

**Smart Contracts Standards: SCS - 101112970**

**Technical Description (Part B)**

(SMP STAND Standard)

**Version 2.0 draft b**

**20 October 2023**

**PROJECT FACT SHEET**

**STF 655**

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| Reference Body  | TC ESI  |
| EC/EFTA Funding  | Manpower: 116 736Travels (estimated): 7 264€**Total Budget: 124 000€**  |
| Project Duration  | **30 months**  |
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| WP1: Electronic identification, electronic signatures and electronic ledgers as a trust service with smart contracts | T1 | Project Management  | 14 336€  |
| T2 | Scoping study | 40 960€ |
| T3  | Use of EU Digital Identity Wallets and electronic signatures for identification with smart contracts  | 30 720€  |
| T4  | Policy and security requirements ledgers with smart contracts as a trust service  | 30 720€  |

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# TECHNICAL DESCRIPTION (PART B)

## COVER PAGE

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| **HISTORY OF CHANGES** |
| VERSION | PUBLICATION DATE | CHANGE |
| 1.0 | 28.02.2023 | Part B for EISMEA Portal and Grant Agreement preparationOnly one WP remaining since ETSI is only impacted by WP3 in the initial proposal.WP3 changed to WP1Deliverables and Milestones indexes updated.Following Evaluation Summary Report:* Level of dissemination of the deliverables set to “Public”.
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| 2.0 | 20.10.2023 | Revised following withdrawal of CENNew Task T2 scoping study replaced review of CEN documentsAdditional Deliverable to be provided D4 Technical ReportMilestone 1 shift by one monthSubcontracting costs: Travel costs added. |

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## PROJECT SUMMARY

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| This proposal is about the development of standards on smart contracts, aiming specifically to support the Data Act proposal, where Smart Contracts can support the exchange of data and their remuneration, based on the concept of Data Spaces. Compliance with the new European Digital Identity and Electronic Ledger frameworks is also addressed. The project consists of the following main activities:- Developing a scoping study analysing the requirements on Smart Contracts from the Data Act and eIDAS2 proposals and identifying standardisation requirements for smart contracts in data sharing applications;- Specification of policy and security requirements for use of electronic ledgers as a trust service in support of smart contracts;- Specification of use of EU Digital Identity Wallets and advanced and qualified electronic signatures / seals for identification with smart contracts;Liaisons with initiatives relevant for data spaces in the Digital Europe, Horizon 2020 and Horizon Europe programmes as well as with relevant technical committees at the European and international level will be established as needed. This proposal will also address liaising internationally with ISO/TC 307 and CEN/CENELEC/JTC19 on European block chain standardisation requirements.**.**  |

## 1. RELEVANCE

### 1.1 Background and general objectives

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| Background informationThe European Commission adopted a legislative proposal for the European Data Act [1] which specifies essential requirements for **Smart Contracts for data sharing** and requires the development of a harmonised standard aiming to facilitate the roll-out of Smart Contracts to support the cross-border exchange of data and their remuneration. Smart Contracts are a well known concept, implemented within Blockchain and Distributed Ledger Technology (DLT). ISO, the International Organisation for Standardisation, established in 2017 ISO/TC 307 to develop standards on Blockchain and distributed ledger technologies such as ISO 22739 [3], a standard vocabulary now under adoption as a European standard, that includes the technical definitions of all the main Blockchain and DLT concepts, including Smart Contracts.The technical definition of Smart Contract in ISO 22739, also generally accepted by all the standardisation bodies, is:*“A computer program stored in a DLT system wherein the outcome of any execution of the program is recorded on the distributed ledger”.*The smart contract concept in the Data Act proposal is a legal and technologically neutral definition: *“A computer program stored in an electronic ledger system wherein the outcome of the execution of the program is recorded on the electronic ledger.”*ISO 22739 also recognises that “A smart contract can represent terms in a contract in law and create a legally enforceable obligation under the legislation of an applicable jurisdiction”. Therefore, the use of Smart Contracts in the context of the Data Act proposal is in line with possible use of Smart Contract already well recognised and identified by ISO.The use of the term “Electronic Ledger” instead of “Distributed Ledger Technology” in the Data Act proposal is a direct link to the eIDAS2 [2], the revision of the eIDAS Regulation, that defines an Electronic Ledger as:*“A tamper proof electronic record of data, providing authenticity and integrity of the data it contains, accuracy of their date and time, and of their chronological ordering.”*eIDAS2 also places Electronic Ledgers in the trust service context of eIDAS, defining a new trust service as: “the recording of electronic data into an electronic ledger”.The use of eIDAS2 “Electronic Ledger” concept in the Data Act proposal implies that for the deployment of Smart Contract for Data Sharing the eIDAS context is taken into account and therefore is part of this proposal. Other relevant European legislation such as GDPR and the NIS2 (for its foreseen impact on the eIDAS Regulation) will be taken into account as well.Main objectivesThe overall objectives of the proposed action, in full alignment with the Objectives section present in “Topic 5 - 2022-STA Standards for Smart Contracts” of the call are “to provide for the standards, specifications and guidelines for Smart Contracts in line with, and further clarifying, essential requirements for Smart Contracts for data sharing as specified in the Data Act proposal [1], as well as the blockchain/DLT chapter of the rolling plan for ICT standardisation” and interoperability aspects taking into account the ISA2 European Interoperability Framework, and to “facilitate commercial and pre-commercial procurement of blockchain DLT applications, supporting the roll-out of smart contracts in conjunction with use cases at the European Blockchain Services Infrastructure (EBSI)”.The main objectives of this proposal are: * the development of a scoping study and standardisation requirements to cover:
	+ the Data Act proposal essential requirements and the governance and interoperability requirements to support the deployment of smart contracts for data sharing and, more generally, in the European legislative context, including environmental and sustainability considerations;
* the development of standardisation deliverables to cover
	+ requirements for electronic ledger trust services in a broader context than smart contracts, in line with the eIDAS standardisation framework already in place and with new requirements and opportunities from the revision of the eIDAS Regulation and the introduction of the EU Digital Identity framework;
* facilitate market adoption through seminars as workshops and liaison with relevant stakeholders, including EBSI.

