and its Members. This summary will also include a Risk management approach. Once selected, the tenderer will have to refine and detail these elements into a formal deliverable called “**S3DSS Management Plan (S3MP)**”.
- a proposed approach for Quality Management that will aim at ensuring the continuous monitoring and improvement of proposed services and deliveries to the SESAR 3 JU. This proposed Quality Management approach will contain an initial list of Quality Indicators. Once selected, the tenderer will have to refine and detail these elements into a formal deliverable called “**S3DSS Quality Management Plan (QMP)**”.

The following list of deliverables is expected to be submitted along the lifecycle of the contract. At the Kick-Off meeting, a tentative planning will be proposed by the selected contractor which will be subject to SESAR 3 JU approval. The list of deliverables is:

- Knowledge Acquisition Plan,
- S3DSS Service Management Plan including Risk Management approach;
- S3DSS Support Service Quality Management Plan;
- Quarterly S3DSS Risk dashboard;
- Quarterly S3DSS Progress Reports including report on tool operations, maintenance and support activities, system performance and availability (including Quality Indicators measurement); A proposal on the content of such quarterly reporting shall be included in the tenderer offer.
- Iterative versions of the tool (e.g. Release note);

- User, Administration Configuration, Issues management manuals
- S3DSS Annual Reports;
- S3DSS knowledge transfer plan at the end of the contract to assure handover to a successor;
- S3DSS closure report together with the elements allowing the SESAR 3 JU to continue the Programme Management operations, in particular:
 - The populated database;
 - The set of tool configuration and customisation files.
- Related to SESAR Solutions Lifecycle management
 - Maturity Gates guidance
 - Draft maturity Gate reports
- Extended Release Strategy update in preparation for each governance meetings;
- Related to DES Releases Management
 - Release Baseline Plan, once per year
 - Draft Release Close out Report, once per year;
- SESAR Solutions slides and Datapacks, once per year;
- Related to DES Programme Maturity Assessment
 - Draft DES Programme Maturity Report, once a year;
 - Maturity Assessment supporting tools
 - ATM coverage report, Programme KPI report, Project KPI report, Member KPI report, Member KPI report.
 - Status and progress of Market uptake
- Related to Deliverables Templates maintenance
 - Template training material
 - Updated templates for project deliverables

The tenderer may propose additional deliverables in his offer, deemed useful to complete the previous list. Similarly, some additional ad-hoc reports or deliverables could also be required by the SESAR 3 JU along the life cycle of the S3DSS contract to address specific needs.

1.5. Place of performance: where will the contract be performed?

The provision of services shall be performed either at the SESAR 3 JU premises in Brussels or remotely by the awarded tenderer at their premises. At least, one representative of the Project manager shall be permanently present in SESAR 3 JU premises.

1.6. Nature of the contract: how will the contract be implemented?

In direct contracts all the terms governing the provision of the services, supplies or works are defined at the outset. Once signed, they can be implemented directly without any further contract procedures.

☞ Tenderers need to take full account of the provisions of the draft contract annexed to this Invitation to tender as the latter will define and govern the contractual relationship(s) to be established between the *Contracting authority* and the successful tenderer(s). Special attention is to be paid to the provisions specifying the rights and obligations of the contractor, in particular those on payments, performance of the contract, confidentiality, and checks and audits.

➤ Management of professional conflict of interest

The selected tenderer shall not enter into a possible situation of Conflict of Interest, in particular:

- The tenderer shall be independent, in terms of management and finance, from any SESAR 3 JU members; it shall not have any ATM product in its portfolio; it shall guarantee not to use for future business opportunities any information received in the frame of SESAR 3 contract execution; it shall not be a member (even as subcontractor) or third party of the SESAR 3 DES programme.
- The tenderer shall guarantee not to use for future Business opportunities any information received in the frame of SESAR 3 contract execution.
- In case the tenderer is also a Member contributing to DES programme, the tenderer shall not compromise its independence and avoid making biased recommendations to gain any advantage in the DES Programme.

The tenderer shall describe in the technical offer the preventive measures he will put in place to avoid the above mentioned situations.

➤ Intellectual property rights (IPR)

The tenderer selected for award of the contract will be subject to the IPR provisions of the draft contract which is annexed to the Invitation to tender.

In addition, it should be noted that, if the activity results (please, refer to the draft contract for the definition of the “results”) are not to be fully created for the purpose of the contract it should be clearly pointed out in the tender.

In particular, for the development of the tool, there should be information provided about the scope of pre-existing materials, their source and when and how rights to them have been acquired.

In the tender all quotations or information originating from other sources and to which third parties may claim rights have to be clearly marked (source publication including date and place, creator, number, full title etc.) in a way allowing easy identification.

1.7. Volume and value of the contract: how much do we plan to buy?

The estimated total amount of all purchases under this contract is indicated under Heading II.1.5 of the contract notice. The quantities/services to be purchased over the total duration of the contract are specified in Section 1.4 of these specifications.

If the contract is terminated, the contractor shall not have the right to claim for any compensation apart from the payment for the part of the work actually performed and approved by the SESAR 3 Joint Undertaking in line with the approved milestone payment plan.

The interim payments (see Art. I.5.2 of the draft contract annexed to the invitation to tenders) will be made in line with the Milestone Payment upon the acceptance of the related deliverables by the SESAR 3 JU.

Within three years following the signature of the contract(s) resulting from the current call for tenders, the Contracting authority may use the negotiated procedure under point 11.1.e of Annex I to Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the financial rules applicable to the general budget of the Union¹ to procure new services from the contractor(s) up to a maximum of 50% of the initial contract value. These services will consist in the repetition of similar services entrusted to the contractor(s) and will be awarded under the following conditions:

- The contracting authority shall send an invitation letter informing the contractor(s) of the need for increasing the value of the contract up to a maximum of 50% of the initial contract value.
- The initial tender specifications shall remain the same
- The contractor(s) shall confirm its agreement on the repetition of the services under the same conditions.

1.8. Duration of the contract: how long do we plan to use the contract?

The contract(s) resulting from the award of this call for tenders will be concluded for at most 96 months. The details of the initial contract duration and possible renewals are set out in Article I.3 of the draft contract.

1.9. Electronic exchange system: can exchanges under the contract be automated?

For all exchanges with the contractor during the implementation of the contract as well as for future possible subsequent proceedings for the purposes of EDES ([European Union's Early Detection and Exclusion System](#)) the *Contracting authority* may use an electronic exchange system meeting the requirements of Article 148 of [Regulation \(EU, Euratom\) 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the financial rules applicable to the general budget of the Union](#). At the request of the *Contracting authority* the use of such a system shall become mandatory for the contractor(s) at no additional cost for the *Contracting authority*. Details on specifications, access, terms and conditions of use will be provided in advance; it is expected that the tool to be developed will meet the minimum requirement necessary to support the expectations of this article (see appropriate section of the tool requirement specification).

Note that meetings between the Contractor and the SESAR 3 JU shall be held at the SESAR 3 JU's premises in Brussels (unless stated otherwise) or through electronic conferencing systems. Nevertheless, the kick-off meeting of the contract shall take place in Brussels at the SESAR 3 JU's premises. The minimum number of meetings expected per year is 4 (management meetings).

2. GENERAL INFORMATION ON TENDERING

2.1. Legal basis: what are the rules?

This call for tenders is governed by the provisions of [Regulation \(EU, Euratom\) 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the financial rules applicable to the general budget of the Union](#) (the Financial Regulation)¹.

The *Contracting authority* has chosen to award the contract resulting from this call for tenders through an open procedure pursuant to Article 164(1) (a) of the Financial Regulation. In an open procedure any interested economic operator (any natural or legal person who offers to supply products, provide services or execute works) may submit a tender.

2.2. Rules on access to procurement: who may submit a tender?

Participation in this call for tenders is open on equal terms to all natural and legal persons coming within the scope of the [Treaties](#), as well as to international organisations.

It is also open to all natural and legal persons established in a third country which has a special agreement with the European Union in the field of public procurement on the conditions laid down in that agreement. Where the Agreement on Government Procurement² concluded within the World Trade Organisation applies, the participation to this call for tenders is open to all natural and legal persons established in the countries that have ratified this Agreement, on the conditions laid down therein.

The rules on access to procurement do not apply to subcontractors. Subcontracting may not be used with the intent to circumvent the rules on access to procurement.

To enable the *Contracting authority* to verify the access, each tenderer must indicate its country of establishment (and in case of joint tender – the country of establishment of each group member) and must present the supporting evidence normally acceptable under the law of that country/-ies. The same document(s) could be used to prove country/-ies of establishment and the delegation(s) of the authorisation to sign as described in **Section 4.3**.

2.3. Registration in the Participant Register: why register?

Any economic operator willing to submit a tender for this call for tenders must be registered in the [Participant Register](#) - an online register of organisations and natural persons participating in European Commission's calls for tenders or proposals (participants).

On registering each participant obtains a Participant Identification Code (PIC, 9-digit number) which acts as its unique identifier in the Participant Register. A participant needs to register only

¹ Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the financial rules applicable to the general budget of the Union, amending Regulations (EU) No 1296/2013, (EU) No 1301/2013, (EU) No 1303/2013, (EU) No 1304/2013, (EU) No 1309/2013, (EU) No 1316/2013, (EU) No 223/2014, (EU) No 283/2014, and Decision No 541/2014/EU and repealing Regulation (EU, Euratom) No 966/2012 (OJ L 193 of 30.07.2018, p.1).

² https://www.wto.org/english/tratop_e/gproc_e/gp_gpa_e.htm.

once – the information provided can be further updated or re-used by the participant in other European Commission's calls for tenders or calls for proposals.

⚡ Please provide information about the SME status of the participant in the Participant Register by filling in the SME Declaration section in the Participant Register. The section becomes available only when updating/modifying the details of the registered organisation.

At any moment during the procurement procedure the Research Executive Agency Validation Services (hereafter *the EU Validation Services*) may contact the participant and ask for supporting documents on legal existence and status and financial capacity. The requests will be made through the register's messaging system to the e-mail address of the participant's contact person indicated in the register. It is the responsibility of the participant to provide a valid e-mail address and to check it regularly. The documents that may be requested by *the EU Validation Services* are listed in the [EU Grants and Tenders Rules on Legal Entity Validation, LEAR appointment and Financial Capacity assessment](#).

⚡ Please note that a request for supporting documents by the *EU Validation Services* in no way implies that the tenderer has been successful.

2.4. Ways to submit a tender: how can economic operators organise themselves to submit a tender?

Economic operators can submit a tender either as a sole economic operator (sole tenderer) or as a group of economic operators (joint tender). In either case subcontracting is permitted.

In order to fulfil the selection criteria set out in **Section 3.2** the tenderer can rely on the capacities of subcontractors or other entities that are not subcontractors.

The role of each entity involved in a tender (hereafter referred to as “*involved entity*”) must be clearly specified in the eSubmission application: i) sole tenderer, ii) *Group leader* of a group of tenderers, iii) member of a group of tenderers, or iv) subcontractor. For an entity on whose capacities the tenderer relies to fulfil the selection criteria (that is not a subcontractor), this role is defined in the commitment letter (**Annex 5.2**). This applies also where the *involved entities* belong to the same economic group.

2.4.1. Joint tender

A joint tender is a situation where a tender is submitted by a group (with or without legal form) of economic operators regardless of the link they have between them. The group as a whole is considered a tenderer³.

All members of the group assume joint and several liability towards the *Contracting authority* for the performance of the contract as a whole.

Group members must appoint a *Group leader* and a single point of contact authorised to act on their behalf in connection with the submission of the tender and all relevant questions,

³ References to *tenderer* or *tenderers* in this document shall be understood as covering both sole tenderers and groups of economic operators submitting a joint tender.

clarification requests, notifications, etc., that may be received during the evaluation, award and until the contract signature. The model power of attorney attached in *Annex 3* is to be used.

The joint tender must clearly indicate the role and tasks of each member and of the *Group leader* who will act as the *Contracting authority's* contact point for the contract's administrative or financial aspects and operational management. The *Group leader* will have full authority to bind the group and each of its members during contract execution. If the joint tender is successful, the *Contracting authority* shall sign the contract with the Group leader, authorised by the other members to sign the contract on their behalf via power of attorney drawn up in the model attached in *Annex 3*.

Changes in the composition of the group during the procurement procedure (after the submission deadline and before contract signature) shall lead to rejection of the tender except in case of a merger or takeover of a member of the group (universal succession), provided that the new entity has access to procurement (see *Section 2.2*) and is not in an exclusion situation, (see *Section 3.1*).

In any case the selection criteria must be still fulfilled by the group and the terms of the originally submitted tender may not be altered substantially, i.e. all the tasks assigned to the former entity must be taken over by the new entity member of the group, the change must not make the tender non-compliant with the tender specifications, and the evaluation of award criteria of the originally submitted tender may not be modified.

2.4.2. Subcontracting

Subcontracting is the situation where the contractor enters into legal commitments with other economic operators which will perform part of the contract on its behalf. The contractor retains full liability towards the *Contracting authority* for performance of the contract as a whole.

The following shall not be considered subcontracting:

- a) Use of workers posted to the contractor by another company owned by the same group and established in a Member State (“intra-group posting” as defined by Article 1, 3, (b) of [Directive 96/71/EC concerning the posting of workers in the framework of the provision of services](#)).
- b) Use of workers hired out to the contractor by a temporary employment undertaking or placement agency established in a Member State (“hiring out of workers” as defined by Article 1, 3, (c) of [Directive 96/71/EC concerning the posting of workers in the framework of the provision of services](#)).
- c) Use of workers temporarily transferred to the contractor from an undertaking established outside the territory of a Member State and that belongs to the same group (“intra-corporate transfer” as defined by Article 3, (b) of [Directive 2014/66/EU on the conditions of entry and residence of third-country nationals in the framework of an intra-corporate transfer](#)).
- d) Use of staff without employment contract (“self-employed persons working for the contractor”), without the tasks of the self-employed persons being particular well-defined parts of the contract.
- e) Use of suppliers and/or transporters by the contractor, in order to perform the contract at the place of performance, unless the economic activities of the suppliers and/or the transporting services are within the subject of this call for tenders (see *Section 1.4*).
- f) Performance of part of the contract by members of an EEIG (European Economic Interest Grouping), when the EEIG is itself a contractor or a group member.

The persons mentioned in points a), b), c) and d) above will be considered as “personnel” of the contractor as defined in the contract.

All contractual tasks may be subcontracted unless the *Technical specifications* expressly reserve the execution of certain critical tasks to the sole tenderer itself, or in case of a joint tender, to a member of the group.

By filling in the form available in **Annex 4**, tenderers are required to give an indication of the proportion of the contract that they intend to subcontract, as well as to identify and describe briefly the envisaged contractual roles/tasks of subcontractors meeting any of these conditions (hereafter referred to as *identified subcontractors*):

- on whose capacities the tenderer relies upon to fulfil the selection criteria as described under **Section 3.2**;
- whose individual share of the contract, known at the time of submission, is above 20 %.

Any such subcontractor must provide the tenderer with a commitment letter drawn up in the model attached in **Annex 5.1** and signed by its authorised representative.

Changes concerning subcontractors identified in the tender (withdrawal/replacement of a subcontractor, additional subcontracting) during the procurement procedure (after the submission deadline and before contract signature) require the prior written approval of the *Contracting authority* subject to the following verifications:

- any new subcontractor is not in an exclusion situation;
- the tenderer still fulfils the selection criteria and the new subcontractor fulfils the selection criteria applicable to it individually, if any;
- the terms of the originally submitted tender are not altered substantially, i.e. all the tasks assigned to the former subcontractor are taken over by another involved entity, the change does not make the tender non-compliant with the tender specifications, and the evaluation of award criteria of the originally submitted tender is not modified.

Subcontracting to subcontractors identified in a tender that was accepted by the *Contracting authority* and resulted in a signed contract, is considered authorised.

2.4.3. Entities on whose capacities the tenderer relies to fulfil the selection criteria

In order to fulfil the selection criteria a tenderer may also rely on the capacities of other entities, regardless of the legal nature of the links it has with them. It must in that case prove that it will have at its disposal the resources necessary for the performance of the contract by producing a commitment letter in the model attached in **Annex 5.2**, signed by the authorised representative of such an entity, and the supporting evidence that those other entities have the respective resources. If the contract is awarded to a tenderer intending to rely on another entity to meet the minimum levels of economic and financial capacity, the *Contracting authority* may require the entity to sign the contract or, alternatively, to provide a joint and several first-call financial guarantee for the performance of the contract.

With regard to technical and professional selection criteria, a tenderer may only rely on the capacities of other entities where the latter will perform the works or services for which these capacities are required.

⌚ Relying on the capacities of other entities is only necessary when the capacity of the tenderer is not sufficient to fulfil the required minimum levels of capacity. Abstract commitments that other entities will put resources at the disposal of the tenderer will be disregarded.

3. EVALUATION AND AWARD

The evaluation of the tenders that comply with the submission conditions will consist of the following elements:

- Check if the tenderer has access to procurement (see *Section 2.2*);
- Verification of administrative compliance (if the tender is drawn up in one of the official EU languages and the required documents signed by duly authorised representative(-s) of the tenderer);
- Verification of non-exclusion of tenderers on the basis of the exclusion criteria;
- Selection of tenderers on the basis of selection criteria;
- Verification of compliance with the minimum requirements specified in the procurement documents;
- Evaluation of tenders on the basis of the award criteria.

The *Contracting authority* will evaluate the abovementioned elements in the order that it considers to be the most appropriate. If the evaluation of one or more elements demonstrates that there are grounds for rejection, the tender will be rejected and will not be subjected to further full evaluation. The unsuccessful tenderers will be informed of the ground for rejection without being given feedback on the non-assessed content of their tenders. Only tenderer(s) for whom the verification of all elements did not reveal grounds for rejection can be awarded the contract.

