

Standard call for applications for the selection of expert group members

**CALL FOR APPLICATIONS FOR THE SELECTION OF MEMBERS OF THE  
ADVISORY GROUP FOR THE PREPARATORY ACTION  
ON DEFENCE RESEARCH**

## **1. Background**

The Commission schedules to launch a PA<sup>1</sup> on Defence Research in 2017 for up to 3 years. One of the main objectives of the PA is to prepare and test mechanisms to organise cooperative defence research at the EU level. It is an essential step to the potential EU defence research programme to be implemented under the next multiannual financial framework.

The main part of the budget of the PA is intended to fund research and development activities. Although by definition the PA will operate outside Horizon 2020, the EU's main research funding instrument, it will use its rules as the main starting point.

Within the frame of the PA, the Commission is responsible for drawing up yearly work programmes with calls for research proposals. In doing so, the Commission wishes to draw on the best possible external advice.

By decision of its Director General, the Commission Directorate-General for Internal Market, Industry, Entrepreneurship and SMEs (hereinafter “DG GROW”) has set up an advisory group for the Preparatory Action (PA) on Defence Research (“**the group**”).

The group’s tasks will be:

- to provide consistent and consolidated advice to the Commission services during the preparation of the remaining annual work programmes within the frame of the Preparatory Action.
- if deemed relevant, to provide advice for the revision of the scoping paper, the planning document setting out key orientations on a multiannual basis to guide the preparations of the work programmes.

The group must provide advice on relevant objectives and scientific, technological and innovation priorities by way of opinions, recommendations or reports. The advice received from the Group will complement other sources of external advice received by the Commission services. While providing the group with feedback on the use of the advice and input given, the Commission and its services retain the right of initiative. The group does not take binding decisions.

The Commission is calling for applications with a view to selecting members of the group, other than the European External Action Service and the European Defence Agency.

## **2. Features of the Group**

### **2.1. COMPOSITION**

The group shall consist of up to 22 members.

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<sup>1</sup> Preparatory action within the meaning of Article 54(2) of Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002 (OJ L 298, 26.10.2012, p.1).

Members shall be<sup>2</sup>:

- the European External Action Service (EU Military Staff) (Type E member);
- the European Defence Agency (Type E member);
- individuals appointed in a personal capacity (Type A Members);
- individuals appointed to represent a common interest (Type B Members);
- organisations (Type C Members).

Participation in the group is restricted to EU nationals or citizens of Norway.

Members appointed in a personal capacity shall act independently and in the public interest. Members appointed to represent a common interest shall not represent an individual stakeholder, but a policy orientation common to different stakeholder organisations.

The European External Action Service (EU Military Staff), the European Defence Agency and organisations shall nominate their representatives to the group and shall be responsible for ensuring that their representatives provide a high level of expertise. DG GROW may refuse the nomination of a representative by an organisation if it considers this nomination inappropriate in light of the requirements specified in chapter 4 of this call. In such case, the organisation concerned shall be asked to appoint another representative.

The profile of the members and members' representatives should primarily allow addressing the technical nature of the advice needed to implement successfully the research and innovation (R&I) programme of the PA. They should possess a track record in areas such as research, manufacturing or procurement of military products or services, as well as competence in providing consultancy services to the defence sector. Experience at the European or international level would be considered as an advantage.

## **2.2. APPOINTMENT**

Members shall be appointed by the Director General of DG GROW from applicants complying with the requirements referred to in chapter 4 of this call.

Members shall be appointed for the duration of the Preparatory Action, including the period before its launch. They shall remain in office until the end of their term of office.

Registration in the Transparency Register is required in order for individuals representing a common interest and organisations to be appointed.

In order to ensure continuity and the smooth functioning of the group, DG GROW shall establish a reserve list of suitable candidates that may be used to appoint replacements. DG GROW shall ask applicants for their consent before including their names on the reserve list.

Members who are no longer capable of contributing effectively to the group's deliberations, who in the opinion of DG GROW do not comply with the conditions set out in Article 339 of the Treaty on the functioning of the European Union or who resign, shall no longer be invited to participate in any meetings of the group and may be replaced for the remainder of their term of office.