The standardisation activities will aim to ensure compliance with policy documents, including the relevant actions in the Rolling Plan for ICT Standardisation, and leverage on existing work such as: * The deliverables developed the ETSI ISG PDL on smart contracts and their interoperability;

The ISA2 European Interoperability Framework will also be taken into account, as well as outcomes of research and innovation projects deriving from Horizon 2020, Horizon Europe and other funding initiatives related to Blockchain and Data Spaces in the Digital Europe programme.This proposal is also addressing internationalisation and aims to be aligned with and actively support international standardisation, prioritising ISO/TC 307 work. At present, standards on Smart Contracts are under development in ISO/TC 307 and the standardisation activities related to the Data Act proposal are an opportunity for Europe to take the lead globally in the development and deployment of standard based Smart Contract applications. It should be noted that the development of a harmonised standard, as requested in article 30 of the Data Act proposal, cannot be addressed at this stage because it requires:* The completion of the legislative procedure for the Data Act proposal; and
* A Standardisation request issued according to Regulation (EU) 1025/2012.

These requirements to develop harmonised standards are out of the control of the proposers and cannot be planned at this time and requires future developments. It is in scope of this proposal to facilitate as much as possible future developments.**References**[1] **Data Act proposal**: COM(2022) 68 final “Proposal for a Regulation of the European Parliament and of the Council on harmonised rules on fair access to and use of data (Data Act)” available at:<https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:52022PC0068> [2] **eIDAS2**: COM(2021) 281 final “Proposal for a Regulation of the European Parliament and of the Council amending Regulation (EU) No 910/2014 as regards establishing a framework for a European Digital Identity” available at:<https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:52021PC0281>[3] **ISO 22739**:2020 “Blockchain and distributed ledger technologies — Vocabulary”, see <https://www.iso.org/standard/73771.html>. The standard is de facto available free of charge as preview at the following link: <https://www.iso.org/obp/ui/#iso:std:iso:22739:ed-1:v1:en>. [4] Commission Implementing Decision on the financing of the Digital Europe Programme and the adoption of the multiannual work programme for 2021 - 2022. Available at:<https://ec.europa.eu/newsroom/repository/document/2021-46/C_2021_7914_1_EN_annexe_acte_autonome_cp_part1_v3_x3qnsqH6g4B4JabSGBy9UatCRc8_81099.pdf> |

### 1.2 Needs analysis and specific objectives

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| Needs analysisArticle 30 of the Data Act proposal (Essential requirements regarding smart contracts for data sharing) requires the development of a harmonised standard aiming to facilitate the roll-out of Smart Contracts to support the cross-border exchange of data and their remuneration. Moreover, article 29 requires interoperability for data processing services.The new section 11 of the eIDAS2 proposal establishes a framework for trust services in regards to the creation and maintenance of electronic ledgers and qualified electronic ledgers and foresees the use of standards to demonstrate compliance with the legal requirements. At the moment, the European co-legislators are in charge of the legal procedure for the Data Act and the eIDAS2 and the main objective of this proposal is to support the policy requirements as much as possible with the available policy documents in their draft form.A scoping study is necessary and will be carried out as preliminary work in connection with this objective. It will clarify in particular links with the Data Act proposal and the eIDAS2 European framework in relation to trust services and Digital Identity, and the relevant actions in the Rolling Plan for ICT standardisation, with a specific reference to the Blockchain and DLT chapter. It will also identify the standardisation requirements for smart contracts in data sharing applications.Specific objectivesThe specific objectives of this proposal, in line with the needs analysis above, are: * A scoping study to consider and further clarify in the context of the Data Act proposal [1]:
	+ the context, the requirements and the gaps for the deployment of smart contracts for data sharing and, more generally, in the European legislative context including environmental and sustainability consideration;
	+ use cases from relevant stakeholders such as EBSI, present and past funding initiatives, INATBA
	+ The existing international standardisation and technical specifications produced by ETSI ISG PDL
* the development of standardisation deliverables to cover requirements for electronic ledger trust services and electronic identification, in a broader context than smart contracts and in line with the requirements in the eIDAS2 proposal and the existing eIDAS standardisation framework;

More specifically, in order to ensure accountability, liability and non-repudiation of the actions taken in the Electronic Ledger using Smart Contracts in a legal context a proper identification of the parties (natural or legal persons) involved in it is needed and it will be addressed in the context of eIDAS2 and the EU Digital Identity Wallet initiative.The basis for standardisation activities will take into account: * compliance requirements in the Data Act proposal, i.e. Essential requirements regarding smart contracts for data sharing in article 30 and other relevant requirements such as interoperability;
* the deliverables developed by the ETSI ISG PDL (Permissioned Distributed Ledgers) on smart contracts and their interoperability, more specifically the following list of deliverables has been identified as relevant and will be further evaluated as part of the proposed work:
	+ ETSI GR PDL 002 “Applicability and compliance to data processing requirements”,
	+ ETSI GR PDL 004 “Smart Contracts; System Architecture and Functional Specification”,
	+ ETSI GS PDL 011 "Specification of Requirements for Smart Contracts' architecture and security”
	+ ETSI PDL-017: Application of PDL to Regulation 910/2014 (eIDAS) Qualified Trust Services (currently early draft)
	+ PDL-023: PDL Service Enablers for Decentralized Identification and Trust Management (currently early draft)
* the ISA2 European Interoperability Framework
* the Actions of the chapter on Blockchain and DLT of the Rolling Plan for ICT Standardisation that are relevant for this proposal, in particular:
	+ Action 7 “ ESOs to develop standards in line with the Data Act legislative proposal, in particular regarding essential requirements for smart-contracts. In addition, it would be recommended to explore a general framework for Governance of the European networks based on DLT to allow the flow of smart contracts between different networks”;Note: from proposed 2024 rolling plan.
	+ Action 9 “SDOs to develop standards to support the eIDAS2 proposal requirements related to DLT”;
* eIDAS2 and the EU Digital Identity Wallet initiative;
* the standards developed or under development by ISO/TC 307
* Any other relevant work from standardisation organisations, European and international initiatives, etc.

