

APPENDIX 2

Joint call for projects of the 2010 ANR 'Concepts Systems and Tools for Global Security' programme in collaboration with the BMBF 'Biometrics' programme

IMPORTANT:

The closing date for the 2010 edition of the ANR Concepts, Systems and Tools for Global Security call for projects is to be found on page 2 of the main call for projects document.

I. CONTEXT AND OBJECTIVES FOR THE OPENING OF THE CALL FOR PROJECTS

It is indispensable to read the call for projects text as the opening of the national call for projects is the way to become research partners with Germany.

I.1. CONTEXT

The ANR and the BMBF (German Ministry of Research and Education) have signed an agreement (MoU dated 5 January 2009), the aim of which is to finance French/German research projects in collaboration on security.

These research projects will deal with subjects of common interest for both countries.

Within this text, the ANR and the BMBF came to an agreement on financing research projects with a view to facilitating the setting-up and the implementation of quality scientific projects, proposed by French and German academic and industrial partners within the framework of the ANR's 'Concepts Systems and Global Security' programme on the one hand and the BMBF's ¹ 'Research for Civil Security' programme on the other.

¹ see generalities on this programme : <http://www.bmbf.de/en/6293.php>

I.2. PROGRAMME OBJECTIVES

The objective is to finance new top-quality research projects with a balanced scientific contribution from French and German academic and industrial partners, projects which present added value for both countries.

The theme retained for the call for projects, edition 2010, is Biometrics and Security. The ANR expects that a joint opening of the ANR and BMBF programmes on this theme will allow French /German quality projects to emerge.

II. THEME AXIS: BIOMETRICS AND SECURITY

Collaboration with German teams which can be financed by the BMBF is **compulsory** throughout the set of the subjects described according to this theme axis and according the conditions described in this document. Applicants are invited to consult² the content of the BMBF's call entitled: 'Biometrics' on <http://www.bmbf.de/en/13409.php>.

The joint proposal must deal with at least one of the subjects from the 'Biometrics and Security' theme axes of the CSOSG2010 call for projects and at least one of the subjects from the German 'Biometrics' call for projects.

For sub-themes 1, 2 and 3, proposals will include a set devoted to ethical stakes and respect of privacy (see administrative criteria §3).

SUBTHEME 1: BIOMETRICS AND APPLICATION CONTEXT

Biometrics can contribute towards satisfying several needs in different contexts such as access checking, transaction security, identity checking, judicial enquiries³... However multiple technological and common practice-linked safety nets do not always show biometric solutions to be efficient in the eyes of users in terms of cost/profit, of adaptation to systems in place, of guarantees of public liberties etc. In close link with the end-users and according to precise application contexts, the projects must deal with:

² Consult updates on BMBF site.

³ Applications linked to forensics are not within the scope of this Subtheme and are potentially dealt with in subtheme 2.2.2. in the national call for projects.

- the relationship between technologies used (captors, algorithms) performance sought and the ethical character of means and ends envisaged;
- the technological issues such as enrolment and acquisition of data, creation, use and securing of biometric data respecting private laws (for example cryptobiometry), biometrics in the context of mobility, renouncement of biometric data ;
- The issues linked to common practice from a legal, sociological and economic point of view (notion of proportionality, right to oversight, cost-profit analysis...)

SUBTHEME 2: NEW BIOMETRIC TECHNOLOGIES

Certain technologies present a potential for change, that is to say that they could radically improve the performances of biometric identification, reduce costs, the constraints of admittance while preserving citizens' rights. The projects could deal with:

- New biometric technologies⁴
- Multi-modal biometrics:
 - Capacity to admit different biometrics (both classical and new) and to deal with multi-biometric queries in order to improve their performance (rapidity and precision) ;
 - Work on the combining of heterogeneous data (from biometric traces of different natures, of differing levels of quality, with other types of data).

SUBTHEME 3: EVALUATION AND CERTIFICATION OF BIOMETRIC TECHNOLOGIES

The preparation of technical norms in the field of biometrics and declensions in the form of "technical norms" of fundamental principles of public liberties (proportionality, right to oversight, legitimacy, ends ...) will be necessary for the spread of biometric techniques.

It is even more necessary to establish evaluation criteria for biometric technologies with a view to qualify/quantify their strength when confronted with decoys of any kind. The projects to this effect will deal with assessment scenarios including proposals for methodology and associated means.

Also to be dealt with:

- new evaluation methods and tools for the technologies in view of operational constraints;
- design methodologies of biometrics solutions insuring the privacy/human rights ("privacy by design");

⁴ DNA analysis technologies are not within the scope of this Subtheme and are potentially dealt with in subtheme 2.2.2. in the national call for projects.

- security of the processing chain (query captors and data bases...)
- co-normative approach with future standards in mind

SUBTHEME 4: BIOMETRICS AND ETHICS

The projects will deal with what is generally at stake when linked to legal and ethical demands with a historic and legal (norm and law, comparative law), sociological (perception and acceptability) approach etc.