## **2.3 RULES OF ENGAGEMENT AND OPERATION OF THE GROUP**

The group shall elect a Chairperson from amongst its members by simple majority of its members.

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<sup>2</sup> As regards the classification of expert group members, please refer to Art.7 of Commission Decision C(2016) 3301 establishing horizontal rules on the creation and operation of these groups.

The group shall act at the request of its chairman with the agreement of the Commission, in compliance with the Commission's horizontal rules on expert groups ('the horizontal rules')<sup>3</sup>.

In principle, the group shall meet at least two times per year on Commission premises in order to ensure that the group is properly involved in the preparation of the work programme. DG GROW shall provide secretarial services.

Members and members' representatives should be prepared to attend meetings systematically, to contribute actively to discussions in the group, to be involved in preparatory work ahead of meetings, to examine and provide comments on documents under discussion, and to act, as appropriate, as 'rapporteurs' on ad hoc basis.

As a general rule, working documents will be drafted in English and meetings will be also conducted in English.

The group shall adopt its opinions, recommendations or reports by consensus. In the event of a vote, the outcome of the vote shall be decided by simple majority of the members. The members that voted against or abstained shall have the right to have a document summarising the reasons for their position annexed to the opinions, recommendations or reports.

In agreement with DG GROW, the group may, by simple majority of its members, decide that deliberations shall be public.

Participants in the activities of the group and sub-groups – if such sub-groups are deemed appropriate – shall not be remunerated for the services they offer. Travel and subsistence expenses incurred by participants in the activities of the group and sub-groups shall be reimbursed by the Commission. Reimbursement shall be made in accordance with the provisions in force within the Commission and within the limits of the available appropriations allocated to the Commission departments under the annual procedure for the allocation of resources.

The members of the group and their representatives, as well as invited experts and observers, are subject to the obligation of professional secrecy, which by virtue of the Treaties and the rules implementing them applies to all members of the institutions and their staff, as well as to the Commission's rules on security regarding the protection of Union classified information, laid down in Commission Decisions (EU, Euratom) 2015/443<sup>4</sup> and 2015/444<sup>5</sup>. Should they fail to respect these obligations, the Commission may take all appropriate measures.

On a proposal by and in agreement with DG GROW the group shall adopt its rules of procedure on the basis of the standard rules of procedure for expert groups.

DG GROW may invite experts with specific expertise with respect to a subject matter on the agenda to take part in the work of the group or sub-groups on an ad hoc basis.

Individuals, organisations or public entities may be granted an observer status, in compliance with the horizontal rules, by direct invitation. Organisations or public entities appointed as observers shall nominate their representatives. Observers and their representatives may be permitted by the Chair to take part in the discussions of the group and provide expertise.

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<sup>3</sup> See Article 13.1 of the horizontal rules.

<sup>4</sup> Commission Decision (EU, Euratom) 2015/443 of 13 March 2015 on Security in the Commission (OJ L 72, 17.3.2015, p. 41).

<sup>5</sup> Commission Decision (EU, Euratom) 2015/444 of 13 March 2015 on the security rules for protecting EU classified information (OJ L 72, 17.3.2015, p. 53).

However, they shall not have voting rights and shall not participate in the formulation of recommendations or advice of the group.

If deemed appropriate, DG GROW may set up sub-groups for the purpose of examining specific questions on the basis of terms of reference defined by DG GROW. Sub-groups shall operate in compliance with the horizontal rules and shall report to the group. They shall be dissolved as soon as their mandate is fulfilled. The members of sub-groups that are not members of the group shall be selected via a public call for applications.

#### **2.4. TRANSPARENCY**

The group shall be registered in the Register of Commission expert groups and other similar entities ('the Register of expert groups').

As concerns the group composition, DG GROW shall publish the following data on the Register of expert groups:

- the name of individuals appointed in a personal capacity;
- the name of individuals appointed to represent a common interest; the interest represented shall be disclosed;
- the name of member organisations; the interest represented shall be disclosed;
- the name of the representatives of the the European External Action Service (EU Military Staff) and of the European Defence Agency;
- the name of organisations' representatives.
- the name of observers;

DG GROW shall make available all relevant documents, including the agendas, the minutes and the participants' submissions, either on the Register of expert groups or *via* a link from the Register to a dedicated website, where this information can be found. Access to dedicated websites shall not be submitted to user registration or any other restriction. In particular, the DG GROW shall ensure publication of the agenda and other relevant background documents in due time ahead of the meeting, followed by timely publication of minutes. Exceptions to publication shall only be foreseen where it is deemed that disclosure of a document would undermine the protection of a public or private interest as defined in Article 4 of Regulation (EC) N° 1049/2001<sup>6</sup>.