The evaluation will be based on the information and evidence contained in the tenders and, if applicable, on additional information and evidence provided at the request of the *Contracting authority* during the procedure. If any of the declarations or information provided proves to be false, the *Contracting authority* may impose administrative sanctions (exclusion or financial penalties) on the entity providing the false declarations/information.

For the purposes of the evaluation related to exclusion and selection criteria *the Contracting authority* may also refer to publicly available information, in particular evidence that it can access on a national database free of charge.

3.1. Exclusion criteria

The objective of the exclusion criteria is to assess whether the tenderer is in any of the exclusion situations listed in Article 136(1) of the Financial Regulation.

Tenderers found to be in an exclusion situation will be rejected.

As evidence of non-exclusion each tenderer needs to submit with its tender a Declaration on Honour⁴ in the model available in *Annex 2*.⁵ The declaration must be signed by an authorised representative of the entity providing the declaration.

The initial verification of non-exclusion of tenderers will be done on the basis of the submitted declarations and consultation of the [European Union's Early Detection and Exclusion System](#). The documents mentioned as supporting evidence in the Declaration on Honour need to be provided whenever requested and where this is necessary to ensure the proper conduct of the procedure within a deadline given by the *Contracting authority*.⁶

Annex 1 specifies which of the *involved entities* participating in a tender need to provide the Declaration on Honour and, when requested by *the Contracting authority*, the supporting evidence.

Before the award decision, the contracting authority may request documentary evidence on compliance on the exclusion criteria set out in the present tender specifications. All tenderers are invited to prepare in advance the documents related to the evidence, since they may be requested to provide such evidence within a short deadline. Failure to provide valid documentary evidence within the deadline set by the Contracting Authority shall lead to the rejection of the tender for the award of the contract, unless the tenderer can justify the failure on the grounds of material impossibility.

Please note that a request for evidence in no way implies that the tenderer has been successful.

3.2. Selection criteria

The objective of the selection criteria is to assess whether the tenderer has the legal, regulatory, economic, financial, technical and professional capacity to perform the contract.

The selection criteria for this call for tenders, including the minimum levels of capacity, the basis for assessment and the evidence required, are specified in the following subsections.

Tenders submitted by tenderers not meeting the minimum levels of capacity will be rejected.

⁴ The European Single Procurement Document (ESPD) may not be used yet in SESAR 3 JU's calls for tenders.

⁵ Unless the same declaration has already been submitted for the purposes of another award procedure of the SESAR 3 JU, the situation has not changed, and the time elapsed since the issuing date of the declaration does not exceed one year.

⁶ The obligation to provide the supporting evidence will be waived in the following situations:

- if the same documents have already been provided in a previous award procedure of the SESAR 3 JU, have been issued no more than one year before the date of their request by the *Contracting authority* and are still valid at that date;
- if such evidence can be accessed by the *Contracting authority* on a national database free of charge, in which case the economic operator shall provide *the Contracting authority* with the internet address of the database and, if needed, the necessary identification data to retrieve the document;
- if there is a material impossibility to provide such evidence.

When submitting its tender each tenderer shall declare on honour that it fulfils the selection criteria for the call for tenders. The model Declaration on Honour available in *Annex 2* shall be used.

The initial assessment of whether a tenderer fulfils the selection criteria will be done on the basis of the submitted declaration(s).

The subsections below specify which selection criteria evidence must be provided with the tender or may be requested later, at any time during the procurement procedure⁷. In any case, to the extent that there is no ground for a waiver, the evidence must be provided, upon request and within a deadline given by the *Contracting authority*. The evidence must be provided in accordance with the applicable basis for assessment of each criterion: in case of a consolidated assessment – only by the *involved entities* who contribute to the fulfilment of the criterion, and in case of individual assessment – by each *involved entity* to whom the criterion applies individually.

Before the award decision, the contracting authority may request documentary evidence on compliance with the selection criteria set out in the present tender specifications. All tenderers are **invited to prepare in advance the documents related to the evidence**, since they may be requested to provide such evidence in a short deadline. In any event, the tenderer proposed by the evaluation committee for the award of the contract, will be requested to provide such evidence.

Failure to provide valid documentary evidence within the deadline set by the Contracting Authority shall lead to the rejection of the tender for the award of the contract, unless the tenderer can justify the failure on the grounds of material impossibility.

3.2.1. Legal and regulatory capacity

Tenderers are requested to prove that they are authorised to perform the contract under the national law.

➤ **Evidence to be provided:**

Tenderer shall provide duly filled and signed Declaration on Honour on Exclusion Criteria and Selection criteria (Annex 2) as a part of his tender and the following evidence:

- Evidence of inclusion in a trade or professional register, or a sworn declaration or certificate, membership of a specific organisation, express authorisation or entry in the VAT register.
- Legal entities' form (for the Coordinator and for each Consortium Member, not needed for subcontractors), dully filled-in and accompanied by all the supporting documents requested therein, (please, use the form available on the following web page:

⁷ The obligation to provide the supporting evidence will be waived in the following situations:

- if the same documents have already been provided in a previous award procedure of the European Commission and are still up-to-date;
- if such evidence can be accessed by the *Contracting authority* on a national database free of charge, in which case the economic operator shall provide the *Contracting authority* with the internet address of the database and, if needed, the necessary identification data to retrieve the document.

http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm);

- Financial identification form (only for the Coordinator or the one responsible for payment matters) dully filled-in (please, use the form available on the following web page:

http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm);

3.2.2. Economic and financial capacity

Tenderers must comply with the following selection criteria in order to prove that they have the necessary economic and financial capacity to perform the contract.

Criterion F1	
Minimum level of capacity	Average yearly turnover of the last two financial years above EUR 4.000.000€.
Basis for assessment	This criterion applies to the tenderer as a whole, i.e. a consolidated assessment of the combined capacities of all <i>involved entities</i> will be carried out.
Evidence	Copy of the profit and loss accounts and balance sheets for the last two years for which accounts have been closed from each concerned <i>involved entity</i> , or, failing that, appropriate statements from banks. The most recent year must have been closed within the last 18 months.

Criterion F2	
Minimum level of capacity	The financial capacity is assessed on the basis of financial indicators
Basis for assessment	The financial capacity will be assessed against each member of the group in case of joint tender.
Evidence	<ol style="list-style-type: none"> 1. Profit and loss accounts 2. Balance sheets 3. Explanatory notes and/or annexes that form part of the above financial statements (if available) <p>for the last two years for which accounts have been closed from each concerned <i>involved entity</i>, or, failing that, appropriate statements from banks. The most recent year must have been closed within the last 18 months.</p>

☞ All of the above specified evidence of economic and financial capacity must be provided with the tender.

3.2.3 Technical and professional capacity

The technical and professional capacity of the tenderer, proving his suitability to provide services covered by the Contract will be evaluated on the basis of the minimum requirements and evidence thereof provided as followed:

- The tenderer shall demonstrate:
 1. Proven experience in the provision of the following services:
 - a. Defining and executing programme management and system engineering processes and procedures in the frame of large transnational or Public Private Partnership technological and/or research programmes in the aeronautical, communication and space domains.
 - b. Mentoring, training, and related communication activities.
 - c. Collaborative systems for distributed multi-project management.
 2. Having provided the above listed services in the Aviation domain, in particular in air traffic management at European level.

3.2.4 The team proposed for contract implementation

The tenderer shall demonstrate that it has competent and experienced staff to implement the Contract, for this purpose:

Tenderers must comply with the following selection criteria in order to prove that they have the necessary technical and professional capacity to perform the contract.

Criterion T1	
The tenderer must prove experience in the field of Air Traffic Management.	
Minimum level of capacity	At least 2 similar (in scope and complexity) projects completed in the last 3 years preceding the tender submission deadline , with a minimum value for each of them € 300.000.
Basis for assessment	This criterion applies to the tenderer as a whole, i.e. the combined capacities of all <i>involved entities</i> .
Evidence	<p>A list of projects meeting the minimum level of capacity. The list shall include details of their start and end date, total project amount and scope, role and amount invoiced. In case of projects still on-going only the portion completed during the reference period will be taken into consideration.</p> <p>As supporting documents for each project reference the Contracting authority may request statements issued by the clients and take contact with them.</p>

Criterion T2

The tenderer must prove experience in the field of U-space Traffic Management.	
Minimum level of capacity	At least 1 similar (in scope and complexity) projects completed in the last 5 years preceding the tender submission deadline (with a minimum value of 300.000 €).
Basis for assessment	This criterion applies to the tenderer as a whole, i.e. the combined capacities of all <i>involved entities</i> .
Evidence	<p>A list of projects meeting the minimum level of capacity. The list shall include details of their start and end date, total project amount and scope, role and amount invoiced. In case of projects still on-going only the portion completed during the reference period will be taken into consideration.</p> <p>As supporting documents for each project reference the <i>Contracting authority</i> may request statements issued by the clients and take contact with them.</p>

Criterion T3

The tenderer must prove experience in the field of Programme Management, implementing programme management processes and procedures which supported the optimisation, organisation, quality, process and performance management of large transnational or Private Public Project technological and/or research programme.	
Minimum level of capacity	At least 1 similar (in scope and complexity) projects completed in the last 5 years preceding the tender submission deadline (with a minimum value of 300.000 €).
Basis for assessment	This criterion applies to the tenderer as a whole, i.e. the combined capacities of all <i>involved entities</i> .
Evidence	<p>A list of projects meeting the minimum level of capacity. The list shall include details of their start and end date, total project amount and scope, role and amount invoiced. In case of projects still on-going only the portion completed during the reference period will be taken into consideration.</p> <p>As supporting documents for each project reference the <i>Contracting authority</i> may request statements issued by the clients and take contact with them.</p>

Criterion T4

The tenderer must demonstrate he has competent and experienced staff to implement the Contract; for this purpose, the full proposed team shall be composed of:	
<ul style="list-style-type: none"> - Senior consultants; juniors consultants and assistant/administrative. 	
Minimum level of capacity	<ul style="list-style-type: none"> - Project Manager who will be the interlocutor with the SESAR 3 JU shall have at least 15 years of work experience, of which at least:

	<ul style="list-style-type: none"> ○ 10 years in the system engineering domain; ○ 8 years in managing transnational projects; ○ he/she shall have good understanding of the SESAR 3 JU and its DES programme and/or of EU Research and Development activities. <ul style="list-style-type: none"> - Consultants presented by the tenderer shall have an university degree in a relevant field (e.g. aeronautics, system engineering or in any other field relevant to the subject of the contract) with five (5) to maximum ten (10) years of relevant work experience, as far as possible possessing formal qualifications (such as PMI certification or equivalent) and have excellent soft and communication skills, - Junior consultants presented by the tenderer shall have a university degree in a relevant field (e.g. aeronautics, system engineering or in any other field relevant to the subject of the contract) with three (3) to maximum five (5) years of relevant work experience (e.g. 3 years in system engineering domain and 2 years in transnational projects), as far as possible possessing formal qualifications (such as PMI certification or equivalent) and have excellent soft and communication skills, - assistant consultants/administrative staff presented by the tenderer shall have a university degree in a relevant field (e.g. aeronautics, engineering or in any other field relevant to the subject of the contract) with one (1) to maximum three (3) years of relevant work experience - In addition, the team members shall have: <ul style="list-style-type: none"> ○ a university degree in a relevant field; ○ proven skills, aligned with their years of relevant experience, in technical documents writing and assessing, communication and presentation to large audiences, mentorship and coaching; ○ very good written and oral command of the English language
Basis for assessment	This criterion applies to the tenderer as a whole, i.e. the combined capacities of all <i>involved entities</i> .
Evidence	<p>A list of projects meeting the minimum level of capacity. The list shall include details of their start and end date, total project amount and scope, role and amount invoiced. In case of projects still on-going only the portion completed during the reference period will be taken into consideration.</p> <p>As supporting documents for each project reference the <i>Contracting authority</i> may request statements issued by the clients and take contact with them.</p>

	CVs of the staff proposed shall be provided.
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⌚ All of the above specified evidence of technical and professional capacity must be provided with the tender.

⌚ Involved entities must not be subject to conflicting interests which may negatively affect the contract performance. Where the *Contracting authority* has established such conflicting interests, it may conclude that the tenderer or an involved entity does not possess the required professional capacity to perform the contract to an appropriate quality standard.

The presence of conflicting interests shall be examined during the evaluation phase based on the statements made through the Declarations on Honour and, where applicable, the commitment letters (*Annex 5.1 and Annex 5.2*).

3.3. Compliance with the minimum requirements specified in the procurement documents

By submitting a tender a tenderer commits to perform the contract in full compliance with the terms and conditions of the procurement documents for this call for tenders. Particular attention is drawn to the minimum requirements specified in Section 1.4 of these specifications and to the fact that tenders must comply with applicable data protection, environmental, social and labour law obligations established by Union law, national legislation, collective agreements or the international environmental, social and labour conventions listed in Annex X to Directive 2014/24/EU.

The minimum requirements shall be observed throughout the entire duration of the contract. Compliance with these requirements is mandatory and cannot be subject to any assumptions, limitations, conditions, or reservations on the part of a tenderer.

⌚ **Tenders that are not compliant with the applicable minimum requirements shall be rejected.**

3.4. Award criteria

The objective of the award criteria is to evaluate the tenders with a view to choosing the most economically advantageous tender.

Tenders will be evaluated on the basis of the following award criteria and their weighting:

1. Price - [40/100]

The price considered for evaluation will be the total price of the tender, covering all the requirements set out in the tender specifications.

The price to be taken into account for the financial evaluation and for the award of the Contract is the one proposed by the tenderer in the financial offer.

All tenders must contain a separate financial offer, quoting a fixed price for the full contract duration (8 years) and including all charges (including travel and subsistence costs). Travel and subsistence costs are not refundable separately. The quoted price shall not be subject to any revision during the contract duration. This fixed total price will be the basis for the financial assessment.

The lowest priced acceptable tender (that is eligible and has obtained at least the minimum points required in the technical evaluation), will be used to compare the price of the remaining acceptable tenders.

2. Technical Award criteria - [60/100]

The quality of the tender will be evaluated based on the following criteria:

Award Criteria	Maximum available	Minimum score
<p>Suitability of the proposed organisation of services and resources:</p> <ul style="list-style-type: none"> - Adequacy of the proposed tenderer’s structure and alignment to above described requirements (see section 1.4.2.1.1). - Suitability of the composition and balance of the proposed team. - Suitability of the proposed resources assigned to the work in terms of skills. 	20	10
<p>Quality of the proposed methodology:</p> <ul style="list-style-type: none"> - The extent to which the services and approach proposed meets SESAR 3 JU’s above described objectives (see section 1.4.2.1.1).. - Appropriateness of the proposed approach for achieving the services described in section 1.4. - Demonstration that SESAR 3 JU’s environment, organisation and structure is tackled appropriately and effectively by the technical offer. 	35	17.5
<p>Quality and suitability of the S3DSS implementation</p> <ul style="list-style-type: none"> - Quality and pertinence of the detailed project organisation, pertinence of the S3DSS Management Plan approach including Risk management and Quality management approaches. - Quality and pertinence of the Knowledge acquisition approach to perform the handover with the current contractor in order to cause minimal disruption in the SESAR 3 JU’s operations. - Appropriate setup for the place of performance. - Quality and pertinence of the tool delivery approach including aspects related to Tool functionalities based on screen shoots and Use cases. - Quality and pertinence of the tool operating services approach, the SLA and related Quality indicators. - Compliance with data protection - 	38	19

Identification of, prevention of and solutions to mitigate conflict of interest identified in the “Comprehensive policy on Conflict of interest, confidentiality and competition”	7	3.5
Score Award Criteria	100	50

The tender must reach a minimum score of 50% or more per award criterion and 70 points or more globally in order to be admitted to the financial evaluation. The tenders with lower scores will be considered non-suitable and therefore excluded.

NB: Tenders presenting a mere repetition of the tender specifications or source documentation will be scored below the minimum required.

3.5. Award (ranking of tenders)

The Contract will be awarded to the most economically advantageous i.e. tenderer offering the highest ratio by weighting quality (score of technical evaluation compared to the tender with highest score for quality) against price (price quoted in the financial offer compared to the lowest price) on a **60/40** basis as indicates the following formula:

$\text{Score tender Y} = (\text{Technical score of Offer Y} / \text{Highest technical score}) \times 60\% + (\text{Lowest price} / \text{Price of Offer Y}) \times 40\%$
--

Should the outcome of the formula lead to two or more tenders with the same result, the tenderer who has been awarded the highest marks for quality will be deemed to be the most economically advantageous tender. This approach will continue to be applied to each of the award criteria in the descending order listed in below until a most economically advantageous tender can be determined:

- Quality and suitability of the S3DSS implementation.
- Suitability of the proposed organisation of services and resources.
- Quality of the proposed methodology.

4. FORM AND CONTENT OF THE TENDER

4.1. Form of the tender: how to submit the tender?

Tenders are to be submitted via the eSubmission application according to the instructions laid down in the Invitation to tender letter and the [eSubmission Quick Guide](#).

☞ Make sure you prepare and submit your electronic tender in eSubmission early enough to ensure it is received within the deadline specified under Heading IV.2.2 of the contract notice.

4.2. Content of the tender: what documents to submit with the tender?

The documents to be submitted with the tender in eSubmission are listed in *Annex 1*.