From these angles they can also broach issues involved by the possibility of dishonest compromise and usurpation of biometric data and the discrepancy with public liberties in relation to the development of biometric products.

III. EXAMINATION OF PROJECTS SUBMITTED

German and French applicants must write a joint proposal in English which will be submitted to the ANR and the BMBF;

Selection procedure will be in two stages:

a) Firstly, eligible projects will be assessed and selected by the ANR and the BMBF according to their own assessment procedure (the projects will therefore be assessed by one then by the other). Where the ANR is concerned, the projects will be assessed in the same way and using the same criteria as other projects submitted within the CSOSG programme framework. In addition, specific assessment criteria for international cooperation will be applied, that is to say the added value of the international cooperation and the balance of the partnership.

b) Secondly, the ANR and the BMBF will decide together which French-German projects will be financed among those selected by the CSOSG pilot committee and the ad hoc German committee.

III.1. ADMISSIBILITY CRITERIA

The application will be made in each country respecting the required format, rules for admissibility, eligibility and closing date for the call for projects in each respective country.

The proposals which are only entered in one country only cannot be retained.

The French partners and the project must satisfy the following admissibility criteria:

- 1) The **applications** (submission documents A and B) must be sent by email **before the closing date**, be **in the correct format** and be **complete**.
- 2) **The joint proposal must be submitted to the ANR and BMBF before the respective closing dates of both calls for projects.**
- 3) The project **coordinator** must not be a member of the assessment committee or of the programme pilot committee.
- 4) The project **must take** between 18 and 36 months.
- 5) This call for projects is open
 - a. **For Subtheme 1, 2 and 3**, to research body/company⁵ partnership research projects, the consortium of which has at least two partners, one of whom belonging to the following categories:
 - i. Research body (University, EPST, EPIC,...)⁶
 - ii. Company⁷
 - b. **For Subtheme 4**, to research body/company with or without a partnership.
- 6) For subtheme 1, 2 and 3, the participation of one or several prescribers or public or private security operators⁸ is compulsory through their participation in the consortium as partners or member of a pilot or project follow-up committee⁹.
- 7) For subtheme 1, 2 and 3 the proposals will include a dedicated work package dealing with ethical and privacy issues

The German partners and the project must comply with the admissibility criteria for the national 'Biometrics' programme.

III.2. ELIGIBILITY CRITERIA

The French partners must comply with the following eligibility criteria:

- 1) The project must be **within the scope** of the call for projects described in §2.
- 2) Applications on paper (submission document A only) must be sent in **before the closing date, in the correct format and signed by all the partners.**

⁵ see the definition of 'research body/company research in appendix 1 of the call for projects text

⁶ see definition of structures in appendix 1 of the call for projects text

⁷ see definition of structures in appendix 1 of the call for projects text

⁸ see definition of structures in appendix 1 of the call for projects text

⁹ The committee's composition, role and tasks will be outlined in the technical description.

- 3) **Type of research:** this call for projects is open :
- a. **For sub-themes 1, 2, 3** to Industrial Research projects;
 - b. **For sub-theme 4** to Fundamental Research projects.

The German partners must comply with the eligibility criteria for the 'Biometrics' programme.

III.3. ASSESSMENT CRITERIA

The assessment criteria for international cooperation proposals are the following:

1) Relevance of the proposal regarding the orientation of the call for projects and international cooperation

- be in line with the theme axis of the call for projects (cf. §2)
- be in line with the recommendations of the call for projects (cf. §3.4 of the call for projects text)
- clear presentation of the global security missions broached using a multi-discipline and multi-participant systems approach to security research
- Real contribution :
 - towards a better understanding of what is at stake in the organisational, sociological and technological aspects of security;
 - towards the demonstration of systems feasibility by technological and methodological breakthrough
- Added value to French/German cooperation
 - The expected advantages for both countries are clearly presented

2) Scientific and technical quality

- clear presentation of objectives which do in fact contribute to better security for citizens and/or the understanding of organisational, human and technological security stakes;
- scientific excellence in terms of progress in knowledge as opposed to the state of the art (in France and abroad);
- innovative character of the research;
- scientific and technological breakthrough.

3) Methodology, quality of the construction of the project and coordination

- positioning as opposed to the present situation and technological innovation;
- scientific and technical feasibility of the project,
- choice of methods;

- structuring of the project, rigour in the definition of end-results (on delivery), identification of milestones;
- quality of the coordination plan (experience, financial and legal management of the project);
- development strategy and protection of the results of the project, management of intellectual property questions;
- strategy in terms of management of the confidential nature of information, results and delivery (indicating the levels of circulation of information).

4) Global impact of the project

- use or inclusion of the results of the project by the scientific or industrial community or society, and impact in terms of acquiring know-how;
- usefulness for global security and its missions;
- industrial or technological application perspectives or economic and commercial potential;
- business plan, how it fits in with industrial activity;
- credibility of announced development.