Personal data shall be collected, processed and published in accordance with Regulation (EC) No 45/2001.

### **3. Application procedure**

Interested individuals and organisations are invited to submit their application to the European Commission, DG GROW.

Applications must be completed in one of the official languages of the European Union. However, applications in English would facilitate the evaluation procedure. If another language is used, it would be helpful to include a summary of the CV in English.

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<sup>6</sup> These exceptions are intended to protect public security, military affairs, international relations, financial, monetary or economic policy, privacy and integrity of the individual, commercial interests, court proceedings and legal advice, inspections/investigations/audits and the institution's decision-making process.

Organisations shall indicate the name of their representative(s) in the group.

An application will be deemed admissible only if it is sent by the deadline and includes the documents referred to below. All documents submitted by applicants should be duly filled in, legible, signed and numbered sequentially.

#### Supporting documents

Each application shall include the following documents:

- a cover letter explaining the applicant's motivation for answering this call and stating what contribution the applicant could make to the group;
- a classification form duly filled in specifying the member category for which the application is made (Annex I).
- a selection criteria form duly filled in documenting how the applicant fulfills the selection criteria listed in chapter 4 of this call (Annex II).

For individuals applying to be appointed as members of the group in a personal capacity or to represent a common interest, as well as for individuals indicated by organisations as their representatives, a *curriculum vitae* (CV) shall also be provided, preferably not exceeding three pages. All CVs shall be submitted in the European format (<https://europass.cedefop.europa.eu/en/documents/curriculum-vitae/templates-instructions>).

Individuals applying to be appointed as members of the group in a personal capacity must disclose any circumstances that could give rise to a conflict of interest by submitting a declaration of interests ('DOI') form on the basis of the standard DOI form for expert groups attached to this call (Annex III). Submission of a duly completed DOI form is necessary in order to be eligible to be appointed in a personal capacity. DG GROW shall perform the conflict of interest assessment in compliance with the horizontal rules<sup>7</sup>.

Additional supporting documents (e.g. publications) may be requested at a later stage.

#### Deadline for application

The duly signed applications must be sent by <INSERT DATE> at the latest. The date of sending will be established as follows:

- Where applications are sent by e-mail to the following e-mail address: GROW-I4@ec.europa.eu, the date of the e-mail will be the date of sending.
- Where applications are sent by post to the following address: European Commission, DG GROW, Unit I.4 secretariat – B-1049 Brussels, the postmark will be considered the date of sending.
- Where applications are hand-delivered to the following address: European Commission, DG GROW, Unit I.4 secretariat – Avenue d'Auderghem/Oudergemselaan 45 – B-1040 Brussels, the date on the receipt given upon delivery will be considered the date of sending.

#### **4. Selection criteria**

DG GROW will take the following criteria into account when assessing applications:

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<sup>7</sup> Article 11 of the horizontal rules.

- proven and relevant competence and experience, preferentially also at European and/or international level, with research and/or manufacturing and/or procurement of military products and/or services for use in the defence sector (all applicants);
- absence of circumstances that could give rise to a conflict of interest (individuals applying to be appointed in a personal capacity only);
- proven capacity to represent effectively the position shared by stakeholders (individuals applying to be appointed in order to represent a common interest only);
- competence, experience and hierarchical level of the proposed representatives (organisations only);
- good knowledge of the English language allowing active participation in the discussions (individual applicants and organisations’ representatives).
- EU national or citizen of Norway (all applicants).

## **5. Selection procedure**

The selection procedure shall consist of an assessment of the applications performed by DG GROW against the selection criteria listed in chapter 4 of this call, followed by the establishment of a list of the most suitable applicants, and concluded by the appointment of the members of the group.