In addition the proposed action will:* leverage outcomes of research and innovation projects deriving from Horizon 2020, Horizon Europe, the Digital Europe programme
* Invite Annex III organisations (ref. Regulation (EU) 1025/2012) to contribute and participate directly to the standardisation activities, and
* liaise with relevant stakeholder organisations such as EBSI.

Nowadays, standards on Smart Contracts are under development in ISO. The standard requested by the Data Act proposal is an opportunity for Europe to take the lead globally in the development and deployment of standard based on Smart Contract applications. During the development of standards, ISO reference vocabulary and architecture will be taken in due account to increase the chances that what is produced in Europe can be used also in third countries and/or proposed to ISO. For this reason, a clear separation will be maintained between legal terms in the policy documents and technical terms that are internationally recognised.The deliverables to cover the result of the analysis are described in point 2.1.IndicatorsThe project will meet the following performance indicators:* Compliance with project aims, scheduling and budget as defined in this proposal.
* Number of stakeholders engaged:
	+ Five National bodies involved into the formal approval processes.
	+ At least 10 ETSI members submitting comments on draft deliverables;
	+ Liaison with at least CEN/CENELEC/JTC 19 ;
	+ Involvement of at least the following stakeholder organisations/initiatives:
		- EBSI
		- Digital European Programme BlockStand and Seeblocks
* Number and outreach of internal and external meetings and workshops in the phases of the project:
	+ 3 STF expert meetings requiring the presence of at least all STF members + optionally voluntary experts on invitation
	+ Further on line STF expert meetings on regular basis (at least one a month)
	+ The number of drafts for consultation: including early/working draft, stable draft and final draft (for approval) of each of the deliverables, for a total 3 consultations with ETSI TC ESI.
	+ Number and relevance of ICT sector multi-stakeholders engaged in the initial phase via electronic contribution
* Approval and publication of the ETSI deliverables by ETSI TC ESI.
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### 1.3 Complementarity with other actions and innovation

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| The proposed work is closely connected with the specific requirements in the mentioned EU policy measures, the Data Act proposal [1] and eIDAS2 [2], as well as the implementation of the directly relevant actions of the Rolling Plan on ICT standardisation, therefore it is relevant and applicable at least to all EU and EFTA countries.In terms of reuse of the existing work, the basis for standardisation activities will take into account:* the deliverables developed by the ETSI ISG PDL on smart contracts and their interoperability,
* the ISA2 European Interoperability Framework
* use of ETSI EN 319 401 on General Policy Requirements for Trust Service Providers and of ETSI EN 319 122, ETSI EN 319 132 and ETSI EN 319 142 on advanced electronic signatures specified in support of eIDAS
* the EU Digital Identity Wallet initiative;
* the standards developed or under development by ISO/TC 307.

The proposed action will also reach out to research and innovation projects such as Horizon 2020, Horizon Europe either directly and by direct contact with the HSbooster.eu initiative.A direct link and possibly a liaison with stakeholders organisations such as EBSI will be established. In particular for the proposed action the Digital Europe Programme (DIGITAL) EU funding programme [4] is directly relevant as it foresees a specific initiative to support blockchain standardisation, i.e. Digital Europe Programme – BlockStand and Seeblocks. A liaison with the beneficiaries of this initiative will be established to ensure full alignment and the exploitation of mutual synergies. Moreover, DIGITAL foresees a significant number of initiatives on Data Spaces that are closely related to the Data Act proposal [1] and therefore the proposed action, providing concrete use cases. Where relevant and leveraging on the expected European Commission participation in the ETSI, a link with relevant initiatives could be established aiming to ensure on one hand that relevant use cases related to the Data Act are taken into account during the development of the scoping study (TR) and, on the other hand, ensure the involvement of relevant stakeholders during the initiatives of the proposed action (e.g. commenting drafts) and dissemination.Moreover the engagement of the Digital Europe Support Centre for Data Sharing initiative (<https://eudatasharing.eu>) is also seen as very promising. A number of data spaces are mentioned in the Digital Europe Programme, with different degrees of maturity.Relevant technical bodies already established in CEN, CENELEC and ETSI related to the mentioned data spaces will be identified and liaisons requested, to further ensure that relevant use cases will be taken into account, as well as ensure that the work carried out will be fit for purpose. |

## 2. QUALITY

### 2.1 Concept and methodology

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| The European Commission requested ETSI to elaborate European standardisation deliverables on Smart Contracts for data sharing and to support the implementation of relevant actions of the Rolling Plan for ICT Standardisation.In 2020 CEN/CENELEC set up a Joint Technical Committee [CEN/CLC/JTC 19 "Blockchain and Distributed Ledger Technologies"](https://sd.cen.eu/documents/ui/#!/browse/cen/cen-clc-jtc-19); ETSI set up an Industry Specification Group on Permissioned Distributed Ledger (ISG PDL). As the work on eIDAS trust services and ancillary work is already carried out by ETSI TC ESI, this part of the proposal will be addressed there. ETSI TC ESI has in fact over 20 years' experience, under eIDAS and previous legislations, on standardisation and its application to electronic transactions with techniques such as Identity Proofing, Electronic identities and associated attributes, Public Key Certificates, Electronic Signatures and policies supporting governance of trusted services. It should also be noted, however, that establishment of liaisons is foreseen to ensure that the view of each ESO can be taken into account. The development of standardisation deliverables is subject to the ETSI Directives. The approach involves the management of the Technical Bodies of ETSI to inform and engage the Stakeholders and Member countries. The elaboration of the deliverables will be based on consensus, within a fixed time schedule and with appropriate quality checks. Participation in the ETSI TC ESI and ISG PDL is open to ETSI members. The European Commission will be invited to actively participate. The quality assurance of the proposed project, as for all other projects carried out under the governance of the European Standards Organisations, covers both the procedural aspects (consensus, openness, transparency, national commitment and technical coherence) and the technical aspects (the standards produced are state of the art).The deliverables to be developed under this action are:* ETSI Technical Report (TR) providing a scoping study to ensure that all the different aspects are taken into account such as:
	+ trustworthiness requirements, compliance with business requirements of the different stakeholders, legal requirements (e.g. smart contract definition and other requirements in the Data Act proposal, electronic signatures, electronic identification and electronic ledgers in eIDAS2) for the deployment of smart contracts for data sharing and, more generally, in the European legislative context, also taking into account other international approaches such as UNCITRAL.
	+ Interoperability requirements in the Data Act proposal context that imply to code smart contracts allowing for the management and portability of personal data between off-network service providers. Therefore, legal certainty in operations (including the ability to provide evidence of GDPR compliance) requires that identities used with electronic ledgers operations are robust and correspond univocally to a natural or legal person.
	+ Use cases from EBSI, data spaces and other relevant initiatives.