The following requirements apply to the technical and financial offer to be uploaded in eSubmission:

Tenders must be:

- preferably written in English.
- perfectly legible so that there can be no doubt as to words and figures.
- *Cover letter:*

It shall be signed by a duly authorised representative of the Tenderer and dated and contain the following elements:

- The reference number of the SESAR 3 JU's call for tender
- Brief description and presentation of the tenderer containing a detailed description of the structure, explaining the suitability of the tenderer's organisation set up to perform the activities under the contract;
- The names, function and contact details (telephone, e-mail and addresses) of the following contact persons or responsible for:
 - i) Communications relating to this call for tender
 - ii) Technical matters during contract implementation
 - iii) Contract management (if different from the one in point i).
 - iv) Person empowered to sign the contract (if awarded).
- *Administrative offer:*

It shall contain:

- A valid power of attorney (or a clear reference to the official document), legally empowering the person/s who have signed any/all documents in response to this call for tenders;
- Legal entities' form (dully filled-in and accompanied by all the supporting documents requested therein (please, use the form available on the following web page:
http://ec.europa.eu/budget/contracts_grants/info_contracts/legal_entities/legal_entities_en.cfm;

- Financial identification form dully filled-in (please, use the form available on the following web page:

http://ec.europa.eu/budget/contracts_grants/info_contracts/financial_id/financial_id_en.cfm);

- Declaration on honour with respect to the Exclusion Criteria and selection criteria (please refer to section 3.1 in the Tender specifications and to the template provided in Annexe 2 of the technical specifications)

- *Technical offer.*

The technical offer shall contain and tackle all the technical requirements described under point 1.4 and Appendix 2.

The technical offer must provide all the information needed to assess the compliance with Section 1.4 of these specifications and the award criteria. For this purpose, the Compliance to the tool detailed requirement in Annex 9 shall be completed and uploaded in eSubmission. Tenders deviating from the minimum requirements or not covering all the requirements may be rejected on the basis of non-compliance and not evaluated further.

- Comprehensive policy on Conflict of interest, confidentiality and competition

The technical offer shall contain an *ad hoc* document (Comprehensive policy on Conflict of interest, confidentiality and competition) illustrating the preventive measures that will be put in place to avoid the Conflict of interests as defined in Point 1.6 of these tender specifications.

In particular, the document shall tackle and ensure compliance with the following preventive measures:

1/ Organisational and physical set up

- Ensuring that S3DSS activities are not dependent on a management structure also supervising activities of a SESAR 3 Member or Third Party. Therefore the tenderer Managers will have not to be placed in a situation that could compromise performance of either S3DSS or other activities in the frame of SESAR 3.
- The project team will not be located in a site in which activities of a SESAR 3 Member or Third Party are also located.
- The project team will have to be composed of employees specifically assigned to S3DSS activities.
- The S3DSS personnel will have to receive on annual basis training on understanding and properly identifying conflict of interest issues and on the steps to take to avoid them including how to act if they are confronted with any situation likely to compromise their independence. Main highlights foreseen for the annual training shall be presented in eth proposal.

2/ Information Management

- The S3DSS project team will have to have computers linked to a network which will not connect to the network of a SESAR Member or Third Party.
- Specific templates will have to be created for S3DSS documents, ensuring uniformity and protection regarding copyright.
- S3DSS team members will have to sign a personal undertaking of confidentiality.

All these information shall be fully documented and explained in a convincing argument.

As indicated in Point 3.4 of these tender specifications, a specific award criterion is foreseen for a proper evaluation of the conflict of interest, confidentiality and competition policy proposed by the tenderers.

This document will be annexed to the Contract.

- Data Protection

Tenderers are free to choose where the personal data will be processed or stored as long as they comply with the contractual obligations on data processing (Art.I.9.2 and Art. II.9 of the draft contract annexed to the invitation to tenders) and, in particular, with the requirements for transfer of personal data to third countries and international organisations laid down in Chapter V of Regulation (EU) 2018/1725⁸ and Regulation (EU) 2016/679⁹ and the relevant jurisprudence of the Court of Justice of the European Union (CJEU) and in particular judgment C-311/18¹⁰ (Schrems II).

Tenderers must specify in their technical offer the location where the personal data will be processed and stored.

In particular the localisation of and access to the personal data processed by the tenderers shall comply with the following:

- i. The personal data shall only be processed within the territory of the European Union and the European Economic Area and will not leave that territory;
- ii. The data shall only be held in data centres located within the territory of the European Union and the European Economic Area;
- iii. No access shall be given to such data outside of the European Union and the European Economic Area;

⁹ Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation), OJ L 119, 4.5.2016, p.1-88, <https://data.europa.eu/eli/reg/2016/679/oj>

¹⁰ Judgement of the Court (Grand Chamber) of 16 July 2020, Data Protection Commissioner v Facebook Ireland Limited and Maximilian Schrems, <https://curia.europa.eu/juris/liste.jsf?num=C-311/18>

iv. The awarded tenderer may not change the location of data processing without the prior written authorisation of the data controller (SESAR 3 JU);

v. In case of any transfer of personal data to third countries or international organisations, the transfer shall fully comply with the requirements laid down in Chapter V of Regulation (EU) 2018/1725 and Regulation (EU) 2016/679.

- *Financial offer.*

A complete financial offer, including the breakdown of the price needs to be uploaded. For this purpose, the Financial Model in *Annex 6* shall be completed and uploaded in eSubmission. The total amount of the offer as indicated in cell C3 therein must be encoded in the field “Total amount” under the section “Tender data” in eSubmission.

It is the responsibility of each tenderer to ensure that the total amount of the tender inserted in the eSubmission field “Total amount” corresponds to the amount indicated in the uploaded financial offer. In case of discrepancies, only the amount indicated in the financial offer will be taken into account.

The financial offer shall be:

- expressed in euros. Tenderers from countries outside the euro zone have to quote their prices in euro. The price quoted may not be revised in line with exchange rate movements. It is for the tenderer to bear the risks or the benefits deriving from any variation.
- quoted free of all duties, taxes and other charges, i.e. also free of VAT.

☞ The European Union Institutions are exempt from such charges in the EU under Articles 3 and 4 of the Protocol on the Privileges and Immunities of the European Union of 8 April 1965 annexed to the Treaty on the Functioning of the European Union. Exemption is granted to the Commission by the governments of the Member States, either through refunds upon presentation of documentary evidence or by direct exemption.

In case of doubt about the applicable VAT system, it is the tenderer's responsibility to contact his or her national authorities to clarify the way in which the European Union is exempt from VAT.

4.3. Signature policy: how can documents be signed?

Where a document needs to be signed, the signature must be either hand-written or a qualified electronic signature as defined in [Regulation \(EU\) No 910/2014 on electronic identification and trust services for electronic transactions in the internal market \(the eIDAS Regulation\)](#).

For hand-written signatures see Section 1 of the Invitation to tender.

For electronic signatures see: <https://webgate.ec.europa.eu/fpfis/wikis/x/YIrglw>

All documents must be signed by the signatories (when they are individuals) or by their duly authorised representatives.

For the following documents, when signed by representatives, tenderers must provide evidence for the delegation of the authorisation to sign:

- The Declaration on Honour of the tenderer (in case of joint tender – the Declarations on Honour of all group members);
- (If applicable – in the case of joint tender) the power(s) of attorney drawn up using the model attached in *Annex 3*).

The delegation of the authorisation to sign on behalf of the signatories (including, in the case of proxy(-ies), the chain of authorisations) must be evidenced by appropriate written evidence (copy of the notice of appointment of the persons authorised to represent the legal entity in signing contracts (together or alone), or a copy of the publication of such appointment if the legislation which applies to signatory requires such publication or a power of attorney). A document that the *Contracting authority* can access on a national database free of charge does not need to be submitted if the *Contracting authority* is provided with the exact internet link and, if applicable, the necessary identification data to retrieve the document.

4.4. Confidentiality of tenders: what information and under what conditions can be disclosed?

Once the *Contracting authority* has opened a tender, it becomes its property and shall be treated confidentially, subject to the following:

- For the purposes of evaluating the tender and, if applicable, implementing the contract, performing audits, benchmarking, etc., the *Contracting authority* is entitled to make available (any part of) the tender to its staff and the staff of other Union institutions, agencies and bodies, as well to other persons and entities working for the *Contracting authority* or cooperating with it, including contractors or subcontractors and their staff provided that they are bound by an obligation of confidentiality.
- After the signature of the award decision tenderers whose tenders were received in accordance with the submission modalities, who have access to procurement, who are not found to be in an exclusion situation referred to in Article 136(1) of the FR, who are not rejected under Article 141 of the FR, whose tenders are not found to be non-compliant with the procurement documents, and who make a request in writing will be notified of the name of the tenderer to whom the contract is awarded, the characteristics and relative advantages of the successful tender and the price of the offer and/or contract value. The *Contracting authority* may decide to withhold certain information that it assesses as being confidential, in particular where its release would prejudice the legitimate commercial interests of economic operators or might distort fair competition between them. Such information may include, without being limited to, confidential aspects of tenders such as unit prices included in the financial offer, technical or trade secrets¹¹.
- The *Contracting authority* may disclose the submitted tender in the context of a request for public access to documents, or in other cases where the applicable law requires its

¹¹ For the definition of trade secrets please see Article 2 (1) of DIRECTIVE (EU) 2016/943 on the protection of undisclosed know-how and business information (trade secrets) against their unlawful acquisition, use and disclosure.

disclosure. Unless there is an overriding public interest in disclosure¹², the *Contracting authority* may refuse to provide full access to the submitted tender, redacting the parts (if any) that contain confidential information, the disclosure of which would undermine the protection of commercial interests of the tenderer, including intellectual property.

⌚ The *Contracting authority* will disregard general statements that the whole tender or substantial parts of it contain confidential information. Tenderers need to mark clearly the information they consider confidential and explain why it may not be disclosed. The *Contracting authority* reserves the right to make its own assessment of the confidential nature of any information contained in the tender.

¹² See Article 4 (2) of the REGULATION (EC) No 1049/2001 regarding public access to European Parliament, Council and Commission documents.

APPENDIX 1: LIST OF REFERENCES

<i>Award criteria</i>	See Section 3.4
<i>Contracting authority</i>	See Section 1.1
<i>Entities on whose capacities the tenderer relies to fulfil the selection criteria</i>	See Section 2.4.3
<i>EU Validation services</i>	See Section 2.3 EU Grants and Tenders Rules on Legal Entity Validation, LEAR appointment and Financial Capacity assessment
<i>Exclusion criteria</i>	See Section 3.1
<i>Financial Regulation</i>	Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the financial rules applicable to the general budget of the Union
<i>Group leader</i>	See Section 2.4.1
<i>Identified subcontractors</i>	See Section 2.4.2
<i>Involved entities</i>	See Section 2.4
<i>Joint tender</i>	See Section 2.4.1
<i>Participating entities</i>	See Section 1.1
<i>Participant Register</i>	See Section 2.3 https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/how-to-participate/participant-register
<i>Selection criteria</i>	See Section 3.2
<i>Sole tenderer</i>	See Section 2.4
<i>Subcontracting/subcontractor</i>	See Section 2.4.2

<i>Treaties</i>	The EU Treaties: https://europa.eu/european-union/law/treaties_en
<i>Multi Annual Work program</i>	https://www.sesarju.eu/node/4106
<i>Project handbook</i>	https://sesarju.eu/sites/default/files/documents/projects/SESAR3ProjectHandbook.pdf

APPENDIX 2: TOOL DETAILED REQUIREMENTS

The scope of the Programme Management Collaboration Tool (i.e. STELLAR 2.0) shall consider the following areas:

- a) Support to the DES programme Execution Framework
 - Project planning and execution (activities/tasks, milestones, and deliverables planning) and configuration control of change management
 - Integrated planning and dependency management
 - Progress reporting, monitoring, and control
 - Project review management
 - Document quality assessment (supported with their delivery and management)
 - Risk, issue, and opportunity management
 - Third-party management (external stakeholders, independent experts)
 - SESAR Solution Performance management (e.g. Performance Workflow, Capture of performance results...)
 - Maturity assessment
 - Release Strategy management
 - Validation Roadmap management
 - Programme information reference model
 - Data processing
 - Generation of indicators and reports with associated export capability.
 - Customization of reports.
 - Capabilities of data analysis and data consolidation.
 - Capabilities to aggregate and decompose activities for planning and monitoring purposes.
 - Initialisation of content based on import from file.
 - Capability to exchange information and being interoperable with third-party tools (in and out exchange of information with external tools)
 - Workflow definition and support workflow execution.
 - Notification and alerts.
 - Document storage, access, and distribution.
 - User-friendly search functions.
 - Help facility.
 - Tailoring via parameters setting.
 - Support in English language.
- b) User access management including roles and access control management, approval workflow, process steps, and related business rules.
- c) Data Protection
 - Guaranteeing data protection and data protection retention aspects of the process and technologies to be put in place, in full compliance with the applicable data protection legislation and the SESAR 3 JU data protection records publicly available at the SESAR 3 JU register at the following link:
<https://www.sesarju.eu/node/3405>.

- Data destruction aspects to align with applicable regulations or contractual obligations requirements and the SESAR 3 JU data protection records and Document Management Policy.
- d) Data Exchange:
- Meet the requirements of Article 148 of Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the financial rules applicable to the general budget of the Union.
- e) Migration of previous SESAR programme output as needed/required: the identification of critical information from previous SESAR 3 JU programmes and population of outputs into the new solution (i.e. data migration). This covers the analysis of data to be migrated from legacy solutions to ensure the continuity of the “Project and Programme Management process” (e.g. which documents such as .doc, .xls, .ppt, .pdf, etc. are to be migrated and when) into the new tool. Decision about manual or automated migration will be part of the analysis.

The scope has been characterized in the following Programme Management Collaboration Tool high level requirements:

1. Priority Levels

The types of requirements collected have been prioritized based on the following criteria:

- **MR:** Minimum Requirements are requirements that the Data Management System (DMS) must comply with. This type of requirements is marked with MR and a serial number.
- **HP:** High Priority requirements are not absolutely necessary, but they are highly appreciated. High priority requirements are marked with HP and a serial number.
- **LP:** Lower Priority requirements are supplementary. If the DMS supports these types of requirements, it will be appreciated. Lower priority requirements are marked with LP and a serial number.

2. Requirement Streams

2.1 Programme Management Processes High-Level Requirements

The following section provides a detailed analysis of the Programme-specific requirements that have been identified across Project and Programme Management processes. These requirements have been prioritized by the SESAR 3 JU. The 11 processes used to categorise the requirements are as follows:

- Process 01: Project Initiation*
- Process 02: Integrated Planning
- Process 03: Project Review
- Process 04: Change Management
- Process 05: Risk, Issue, and Opportunity Management
- Process 06: Communication
- Process 07: Quality Assessment & Delivery
- Process 08: Monitoring & Control

➤ Process 09: External Stakeholder Management

* Project Initiation and Financial/Contribution Management are more handled at the level of Horizon Europe tools. However, requirements needed to support some aspects of these processes to support better visibility at the DES programme-wide level have been captured, which will need to be handled by the Data Management System/Business Management System (DMS/BMS) tool. To optimize potential duplication or overlap between the Horizon Europe and DMS/BMS tool, the DMS/BMS tool shall facilitate the upload of any valuable information coming from Horizon Europe Data Ware House, as well as SESAR Architecture development environment that project may use to consolidate the maturity of each SESAR solution, as presented in following figure:

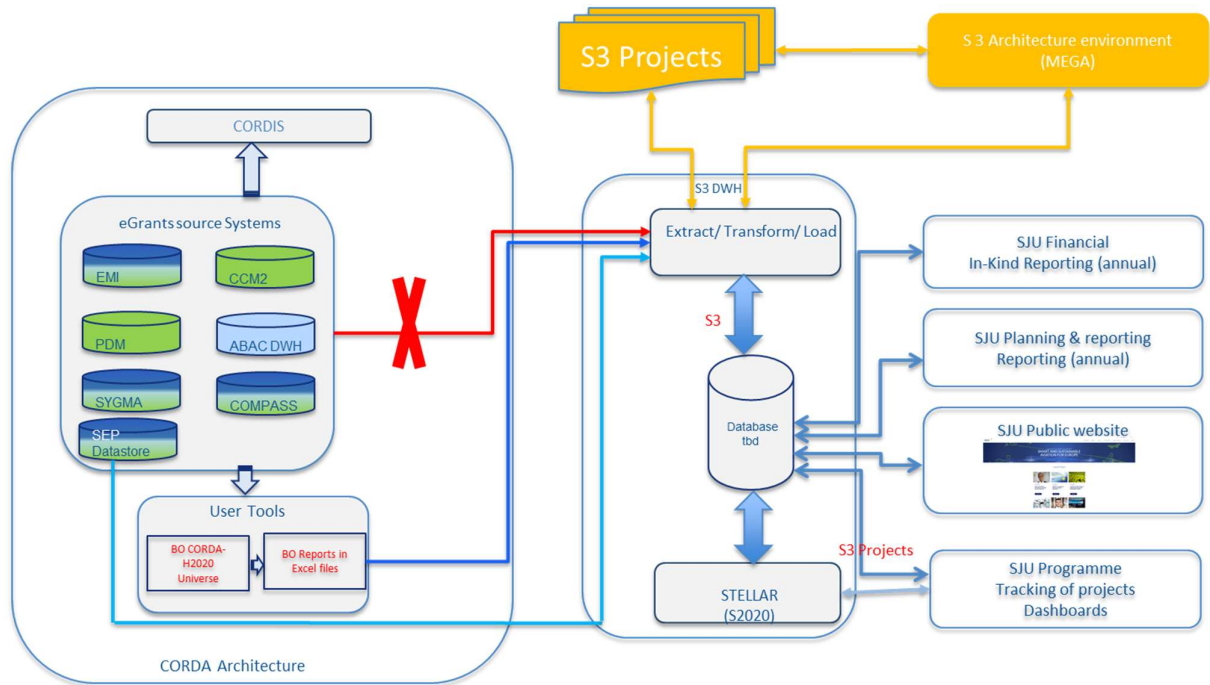


Figure 1: SESAR 3 Data Ware House (tbc)

2.2 Administrative and Transversal Functional Area High-Level Requirements

This section covers the DMS part of the project, where a detailed analysis of the administration and transversal processes has been provided. Requirements have been identified across following administrative and transversal processes and have been prioritised:

Administrative Processes

- Grant
- Development & Delivery
- Strategy and External Affairs
- Quality, Planning, and Reporting
- Economy and Master Planning

Transversal Processes

- User Access Management
- Internal Audit
- Confidentiality, Archiving, Retention, Encryption

Of these Administrative and Transversal Processes, several Functionality Areas have been defined to categorise the identified associated requirements as follows:

Functionality Areas

- Functionality Area 01: Metadata
- Functionality Area 02: Integration
- Functionality Area 03: Indexing and Classification
- Functionality Area 04: Storage, Archiving, and Retrieval
- Functionality Area 05: Security & User Access Management
- Functionality Area 06: Collaboration
- Functionality Area 07: Versioning
- Functionality Area 08: Searching & Reporting
- Functionality Area 09: Publishing
- Functionality Area 10: Protection of Personal Data, Confidentiality, and Minimum Retention Period

2.3 Non-Functional High-Level Requirements

In addition to the Programme Management Processes, the Transversal Functional Areas, there are also some Non-Functional High-Level Requirements, which have been identified covering:

- Compliance with the principles of applicable data protection legislation
- Tool language
- Tool availability
- Training material
- Cloud-based solution
- Set-up effort
- Password control
- Multi-factor authentication

3. High-Level Requirements: Programme Management Processes

Requirements identified cover both the program management and administration. This chapter covers the program management analysis based on processes.