When defining the composition of the group, DG GROW shall aim at ensuring, as far as possible, a high level of expertise, as well as a balanced representation of relevant know how and areas of interest, while taking into account the specific tasks of the group, the type of expertise required, as well as the relevance of the applications received.

Where individual experts are appointed, either in their personal capacity or to represent a common interest, DG GROW shall seek a geographical balance and a gender balance.



### ANNEXES:

- Annex I: Classification form
- Annex II: Selection criteria form
- Annex III: Standard declaration of interests
- Annex IV: Guidance for filling in the declaration of interests
- Annex V: Privacy statement

## Annex I

### Classification form<sup>8</sup>

To be filled in by all applicants

This application is made as: (*please select only one option*)

- An individual applying to be appointed in a personal capacity (Type A member);** if appointed I shall act independently and in the public interest.

or

- An individual applying to be appointed to represent a common interest** shared by stakeholders in a particular policy area (**Type B member**); if appointed I shall not represent an individual stakeholder.

Transparency Register identification number: [...] <sup>9</sup>

or

- An organisation (Type C member).**

Transparency Register identification number: [...]

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To be filled in by organisations applying to be appointed as Type C members

This application is made as the following **type of organisation**: (*please select only one option, taking into account the definitions indicated below*).

- a) Academia, research Institutes and Think Tanks
- b) Banks/Financial institutions
- c) Companies/groups
- d) Law firms
- e) NGOs
- f) Professionals' associations
- g) Professional consultancies
- h) Trade and business associations
- i) Trade unions

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<sup>8</sup> This form must be filled in, signed and returned with the application.

<sup>9</sup> If the individuals in question act as self-employed consultants, they should provide their own identification number. If the individuals in question do not act as self-employed consultants, they should provide the identification number of the organisation(s) of which they are employees, see Article 24 of the horizontal rules.

j) Other (please specify):

### Definitions for organisation types

#### **Academia, Research Institutes and Think Tanks**

Universities, schools, research centers, think tanks and other similar bodies performing academic and/or educational activities.

#### **Banks/Financial institutions**

Banks and other similar bodies providing financial services, including financial intermediation. All sorts of banks should be classified within this category, including national central banks.

#### **Companies/groups**

Individual companies or groups of companies operating in the business sector, whether they are national companies or multinational ones.

#### **Law firms**

Business entities formed by one or more lawyers to engage in the practice of law. The primary service rendered by a law firm is to advise clients (individuals or corporations) about their legal rights and responsibilities, and to represent clients in civil or criminal cases, business transactions, and other matters in which legal advice and other assistance are sought.

#### **NGOs**

Non-profit organisations which are independent from public authorities and commercial organisations. Some NGOs are organised around specific issues, such as environment, consumer affairs, health and human rights.

#### **Professionals' associations**

Non-profit organisations seeking to further the interests of individuals engaged in a particular profession, such as physicians, nurses, architects, engineers and lawyers. Professionals' associations are different from business associations, as they promote and defend the interests of individuals carrying on a specific profession, not the interests of companies operating in the business sector.

#### **Professional consultancies**

Firms carrying on, on behalf of clients, activities involving advocacy, lobbying, promotion, public affairs and relations with public authorities.

## **Trade and business associations**

Private bodies representing the interests of its members operating in the business sector.

## **Trade unions**

Organisations of workers. The most common activities performed by trade unions include the negotiation of wages, work rules, rules governing hiring, firing and promotion of workers.

## **Other organisations**

Organisations which are not possible to classify in any other category.

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To be filled in by individuals applying to be appointed as Type B members and organisations applying to be appointed as Type C members

The applicant shall represent the following **interest**: (*please select one or more options, taking into account the definitions indicated below*):

- a) Academia/Research
- b) Civil society
- c) Employees/Workers
- d) Finance
- e) Industry
- f) Professionals
- g) SMEs
- h) Other (please specify):

### Definitions for interests represented

#### **Academia/Research**

Universities, schools, research centers, think tanks and other similar bodies performing academic and/or educational activities.

#### **Civil society**

Civil society can be defined as the aggregate of non-governmental organisations and institutions that manifest interests and will of citizens or as individuals and organisations in a society which are independent of the government.

#### **Employees/workers**

Individuals working part-time or full-time under a contract of employment whether oral or written, express or implied, and having recognized rights and duties.