.* Two Technical Specifications on Electronic Ledger trust service and identification of parties requirements, as further underlined in the scoping study. These deliverables will be developed by ETSI TC ESI and will be an ETSI publication.

The following European relevant stakeholder organisations or initiatives will be invited to participate actively: * EBSI
* Digital European Programme projects: BlockStand and Seeblocks
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### 2.3 Project teams, staff and experts

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| Name and function | Organisation | Role/tasks/professional profile and expertise  |
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| Léa BelloulouHead of Funded Activities  | ETSI | Head of ETSI funded Projects planning and control* Management of contractual aspects
* Management the project costs and funding
* Monitoring of the administrative and financial tasks of the projects
* Validation of milestones, payments
 |
| Antoine BurckardTechnical Officer | ETSI | ETSI Technical Officer for the Technical Committee ESI* Act as prime ETSI Secretariat contact for the standardization activity.
* Supervise the operation of the standardization activity under the relevant Directives, monitor progress of work programme.
* Advise the group on the application of the relevant directives, drafting rules, and common best practice.
* Ensure that deliverables are fit for purpose, and in line with the relevant directives, drafting rules and quality recommendations, and accompany them through the drafting and publication phases.
* Act as secretary where appropriate, provide official reports of the group's meetings, highlighting actions and decisions.
* Ensure that decisions, actions, approval of new work items and deliverables are properly recorded and communicated within the Secretariat.
* Monitor activities of other relevant groups, both inside and outside of ETSI and advise of relevant activities as required.
* Take appropriate actions to develop and maintain personal expertise in the relevant technical areas, and associated regulatory and market affairs
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| **Outside resources (subcontracting, seconded staff, etc)**  |
| ETSI Specialist Task ForceFor the ETSI Specialist Task Force on Work Package 3, according to ETSI Technical working procedure on the selection of the service providers, ETSI will issue a call for expertise to get the necessary skills and resources as described below. The ETSI Staff will be integrated to guarantee the proper administrative support.The activity in this proposal foresees the need for Service Providers, accounting to an average of 4 equivalent dedicated specialists, that will collectively ensure the following mix of skills:ETSI STF leader (1): responsible for coordinating the execution of the tasks assigned to the individual Service Providers, according to the project requirements and following the technical direction given by ETSI TC ESI. The STF leader will possess project management experience, report-writing skills, experience of consensus building, presentation skills, experience of working in an international environment, and in liaising with other international organisations. The STF leader will also have an understanding of distributed ledger technologies and experience in drafting standardisation relating to eIDAS trust services.ETSI STF Editor (1) Responsible for scoping study and identification of standardisation requirements for smart contracts.ETSI STF editor (2): Responsible for leading the development of standards applying electronic identities and electronic signatures. This editor will have experience in drafting standards relating to eIDAS advanced or qualified electronic signatures and have knowledge of distributed ledger technologies.ETSI STF editor (3) Responsible for leading the development of standards for qualified ledgers. This editor will have experience in drafting standards relating to eIDAS trust services and have knowledge of distributed ledger technologies.ETSI STF expert (1): Supporting above editors particularly from the view of distributed ledger technologies. This expert will have knowledge of eIDAS standardisation and with in depth knowledge of distributed ledger technologies and smart contracts. |

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| **Experts (if applicable)** |
| N/A |

### 2.4 Decision-making

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| * The ETSI STF leader is responsible for the project management of this work.
* The STF leader will report on the progress of work to ETSI TC ESI and the ETSI Secretariat and will identify any delay or any major issue in the execution of the work package.
* ETSI TC ESI, as responsible TC, will take relevant technical decisions necessary during the execution of the project.
* ETSI TC ESI is responsible for the approval of the STF deliverables.
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### 2.5 Project management, quality assurance and monitoring and evaluation strategy

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| The KPIs defined in 1.2 will provide sound metrics to assess quantitatively and qualitativelythe progress of the project and its appeal to the stakeholders.ETSI will perform this work by the creation of an ETSI Specialist Task Force (STF), reporting the milestones to the ETSI TC ESI, according to the planned TC meetings and additional dates agreed by the TC officials. TC ESI will lead an active role in technical guidance and contributing to this work. The STF will report regularly to each TC ESI plenary meeting (3 to 4 per year) to consult on the latest advances.The STF leader will organise monthly internal meetings of the STF to share and review the latest content produced.The STF is responsible for drafting the deliverables. The deliverables shall be drafted according to the ETSI Drafting Rules.The technical content of each of the provided deliverables will be evaluated by ETSI TC ESI regular and ad-hoc meetings, and reported a minimum of 3 times (early draft, stable draft and final draft) in the ETSI TC ESI mailing list/meeting collecting comments and suggestions, possibly using the remote consensus ETSI Portal tool. The TC ESI approval will take place preferably at the plenary meetings of TC ESI (Remote or F2F).The STF will be required to propose the resolution of comments received from ETSI TC ESI.The STF will organise reviews of its draft documents by the stakeholders described in section 4.2, in addition to the TC ESI members. The STF will provide the necessary inputs and outputs for the workshops organised under Work package 1 (e.g. draft deliverables, presentations giving an overview of the drafts, summary of comments received on the drafts)The STF leader will provide status reports to ETSI TC ESI. |