The requirements reflect all the needs that SESAR 3 JU wishes to be covered by the new platform with minimal customization. In order to verify if the suitability of the new application proposed, a fit gap analysis should be provided. The results of the study are included within this document and are based on the following criteria (Out-of-the box Product, Out-of-the box configuration, and Customization).

3.1 Process 1: Project Initiation

Each Project shall start with an initiation phase. This phase has a dual purpose.

1. In the Initiation Phase the project participants should prepare themselves to get ready to start the work as described in their Action (in the Grant agreement).
2. Through the Initiation Phase each project should provide the SESAR 3 JU the essential information needed to take a go/no-go decision on the execution of the project.

During the initiation phase, the Members participating in the Project under the co-ordination of the Project Manager shall establish the project baseline to be proposed to the SESAR 3 JU by combining the various Members' contributions, as consolidation of initial description provided in the Grant agreement. In support of the first purpose indicated above, it is expected that the project members start developing their Project Management Plans. They are expected to extract the information that should be recorded in the Project Initiation Report which shall allow the SESAR 3 JU Executive Director to decide on the execution or not of the Project. The SESAR 3 JU will not review all project management plans in detail, but only the essential details provided through the Project Initiation Report that shall be fully uploaded in the collaboration platform to set project in execution status.

The table below shows the list of requirements concerning Project Initiation:

REQ ID	Requirement	Priority
PM.01.01	The system must have a standard project site template that is created once a project Grant Agreement (GA) has been signed.	MR
PM.01.02	The system must be able to promote a project site following a workflow trigger, based on defined governance hierarchy: - Initiation - Execution - Closure	MR
PM.01.03	The system must have an shared library on the project site where the following documents will be stored: - Grant Agreement - Annexes to the Grant Agreement	MR
PM.01.04	The system must allow users to capture contractual project schedule information as well as non-contractual project schedule information in a form or document on or via the Project Site.	HP
PM.01.05	The system must have different options for users to create a project site and populate it with project information and schedule.	MR
PM.01.06	The system must have a contact register where members contributing to a project can be added and responsibilities allocated on a project site level.	MR
PM.01.07	The system must manage independently the latest approved Baseline schedule and the correct schedule.	MR
PM.01.08	The system must provide users both the latest approved Baseline Schedule (Baseline Dates) and the Current Schedule (of Forecast and Actual Dates).	MR
PM.01.09	The system must allow users to trigger notifications (ad hoc and action triggered).	MR
PM.01.10	The system will have the functionality to report on the following: - Projects in Initiation Phase - Project in Execution Phase - Project being Closed - Project Closed	MR
PM.01.11	The system must allow emails to be stored in document libraries within sites.	LP
PM.01.12	The system must allow access rights to be managed at various levels of a whole site (access rights areas, sections, specific fields, libraries, folders, and even specific documents).	MR

3.2 Process 2: Integrated Planning

The purpose of the integrated planning process:

- Is to bring together and consolidate any relevant information that contributes to a viable Programme plan in order to ensure a clear definition of the work to be done by each project of a same call and also for all calls.
- Generate and baseline clear expectations, which will form the basis of an agreed work-plan between the SESAR 3 JU and each project and members.

- Is to detail the dependencies between the various contributors within the Programme and the SESAR 3 JU and as such to organise any work within the Programme;

- Is to use planning information to monitor scope, progress and quality, with the aim of forecasting progress against the baseline SESAR 3 JU plan (e.g. Extended Release Strategy Baseline) and when/where needed identify and execute corrective actions;

Project planning shall ensure that each project, depending on the nature of its activities (i.e. Research, Fast Track or Demonstration) and the type of the project (ATM solution, Technological Solution, Content Integration, Transversal Support) complies with the policies concerning:

- Programme and release life cycle;

- Performance management and other transversal activities (e.g. ATM MP L3);

- The way a SESAR ATM Solution or a SESAR Technological Project conducts the work to be done and is aligned with the maturity targets objectives;

- Compliancy visibility will be derived from information such as milestones, identified dependencies and deliverables. In general, programme management (progress and success) will be milestone driven.

The table below shows the list of requirements concerning the integrated planning:

REQ ID	Requirement	Priority
PM.02.01	The system must generate Integrated Plan views of the following information: - V&V Platform View - V&V System View - V&V Service Provider View - Release View - OI Schedule View - Current Project View - Baseline Project View	MR
PM.02.02	The system must generate the following views for Project Managers: - Release Schedule - OI Schedule - Current Project - Baseline Project	MR
PM.02.03	The system must be able to extract release exercise information from individual Project Plans and the V&V exercise register and consolidate into one plan. - Filter for Specific Exercises /specific Release - Baseline the Plan - Secured Baseline	MR
PM.02.04	The system must have a release register where users can manage release exercise milestones associated to individual projects: -tasks -deliverables -milestones	MR
PM.02.05	The system must be able to set pre-defined and ad-hoc filters/views and have a sorting capability on a consolidated schedule.	MR
PM.02.06	The system must be able to export a project plan and/or consolidated project plan into different formats.	MR
PM.02.07	The system must be able to use multiple hierarchies in the plan.	MR
PM.02.08	The system must be able to provide multiple project plan views based on meta data which are associated on the level of project task, deliverable and milestones.	MR
PM.02.09	The system must have a validation workflow that allows the V&V information about an exercise in the register to be approved/baselined, which will then restrict most subsequent modifications of that information by the project.	MR
PM.02.10	The system must be able to exchange project plans with external parties.	MR
PM.02.11	The system must be able to allow for the ability to create, save, and compare different project plan scenarios.	HP

3.3 Process 3: Project Review

The objective of the Project Review is to assess the accomplishments of the past period, usually each year, to see what actions and adjustments may be needed for project to successfully proceed to the next phase.

The SESAR 3 JU Programme Manager is responsible for preparing and running Project Review. He does this in close cooperation with the Project Manager of the project involved in the Project Review.

The user profiles under the platform must be as clear as possible given the involvement of various stakeholders from different organisations. Some key information must be available and editable for users.

The table below shows the list of requirements for the Project Review:

REQ ID	Requirement	Priority
PM.03.01	The system must have calendars with different views for Project, SESAR 3 JU Management, where meetings can be logged and visible to the appropriate Project/SESAR 3 JU Management Users.	HP
PM.03.02	The system must alert users of upcoming events based on pre-defined dates and deadlines for certain preparatory actions for the Project Review (i.e. 90, 30, 5, 2 days prior to Project Review).	MR
PM.03.03	The system must have a template for the Interim Progress Report to be used as an input to the Project Review with pre-populated fields, drop down lists and free form text fields.	MR
PM.03.04	The system must have a Project Review checklist with automated and free-form texts fields (for comments).	MR
PM.03.05	The Project Review checklist must be integrated in the progress/interim report or should be automatically be generated when progress report has been submitted, and sent to Project Manager and other subscribed users.	HP
PM.03.06	The system must be able to notify users when the Gate Checklist has been completed.	HP
PM.03.07	The system must be able to link an outlook meeting invite to a calendar "event" created.	HP
PM.03.08	The system must be able to notify and remind users that they have documents to submit: - Submit Interim Progress Report - Submit Project Review Presentation	HP
PM.03.09	A system user must be able to trigger a publish/handover workflow for the Interim Progress Report in the system.	MR
PM.03.10	The system must be able to generate consolidated views of following objects as part of the Interim Progress Report: - Milestone - Deliverable - Gate Actions Table - Dependency - Change Request - Top 5 Risks - Red & Amber Issues	MR
PM.03.11	For the Milestone, the system must be able to generate the following: - Milestones achieved in the current reporting period and those not achieved in the past, current and next period.	MR
PM.03.12	For the Deliverable , the system must be able to generate the following: - Deliverable handed over in the current period and those not being handed over in the past and by the end of the next period	MR

REQ ID	Requirement	Priority
PM.03.13	For the Project Review Action Table, the system must be able to generate the following: - Actions in the past on status still "open" and those actions closed since the last Project Review	MR
PM.03.14	For the Dependency, the system must be able to generate the following: -Dependencies with a "needed by date" within the current or next period and those with status different than "achieved" in the past	MR
PM.03.15	The system must be able to show a consolidated view of Change Requests - "Not closed" - "Closed" in the current period	MR
PM.03.16	The system must be able to show the Top 5 Risks (based on criticality) and the "Red" and "Amber" issues from RIO register.	MR
PM.03.17	The system must have a register for capturing follow-up actions as a result of the Project Review Meeting.	MR
PM.03.18	The system must provide users with the functionality to link project deliverables to a Project Review.	MR
PM.03.19	The system must be able to manage gates as type of milestones or object visible in the project plan.	HP
PM.03.20	The system must be able to include the Project Review event and tasks in the Project Plan with the functionality to exclude them from Baseline to avoid having to require a Change Request to update/modify.	HP
PM.03.21	The system will have narratives on the Project Review Report form, with instructions and FAQs when filling out the Progress Report.	HP
PM.03.22	The system must be able archive all Project Review information in a way that is easily accessible for audit and traceability purposes.	MR

3.4 Process 4: Change Management

The objective of the change management process is to ensure that changes originated at the Project level are analysed, and the appropriate measures such as changes in schedule, scope, budget allocation per task etc., are taken to update the project plan when needed.

The Programme management shared and agreed baseline is determined by a Programme reference model and a set of Programme configuration items, defined and maintained by the Information and Configuration Management process.

The purpose of the Change management process is in particular to manage the Baseline, Actual and Forecast view of each project (through its constituents).

The table below shows the list of requirements concerning the Change Management process:

REQ ID	Requirement	Priority
PM.04.01	The system must have a view of the Change Requests at the Project and SESAR 3 JU Management level.	MR
PM.04.02	The system must have a Change Register form that has the following inputs: - Project Items to be modified	MR

REQ ID	Requirement	Priority
	<ul style="list-style-type: none"> - Description field - Initiator Comment - Rationale for Change - Sponsor - Sponsor Comment 	
PM.04.03	The Change Register must allow adding attachments.	MR
PM.04.04	The system, through automated notifications must inform the appropriate role that they have an action pending for the processing of the Change Request.	HP
PM.04.05	The system must allow users to see all active workflows allocated to them.	HP
PM.04.06	<p>The system must have a consolidated (central) view of all Change Requests (from all projects), and a filtering capability by:</p> <ul style="list-style-type: none"> -Hierarchy - Project - Change Initiator - Change Sponsor - Change Approver - Status - Type 	MR
PM.04.07	The system must allow users to update data directly in the system in real time.	HP
PM.04.08	<p>The system must have a validation capability that compares the latest Baseline to the Proposed Plan from the Change Request Initiator, and as a result produce an output of all differences between the two plans</p> <p>Output Includes:</p> <ul style="list-style-type: none"> -Solutions -Tasks -Deliverables -Milestones -Validation -Communication -Beneficiaries (Leading and Contributing) -Additions -Deletions -Updates 	MR
PM.04.09	The system must be able to version the baseline and current plans to differentiate the difference between versions.	MR
PM.04.10	The system must recognize that if effort has been reported on any item (e.g. via a Progress Report), those items cannot be deleted via a CR.	MR
PM.04.11	The system must allow historization of the current plans on a periodic basis (after progress reporting) - traceability for auditing purposes.	MR
PM.04.12	The system must allow an implemented Change Request to be tagged/visible to relevant projects via a notifications (alerts).	MR
PM.04.13	The system must allow a user to create "what-if" scenarios by analysing potential change requests without impacting the Baseline or Current Plan.	HP
PM.04.14	The system must be able to "mark" or create "alerts" on specific deliverables (where a Change Request impacts that deliverable).	MR
PM.04.15	The system must be able to report on Change Request History.	MR

REQ ID	Requirement	Priority
PM.04.16	The system must be able to make views on Change Request data of related projects available in the project.	MR
PM.04.17	They system must allow for flexible management of Change Requests. This could include different types of accesses and workflows depending on the type of change to be requested/made.	HP

3.5 Process 5: Risk, Issue, and Opportunity Management

The way Risks, Issues and Opportunities (RIO) are going to be managed is throughout the Execution Phase of the SESAR JU Programme. It describes the procedures and processes to register them, to define Treatment Actions (TA) and to follow them up throughout their life cycle.

The purpose of the RIO procedure is to provide information and guidance to facilitate the integration and the visibility on the Risks, Issues and Opportunities into the overall SESAR Programme registers.

The objective of RIO Management is to ensure that, throughout the lifecycle of a project and/or the programme, the processes to identify potential events affecting the ability of the SESAR 3 JU to reach its objectives or seizing opportunities to capture benefits are operating effectively and on a timely manner at all levels of the programme (e.g. Project, WP and DES levels).

In particular any appropriate project risk, issue and or opportunity may be escalated to SESAR 3 JU and consolidated with SESAR 3 JU Programme risk, issue or opportunity for proper management and reporting to SESAR 3 JU governance as and when appropriate.

The table below shows the list of requirements concerning the Risk, Issues and Opportunities Management:

REQ ID	Requirement	Priority
PM.05.01	The system must be able to view all RIO at the Project and Programme Level.	MR
PM.05.02	The system must have a view (SESAR 3 JU) of RIO per criticality level and/or Impact level.	MR
PM.05.03	The system must allow users to search and filter RIO per event data, owner, criticality or impact level.	MR
PM.05.04	The system must allow users to select the appropriate RIO template to document each element.	MR
PM.05.05	The system must allow users to be notified when the communication is ready for their review.	MR
PM.05.06	The system must capture which users have reviewed the communication and when.	HP
PM.05.07	The project will include further meta data regarding the publication of the communication.	MR

3.6 Process 6: Communication

The objective of the communication process is threefold:

- To create awareness and outreach about SESAR and its projects;
- To showcase the research outcomes and benefits that SESAR solutions can bring to real day-to-day Air Traffic Management (ATM) operations;
- To accelerate the operational acceptance and subsequent deployment of SESAR solutions.

To ensure that communications are consistent with the SESAR 3 JU brand, project consortia are requested to propose Communication/Dissemination and Exploitation plan for assessment and agreement with SESAR 3 JU prior to preparation of any external communication activities, in order to:

- Validate SESAR-related content;
- Develop possible joint outreach activities through various communications channels;
- Benefit from SESAR 3 JU messaging support;
- Secure SESAR 3 JU speakers, if needed;
- Allow the SESAR 3 JU to further cascade relevant content through its own existing channels.

The collaborative platform must clearly manage the three distinct elements: communication, dissemination and exploitation of each project as key milestone of each project, but also allow consolidation at DES programme level for analysis, steering and monitoring against the key SESAR 3 JU communication Milestones. This activity will be in particular coordinated with a dedicated set of project point of contact and member representatives.