## **Finance**

The management of revenues or the conduct or transaction of money matters, as in the fields of banking, insurance and investment.

## **Industry**

Companies and groups of companies whose number of employees and turnover or balance sheet total are higher than the ones of SMEs (see below).

## **Professionals**

Individuals operating in a particular profession, such as physicians, nurses, architects, engineers and lawyers.

## **SMEs**

"SME" stands for small and medium-sized enterprises – as defined in EU law: [EU recommendation 2003/361](#) .

The main factors determining whether a company is an SME are:

1. **number of employees** and
2. either **turnover** or **balance sheet total**.

Company category Employees Turnover or Balance sheet total

Medium-sized      < 250      ≤ € 50 m    ≤ € 43 m

Small                < 50        ≤ € 10 m    ≤ € 10 m

Micro                < 10        ≤ € 2 m     ≤ € 2 m

These ceilings apply to the figures for individual firms only. A firm which is part of larger grouping may need to include employee/turnover/balance sheet data from that grouping too.

## **Other interest**

Interest which is not possible to classify in any other category.

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To be filled in by individuals applying to be appointed as Type B members and organisations applying to be appointed as Type C members

Please select one **or more policy areas** in which you/your organisation<sup>10</sup> operate(s):

- Agriculture
- Archaeology
- Architecture
- Audiovisual and media
- Audit
- Banking
- Biodiversity
- Civil protection
- Civil service
- Climate
- Competition
- Conservation
- Consumer affairs
- Culture
- Cultural Heritage
- Cultural Landscape
- Customs
- Development
- Disaster Risk Reduction
- Economy
- Education
- Employment and social affairs
- Energy
- Engineering (chemical)
- Engineering (civil)
- Engineering (infrastructure)
- Engineering (IT)
- Engineering (maritime)
- Engineering (space policy)
- Engineering (space research)
- Enlargement
- Environment
- Equal opportunities
- External relations
- External trade
- Finance
- Fisheries and aquaculture
- Food safety
- Forestry
- Fundamental rights

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<sup>10</sup> To be inserted as required.

- Humanitarian aid
- Industry
- Information society
- Innovation
- Insurance
- Labour
- Land management
- Law (civil)
- Law (corporate)
- Law (criminal)
- Law (taxation)
- Linguistics and Terminology
- Livestock
- Medical profession
- Migration
- Natural resources
- Plant production
- Public affairs
- Public health
- Public relations
- Raw materials
- Research
- Science
- Science diplomacy
- Security
- Smart specialisation
- Social service
- Space and Satellites (policy)
- Space and Satellites (research)
- Sport
- Statistics
- Sustainable Development
- Systemic eco-innovation
- Tax
- Trade
- Training
- Transport
- Urban development
- Water
- Youth
- Other

For individuals applying to be appointed as Type A members

Title: .....

Surname: .....

First name: .....

Date: .....

Signature .....

For individuals applying to be appointed as Type B members

Title: .....

Surname<sup>11</sup>: .....

First name<sup>12</sup>: .....

Date: .....

Signature .....

For organisations applying to be appointed as Type C members

Name of the organisation<sup>13</sup>: .....

Surname of the representative proposed: .....

First name of the representative proposed: .....

Surname of the person applying on behalf of the organisation: .....

First name of the person applying on behalf of the organisation: .....

Date: .....

Signature .....

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<sup>11</sup> It is mandatory to use exactly the same name used when registering in the Transparency Register.

<sup>12</sup> Idem

<sup>13</sup> Idem

**Annex II**

**Selection criteria form**<sup>14</sup>

Applicants are requested to describe how they fulfil the selection criteria listed in this call.

Proven and relevant competence and experience, preferentially also at European and/or international level, with research and/or manufacturing and/or procurement of military products and/or services for use in the defence sector (all applicants)	
Absence of circumstances that could give rise to a conflict of interest (individuals applying to be appointed in a personal capacity only)	
Proven capacity to represent effectively the position shared by stakeholders (individuals applying to be appointed in order to represent a common interest only)	
Competence, experience and hierarchical level of the proposed representatives (organisations only)	
Good knowledge of the English language allowing active participation in the discussions (individual applicants and organisations' representatives)	
EU national or citizen of Norway (all applicants)	

For individuals applying to be appointed as Type A members

Title: .....