### 2.6 Cost effectiveness and financial management

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| The project will follow standard procedures from ETSI.To ensure that the work is done in a quick and efficient manner, strict rules and deadlines will be put in place.The coordination of the project will be carried out by an experienced and closely involved team of standardisation and financial professionals.The STF Experts will be carefully selected through Open Calls. Engaging the services of the appropriate specialist experts from the market is the most cost-effective solution because it allows the specific expertise and knowledge available for the required period of time. The selection criteria for the selection of the expert include specific entries for Best value for money.This sub-contracting also enables the quick availability of the drafts to enter the consensus building and validation processes, which are the core business of ETSI.For ETSI STF, each subcontractor is allocated to specific tasks with an expected level of contribution. The financial resources allocated to the subcontractor are calculated on this principle.At the start of the project, ETSI develops a baseline cost plan. It is calculated with the cost of the tasks and the scheduled progress of tasks at each milestone cut-off date. This baseline cost plan provides the costs at each milestone cut-off date.The milestone payment schedule for each subcontractor is then calculated by taking into account the baseline cost plan and the expected level of contribution. The milestone payment schedule is contractual.The subcontractors' payments are submitted to the validation of the project milestones. The TC ESI and ETSI proceed to the validation of the milestone. |

### 2.7 Risk management

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| Risk No | Description | Proposed risk-mitigation measures |
| **1** | **Difficulties in the selection process (low-medium)** | **Clear evaluation criteria list**A list of relevant skills, competences and knowledge will be created as a reference to determine the selection of the candidates. The list will support the selection panel in the process and will offer transparency of the decision taken. |
| **2** | **Lack of the agreement on the contract issue (medium)** | **Case by case evaluation and ad-hoc measures.**ETSI will consider any request coming from the contractors and will create specific solutions to meet their needs. |
| **3** | **The expert does not accept the appointment (medium)** | **Contingency plans to find alternative solutions**The selection panel will set up a performance ranking and choose the second best solution. |
| **4** | **Unacceptable performance level of the experts (high-medium)** | **Contingency plans - alternative solution**ETSI TC chair and secretariat will support the team in order to fulfil all the tasks. An expert can be dismissed and replaced if necessary. In addition the STF will comprise several experts from different providers so remaining experts could take on the work left by the dismissed expert.  |
| **5** | **Lack of success in the transposition of the project results into the formal Standardisation process (low-medium)** | **Contingency plans (following ETSI Directives)**TC chair and secretariat will support the team in the implementation of the rules. |
| **6** | **The Data Act proposal and/or eIDAS2 are withdrawn during the legislative procedure (low)** | This is not under control of the proponents, however the proposal is meant to produce standardisation deliverables with market involvement that the market players can adopt voluntarily and that will be maintained by the ESOs. |
| **7** | **The Data Act proposal and/or eIDAS2 are substantially modified during the legislative procedure (medium)** | This is not under control of the proponents, however this is expected to reduce only partially the relevance of the work carried out during the development of the proposal with market involvement that is expected in any case to facilitate the work needed to align the standardisation deliverables to the modified text. This risk is partially mitigated by the amount of in-kind work the ESOs can usually rely on. |
| **8** | **Failure to meet milestone deadlines (Medium/High)** | The project’s tried and tested management methodology and its transparency will naturally flag potential progress-threats very early before they become a problem. This will enable usto respond quickly, via effort re-allocation or re-prioritisation, to any changes or deviations that may affect the plan. |
| **9** | **COVID Impact on project (High/Low)** | The project will plan all meetings with respect to regulations and travel restrictions according to the current status of the pandemic in Europe. Online conferencing will always be available to ensure communication in the consortium. No risks will be taken with regard to meetings and travelling which could lead to COVID related health complications |
| **10** | **TC approval** | ESOs are used to strive for consensus and to find compromises to reach approval. As a last resort, voting can be used.  |

## 3. IMPACT

### 3.1 Impact and ambition

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| The project aims at having an impact by producing standards, specifications and guidelines to support:* the roll-out of Smart Contracts for data sharing in Europe and internationally;
* The deployment and market acceptance of the Blockchain DLT technology;
* implementation of actions of the Rolling plan for ICT standardisation;
* development of the European Blockchain Services Infrastructure (EBSI);
* procurement (including pre-commercial) of Smart Contracts.

ImpactEuropean productivity and prosperity is highly dependent upon the continuing development of the digital economy which in turn is reliant upon the presence of a professional workforce responsible for contract management.Contract management is an essential component of any profession; leading examples are to be found in law and medicine where mutual understanding leads to increased consistency and standards reducing risks of failure and promotes career pathways. Similarly, by raising by means of standardisation the number and quality of the tools available of ICT professionals, the impact and quality of their achievements will benefit industries and society as a whole.This project will provide stimuli and support for the development of innovative standards and of proposals in other new rapidly developing areas, such as Big Data, AI, Security, 5G, Artificial Intelligence and Cloud professionalism.The recognition of a consistent and soundly based European ICT platform incorporating the TS on blockchain and smart contracts framework, supported by a user-friendly EU methodology and application guide will engender enhanced trust and faster adoption of innovative ICT solutions throughout Europe.  |

### 3.2 Communication, dissemination and visibility

|  |
| --- |
| The coordination and cooperation with major stakeholders in the ETSI TC ESI are fundamental for a successful execution of this work. The following dissemination activities will be undertaken to this effect:• Liaisons with the main stakeholders, i.e. the EC, Member States, relevant Technical Committees and identified entities and initiatives such as EBSI, , will be the primary forum where progress related to tasks under this project will be reported to the EC. The EC liaison officer to ETSI is invited to attend all its meetings as an observer, offering an opportunity to inform ETSI on the EC's policies, to monitor the progress from the inside and to advice on directions or priorities regarding ETSI TC ESI standardisation in general and the proposed tasks in particular. • ETSI's dissemination and consensus-building process:, i.e. ETSI commenting procedure, dissemination and consultation procedure;• ETSI TC ESI will promote the action and its results by providing targeted information to multiple audiences. Reports, presentations and dissemination materials will display the European flag (emblem) and funding statement (translated into local languages, where appropriate) together with the ETSI logos. |