The table below shows the list of requirements Communication:

REQ ID	Requirement	Priority
PM.06.01	The system must be able to view all communication at the Project and Programme Level.	MR
PM.06.02	The system must have a view of communication that are tagged for quality assessment priority based on the strategic and the quality criteria.	MR
PM.06.03	The system must allow users to search and filter communications.	MR
PM.06.04	The system must allow users to select the appropriate communication template (based on the Communication Type/quality criteria).	MR
PM.06.05	The system must allow users to be notified when the communication is ready for their review.	MR
PM.06.06	The system must capture which users have reviewed the communication and when.	HP
PM.06.07	The project will include further meta data regarding the publication of the communication.	MR
PM.06.07	The system must have a Quality Assessment Library or Module.	MR

REQ ID	Requirement	Priority
PM.06.08	The system must have an Assessment Report template with pre-populated fields, drop down lists and free form text fields that can be instantiated for a particular Deliverable Assessment, and that will capture all information related to a particular assessment. Different users can provide input/comments (pre-assessment meeting) in the report in preparation for the assessment meeting.	MR
PM.06.09	The system must be able to notify users when the Assessment Report has been completed (pre-populated).	HP
PM.06.10	The system must have a calendar for the Quality Assessment & Delivery Process.	MR
PM.06.11	The system must alert users of upcoming events based on pre-defined dates.	HP
PM.06.12	<p>The system must have a Quality Assessment Register where the following information can be registered and reported on by users:</p> <p>A) Deliverable Acceptance Meta Data</p> <ul style="list-style-type: none"> - Project Number - Deliverable Code - Title - Actual Reception Date - Deliverable Type - Deliverable Owner - Planned Reception Date - Status - Comments <p>B) Communication Assessment Meta Data</p> <p>B-1) Main:</p> <ul style="list-style-type: none"> - Project Code - Assessment Status - Review Meeting Start / Review Meeting End - Closure Date Start / Closure Date End - Hand-over Date Start / Hand Over Date End / Handover Complete <p>B-2) Communication:</p> <ul style="list-style-type: none"> - Communication code - Communication Type - Handover Complete - Handover Date - Assessment Planned End Date - SESAR 3 JU Approver - Foreground - Confidentiality - Assessment ID <p>B-3) Assessment:</p> <ul style="list-style-type: none"> - Review Meeting Date - Closure Date - Provisional Assessment Status - Clarification Due Date - Resubmission Due Date - Assessment Decision - Assessment Status - Authorities Review 	MR

REQ ID	Requirement	Priority
	<ul style="list-style-type: none"> - Satisfaction Index - Alignment with commitments - content validity - alignment with SESAR 3 JU material B-4) Contribution: <ul style="list-style-type: none"> - SESAR 3 JU Reviewers - Professional Staff Association Assessment - Airspace Users Assessment - Military Assessment - Independent Expert 	
PM.06.13	The system must support one or more handover workflow for the Quality Assessment Report (SESAR 3 JU to Project) - Based on Communication assessment Outcome, Project user must be able to update and re-submit the Communication -The system must be able to block out the names of those contributors who provided the assessment - The system must ensure that only comments field for the Assessment Report is editable by the Project - If a "loop-back" is required, the system must track the "second round of quality assessment via handover workflow.	MR
PM.06.14	The system must be able to report on communication as part of the communication assessment process (Monitoring & Control Requirements 9.16-9.22).	MR
PM.06.15	The system must have narratives as part of the Communication handover process to better explain the steps and provide guidance.	HP

3.7 Process 7: Quality Management

The objective of the Quality Management process is to assess and monitor the quality of all relevant deliverables by the SESAR 3 JU. Within the SESAR Programme, the quality of the deliverables is managed according to the following principles:

- Quality assessment of deliverables is an integral part of the organisation and processes of the Projects: submission of a deliverable to the SESAR 3 JU involves all Project members and implies that the deliverable meets relevant standards and Programme expectations;
- The SESAR 3 JU assumes that Projects correctly apply internal quality controls prior to the submission of a deliverable to the SESAR 3 JU. The SESAR 3 JU may ask for evidence from the project to assess that internal quality controls are correctly planned and performed;
- Quality of deliverables is a major input for the acceptance at the Project Review;

The collaborative platform must support the quality management process with appropriate support to each deliverable workflow (from deliverable submission to SESAR 3 JU, through deliverable assessment along SESAR 3 JU criteria, up to assessment conclusion shared with project for consideration, either update and resubmission or simply progress of the project).

The table below shows the list of requirements concerning the Quality Management:

REQ ID	Requirement	Priority
PM.07.01	The system must be able to view all deliverables at the Project and Programme Level.	MR
PM.07.01	The system must have a view of deliverables that are tagged for quality assessment priority based on the strategic and the quality criteria.	MR
PM.07.03	The system must allow users to search and filter deliverables.	MR
PM.07.04	The system must allow users to select the appropriate deliverable template (based on the Deliverable Type/quality criteria).	MR
PM.07.05	The system must allow users to be notified when the deliverable is ready for their review.	MR
PM.07.06	The system must capture which users have reviewed the deliverable and when.	HP
PM.07.07	The project will include further meta data regarding the publication of the deliverable & meta data regarding to which solution pack the deliverable belongs.	MR
PM.07.07	The system must have a Quality Assessment Library or Module.	MR
PM.07.08	The system must have an Assessment Report template with pre-populated fields, drop down lists and free form text fields that can be instantiated for a particular Deliverable Assessment, and that will capture all information related to a particular assessment. Different users can provide input/comments (pre-assessment meeting) in the report in preparation for the assessment meeting.	MR
PM.07.09	The system must be able to notify users when the Assessment Report has been completed (pre-populated).	HP
PM.07.10	The system must have a calendar for the Quality Assessment & Delivery Process.	MR
PM.07.11	The system must alert users of upcoming events based on pre-defined dates.	HP
PM.07.12	<p>The system must have a Quality Assessment Register where the following information can registered and reported on by users:</p> <p>A) Deliverable Acceptance Meta Data</p> <ul style="list-style-type: none"> - Project Number - Deliverable Code - Title - Actual Reception Date - Deliverable Type - Deliverable Owner - Planned Reception Date - Status - Comments <p>B) Deliverable Assessment Meta Data</p> <p>B-1) Main:</p> <ul style="list-style-type: none"> - Project Code - Assessment Status - Review Meeting Start / Review Meeting End / IS Assessment - Closure Date Start / Closure Date End - Hand-over Date Start / Hand Over Date End / Handover Complete <p>B-2) Deliverable:</p> <ul style="list-style-type: none"> - Deliverable code - Deliverable Template - PCP related & version 	MR

REQ ID	Requirement	Priority
	<ul style="list-style-type: none"> - ATM Functionality / Sub Functionality - Delivery Quarter - Quality Category - Handover Complete - Handover Date - Assessment Planned End Date - SESAR 3 JU Approver - Foreground - Confidentiality - Assessment ID B-3) Assessment: <ul style="list-style-type: none"> -Review Meeting Date - Closure Date - Provisional Assessment Status - Clarification Due Date -Resubmission Due Date -Assessment Decision - Assessment Status - Authorities Review - Satisfaction Index - Alignment with commitments - content validity - interoperability validity - alignment with SESAR 3 JU material B-4) Contribution: <ul style="list-style-type: none"> - SESAR 3 JU Reviewers - IS Assessment - SESAR 3 JU Professional Staff Association Assessment - Airspace Users Assessment -Military Assessment - SESAR 3 JU Scientific Committee 	
PM.07.13	<p>The system must support one or more handover workflow for the Quality Assessment Report (SESAR 3 JU to Project) - Based on Deliverable Outcome, Project user must be able to update and re-submit the Deliverable -The system must be able to block out the names of those contributors who provided the assessment - The system must ensure that only comments field for the Assessment Report is editable by the Project - If a "loop-back" is required, the system must track the "second round of quality assessment via handover workflow.</p>	MR
PM.07.14	<p>The system must be able to report on deliverables as part of the deliverables assessment process (Monitoring & Control Requirements 9.16-9.22).</p>	MR
PM.07.15	<p>The system must have narratives as part of the deliverable handover process to better explain the steps and provide guidance.</p>	HP
PM.07.16	<p>The system must have a roles allocation view, which is role based and hierarchy based.</p>	MR
PM.07.17	<p>Each project will have access to the following libraries:</p> <ul style="list-style-type: none"> - Execution - Working - Restricted 	MR

3.8 Process 8: Monitoring & Control

The objective of the Monitoring & Control process is to ensure that quality and progress is being tracked at project level, and where needed to allow corrective actions to be taken and make available this information to the Programme management level.

The following monitoring and control processes are being made available and need to be applied in mandatory manner by and under the responsibility of the project manager:

- **Dependency management:** this sub-process provides an instrument to project managers to define, track, and control dependencies between the project and
 - Other project activities, deliverables, or milestones
 - The overall Programme life cycle and its deliverables
- **Milestones tracking:** this sub-process allows project managers to get an overview of all his milestones and record achievement including evidence. Besides being a usual tool for the project manager himself, it also provides essential information when rolled up at Programme level and to report on progress.
- **Deliverable assessment tracking:** the sub-process gives visibility to project manager and any project stakeholder about the status of deliverables in function of hand over, quality assessment as performed by SESAR 3 JU and any other information linked to the financial handling of the work performed.
- **Integrated scheduling** is a mechanism provided to project manager and any other stakeholder to aggregate schedule information and as such capture an overview of planned worked against actual progress.
- **Maturity assessment tracking:** this sub-process assess the maturity of each solution developed within each project; it is supported by a set of maturity criteria that any project may use to perform its own assessment. Once the project aims to deliver the solution, a formal maturity gate meeting is organised, chaired by SESAR 3 JU with participation of Project team and any appropriate Transversal area team members.

The table below shows the list of requirements concerning the Monitoring & Control:

REQ ID	Requirement	Priority
PM.08.01	The system must be able to view all deliverables at the Project and Programme Level.	MR
PM.08.02	The system must have a view of deliverables that are tagged for quality assessment priority based on the strategic and the quality criteria.	MR
PM.08.03	The system must allow users to search and filter deliverables.	MR
PM.08.04	The system must allow users to select the appropriate deliverable template (based on the Deliverable Type/quality criteria).	MR

REQ ID	Requirement	Priority
PM.08.05	The system must allow users to be notified when the deliverable is ready for their review.	MR
PM.08.06	The system must capture which users have reviewed the deliverable and when.	HP
PM.08.07	The project will include further meta data regarding the publication of the deliverable & meta data regarding to which solution pack the deliverable belongs.	MR
PM.08.07	The system must have a Quality Assessment Library or Module.	MR
PM.08.08	The system must have an Assessment Report template with pre-populated fields, drop down lists and free form text fields that can be instantiated for a particular Deliverable Assessment, and that will capture all information related to a particular assessment. Different users can provide input/comments (pre-assessment meeting) in the report in preparation for the assessment meeting.	MR
PM.08.09	The system must be able to notify users when the Assessment Report has been completed (pre-populated).	HP
PM.08.10	The system must have a calendar for the Quality Assessment & Delivery Process.	MR
PM.08.11	The system must alert users of upcoming events based on pre-defined dates.	HP
PM.08.12	<p>The system must have a Quality Assessment Register where the following information can registered and reported on by users:</p> <p>A) Deliverable Acceptance Meta Data</p> <ul style="list-style-type: none"> - Project Number - Deliverable Code - Title - Actual Reception Date - Deliverable Type - Deliverable Owner - Planned Reception Date - Status - Comments <p>B) Deliverable Assessment Meta Data</p> <p>B-1) Main:</p> <ul style="list-style-type: none"> - Project Code - Assessment Status - Review Meeting Start / Review Meeting End / IS Assessment - Closure Date Start / Closure Date End - Hand-over Date Start / Hand Over Date End / Handover Complete <p>B-2) Deliverable:</p> <ul style="list-style-type: none"> - Deliverable code - Deliverable Template - PCP related & version - ATM Functionality / Sub Functionality - Delivery Quarter - Quality Category - Handover Complete - Handover Date - Assessment Planned End Date - SESAR 3 JU Approver 	MR

REQ ID	Requirement	Priority
	<ul style="list-style-type: none"> - Foreground - Confidentiality - Assessment ID B-3) Assessment: <ul style="list-style-type: none"> -Review Meeting Date - Closure Date - Provisional Assessment Status - Clarification Due Date -Resubmission Due Date -Assessment Decision - Assessment Status - Authorities Review - Satisfaction Index - Alignment with commitments - content validity - interoperability validity - alignment with SESAR 3 JU material B-4) Contribution: <ul style="list-style-type: none"> - SESAR 3 JU Reviewers - IS Assessment - SESAR 3 JU Professional Staff Association Assessment - Airspace Users Assessment -Military Assessment - SESAR 3 JU Scientific Committee 	
PM.08.13	The system must support one or more handover workflow for the Quality Assessment Report (SESAR 3 JU to Project) - Based on Deliverable Outcome, Project user must be able to update and re-submit the Deliverable -The system must be able to block out the names of those contributors who provided the assessment - The system must ensure that only comments field for the Assessment Report is editable by the Project - If a "loop-back" is required, the system must track the "second round of quality assessment via handover workflow.	MR
PM.08.14	The system must be able to report on deliverables as part of the deliverables assessment process (Monitoring & Control Requirements 9.16-9.22).	MR
PM.08.15	The system must have narratives as part of the deliverable handover process to better explain the steps and provide guidance.	HP
PM.08.16	The system must have a roles allocation view, which is role based and hierarchy based.	MR
PM.08.17	Each project will have access to the following libraries: <ul style="list-style-type: none"> - Execution - Working - Restricted 	MR

3.9 Process 9: External Stakeholders Management

The objective is to involve in the Programme activities resources which represent various groups of stakeholders such that their expertise and knowledge can be utilised in the most

effective and efficient manner possible is support to SESAR 3 JU teams. While the SESAR 3 JU monitors, reviews and approves the project deliverables. The involvement of External stakeholders within the project should be applied to those activities that contribute to the development of SESAR Solutions as a priority (e.g. Deliverable assessment, Maturity gate and/or Communication processes).

Contracts with the following stakeholders, who can be included in the External Stakeholder management, that are possible include (possible more to come):

- Airspace Users;
- Professional Staff Associations;
- National Authorities/EASA;
- Independent Experts (as per Horizon Europe definition).

The table below shows the list of requirements concerning the External Stakeholder Management:

REQ ID	Requirement	Priority
PM.09.01	The system must allow users to search and filter External Stakeholder activity.	MR
PM.09.02	The system must capture which users have reviewed the deliverable, communication and when.	HP

4. High-Level Requirements – Administration & Transversal Functional Areas

The collection of requirements covers both program management and administration. This chapter covers the administration and transversal processes based on functionality areas.

4.1 Functionality Area 1: Metadata

Metadata is typically stored for each document. Metadata may include generic metadata (i.e. date of the document, file name, identity of the user...) and specific metadata (i.e. project reference, lot number,...).

The DMS/BMS may also extract metadata from any project elements (such as document, maturity gate, validation, communication...) automatically or prompt the user to add metadata. Some systems also use optical character recognition on scanned images, or perform text extraction on electronic documents. The resulting extracted text can be used to assist users in locating project elements (such as documents) by identifying probable keywords or providing for full text search capability, or can be used for reporting needs.

The table below shows the list of requirements concerning Metadata:

REQ ID	Requirement	Priority
FA.01.01	The STELLAR 2.0 must be capable of extracting metadata elements automatically from records when they are captured (including OCR functionalities).	HP
FA.01.02	The STELLAR 2.0 must allow creators of records to enter manually pertinent record metadata that cannot be captured automatically.	MR
FA.01.03	The STELLAR 2.0 must support the validation of metadata that is entered by users, or imported from other systems.	LP
FA.01.04	Metadata must be logically linked to the records, files, and classes it documents, so that users can review metadata information when they retrieve records.	MR
FA.01.05	The STELLAR 2.0 must allow for the modification or reconfiguration of metadata sets, but the authorization to make changes must be restricted.	MR
FA.01.06	The STELLAR 2.0 must support inheritance of metadata by lower levels of the classification scheme so that, by default, addition of a new class results in automatic inclusion of those attributes by the new class, which are defined as inherited from the higher level.	MR
FA.01.07	The STELLAR 2.0 must facilitate the following of archiving constraints for each document by using metadata (i.e. archiving date), and to define the link with the physical paper document.	MR
FA.01.08	The STELLAR 2.0 must keep all document metadata during the creation of a new document version.	MR
FA.01.09	The STELLAR 2.0 must allow the administrator to create, add, modify or delete the metadata of a document type and to spread it to existing documents.	MR
FA.01.10	The STELLAR 2.0 must allow the administrator to: 1/ set a default value for a metadata manually or automatically (based on the document name or content of the document), 2/ define a metadata field as mandatory or optional, 3/ define a list of choice for a specific metadata field.	MR
FA.01.11	The STELLAR 2.0 must offer the opportunity to gather logically the metadata in the user interface.	MR
FA.01.12	The STELLAR 2.0 must allow to pre-fill metadata according to system information (owner of the document, creation date, last modification date...).	MR

4.2 Functionality Area 2: Integration

Many document management systems (DMS) attempt to integrate document management directly into other applications, so that users may retrieve existing documents directly from the document management system repository, make changes, and save the changed document back to the repository as a new version, all without leaving the application. Such integration is commonly available for office suites and e-mail or collaboration software.

The table below shows the list of requirements concerning Integration:

REQ ID	Requirement	Priority
FA.02.01	The STELLAR 2.0 shall be able to integrate with external 3rd-party applications, as for example HE , MEGA, and Microsoft Office	MR

REQ ID	Requirement	Priority
	applications for the exchange and update of data and documents in the STELLAR 2.0 system.	
FA.02.02	The STELLAR 2.0 shall support a well-defined interface for integrating applications other than Microsoft Office applications (i.e. HE portal, MEGA...).	HP
FA.02.03	The STELLAR 2.0 shall support creation of new documents on the basis of documents templates.	MR
FA.02.04	The STELLAR 2.0 shall associate applications to document file types. It shall be possible to start up an application directly when a document is accessed.	MR
FA.02.05	The STELLAR 2.0 must allow to link several documents (i.e. amendments and memo linked to a contract).	MR
FA.02.06	The STELLAR 2.0 must allow creating specific forms (i.e. to easily follow and link the legal requests received from the business and the legal responses provided by the legal team).	HP
FA.02.07	The system must allow to link emails from Outlook with STELLAR 2.0 documents.	MR
FA.02.08	Capacity of migration to another storage support or to another platform (export of documents, index...).	HP
FA.02.09	The STELLAR 2.0 must allow sending a document as a link or an attachment in an email, according to the user access rights.	MR
FA.02.10	The STELLAR 2.0 must allow creating a document from an existing document (i.e. save as...).	MR
FA.02.11	The STELLAR 2.0 must allow using the functionalities of MS suite applications (i.e. search, document comparison, merge...).	MR

4.3 Functionality Area 3: Indexing & Classification

Indexing tracks electronic documents. Indexing may be as simple as keeping track of unique document identifiers; but often it takes a more complex form, providing classification through the documents' metadata or even through word indexes extracted from the documents' contents. Indexing exists mainly to support retrieval. One area of critical importance for rapid retrieval is the creation of an index topology.

Notion of Indexing & Classification may apply to any elements characterizing any project, sometime also called 'object' characterizing the project.