Surname: .....

First name: .....

Date: .....

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<sup>14</sup> This form must be filled in, signed and returned with the application.

Signature .....

For individuals applying to be appointed as Type B members

Title: .....

Surname<sup>15</sup>: .....

First name<sup>16</sup>: .....

Date: .....

Signature .....

For organisations applying to be appointed as Type C members

Name of the organisation<sup>17</sup>: .....

Surname of the representative proposed: .....

First name of the representative proposed: .....

Surname of the person applying on behalf of the organisation: .....

First name of the person applying on behalf of the organisation: .....

Date: .....

Signature .....

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<sup>15</sup> It is mandatory to use exactly the same name used when registering in the Transparency Register.

<sup>16</sup> Idem

<sup>17</sup> Idem

### ANNEX III

#### Standard declaration of interests (DOI) form for individuals applying to be appointed as members of expert groups or sub-groups in a personal capacity

##### Legal basis:

Commission Decision [C(2016)3301] establishing horizontal rules on the creation and operation of Commission expert groups, Articles 2(4) and 11.

##### Definitions:

"**Conflict of interest**" means any situation where an individual has an interest that may compromise or be reasonably perceived to compromise the individual's capacity to act independently and in the public interest when providing advice to the Commission in relation to the subject of the work performed by the expert group or sub-group in question.

"**Immediate family member**" means the individual's spouse, children and parents. "Spouse" includes a partner with whom the individual has a registered non marital regime. "Children" means the child(ren) the individual and the spouse have in common, the own child(ren) of the individual and the own child(ren) of the spouse.

"**Legal entity**" means any commercial business, industry association, consultancy, research institution or other enterprise whose funding is significantly derived from commercial sources. It also includes independent own commercial businesses, law offices, consultancies or similar.

"**Body**" means a governmental, international or non-profit organisation.

"**Meeting**" includes a series or cycle of meetings.

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**Please answer each of the questions below. If the answer to any of the questions is "yes", please briefly describe relevant interests and circumstances, as appropriate.**

**If you do not describe relevant interests, your DOI form will be considered incomplete and, therefore, your application to be appointed as a member of an expert group or sub-group in a personal capacity shall be rejected.**

First name:

Family name:

Expert group/sub-group:

## 1 EMPLOYMENT CONSULTANCY AND LEGAL REPRESENTATION

	<i>Within the past 5 years, were you employed or have you had any other professional relationship with a natural or legal entity, or held any non-remunerated post in a legal entity or other body with an interest in the field of activity of the expert group/sub-group in question?</i>	<b>yes</b>	<b>no</b>
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<b>1a</b>	<b>Employment</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>1b</b>	<b>Consultancy, including services as an advisor</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>1c</b>	<b>Non-remunerated post</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>1d</b>	<b>Legal representation</b>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Activity</b>	<b>Time period (from... until month/year)</b>	<b>Name of entity or body</b>	<b>Description</b>

## 2 MEMBERSHIP OF MANAGING BODY, SCIENTIFIC ADVISORY BODY OR EQUIVALENT STRUCTURE

	<i>Within the past 5 years, have you participated in the internal decision-making of a legal entity or other body with an interest in the field of activity of the expert group/sub-group in question or have you participated in the works of a Scientific Advisory Body with voting rights on the outputs of that entity?</i>	<b>yes</b>	<b>no</b>
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<b>2a</b>	<b>Participation in a decision-making process</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>2b</b>	<b>Participation in the work of a Scientific Advisory Body</b>	<input type="checkbox"/>	<input type="checkbox"/>

Activity	Time period (from... until month/year)	Name of legal entity or body	Description

### 3 RESEARCH SUPPORT

	<i>Within the past 5 years, have you, or the research entity to which you belong, received any support from a legal entity or other body with an interest in the field of activity of the expert group/sub-group in question?</i>	<b>yes</b>	<b>no</b>
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<b>3a</b>	<b>Research support, including grants, rents, sponsorships, fellowships, non-monetary support</b>	<input type="checkbox"/>	<input type="checkbox"/>
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Activity	Time period (from... until month/year)	Name of legal entity or body	Description