### 3.3 Sustainability and continuation

|  |
| --- |
| Following the successful completion of the legislative procedure and the publication of the Data Act and a request from the Commission according to Article 10 of Regulation (EU) N. 1025/2012, the work produced by this action is meant to be assessed against the final text and progressed to a harmonised European Standard. The deliverables produced by this action are in any case developed for their full applicability by the market regardless of the development of a harmonised standard. In case the legislative procedure takes longer than expected or in the unlikely event it is stopped, it is believed that their usefulness for the market remains and will be maintained by /ETSI.To ensure that an ETSI deliverable is still current, it is reviewed within five years of its publication. This review results in the confirmation, modification, revision or withdrawal of the deliverable.The maintenance of the project results will be ensured by the relevant TC.ETSI supported by their TCs, provide input to the annual updating of EC's ICT Rolling Plan. After the closure of this project, the result achieved will foster the definition of new projects aiming at the production of new related deliverables.Among the listed areas that seem particularly likely to lead to further development are:* Digital Europe Program – BlockStand and Seedblocks
* EBSI
 |

## 4. WORKPLAN, WORK PACKAGES, TIMING AND SUBCONTRACTING

### 4.1 Work plan

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|

|  |  |  |
| --- | --- | --- |
| N# | Reference information | Month |
| D1.1 | Progress report 1 | M13 |
| D1.2 | Progress report 2 | M25 |
| D1.3 | Final Report | M30 |
| D2 | Scoping study on smart contracts (ETSI TR) | M30 |
| D3 | Use of eIDAS Digital Identity Wallets and electronic signatures with smart contracts and Electronic Ledgers as an eIDAS Trust Service | M30 |
| D4 | Electronic Ledgers as an eIDAS Trust Service | M30 |

The project work plan will be composed by the following three working packages:T1\*: **Project management** [M3-M30] gives a detailed definition of the project activities and ensures that the views of the different stakeholders converge in a common goal. It ensures that the work is carried out according to the plan, and prepares the project reports to the reference organisations. Stable drafts of the deliverables will be made openly available for a review period to all stakeholder for a limited review period. The first aims at ensuring that all relevant inputs have been identified and considered in drafting the TR. The second aims at endorsing the ETSI TSs drafts prepared by by WP 3. T2\*: **Smart Contract scoping study** [M7-M30] provides a scoping study identifying standardisation requirements for Smart Contracts.The final product of T2 will be: a ETSI TR (Technical Report) which will be presented to ETSI to initiate the formal approval processes. T3 and T4: **eIDAS and Electronic Ledgers** [M7-M30] specifies the use of eIDAS digital identity wallets and electronic signatures with smart contracts and Electronic Ledgers as an eIDAS Trust Service. The final product of these tasks will be: 2 ETSI TS (Technical Specification) which will be presented to ETSI to initiate the formal approval processes. The progress of work will be coordinated with T2. Work on development of the standards will start 7 months in the project with an initial draft at 12 months, a stable draft at 18 months and final draft for approval 24 months. A presentation on progress will be provided to ETSI TC ESI plenaries approximately every 4 months.ETSI have complete control over the development of the deliverables of the project, but can influence only indirectly the developments in other European Standardisation Bodies. |

### 4.2 Work packages and activities

#### Work Package 1

|  |
| --- |
| **Work Package 1: electronic identification, electronic signatures and electronic ledgers as a trust service with smart contracts** |
| **Duration:** | M3- M30  | **Lead Beneficiary:** | ETSI |
| **Objectives***List the specific objectives to which this work package is linked.* |
| * Establishment of an ETSI STF with dedicated expertise to execute the following objectives.
* Specification of policy and security requirements for use of ledgers as a trust service in support of smart contracts
* Specification of use of EU Digital Identity Wallets and advanced and qualified electronic signatures / seals for identification with smart contracts
 |
| **Activities (what, how, where) and division of work** |
| Task No(continuous numbering linked to WP) | Task Name | Description | Participants | In-kind Contributions and Subcontracting(Yes/No and which) |
| Name | Role(COO, BEN, AE, AP, OTHER) |
| T0 | STF Project Setup | ETSI Secretariat and ETSI TC ESI chair will interview the potential candidates and select those to best meet the work plan.ETSI will make arrangements for project members (service contracts, etc.).The ETSI Secretariat (with the help of the STF project leader) checks that the objectives of all tasks of WP 1 are clearly recognised by the experts. | ETSI | BEN | Yes (in-kind) |
| T1 | STF Project Management | Coordination, communication, reporting and leading of the STF team activities, in collaboration with the ETSI secretariat, Contribution to the intermediate and final reporting to EISMEA | ETSI | BEN | Yes, subcontracting |
| T2 | Scoping study | The applicable regulatory requirements and inputs from relevant stakeholders such as EBSI will analysed against available standardisation or specifications to identify the standardisation requirements in support of smart contracts.Draft sent for 2 month public review | ETSI | BEN | Yes, subcontracting |
| T3 | Use of EU Digital Identity Wallets and electronic signatures for identification with smart contracts  | This specifies the use of EU Digital Identity Wallets and advanced and qualified electronic signatures for identification with smart contracts, taking into account the requirements for identification in T2.1.The STF will provide the necessary inputs and outputs for the workshops organised under Work package 1 (original numbering - e.g. draft deliverables, presentations giving an overview of the drafts, summary of comments received on the drafts) | ETSI | BEN | Yes,subcontracting  |
| T4 | Policy and security requirements ledgers with smart contracts as a trust service  | This specifies the policy and security requirements for use of ledgers in support of smart contracts, taking into account the general requirements for governance in T2.3.The STF will provide the necessary inputs and outputs for the workshops organised under Work package 1 (original numbering - e.g. draft deliverables, presentations giving an overview of the drafts, summary of comments received on the drafts)  | ETSI | BEN | Yes,subcontracting |