The table below shows the list of requirements concerning Indexing & Classification:

REQ ID	Requirement	Priority
FA.03.01	The STELLAR 2.0 must support and be compatible with the organization's classification scheme defined by SESAR 3 JU. When the classification scheme is non-existent or only partially constructed it is strongly recommended that the classification scheme be based upon business processes.	MR
FA.03.02	The STELLAR 2.0 must automatically assign appropriate classification metadata to records and files and to classes within the classification scheme	MR

REQ ID	Requirement	Priority
	at the point of creation and capture; in particular the time and date of the electronic transaction must be determined precisely.	
FA.03.03	The STELLAR 2.0 must ensure that the authorization to reclassify, add, delete or otherwise modify the classification scheme is carefully controlled and monitored, in accordance with adequate access rights.	MR
FA.03.04	The STELLAR 2.0 must allow an authorised user to add and modify the existing structure of the classification scheme.	MR
FA.03.05	The STELLAR 2.0 must be capable of supporting a hierarchical business classification scheme, with an unlimited and varying numbers of levels below the root level.	MR
FA.03.06	The STELLAR 2.0 must support the initial construction of a business classification scheme, in preparation for the creation of folders and before the receipt of electronic documents and data.	MR

4.4 Functionality Area 4: Storage, Archiving, and Retrieval

Storage of the documents often includes management of those same documents; where they are stored, for how long, migration of the documents from one storage media to another (hierarchical storage management) and eventual document destruction.

Retrieve the electronic documents from the storage. Although the notion of retrieving a particular document is simple, retrieval in the electronic context can be quite complex and powerful.

This notion can also equally be applicable to any project object.

The table below shows the list of requirements concerning Storage, Archiving and Retrieval:

REQ ID	Requirement	Priority
FA.04.01	The STELLAR 2.0 must ensure that records, metadata, links to metadata or to files, and classification schemes can be converted or migrated to new system hardware, software and storage media without loss of vital information.	MR
FA.04.02	The STELLAR 2.0 must produce a report detailing any failure during a conversion or transfer and identifying records that were not successfully exported.	HP
FA.04.03	The STELLAR 2.0 must retain all records that have been exported until confirmation of a successful transfer process.	HP
FA.04.04	The STELLAR 2.0 must provide automated procedures that allow for the regular backup and recovery of all records, files, metadata, and classification schemes.	MR
FA.04.05	The STELLAR 2.0 must alert the SESAR 3 JU users at the end of the retention and archiving periods.	MR
FA.04.06	The STELLAR 2.0 must ensure that records can be easily accessed and retrieved in a timely manner in the normal course of all business processes.	MR
FA.04.07	The STELLAR 2.0 must ensure that all components of a record or file, including contents, relevant metadata, notes, attachments, etc., can be	MR

REQ ID	Requirement	Priority
	accessed, retrieved and rendered as a discrete unit or group and in a single retrieval process.	
FA.04.08	The STELLAR 2.0 must be able to manage, store and archive up to 1 TB (1 terabyte) of data.	MR
FA.04.09	The STELLAR 2.0 must allow to restore a previous configuration of the system and the data in case of problem.	MR
FA.04.10	The STELLAR 2.0 must have a sufficient absorption capacity to support significant integration of documents in case of high activity peak.	HP
FA.04.11	Avoid the users to modify or delete the content of a document tagged as an archived document.	MR
FA.04.12	Capacity of recover a document deleted by error (especially in case of incorrect handling).	HP
FA.04.13	The STELLAR 2.0 must allow to extract data towards office tools (i.e. Excel) and to extract raw data to achieve statistics or to create customised dashboards.	HP
FA.04.14	The STELLAR 2.0 must allow displaying warning or confirmation messages to users before an action on a document (i.e. delete or move a document).	MR
FA.04.15	The system should be able to allow for opening and working on multiple instances/sessions of the tool data to work in/on different areas/sections of programme data in parallel (different projects opened in different windows, etc... project information/data in one window and financial in another and a document library elsewhere in another area).	HP

4.5 Functionality Area 5: Security & User Access Management

4.5.1 Security High Level Requirements

Document security is vital in many document management applications. Compliance requirements for certain documents can be quite complex depending on the type of documents. Some document management systems have a rights management module that allows an administrator to give access to documents based on type to only certain people or groups of people.

This notion can also equally be applicable to any project object.

The table below shows the list of requirements concerning Security:

REQ ID	Requirement	Priority
FA.05.01	The STELLAR 2.0 must allow only authorized personnel to create, capture, update records, metadata associated with records, files of records, classes in classification schemes, and retention schedules.	MR
FA.05.02	The STELLAR 2.0 must allow controlling access to the records according to adequate access rights.	MR

REQ ID	Requirement	Priority
FA.05.03	A user must never access to information that he or she is not permitted to receive. The users access rights will vary according to the type of data or records contained in the system.	MR
FA.05.04	The STELLAR 2.0 allows the external user to directly modify his personal information in the system (company name, contacts...).	MR
FA.05.05	The external user can input and send his access request directly in the STELLAR 2.0.	MR
FA.05.06	The STELLAR 2.0 must show the list of pending access requests.	MR
FA.05.07	The access rights validation and justification (history, status) must be linked to the user request in the STELLAR 2.0.	MR
FA.05.08	The SESAR 3 JU system administration team must be able to create a validation workflow to manage the access rights in the STELLAR 2.0, delegation functionality included (i.e. by the user himself for unplanned absence, like holidays, by the hierarchy for unexpected absence, by delegation according to the nature of document to validate during the absence,...).	MR
FA.05.09	The SESAR 3 JU project manager must be able to validate the access rights requests in the STELLAR 2.0, in adequately approved cases.	HP
FA.05.10	The STELLAR 2.0 must allow the user to reset or request a new password directly in the system without the involvement of the helpdesk team.	LP
FA.05.11	The STELLAR 2.0 must allow to manage access and to share permissions for users and groups.	MR
FA.05.12	The STELLAR 2.0 must allow to check permissions of users or groups across all SharePoint sites.	MR
FA.05.13	The STELLAR 2.0 must be able to manage a minimum of 5500 users, while on a same day it can be expected that 1000 users may use the platform simultaneously.	MR
FA.05.14	The STELLAR 2.0 must allow to restrict the access to a document based on his status.	MR
FA.05.15	The STELLAR 2.0 must allow to manage access rights for all action types (create, edit, print, consult, annotation, update,...) at users, groups and roles levels.	MR
FA.05.16	Users and Groups (see section 4.5.2.1 for details): The system must be able to allow managing permissions via groups, created as needed, assigning permissions via groups, with users being assigned to groups based on their roles in relation to content and functions they will need to access.	MR
FA.05.17	Permission Levels (see section 4.5.2.2 for details): The system should support controlling the permission levels of users and groups at detailed levels such as create item, delete item, delete versions, approve items etc. Typical permission levels should be Read, Contribute and Full Control or the equivalent. This needs to be configurable according to the needs of the STELLAR 2.0.	MR
FA.05.18	Granting Permissions (see section 4.5.2.3 for details).	MR
FA.05.19	Access Request and Delegation (see section 4.5.2.4 for details).	MR
FA.05.20	The STELLAR 2.0 system should allow for a select group of SESAR 3 JU users to have administrator rights with visibility on the back end and access to be able to manage customizations, creation of groups, changes in accesses, creation and modification of reports, dashboards, etc.	MR

4.5.2 User Access Management

4.5.2.1 Users and Groups

Permissions in the DMS/BMS should be granted to groups, Active Directory groups, or single users. Groups should typically be modelled around which role the different groups of people have in relation to the content managed or their role in the SESAR 3 JU organisation or one or more projects. Visitor, Member and Owner, or equivalents, should be standard roles that make sense in most situations. It is requested to use groups for managing permissions, and then make Active Directory groups and single user's members of such groups, to simplify permission management and be able to quickly get an overview of the permissions.

For the SESAR 3 JU, many roles have been identified that are relevant to the sites that will need to be created, such as Project Manager, Project Member, Project Guest, Project SESAR Solution Leader, SESAR 3 JU Program Manager, SESAR 3 JU Program Quality Expert, SESAR 3 JU Technical Cohesion Coordinator, etc. However, some of these require the same permissions and can be combined into groups representing all the roles with similar needs. The DMS/BMS tool must be able to support this as a minimum requirement.

REQ ID	Requirement	Priority
FA.05.01	The STELLAR 2.0 must allow only authorized personnel to create, capture, update records, metadata associated with records, files of records, classes in classification schemes, and retention schedules.	MR
FA.05.02	The STELLAR 2.0 must allow controlling access to the records according to adequate access rights.	MR
FA.05.03	A user must never access to information that he or she is not permitted to receive. The users access rights will vary according to the type of data or records contained in the system.	MR
FA.05.04	The STELLAR 2.0 allows the external user to directly modify his personal information in the system (company name, contacts...).	MR
FA.05.05	The external user can input and send his access request directly in the STELLAR 2.0.	MR
FA.05.06	The STELLAR 2.0 must show the list of pending access requests.	MR
FA.05.07	The access rights validation and justification (history, status) must be linked to the user request in the STELLAR 2.0.	MR
FA.05.08	The SESAR 3 JU system administration team must be able to create a validation workflow to manage the access rights in the STELLAR 2.0, delegation functionality included (i.e. by the user himself for unplanned absence, like holidays, by the hierarchy for unexpected absence, by delegation according to the nature of document to validate during the absence,...).	MR

REQ ID	Requirement	Priority
FA.05.09	The SESAR 3 JU project manager must be able to validate the access rights requests in the STELLAR 2.0, in adequately approved cases.	MR
FA.05.10	The STELLAR 2.0 must allow the user to reset or request a new password directly in the system without the involvement of the helpdesk team.	LP
FA.05.11	The STELLAR 2.0 must allow to manage access and to share permissions for users and groups.	MR

4.5.2.2 Permission Levels

The system should support controlling the permission levels of users and groups at detailed levels such as create item, delete item, delete versions, approve items etc. Typical permission levels should be Read, Contribute and Full Control or the equivalent. This needs to be configurable according to the needs of the DMS/BMS.

REQ ID	Requirement	Priority
FA.05.12	The STELLAR 2.0 must allow checking permissions of users or groups across all SharePoint sites.	MR
FA.05.13	The STELLAR 2.0 must be able to manage a minimum of 5500 users, while on a same day it can be expected that 1000 users may use the platform simultaneously.	MR
FA.05.14	The STELLAR 2.0 must allow to restrict the access to a document based on his status.	MR
FA.05.15	The STELLAR 2.0 must allow to manage access rights for all action types (create, edit, print, consult, annotation, update, etc...) at users, groups and roles levels.	MR

4.5.2.3 Granting Permissions

Access management in the DMS/BMS should be very granular, and permissions should be able to be granted to users and groups at any level of the hierarchy. By default, permissions should be inherited down through the hierarchy. However, permission inheritance should be able to be broken at any level, to allow for setting unique permissions. Users and groups should be granted permissions directly, or through membership in a group.

Permissions should be able to be set at the highest possible level in the hierarchy, to keep the complexity of understanding, managing and supporting the DMS/BMS as low as possible. For instance, if an auditor should only have access to certain documents for a project, these should be placed in a dedicated folder with a descriptive name, and the auditor should be granted permissions to this folder and its content only. The DMS/BMS tool must be able to support this as a minimum requirement.

REQ ID	Requirement	Priority
FA.05.16	Users and Groups (see section 4.5.2.1 for details): The system must be able to allow managing permissions via groups, created as needed, assigning permissions via groups, with users being assigned to groups based on their roles in relation to content and functions they will need to access.	MR
FA.05.17	Permission Levels (see section 4.5.2.2 for details): The system should support controlling the permission levels of users and groups at detailed levels such as create item, delete item, delete versions, approve items etc. Typical permission levels should be Read, Contribute and Full Control or the equivalent. This needs to be configurable according to the needs of the STELLAR 2.0.	MR
FA.05.18	Granting Permissions (see section 4.5.2.3 for details).	MR

4.5.2.4 Access Request and Delegation

The DMS/BMS should have a built-in access request feature that allows anyone who is not a member of a site to request access to it, and to provide a reason for requesting access. A notification email should be sent to an email address specified for this site, and requests placed in a queue for manual processing; until approved, the requestor will not have access to the site. Members of a site should also be able to invite others to the site; however this should also create an access request that must be approved before being granted. Approving and rejecting access requests is done by users who have the site owner role in the DMS/BMS. The full history of access requests can be found in the access requests page.

In SESAR 3 JU's case of project sites, project managers should be able to approve access requests to their projects and communicate with the requester for dialogue/clarifications as needed regarding the request prior to accepting or to providing, if needed, the approver a reason for rejecting the request.

REQ ID	Requirement	Priority
FA.05.19	Access Request and Delegation (see section 4.5.2.4 for details).	MR
FA.05.20	The STELLAR 2.0 system should allow for a select group of SESAR 3 JU users to have administrator rights with visibility on the back end and access to be able to manage customizations, creation of groups, changes in accesses, creation and modification of reports, dashboards, etc.	MR

4.6 Functionality Area 6: Collaboration

Collaboration should be inherent in the SESAR 3 DMS/BMS. In its basic form, collaborative DMS/BMS should allow documents or any project's object to be retrieved and worked on by an authorized user. Access should be blocked to other users while work is being performed on the document/object. Other advanced forms of collaboration act in real time, allowing multiple users to view and modify documents/objects at the same time. The resulting document/object is comprehensive, including all users' additions. Collaboration within DMS/BMS stores the

various mark-ups by each individual user during the collaboration session, allowing document/object history to be monitored.

The table below shows the list of requirements concerning Collaboration:

REQ ID	Requirement	Priority
FA.06.01	The STELLAR 2.0 shall provide a collaboration and knowledge sharing platform where users from the SESAR 3 JU Programme, projects, external parties, coordination groups, task forces, etc., can access and share restricted documents, information, and areas based on access rights covering both the programme, project, and group levels.	MR
FA.06.02	The STELLAR 2.0 shall provide a web-interface of the system from where external and internal users can get a secure access to the system.	MR
FA.06.03	The STELLAR 2.0 shall provide the same functionality for managing documents to external users as it does to the internal users.	MR
FA.06.04	The STELLAR 2.0 shall support the electronic signature.	MR
FA.06.05	The STELLAR 2.0 shall facilitate the process of document validation and workflow.	MR
FA.06.06	The STELLAR 2.0 must allow to define a naming convention for all files names and metadata created in the system, to facilitate the collaborative work.	MR
FA.06.07	The STELLAR 2.0 must allow to circulate information through users' lists, by department, by management, or by name.	MR
FA.06.08	The STELLAR 2.0 must allow to provide shortcuts or links from the source document (i.e. a document stored will be available from several folders but with only one copy of the document in the STELLAR 2.0).	MR
FA.06.09	The STELLAR 2.0 must allow keeping the comments and tracking changes in a document during a check-in or check-out.	MR
FA.06.10	Synchronisation of documents to a local computer (programme level): The tool shall allow a user to sync selected document libraries from the tool to a local computer. This synchronisation is a one-way communication, i.e. the local computer replicates document libraries from the tool, not vice versa.	HP
FA.06.11	Document add/modify/delete: The tool will allow users to add to or delete from document libraries, depending on access rights, files and documents as well as to modify them.	MR

4.7 Functionality Area 7: Versioning

Versioning is a process by which documents/objects are checked in or out of the DMS/BMS, allowing users to retrieve previous versions and to continue work from a selected point. Versioning is useful for documents/objects that change over time and require updating, but it may be necessary to go back to or reference a previous copy.

The table below shows the list of requirements concerning Versioning:

REQ ID	Requirement	Priority
FA.07.01	The STELLAR 2.0 shall be able to manage versions and revisions of documents.	MR

REQ ID	Requirement	Priority
FA.07.02	The STELLAR 2.0 shall keep track of the history of versions and revisions of documents.	MR
FA.07.03	The STELLAR 2.0 shall attach version and revision numbers as metadata to the documents.	MR
FA.07.04	The STELLAR 2.0 shall be able to show all versions and revisions to the user.	MR
FA.07.05	The STELLAR 2.0 must provide a unique identifier for a document including all versions. If the unique identifier is used for search, only the last version will be displayed by the system (by default).	MR

4.8 Functionality Area 8: Searching & Reporting

Searching finds documents/objects and folders using template attributes or full text search. Documents/objects can be searched using various attributes, metadata and document/object content.

The table below shows the list of requirements concerning Searching:

REQ ID	Requirement	Priority
FA.08.01	The STELLAR 2.0 search function shall be a robust and fast search engine. The search functionality must support platform-wide searches and project/area-specific searches, relevancy tuning, and has a number of built-in linguistic features that helps the user find what it's looking for (word breaking, stemming, spelling variants (including consonant and vowel accent variations such as oe or ö, n or ñ, and spelling correction).	MR
FA.08.02	The STELLAR 2.0 search function shall be able to search on document identification numbers, document classification and metadata on all documents.	MR
FA.08.03	The STELLAR 2.0 search function shall be able to search on different versions and revisions of documents. Standard search shall always only show the last version of documents.	MR
FA.08.04	The STELLAR 2.0 search function shall be able to make free text search in the content of documents.	MR
FA.08.05	The STELLAR 2.0 search function shall be able to make free text search in metadata.	MR
FA.08.06	The STELLAR 2.0 search function shall be able to handle common Boolean search operators.	MR
FA.08.07	It shall be possible to create, save and reuse user defined search criteria as well as the search results.	MR
FA.08.08	The STELLAR 2.0 search function shall be able to search on archived documents.	MR
FA.08.09	The STELLAR 2.0 should allow to display a customised dashboard for users with at least the following elements: - List(s) of active tasks, for which an action is requested; - List(s) of documents recently used or opened; - List(s) of documents under modification (check-out); - List(s) of documents recently modified (check-in).	MR
FA.08.10	The STELLAR 2.0 should allow indexing the textual content of documents (MS Office, PDF, images...) and emails (Outlook,...).	MR

REQ ID	Requirement	Priority
FA.08.11	The STELLAR 2.0 should allow exporting the search in several formats according to the MS Office suite (i.e. CSV...).	MR
FA.08.12	The STELLAR 2.0 must allow to generate reports based on specific metadata defined by each SESAR 3 JU departments (see Annex: Workshops).	MR

4.9 Functionality Area 9: Publishing

Publishing a document involves the procedures of proofreading, peer or public reviewing, authorizing, printing, and approving etc.