### 4 FINANCIAL INTERESTS

	<i>Do you have current investments in a legal entity with an interest in the field of activity of the expert group/sub-group in question, including holding of stocks and shares, and which amounts to more than 10,000 EUR per legal entity or entitling you to a voting right of 5% or more in such legal entity?</i>	<b>yes</b>	<b>no</b>
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<b>4a</b>	<b>Shares</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>4b</b>	<b>Other stock</b>	<input type="checkbox"/>	<input type="checkbox"/>

Investment	Name of legal entity	Description

## 5 INTELLECTUAL PROPERTY

	<i>Do you have any intellectual property rights that might be affected by the outcome of the work carried out by the expert group/sub-group in question?</i>	<b>yes</b>	<b>no</b>
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<b>5a</b>	<b>Patent, trademarks, or copyrights</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>5b</b>	<b>Others</b>	<input type="checkbox"/>	<input type="checkbox"/>

Intellectual property	Description

## 6 PUBLIC STATEMENTS AND POSITIONS

	<i>Within the past 5 years, have you provided any expert opinion or testimony in the field of activity of the expert group/sub-group in question, for a legal entity or other body as part of a regulatory, legislative or judicial process? Have you held an office or other position, paid or unpaid, where you represented interests or defended an opinion in the field of activity of the expert group/sub-group in question?</i>	<b>Yes</b>	<b>no</b>
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<b>6a</b>	<b>For a legal entity or other body as part of a regulatory, legislative or judicial process</b>	<input type="checkbox"/>	<input type="checkbox"/>
<b>6b</b>	<b>Represented interests or defended an opinion</b>	<input type="checkbox"/>	<input type="checkbox"/>

Activity	Time period (from... until month/year)	Name of legal entity or body	Description

**7 INTERESTS OF IMMEDIATE FAMILY MEMBERS**

		yes	no
<b>7a</b>	<b>To your knowledge, are there any interests of your immediate family members which could be seen as undermining your independence when providing advice to the Commission in the field of activity of the expert group/sub-group in question?</b>	<input type="checkbox"/>	<input type="checkbox"/>

Interests	Time period (from... until month/year)	Name of legal entity or body	Description

<b>7b</b>	If interests of your immediate family members are declared, it is your responsibility to inform them about the collection and publication of information on their interests included in the DOI and to provide them with the privacy statement attached to the guidance for filling in this DOI, and this at the latest when you file the DOI form with the Commission.
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**8 OTHER RELEVANT INFORMATION**

		yes	no
<b>8a</b>	<b>Are there any other elements that could be seen as undermining your independence when providing advice to the Commission in the field of activity of the expert group/sub-group in question?</b>	<input type="checkbox"/>	<input type="checkbox"/>

Description:

\*\*\*\*

**I hereby declare on my honour that I have read the guidance for completing this form. I also declare on my honour that the information disclosed in this form is true and complete to the best of my knowledge.**

**Should there be any change to the above information, including as regards upcoming activities, I will promptly notify the competent Commission department and complete a new DOI form describing the changes in question.**

**I am informed that my personal data are stored, processed and published by the Commission in accordance with Regulation (EC) N° 45/2001.**

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

\*\*\*\*\*

Your DOI form shall be made publicly available on the Register of Commission Expert Groups and Other Similar Entities, as long as you are appointed as member of the expert group or sub-group in a personal capacity. Technical measures will be taken to indicate to search engines that your DOI form should not appear in search results.

## ANNEX IV

### Guidance for filling in the declaration of interests (DOI) form by individuals applying to be appointed as members of expert groups or sub-groups in a personal capacity

According to the Commission's horizontal rules on expert groups ('the horizontal rules'), Commission expert groups and other similar entities are consultative bodies<sup>18</sup>, the role of which is to provide advice and expertise to the Commission and its departments in relation to a number of tasks<sup>19</sup>. Individuals appointed as members of expert groups or sub-groups in a personal capacity are due to act independently and in the public interest<sup>20</sup>.

In order to ensure the highest integrity of experts, you are requested to duly complete the DOI form. You are required to disclose any circumstances that could give rise to a conflict of interest, i.e. any situation where your interests may compromise or may reasonably be perceived to compromise your capacity to act independently and in the public interest in providing advice to the Commission, in relation to the subject of the work performed by the expert group or sub-group in question. In particular, you must disclose in this DOI form any relevant professional and financial interests.