|  |
| --- |
| **Milestones and deliverables (outputs/outcomes)** |
| Milestone No(continuous numbering not linked to WP) | Milestone Name | Description | Due Date(month number) | Means of Verification |
| MS1 | ETSI STF set up | STF team selected and set up | 7 | Subcontracts signed |
| MS2 | Progress of work  | Progress of work presented to ETSI TC ESI  | 10 | Presentation provided to TC ESI and uploaded on ETSI portal |
| MS3 | Early drafts TS , D2, D3 and D4 | Documents submitted to TC ESI for comment | 12 | Document submitted on TC ESI area of the ETSI portal and noted by TC ESI |
| MS4 | Draft for public reviewD2 | Documents submitted to TC ESI for review and following comments approved for 2 month public review  | 12 | ETSI TC ESI approve for public review |
| MS5 | Progress of work D1.1  | Mid term progress report approved by ETSI TC ESI and sent to EISMEA | 13 | Presentation provided to TC ESI and uploaded on ETSI portalReport by ETSI Staff to EISMEA |
| MS6 | Stable drafts TS D3 and D4D2 proposed disposition of public review comments | Documents submitted to TC ESI for comment Progress of work presented to ETSI TC ESI | 15 | Document submitted on TC ESI area of the ETSI portal and noted by TC ESIPresentation provided to TC ESI and uploaded on ETSI portal |
| MS7 | Final Draft TS D2 and D3 and D4 for approval  | Documents submitted to TC ESI for approval  | 24 | Document submitted on TC ESI area of the ETSI portal and for approval by TC ESI |
| MS8 | Progress of work D1.2 | Mid term progress report approved by ETSI TC ESI and sent to EISMEA | 25 | Presentation provided to TC ESI and uploaded on ETSI portalReport by ETSI Staff to EISMEA |
| MS9 | Final Progress of work D1.3 | Final progress report approved by ETSI TC ESI and sent to EISMEA Documents published.. | 30 | Presentation provided to TC ESI and uploaded on ETSI portalReport by ETSI Staff to EISMEA |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Deliverable No (continuous numbering linked to WP) | Deliverable Name | Lead Beneficiary | Type | Dissemination Level | Due Date(month number) | Description (including format and language) |
| D1.1 | Progress report year 1 | ETSI | *[*R *—* Document,report*]* | Sensitive | 13 | First progress report.• The activities performed until month 9, the coordination work of the activities and the production of the expected deliverables anticipated in the work-plan.• Quality intermediate report.• Standard EISMEA reportingEnglish |
| D1.2 | Progress Report 2 | ETSI |  | Sensitive | 25 | Second progress report for M25.• The activities performed until month 24, the coordination work of the activities and the production of the expected deliverables anticipated in the work-plan.• Quality intermediate report.• Standard EISMEA reportingEnglish |
| D1.3 | Final Progress report |  |  | Sensitive | 30 | Final progress reportPublication of ETSI TR and TSs |
| D2 | Scoping study |  | *[*R *—* Document,report*]* | Public | 30 | ETSI Technical Report identifying standardisation requirements for Smart Contracts. |
| D3 | Technical specification on use of EU Digital Identity Wallets and electronic signatures for identification with smart contracts  | ETSI | *[*R *—* Document,report*]*  | Public | 30 | European standardisation deliverable published in English as ETSI Technical Specification that specifies the use of EU Digital Identity Wallets and advanced / qualified electronic signatures for identification with smart contracts, taking into account the requirements for identification in T2.This deliverable is written in Task T3 |
| D4 | Technical specification on Policy and security requirements ledgers with smart contracts as a trust service  | ETSI | *[*R *—* Document,report*]*  | Public | 30 | European standardisation deliverable published in English as ETSI Technical Specification that specifies the policy and security requirements for use of ledgers in support of smart contracts, taking into account on the requirements for governance in T2 .This deliverable is written in Task T3 |

### 4.3 Timetable

|  |  |  |  |
| --- | --- | --- | --- |
| **ACTIVITY** | **MONTHS** |  |  |
| **M 1** | **M 2** | **M 3** | **M 4** | **M 5** | **M 6** | **M 7** | **M 8** | **M 9** | **M 10** | **M 11** | **M 12** | **M 13** | **M 14** | **M 15** | **M 16** | **M 17** | **M 18** | **M 19** | **M 20** | **M 21** | **M 22** | **M 23** | **M 24** | **M 25** | **M 26** | **M 27** | **M 28** | **M 29** | **M 30** |
| **Task 1.0 -** STF Project Setup |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Task 1.1 -** STF Project Management |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Task 2:** Scoping study |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Task 3** Use of EU Digital Identity Wallets and electronic signatures for identification with smart contracts  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Task 4 -** Policy and security requirements ledgers with smart contracts as a trust service  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

### 4.4 Subcontracting

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Work Package No | Subcontract No(continuous numbering linked to WP) | Subcontract Name(subcontracted action tasks) | Description (including task number and BEN to which it is linked) | Estimated Costs(EUR) | Justification(why is subcontracting necessary?) | Best-Value-for-Money(how do you intend to ensure it?) |
| 1 | NA | NA | T1 to T4 | 124.000 | Expertise not available inside ETSI Secretariat | Subcontractors are selected on a case-by-case basis in the context of an open call through a clearly defined process (typically one or more of the following, publication of the call through ETSI Collective letters to the membership, Technical Body mailing lists or explicit calls for tender). Travel costs included |
| Other issues:*If subcontracting for the project goes beyond 30% of the total eligible costs, give specific reasons.* | ETSI Secretariat (Funded Activities, Technical officers…) will ensure the project planning and control with the Technical Committee without charging the related costs to the project whereas subcontractors will perform the development and technical execution of the project. |

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## 5. OTHER

### 5.1 Ethics

|  |
| --- |
|  N/A |

### 5.2 Security (if applicable)

|  |
| --- |
| N/A |

## 6. DECLARATIONS

|  |
| --- |
| **Double funding** |
| **Information concerning other EU grants for this project**  | **YES/NO** |
| We confirm that to our best knowledge neither the project as a whole nor any parts of it have benefitted from any other EU grant *(including EU funding managed by authorities in EU Member States or other funding bodies, e.g. Erasmus, EU Regional Funds, EU Agricultural Funds, European Investment Bank, etc)*. If NO, explain and provide details. | YES |
| We confirm that to our best knowledge neither the project as a whole nor any parts of it are (nor will be) submitted for any other EU grant *(including EU funding managed by authorities in EU Member States or other funding bodies, e.g. Erasmus, EU Regional Funds, EU Agricultural Funds, European Investment Bank, etc)*. If NO, explain and provide details. | YES |

|  |
| --- |
| **Financial support to third parties (if applicable)** |
| N/A |

Annex I Response to the Request for Proposals
CfE – STF 655 (REFERENCE BODY ESI)
Deadline: 30 November 2023