The published document should be in a format that is not easily altered without a specific knowledge or tools, and yet it is read-only or portable.

REQ ID	Requirement	Priority
FA.09.01	The STELLAR 2.0 shall be able to publish documents to the intranet (including SESAR 3 JU public website) and extranet.	MR
FA.09.02	The STELLAR 2.0 must have the capacity to allow access to certain documents in time, in addition to the management of access rights.	MR

4.10 Functionality Area 10: Protection of personal data, confidentiality and minimum retention period

Several documents have been identified relative to the protection of personal data, confidentiality and retention of documents. As European Union Body, the legal basis for the document management within the SESAR 3 JU should mainly be based on the following Commission decisions and their implementing rules:

- Commission Decision (EU) 2021/2121 of 06.07.2020 on records management and archives;
- Collected Decisions and Implementing Rules above, published by the Publications Office of the European Commission;
- SEC(2019)900/3 “Common Commission-Level Retention List for European Commission files-second revision” replacing SEC(2019)900/2 of 09.07.2019.

In addition, the Single Basic Act¹³ provides the legal basis for a series of administrative rules governing the SESAR 3 JU’s day to day functioning.

¹³ Council Regulation (EU) 2021/2085 of 19 November 2021 establishing the Joint Undertakings under Horizon Europe and repealing Regulations (EC) No 219/2007, (EU) No 557/2014, (EU) No 558/2014, (EU) No 559/2014, (EU) No 560/2014, (EU) No 561/2014 and (EU) No 642/2014

4.10.1 Required SESAR 3 DMS compliance with provisions on protection of personal data and confidentiality

4.10.1.1 Provisions on protection of personal data

DMS shall respect the provisions and principles on the protection of personal data laid down in the applicable data protection legislation.

In addition to compliance with Regulation 2018/1725 (EUDPR)¹⁴ for processing operations of personal data within the SESAR 3 JU's own remit, services mentioned herein shall be provided in strict compliance with the provisions and principles of Regulation 2016/679¹⁵ (GDPR), any relevant Guidelines of the European Data Protection Supervisor (EDPS), Court of Justice of the European Union (CJEU) jurisprudence (e.g. Schrems II), internal SESAR 3 JU rules applicable to data protection and the applicable SESAR 3 JU data protection records and notices.

In particular the localisation of and access to personal data processed shall comply with the following:

- i. The personal data shall only be processed within the territory of the European Union and the European Economic Area and will not leave that territory;
- ii. The data shall only be held in data centres located within the territory of the European Union and the European Economic Area;
- iii. No access shall be given to such data outside of the European Union and the European Economic Area;
- iv. The awarded contractor may not change the location of data processing without the prior written authorisation of the data controller (SESAR 3 JU);
- v. In case of any transfer of personal data to third countries or international organisations, the transfer shall fully comply with the requirements laid down in Chapter V of Regulation (EU) 2018/1725 and Regulation (EU) 2016/679, the relevant jurisprudence of the Court of Justice of the European Union (CJEU) and in particular judgment C-311/18¹⁶ (Schrems II) and relevant EDPS guidelines.

The awarded contractor shall put in place all necessary technical and organisational measures required under Article 27 EUDPR to achieve data protection by design and by default and ensure the integrity and confidentiality of personal data.

Specific data protection records and notices have been developed by the SESAR 3 JU, such as within the framework of its procurement procedures and the management of the resulting contracts, staff related data, experts, etc. All data protection records are publicly available at

¹⁴ [REGULATION \(EU\) No 2018/1725 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data, and repealing Regulation \(EC\) No 45/2001 and Decision No 1247/2002/EC](#)

¹⁵ [Regulation \(EU\) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC \(General Data Protection Regulation\) \(Text with EEA relevance\)](#)

¹⁶ Judgment of the Court (Grand Chamber) of 16 July 2020, Data Protection Commissioner v Facebook Ireland Limited and Maximilian Schrems, <https://curia.europa.eu/juris/liste.jsf?num=C-311/18>

the SESAR 3 JU register at the following link: <https://www.sesarju.eu/node/3405> and the data protection notices at the following link: <https://www.sesarju.eu/node/3405>.

4.10.1.2 Provisions on confidentiality

In addition, DMS shall also comply with the principles and minimum standards of security defined in the Council's security regulations¹⁷, in particular with regards to the assessment of the required degree of protection required for any classified document and to the security measures to be implemented by all persons having access to classified records, both in electronic system and paper archives.

Article 33 of the Single Basic Act states that each joint undertaking shall ensure the protection of confidential information the disclosure of which beyond Union institutions and other Union bodies, offices or agencies could damage the interests of its members or of participants in the activities of the respective joint undertaking. Such confidential information includes but is not limited to personal, commercial, sensitive non-classified and classified information.

Governing Board decision GB(D)03-2021 further specifies the rules on confidentiality, prevention, avoidance and management of conflict of interest of the SESAR 3 JU.

Where confidentiality is concerned, assessment of the degree of protection is required. The security measures shall extend to all persons having access to classified documents.

Classified Documents shall be archived in an area set apart from the other electronic archiving spaces and controlled by security rules; the degree of protection shall correspond with the security criticality of the individual records to be protected.

The main reasons for confidentiality identified so far at the SESAR 3 JU are protection of personal data, commercial interests of third parties and decision-making process.

4.10.2.1 Levels of document classification

The SESAR 3 JU needs to establish the steps for the necessary accreditations in order to be in the position to deal with EU classified documents. The EU classification is as follows:

EU Level Classification	Nature of the Information
EU Top Secret	This classification shall be applied only to information and material the unauthorised disclosure of which could cause exceptionally grave prejudice to the essential interests of the European Union or of one or more of its Member States.
EU Secret	This classification shall be applied only to information and material the unauthorised disclosure of which could seriously harm the essential interests of the European Union or of one or more of its Member States.
EU Confidential	This classification shall be applied to information and material the unauthorised disclosure of which could harm the essential

¹⁷ Council Decision 2001/264/EC of 19 March 2001 adopting the Council's security regulations, OJ L 101, 11.4.2001, p.1. Decision as last amended by Decision 2005/952/EC (OJ L 346, 29.12.2005, p.18)

	interests of the European Union or of one or more of its Member States.
EU Restricted	This classification shall be applied to information and material the unauthorised disclosure of which could be disadvantageous to the interests of the European Union or of one or more of its Member States.

In addition to the EU classification level, for which special accreditation is needed and the process is ongoing, it is proposed the SESAR 3 JU uses additional classification levels:

SESAR 3 JU Classification Level	Nature of the Information
SESAR 3 JU Restricted	This classification shall be applied to information and material the unauthorised disclosure of which could be disadvantageous to the interests of the SESAR 3 JU, the SESAR Programme or its Members.
SESAR 3 JU Proprietary Information	This classification shall be applied to “commercially sensitive” or “sensitive” information and material sometimes designated as Proprietary Information (MFA) or Confidential Information (H2020) according to any SESAR 3 JU contractual relationship, the unauthorised disclosure of which could prejudice the disclosing party or the SESAR 3 JU. This detriment might be to the financial or commercial position of the disclosing party or to the public interest of the SESAR 3 JU.

When using these specific classification levels on a document, the SESAR 3 JU staff member concerned shall make sure that:

- When the document is drawn up by the SESAR 3 JU, the definition of the granted SESAR 3 JU classification level appears in footnote of the document;
- When the document is received by the SESAR 3 JU, a standard letter or e-mail explaining the granted SESAR 3 JU classification level should be automatically generated by the IT system and sent to the entity which communicated the document;
- When a SESAR 3 JU classified document is communicated to a third party, the Legal Affairs and Procurement sector must previously be consulted for preparation of the necessary contractual documents, if needed. In this context, a “pop-up” window should automatically in the system proposing the consultation of the Legal Affairs and Procurement Sector.

4.10.2.2 Classification Process

It is the responsibility of every SESAR 3 JU staff to ensure the adequate classification of the exchanged and received documents. For this purpose, upon exchange or reception of any information described in section 4.10.2.10, the SESAR 3 JU staff shall immediately consult the SESAR 3 JU Legal Affairs and Contract Sector (DMS should reflect this requirement).

With regard to the EU classified documents, specific instructions should have been made available to the accredited persons within the SESAR 3 JU. It is advised in this context to consult these persons, if any, in a dedicated workshop.

With regard to documents that can be considered under the SESAR 3 JU classification, it recommended seeking advice from the SESAR 3 JU Legal Affairs and Procurement which may then check the obligations of the SESAR 3 JU with regards to the handling and protection of this information, if any, and proceed with the initial classification of the information in DMS.

In case of exchange of information from the SESAR 3 JU, specific non-disclosure agreement shall be signed by the parties before any disclosure.

In case of request of access to this classified information from a third party, a final decision regarding the classification of the Document will be taken by the SESAR 3 JU Executive Director, on advice and with the support of the Chief Administration Affairs.

4.10.2.3 Access to protected documents

Access to protected documents should be limited in case of sensitive documents or for data protection reasons (e.g. in personnel matters).

This access shall be only based on the need to know principle. In particular access shall be restricted in order to protect: privacy of personal data, intellectual property rights and sensitive information. The person registering the supporting document in the system is responsible for activating required security options and limiting access accordingly.

4.10.2 Retention of documents

The retention period is the time a document has to be kept for operational needs and to comply with legal and other requirements.

It is recommended to make the retention period an obligatory metadata to the electronic record file.

The metadata would then clearly indicate the time of retention and make it possible to track documents that can be destroyed or transferred.

Legal or statutory retention periods should be regarded as minimum retention periods. For practical reasons, it may be advisable to retain some records slightly longer than these legal or statutory retention periods.

After the retention period the documents shall undergo a second appraisal to determine their long term archival value. We would therefore strongly advise developing in the DMS an alert (pop-up window). At the end of the SESAR 3 JU or at the end of the legal retention period several options are possible:

- Long term storage of electronic version (archiving)
- Extending the retention period
- Complete deletion and/or destruction
- Continuing electronic storage but destruction of original paper version

- The second appraisal, transfer or deletion will be carried out according to the rules in Commission Decision SEC (2008) 2233 (<http://ec.europa.eu/transparency/regdoc/rep/3/2002/EN/3-2002-99-EN-1-1.Pdf>).

4.10.2.1 Retention periods

It is recommended to mirror the rules on the preservation of documents in paper format for the definition of the rules on the preservation of documents in electronic format.

All incoming and outgoing documents that require registration shall in principle be kept for 10 years.

Documents that include personal data and do not need to be stored for so long should be archived separately and destroyed after a shorter period (e.g. Documents concerning unsuccessful tenders, unsuccessful applicants for jobs in SESAR 3 JU, etc.). The retention period of Documents containing personal data is defined in the relevant record of each processing activity and/or in the SESAR JU information and document management policy and the Level Retention List for European Commission Files.

4.10.2.2 Retention schedule for key documents

In line with the Level Retention List for European Commission Files¹⁸, please find below some examples:

Description	Administrative Retention Period (after conclusion or supersession)
Annual Management Plan, Annual Activity report, SESAR Work Programme	5 years
Strategies, Policies and similar Documents	5 years
Inter-Institutional relations, European Commission, European Parliament, other European Agencies	5 years
Relations with the Court of Auditors	7 years
Internal audits	6 years
Budget and implementation of budget and accounting	10 years
Procurement and financial procedures	10 years
Contract management (following award of contracts)	10 years
Procedures for awards of grants	10 years
Management of grant agreements	10 years
Management of SESAR 3 JU IPRs	10 years
Legal Advice	5 years

¹⁸ SEC(2012)713 available at http://ec.europa.eu/archival-policy/docs/edomec/2012_713_sec_en.pdf

Description	Administrative Retention Period (after conclusion or supersession)
Service Level Agreements (SLA) and other inter-institutional agreements	5 years
Studies produced by the SESAR 3 JU (internally or externally)	2 years
Commitments and payments (workshops, missions, etc.)	10 years
HR Personal Files	8 years after extinction of all rights of the person concerned and of any dependants, and for at least 120 years after the date of birth of the person concerned.
HR Selection processes, unsuccessful applications	5 years. The access to the related Documents shall be restricted in order to protect the privacy of personal data contained herein.
HR unsolicited applications	2 years for an annual file on all unsolicited applications. The access to the related Documents shall be restricted in order to protect the privacy of personal data contained herein.
HR day-to-day management	4 years
Organisational charts	10 years
Traineeships	5 years
Traineeships unsuccessful applications	2 years

4.11 Ergonomy and User Friendliness

The tool must provide the most up to date and user friendly experience in term of access, display, response time, etc...

The table below shows the list of requirements concerning Ergonomic and User Friendliness:

REQ ID	Requirement	Priority
FA.11.01	The homepage of the tool should provide Quick Links to key areas: solutions, projects, member profiles, contacts, media library, and stakeholder's management area.	HP
FA.11.02	The homepage of the tool should provide a list or link to a list of My Documents which should be a list of documents the User has bookmarked.	HP
FA.11.03	The homepage of the tool should include Dynamic sections for the following: * Validation planning (showing what is happening this week) * Events (e.g. project workshops, etc...) * Most viewed (by all users) pages/project/solution * Other (SESAR 3 JU-defined)	HP
FA.11.04	The homepage of the tool should provide a section to access links to partner organisations (to be populated by the SESAR 3 JU as needed).	HP
FA.11.05	The homepage of the tool should allow users to customize the content they see via bookmarks, filters, etc...	HP

REQ ID	Requirement	Priority
FA.11.06	The homepage of Member areas/spaces/sites/slideboards should provide a dashboard Dashboard with #members #contribution #countries represented #types of organisations and allow for: <ul style="list-style-type: none"> * View by country (i.e. map) * View by type of organisation * View by contribution 	LP
FA.11.07	The Member areas/spaces/sites/slideboards should provide the ability to open and view individual member profiles, containing: <ul style="list-style-type: none"> * Official name * Address * Type of organisation * Contribution to DES programme * Publishable description * Member logo (downloadable) * Related media (e.g. videos, pictures) * Related contacts * Related projects * Validation sites * Link to external website, social media 	LP
FA.11.08	The Member spaces should allow for the possibility to export selected fields into the required format (e.g. word, excel, CSV) for reporting needs (incl. annual activity reports).	HP
FA.11.09	The Solution spaces/slideboards of the tool should have a dashboard with #solutions completed, ongoing, discontinued, implemented	HP
FA.11.10	The tool should support a workflow for the proposal, approval, and publishing of content and media between project and member sites/spaces and the SESAR 3 JU extranet and/or public website. Content would include things such as publishable abstracts, news, events, media files.	HP
FA.11.11	The tool must provide Stakeholder coordination spaces as follows: <ul style="list-style-type: none"> * Link to stakeholders (presented as boxes or something else) * Fiche per stakeholder, with the following fields * Short description of stakeholder * Annual publishable summary * Contract (yes/no) (if yes: start/end date), link to contract, PoC (SESAR 3 JU and external stakeholder) * Contacts per stakeholder * Meetings section * Library (e.g. reports, presentations, position papers etc) * Events organised by stakeholders * Link to stakeholder website * Active involvement projects * Ability to export selected fields into reporting document * Open by default but with confidential area for meetings and contractual matters (tbd) 	HP

5. High-Level Requirements – Non-Functional Areas

5.1 Data Protection Compliance

The SESAR 3 JU and any entity processing data on its behalf shall comply with the provisions and principles of the applicable data protection legislation mentioned in section 4.10.1.1.

Special attention shall be given to the following:-

- No information may be shared outside the SESAR 3 JU without the SESAR 3 JU's prior written approval;
- Personal data shall only be processed within the territory of the European Union and the European Economic Area and will not leave that territory;
- The service provider may not change the location of data processing without the prior written authorisation of the SESAR 3 JU;
- In case of any transfer of personal data to third countries or international organisations, the transfer shall fully comply with the requirements laid down in Chapter V of the EUDPR and GDPR and relevant CJEU jurisprudence (e.g. Schrems II);
- Appropriate technical and organisational measures shall be put in place to ensure the security of personal data;
- Personnel authorised to process personal data shall commit itself to confidentiality or shall be under an appropriate statutory obligation of confidentiality;
- Any personal data breach shall be communicated to SESAR 3 JU without undue delay and at the latest within 48 hours after the breach is identified

REQ ID	Requirement	Priority
NF.01.01	Data Protection compliance: The tool shall comply with the provisions and principles of the applicable data protection legislation mentioned in section 4.10.1.1 (no sharing of personal data without the SESAR 3 JU's explicit consent, personal data cannot be transferred in the USA, international transfers of data subject to approval of the SESAR 3 JU, ...).	MR

5.2 Tool Language

All SESAR 3 JU staff, partners, and members use English as main working language. English for the tool is necessary and sufficient.

REQ ID	Requirement	Priority
NF.01.02	English as in-tool language: All SESAR 3 JU staff, partners, and members use English as main working language. English for the tool is necessary and also sufficient.	MR

5.3 Tool Availability

The tool should be highly available during weekdays, especially during the working hours.

REQ ID	Requirement	Priority
NF.01.03	High availability on weekdays: The tool should be highly available during weekdays, especially during the working hours.	MR

5.4 Training Material

The tool should have training material available in some form (training guides, manual, FAQs, help section).

REQ ID	Requirement	Priority
NF.01.04	Training material: The tool should have training material available in some form (training guides, manual, FAQs, help section).	MR

5.5 Cloud-Based Solution

The tool should be hosted by the vendor in the cloud, rather than on servers managed by SESAR 3 JU.