5) Quality of the consortium

- level of scientific excellence or the expertise of the teams (based on participants' CVs, patents and publications);
- balance between the partnership and scientific and technical objectives;
- complementary nature of the partnership;
- association in particular of research teams from Human and Social Sciences;
- real involvement of end-users (partnerships, follow-up or pilot committee);
- active role of small and medium-size companies.

6) Balance between project-means / feasibility of the project

- calendar;
- the project proposes an organisation of the piloting of the works which ensures that the project will be underway immediately after notification;
- justification of funding required by technical work packages, by partners, and by type of expense envisaged.

III.4. IMPORTANT RECOMMENDATIONS

It is particularly important that the project submitted to the ANR be contributed to equally by the French and the German teams. Sufficient information (descriptive text, complete budget and resource charts...) must be supplied to be able to assess

correctly the respective contributions of each team concerning scientific resources and financial requirements.

RECOMMENDATIONS CONCERNING THE INVOLVEMENT OF PERSONNEL

Apart from the recommendations found in the call for project text, partners must see that there is a balance between the amount of scientific contribution from each country.

The teams of each nationality must appoint a scientific spokesperson who will be in charge of feedback (reporting) and who will be the person for the two financiers to contact, also to prepare reports and meetings and to represent the consortium in public.

RECOMMENDATIONS CONCERNING THE WRITTEN LANGUAGE TO BE USED

The projects will be submitted in English.

RECOMMENDATIONS CONCERNING THE CONTENT OF THE PROJECTS

Submission terms are identical for all of the CSOSG call for projects. In particular, French applicants must use submission documents A and B as the scientific and financial appendices of the project.

The French and German partners prepare a joint scientific application in English which they submit respectively and at the same time to the ANF and BMBF.

In addition to the elements requested for all the CSOSG programme projects, the joint French/German proposal must be presented as a whole indicating in particular the work of both the French and German partners. This document must include at least the following points:

- A joint summary (general objectives, recap of the proposal)
- The objectives of scientific and / or technical research work, envisaged innovations

- The description of the consortium, the French and German project coordinators, distribution of roles and complementary nature of partners where necessary
- The state of the art
- A list of the patents held by partners or by a third party
- Partners' previous research
- A work plan (maximum 15 pages) which must contain:
 - * a detailed description of the partners and their collaboration work including, if necessary, subcontracted work and all the relevant scientific and / or technical issues within the project and the solutions found;
 - * for sub-themes 1, 2 and 3 an initial analysis of ethical and privacy stakes which are concerned
 - * a utilisation plan (scientific, technical and economic view of results obtained by the partners, where necessary how the results are to be used, recommendations and legal environment);
 - * a coordination plan (work packages, in/out, milestones and implementing decisions);
 - * a finance plan (estimated costs and requests for subsidies for each partner, budgets including salaries, travelling...);
 - * a description:
 - of ongoing activities and contribution of each of the French /German partners
 - of how the project will bring long-term reinforcement to French/German cooperation;
- A description of how, in the consortium agreement, intellectual property and know-how acquired within the framework of the project will be taken into account.

On the national form the project holders will be able to add supplementary points which they are asked for in the other country, and /or which seem necessary for the assessment of their proposal.

FOR FURTHER INFORMATION CONCERNANT DETAILS REQUESTED IN THE PARTNER COUNTRY

Information on how to submit are available at this address:
www.bmbf.de/en/13409.php

A joint guide for submission will be published on both the ANR and BMBF websites

IV. GENERAL MEASURES FOR FUNDING

The 'principle of place' will be applied for the funding, that is to say each organisation – the ANR and the BMBF – will finance for its part the expenses relative to its own partner(s).

The participation per partner at a colloquium abroad half way through the work or at the end of the work is requested.

The general measures for funding applicable to the French teams are those found in the ANR call for projects text.

IV.1. CONSORTIUM AGREEMENT

The consortium agreement is **compulsory** for international cooperation projects. Before any money is given the partners taking part in a project must draw up and provide the ANR and the UTT (support institution) with a cooperation agreement which defines the manner in which intellectual property rights are dealt with between partners.

IV.2. COMPETITIVENESS CLUSTERS

The general measures concerning clusters are those found in the ANR call for projects text.

When the French part of a project is given a quality label by a Competitiveness Cluster, the French coordinator must obtain the approval of all the French partners before transmitting the labelling to the ANR.

IV.3. OTHER MEASURES

The consortium must provide the two financers with an annual report and a final report (maximum 10 pages in English).

Any publications by members of the consortium concerning the research activities financed jointly by the BMBF and the ANR must mention the two financers.

The 'other measures' mentioned in the ANR call for projects text are applicable within the framework of international projects.

IV.4. PROVISIONAL CALENDAR

Joint ANR-BMBF decision and publication of results: last quarter 2010

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