**If you are an ETSI Member \***

**ETSI membership status (Indicate your status):**

 Full

 Associate

 Observer

**If you are not an ETSI Member \***

Please indicate:

**Full name of the ETSI member supporting the application (list of ETSI members on etsi.org):**

-\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Official contact name of the ETSI member supporting the application:**

-\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*Note: A formal confirmation of the support from the Official contact is required (e.g. by e-mail sent to STFLINK@etsi.org) and an “ETSI Member Support Letter” will be required if you are selected.*

|  |
| --- |
| **Contractor information \*** |
|  |
| **Contractor name \*:***Indicate the Company/Organization Name* |  |
|  |
| **Contact person for the technical aspects** | **Contact person for Decision on ETSI financial offer to this project (if any)** |
| Title |  | Title |  |
| First name |  | First name |  |
| Last name  |  | Last name  |  |
| Role |  | Role |  |
| e-mail |  | e-mail |  |
| Phone |  | Phone |  |
|  |
|  | **Yes** | **No** |
| Do you or any employee of your Company/Organization hold an elected or appointed position in the Reference Body requesting the STF 655 creation? | oIndicate in which position:----------------------------------- | o |
| **If you are self-employed candidate:**Do you currently have other contracts in progress with ETSI? | o | o  |

All fields marked with an asterix (\*) are mandatory

**1.1 Introduction**

A short presentation of the technical structure responsible for this activity, e.g.:

* Business area, number of employees, link to WEB site,
* Department(s)/team(s)/experts in charge of the technical activities related to this Project,
* Reference to products/services of your Company/Organization or supporting Member to which the standards developed by this Project will apply,
* Motivation for your Company/Organization or supporting Member to participate in this Project.

**1.2 Proposed approach**

**Proposed contribution to tasks & related cost**

Identify the tasks to which your Company/Organization is proposing to contribute by filling-in the table below:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Tasks No** | **Tasks Description** | **Max Budget Allocated in Euro** | **Amount in Euro (mandatory)** | **% of whole Task (mandatory)** |
| 00 | Project Setup | 0 | . | . |
| 01 | Project Management | 14336 | . | . |
| 02 | Scoping study | 40960 | . | . |
| 03 | Use of EU Digital Identity Wallets and electronic signatures for identification with smart contracts  | 30720 | . | . |
| 04 | Policy and security requirements ledgers with smart contracts as a trust service  | 30720 | . | . |
|  |  | **116736** |  |  |

**Amount in Euro (mandatory)**: Indicate the price offered for your contribution to the task(s)

**% of whole task (mandatory)**: Indicate to which percentage of the execution of the whole task your offer corresponds

Provide a description of the proposed approach, competences, reference to related activities:

* Explain which part of the task is corresponding to the requested percentage that your Company/Organization will handle,
* Explain the scope that your Company/Organization will cover,
* Explain your approach to the management of the quality and,
* Explain your approach to the management of the risks and their mitigation,
* Describe and justify the proposed costs to achieve this project objectives.

Annex II Terms and Conditions
CfE – STF 655 (REFERENCE BODY ESI)
Deadline: 30 November 2023

**2.1 Submission of Proposals**

All proposals in response to this CfE shall be submitted before the deadline indicated in thisCollective Letter, using exclusively the WEB application on the ETSI Portal at the following address: <https://portal.etsi.org/cfe>.

Proposals shall be composed of Curriculum Vitae of the proposed service providers’ personnel and the Annex I of this CfE duly filled-out.

Proposals that will be partial or incomplete at the deadline will not be accepted.

The Terms and Conditions in this Annex will apply.

**2.2 Modification and Withdrawal of Proposals**

Applicants may, without prejudice to themselves, modify or withdraw their proposal by written request, provided that the request is received by ETSI prior to the due date and time, at the address to which their proposal was submitted. The applicant may submit a new proposal provided that such new proposal is received prior to the deadline for responding which is specified in this Collective Letter.

**2.3 Assessment of Proposals**

The ETSI Director-General, in consultation with the Reference Body Chairman, is responsible for the selection of the service providers that will be contracted to perform this Project work. The ETSI Director-General and the Reference Body Chairman may be assisted by a Selection Panel to assess the applications received and make the final decision.

As per article 1.10.4 of the ETSI Directives, the Director-General may discard proposals that could be identified as creating potential conflict of interest.

The ETSI Secretariat will only communicate to the applicants the result of the selection (accepted or not accepted). Should applicants need more information on the rationale for the selection, they must address a formal request to the ETSI Director-General.

The following evaluation criteria will be applied to all proposals, in order of priority:

* Evidence that the applicant has the necessary structure and expertise to ensure delivery
* Reference to current or previous activities in the specific technical domain of this project
* Critical review of the most efficient way to achieve the objectives in this Project ToR
* Effective proposed approach/methodology for the execution of the tasks
* Implementation schedule
* Clear pricing policy

Compliance with the first two (2) criteria is mandatory.

Proposals that are not considered compliant with these criteria will be discarded.

Priority will be given to technical quality of the proposals. Pricing considerations will be taken into account to ensure that the best value for money is achieved. Compatibility with the maximum budget allocated to this Project will be verified before placing a Service Contract.

Following the assessment process, ETSI reserves the right to grant contracts to other than the cheapest proposals, to accept or reject any offer completely or in part, or to reject all proposals, without providing the reasons. If no offer is accepted, ETSI may decide to abandon the work or proceed in any other manner ETSI may select.

**2.4 IPR and confidentiality Agreements**

The information provided in this CfE, as well as the fact that the applicant has received the CfE, is considered confidential and protected under copyright laws. The applicant may not discuss, share, or use the information in this CfE for any purpose other than the response to this CfE.

ETSI will not disclose the content of any proposals to other applicants or any other party, with the exception of the persons involved in the assessment process described in §2.3 above.