REQ ID	Requirement	Priority
NF.01.05	Cloud-based solution: The tool should be hosted by the vendor in the cloud, rather than on servers managed by SESAR 3 JU.	MR

5.6 Set-Up Effort

No major development, installation and integration effort. The IT resources at the SESAR 3 JU are limited. The tool should not require a large effort in development, installation and integration at the side of the SESAR 3 JU.

REQ ID	Requirement	Priority
NF.01.06	No major development, installation and integration effort. The IT resources at the SESAR 3 JU are limited. The tool should not require a large effort in development, installation and integration at the side of SESAR 3 JU.	MR

5.7 Password Control

A good password control should be utilised: strong password, periodic password change policy.

REQ ID	Requirement	Priority
NF.01.07	Password control: A good password control should be utilised: strong password, periodic password change policy, ...	MR

5.8 Multi-Factor Authentication

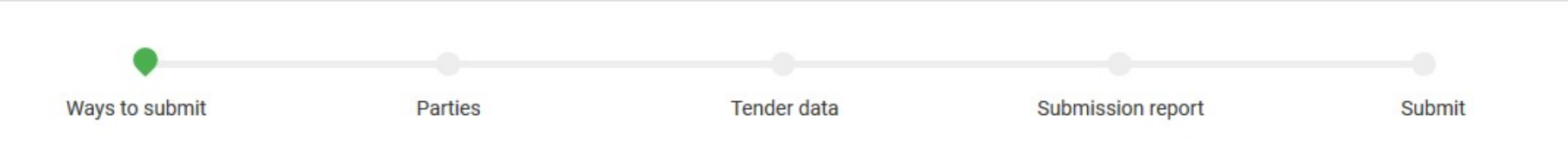
Multi-factor authentication (MFA) capabilities either by default, or possibility to enable/disable MFA.

REQ ID	Requirement	Priority
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NF.01.08	Multi-factor authentication: Multi-factor authentication (MFA) capabilities either by default, or possibility to enable/disable MFA.	MR
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ANNEXES

Annex 1. List of documents to be submitted with the tender or during the procedure

Description	Sole tenderer	Joint tender		Identified Subcontractor	Entity on whose capacity is being relied	When and where to submit the document?	Instructions for uploading in eSubmission (if applicable)	
		Group leader	Member of the group				How to name the file?	Where to upload?
<p>1. Identification and information about the tenderer.</p> <p><i>eSubmission view</i></p> 								
<p>Declaration on Honour on Exclusion and Selection Criteria (see Section 3.1)</p> <p>model in Annex 2. Declaration on Honour on exclusion and selection criteria</p>	☒	☒	☒	☒	☒	With the tender in eSubmission	'Declaration on Honour'	<p>With the concerned entity under 'Parties' →'Identification tenderer' →'Attachments'→'Declaration on Honour'.</p> <p>For entities on whose capacity is being relied and who are not subcontractors, the document must be uploaded in the section of the Sole tenderer or Group leader:</p> <p>→'Identification tenderer' →'Attachments'→'Other documents'.</p>

Evidence that the person signing the documents is an authorised representative of the entity ¹⁹	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			With the tender in eSubmission	'Authorisation to sign' documents'.	With the concerned entity under 'Parties' →'Identification tenderer' →'Attachments'→'Other documents'.
Power of attorney (see Section 2.4.1)			<input checked="" type="checkbox"/>			With the tender in eSubmission	'Power of attorney'	In the Group leader's section under 'Parties' →'Identification tenderer' →'Attachments'→'Other documents'.
List of identified subcontractors (see Section 2.4.2) model in Annex 4. List of identified subcontractors	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				With the tender in eSubmission	"List of identified subcontractors"	In the Sole tenderer's or the Group leader's section under 'Parties' →'Identification tenderer' →'Attachments'→'Other documents'.
Commitment letter (see Section 2.4.2 and 2.4.3)				<input checked="" type="checkbox"/> (model in Annex 5.1)	<input checked="" type="checkbox"/> (model in Annex 5.2)	With the tender in eSubmission	'Commitment letter'	With the concerned entity under 'Parties' →'Identification tenderer' →'Attachments'→'Other documents'.
Evidence of non-exclusion (see Section 3.1)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Only upon request by <i>the Contracting authority</i> At any time during the procedure	n.a.	n.a.
Evidence of legal existence and status	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			Only upon request by <i>the EU Validation services</i>	n.a.	n.a.

¹⁹ A document that the Contracting authority can access on a national database free of charge does not need to be submitted if the Contracting authority is provided with the exact internet link and, if applicable, the necessary identification data to retrieve the document.

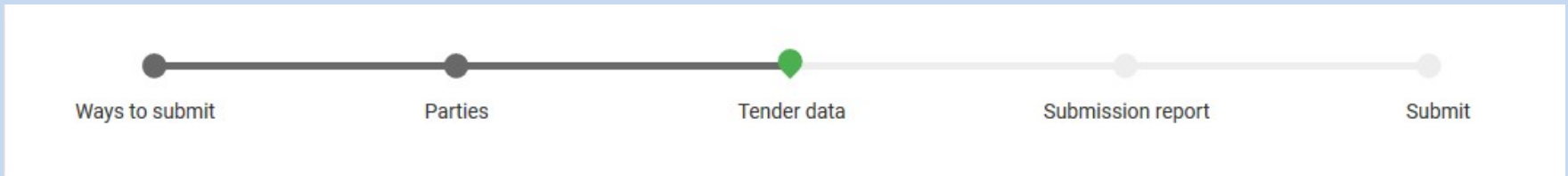
						At any time during the procedure In the Participant Register		
Evidence of legal capacity (see Section 3.2.1) <i>If the criterion applies individually indicate to which of the involved entities it applies</i>						Option 1 Only upon request by the Contracting authority At any time during the procedure Option 2 With the tender in eSubmission		n.a.
Evidence of economic and financial capacity F1 (see Section 3.2.2)	The documents must be provided only by the <i>involved entities</i> who contribute to reaching the minimum capacity level for criterion F1					Option 1 Only upon request by the Contracting authority [<i>the EU Validation services</i>] At any time during the procedure [In the Participant Register] Option 2 With the tender in eSubmission	<i>(when option 1 is used)</i> n.a. <i>(when option 2 is used)</i> 'Balance_sheet_entity_year" Profit_Loss_Account_entity_year"	With the Group leader or the sole tenderer under 'Parties' → 'Identification tenderer' → 'Attachments' → 'Economic and financial capacity'.

<p>Evidence of economic and financial capacity F2</p> <p>(see Section 3.2.2)</p> <p><i>If the criterion applies individually indicate to which of the involved entities it applies</i></p>					<p>Option 1</p> <p>Only upon request by <i>the Contracting authority</i> [or <i>the EU Validation services</i>]</p> <p>At any time during the procedure</p> <p>By e-mail or letter [or in the Participant Register]</p> <p>Option 2</p> <p>With the tender</p> <p>in eSubmission</p>	<p><i>(when option 2 is used)</i></p> <p>'Balance_sheet_entity_year'</p> <p>Profit_Loss_Account_entity_year"</p>	<p>With the Group leader or the sole tenderer under 'Parties' → 'Identification tenderer' → 'Attachments' → 'Economic and financial capacity'.</p>
<p>Evidence of technical and professional capacity T1</p> <p>(see Section 3.2.3)</p>	<p>The documents must be provided only by the <i>involved entities</i> who contribute to reaching the minimum capacity level for criterion T1</p>				<p>With the tender</p> <p>in eSubmission</p>	<p>'Project_reference_No.1"</p> <p>'Project_reference_No.2"</p> <p>....</p>	<p>With the Group leader or the sole tenderer under 'Parties' → 'Identification tenderer' → 'Attachments' → 'Technical and professional capacity'.</p>
<p>Evidence of technical and professional capacity T2</p> <p>(see Section 3.2.3)</p>	<p>The documents must be provided only by the <i>involved entities</i> who contribute to reaching the minimum capacity level for criterion T2</p>				<p>With the tender</p> <p>in eSubmission</p>	<p>'Project_reference_No.1"</p> <p>'Project_reference_No.2"</p> <p>....</p>	<p>With the Group leader or the sole tenderer under 'Parties' → 'Identification tenderer' → 'Attachments' → 'Technical and professional capacity'.</p>
<p>Evidence of technical and professional capacity T3</p> <p>(see Section 3.2.3)</p>					<p>With the tender</p> <p>in eSubmission</p>	<p>'Project_reference_No.1"</p>	<p>With the Group leader or the sole tenderer under 'Parties' → 'Identification tenderer' → 'Attachments' → 'Tech-</p>

	The documents must be provided only by the <i>involved entities</i> who contribute to reaching the minimum capacity level for criterion T3		'Project_reference_No.2"	nical and professional capacity'.
Evidence of technical and professional capacity T4 (see Section 3.2.3)	The documents must be provided only by the <i>involved entities</i> who contribute to reaching the minimum capacity level for criterion T4	With the tender in eSubmission	'Project_reference_No.1" 'Project_reference_No.2" 	With the Group leader or the sole tenderer under 'Parties' → 'Identification tenderer' → 'Attachments' → 'Technical and professional capacity'.

2. Tender data.

eSubmission view



Failure to upload the following documents in eSubmission will lead to rejection of the tender.

[Technical offer (see Section 4.2)]	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				With the tender in eSubmission	'Technical offer'	Under section 'Tender Data' → 'Technical offer'
Financial offer (see Section 4.2) [model in Annex 6]	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				With the tender in eSubmission	'Financial offer'	Under 'Tender Data' → 'Financial offer'

Annex 2. Declaration on Honour on exclusion and selection criteria

Annex 2 is published as a separate Word document.

Annex 3. Power of attorney

Call for tenders **XXX/XX/XX/20XY/XYZ** -
TITLE OF THE PROCEDURE

POWER OF ATTORNEY

The undersigned:

– Signatory (Name, Function, Company, Registered address, VAT Number)

having the legal capacity required to act on behalf of his/her company,

HEREBY AGREES TO THE FOLLOWING:

- 1) To submit a joint tender as a member of a group of tenderers (the Group), constituted by Company 1, Company 2, Company N (Group members), and led by Company 1 (Group leader), in accordance with the conditions specified in the tender specifications and the terms specified in the tender to which this Power of attorney is attached.
- 2) If the *Contracting authority* awards the contract resulting from this call for tenders to the *Group* on the basis of the joint tender to which this power of attorney is attached, all *Group members* shall be considered parties to the contract in accordance with the following conditions:
 - (a) All *Group members* shall be jointly and severally liable towards the *Contracting authority* for the performance of the contract.
 - (b) All *Group members* shall comply with the terms and conditions of the contract and ensure the proper delivery of their respective share of the services and/or supplies subject to the contract.
- 3) Payments by the *Contracting authority* related to the services and/or supplies subject to the Contract shall be made through the bank account of the *Group leader*: [Provide details on bank, address, account number].
- 4) The *Group members* grant to the *Group leader* all the necessary powers to act on their behalf in the submission of the tender and the conclusion of the contract, including:
 - (a) The *Group leader* shall submit the tender on behalf of all *Group members* and indicate in the "Tender Contact Info" section in eSubmission the name and e-mail address of an individual - single point of contact authorised to communicate officially with the *Contracting authority* in connection with the submitted tender on behalf of all *Group members*, including in connection with all relevant questions, clarification requests, notifications, etc., that may be received during the evaluation, award and until the contract signature.
 - (b) The *Group leader* shall sign any contractual documents — including the contract, and amendments thereto — and issue any invoices related to the performance of the contract on behalf of all *Group members*.

(c) The *Group leader* shall act as a single contact point with the *Contracting authority* in the delivery of the services and/or supplies subject to the contract. It shall co-ordinate the delivery of the services and/or supplies by the *Group* to the *Contracting authority*, and shall see to a proper administration of the contract.

Any modification to the present Power of attorney shall be subject to the *Contracting authority's* express approval. This Power of attorney shall expire when all the contractual obligations of the *Group* have ceased to exist. The parties cannot terminate it before that date without the *Contracting authority's* consent.

Place and date:

Name (in capital letters), function, company and signature:

Annex 4. List of identified subcontractors

Identification details	Roles/tasks during contract execution	Proportion of subcontracting (% of contract volume)
<i>[Full official name Registered address Statutory registration number VAT registration number]</i>		
<i>[Full official name Registered address Statutory registration number VAT registration number]</i>		
<i>[REPEAT AS MANY TIMES AS THE NUMBER OF IDENTIFIED SUBCONTRACTORS]</i>		
Other subcontractors that do not need to be identified under Section 2.4.2		
	TOTAL % of subcontracting	0,00%

Annex 5.1. Commitment letter by an identified subcontractor

[Letterhead, if any]

SESAR 3 Joint Undertaking

Call for tenders Ref. [reference number]

Attn:

[Insert date]

Commitment letter by identified subcontractor

I, the undersigned,

Name:

Function:

Company:

Registered address:

VAT Number:

having the legal capacity required to act on behalf of the company *[insert name of the entity]* hereby confirm that our company agrees to participate as subcontractor in the offer of *[insert name of the tenderer]* for the call for tenders *[insert reference number]* – *[insert title of procedure]* Lot *[insert lot number]*.

In the event that the tender of the aforementioned tenderer is successful, *[insert name of the subcontractor]* commits itself to make available the resources necessary for performance of the contract as a subcontractor and to carry out the services that will be subcontracted to it in compliance with the terms of the contract. It further declares that it is not subject to conflicting interests which may negatively affect the contract performance and that it accepts the general conditions attached to the tender specifications for the above call for tenders, in particular the contractual provisions related to checks and audits.

Done at:

Name:

Position:

Signature:

Annex 5.2. Commitment letter by an entity on whose capacities is being relied

[Letterhead, if any]

SESAR 3 Joint Undertaking Call for tenders Ref.
[reference number]

Attn:

[Insert date]

Commitment letter by an entity on whose capacity is being relied

I, the undersigned,

Name:

Function:

Company:

Registered address:

VAT Number:

having the legal capacity required to act on behalf of the company [insert name of the entity] hereby confirm that our company **authorises the** [insert name of the tenderer] **to rely on its [financial and economic capacity] [technical and professional capacity] in order to meet the minimum levels** required for the call for tenders [insert reference number] – [insert title of procedure] Lot [insert lot number].

In the event that the tender of the aforementioned tenderer is successful, [insert name of the entity] commits itself to make available the resources necessary for performance of the contract. It further declares that it is not subject to conflicting interests which may negatively affect the contract performance, and that it accepts the general conditions attached to the tender specifications for the above call for tenders, in particular the contractual provisions related to checks and audits.

Done at:

Name:

Position:

Signature:

Annex 6. Financial offer form

Annex 6 is published as a separate Excel sheet

The interim payments will be made in line with the Milestone Payment Plan (ref. Section 1.4.5) upon the acceptance of the related deliverables by the SESAR 3 JU.

Annex 7. List of acronyms, definitions and references

Abbreviation	Definition
ATM	air traffic management
CBA	cost-benefit analysis
CDE	communication dissemination exploitation
CEF	connecting Europe facility
CINEA	European climate, infrastructure and environment executive agency
CNS	communications, navigation and surveillance
DEMOP	demonstration plan
DEMOR	demonstration report
DES	digital European sky
DSD	digital sky demonstrator
EASA	European union aviation safety agency
EC	European commission
ECAC	European civil aviation conference
EIA	environmental impact assessment
EOC	essential operational change
ER	exploratory research
ERS	extended release strategy
ESM	external stakeholder management
EU	European Union
EUROCAE	European organisation for civil aviation equipment
GA	grant agreement
GAP	grant agreement preparation
GPDR	general data protection regulation
HE	horizon Europe
HLG	high level goal
HP	human performance
HPRM	human performance reference manual
ICAO	international civil aviation organization
INTEROP	interoperability requirements
IPR	intellectual property rights
IR	industrial research and validation
IRS	interface requirement specification
ITIL	Information technology Infrastructure Library
KOM	kick off meeting
KPA	key performance area
KPI	key performance indicator
MAWP	multiannual work programme
MP	master plan
NSA	national supervisory authority
OSED	operational services and environment description
PA	primary asset
PAGAR	performance analysis and gap assessment report

PAR	performance assessment report
QAD	quality assessment of deliverable
R&D	research and development
R&I	research and innovation
REG	regulation
SA	supporting asset
SAC	safety criteria
SDM	SESAR deployment manager
SecRA	security report assessment
SeCRAM	security risk assessment methodology
SES	single European sky
SESAR	single European sky ATM research
SESAR 2020	SESAR 2020 innovation R&I programme, also referred to as the 'SESAR 2020 Programme' or 'SESAR 2020 R&I Programme'. It is the coordinated set of activities described in this document, being undertaken by the SESAR JU Members and managed by the SESAR JU
SESAR JU	single European sky ATM research Joint Undertaking, established as a joint undertaking within the meaning of Article 187 of the Treaty on the Functioning of the European Union, established under the SESAR JU basic act
SESAR 3 JU	single European sky ATM research 3 joint undertaking
SMS	safety management system
SPR	safety and performance requirements
SRIA	strategic research and innovation agenda
SRM	safety reference manual
STAND	standard
TRL	technology readiness level
TS	technical specifications
TVALP	technological validation plan
U-space	a set of new services relying on a high level of digitalisation and automation of functions, and specific procedures designed to support safe, efficient and secure access to airspace for a large numbers of drones, with an initial look at very low-level operations
VALP	validation plan
VLD	very-large-scale demonstration

Table1: List of acronyms

Annex 8. Governing board decision ref. GB(D)003-21

Annex 8 is published as a separate Pdf document.

Annex 9. Compliance to the Tool detailed requirements (Appendix 2)

Annex 9 is published as a separate Excel document.