You must also declare relevant interests of your immediate family members. If interests of your immediate family members are declared, it is your responsibility to inform them about the collection and publication of information on their interests included in this DOI form and to provide them with the privacy statement attached to this guidance, and this at the latest when you file the DOI form with the Commission.

Please submit the completed DOI form to the competent Commission department, together with your CV, as part of your application to become member of an expert group or sub-group in a personal capacity. If there is any change concerning the information provided in the form, including on upcoming activities, you must promptly inform the competent Commission departments by completing a new DOI form which describes the changes in question.

Please note that having a declared interest does not necessarily mean having a conflict of interest. Answering "Yes" to a question on this DOI form does not automatically disqualify you or limit your participation in an expert group or sub-group. The competent Commission departments will review your answers in accordance with the horizontal rules and determine whether a conflict of interest relevant to the subject at hand exists<sup>21</sup>.

Where the competent Commission departments conclude that no conflict of interest exists, you are eligible to be appointed in a personal capacity. Where the competent Commission departments conclude that your interests may compromise or be reasonably perceived to compromise your capacity to act independently and in the public interest when providing advice to the Commission in relation to the subject of the work performed by the expert group

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<sup>18</sup> C(2016) 3301, Article 2.1.

<sup>19</sup> Idem, Article 3.

<sup>20</sup> Idem, Article 7.2. (a).

<sup>21</sup> Idem, Article 11.

or sub-group in question, they shall take one of the following measures to deal with the conflict of interest detected, depending on the specific circumstances:

- You shall not be appointed in a personal capacity to the expert group or sub-group in question; in such case the competent Commission department shall inform you about the outcome of the conflict of interest assessment performed;
- You shall be appointed as member of the expert group or sub-group in a personal capacity with a number of specific restrictions: you may be excluded from certain meetings and/or activities carried out by the group, such as drafting opinions or recommendations; you may also be required to abstain from discussing certain agenda items and/or from any vote on those items;
- You shall be appointed as member of the expert group or sub-group representing a common interest shared by a number of stakeholders, after consultation of the stakeholders concerned;

Your DOI form shall be made publicly available on the Register of Commission Expert Groups and Other Similar Entities, as long as you are appointed as member of the expert group or sub-group in a personal capacity. Technical measures will be taken to indicate to search engines that your DOI form should not appear in search results.

If you decline to complete a DOI form, you are not eligible to be appointed as a member of the expert group or sub-group in question in a personal capacity.

Personal data shall be collected, processed and published by the Commission in accordance with Regulation (EC) No 45/2001.

Annex: privacy statement

**Annex V**  
**Privacy Statement**

**PROTECTION OF YOUR PERSONAL DATA**

**Table of Contents**

- 1. Introduction**
- 2. Why do we process your data?**
- 3. Which data do we collect and process?**
- 4. How long do we keep your data?**
- 5. How do we protect your data?**
- 6. Who has access to your data and to whom is it disclosed?**
- 7. What are your rights and how can you exercise them?**
- 8. Contact information**
- 9. Where to find more detailed information**

**1. Introduction**

This privacy statement explains the reason for the processing, the way we collect, handle and ensure protection of all personal data provided, how that information is used and what rights you may exercise in relation to your data (the right to access, rectify, block etc.).

The European institutions are committed to protecting and respecting your privacy. As this service/application collects and further processes personal data, Regulation (EC) N°45/2001<sup>22</sup> of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data, is applicable.

This statement concerns the Register of Commission Expert Groups and Other Similar Entities ('Register of expert groups') undertaken by the European Commission, Secretariat-General, Head of Unit B.2 (Institutional Affairs). The Register is a database containing a list of Commission expert groups and other similar entities and their sub-groups. For each expert group, the Register provides valuable information including on the Commission department which is running the group, as well as on the group members, mission and tasks. The Register also includes relevant documents which are produced and discussed by expert groups.

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<sup>22</sup> [Regulation \(EC\) N° 45/2001](#) (OJ L8 of 12/01/2001).

Personal data submitted to Commission departments as part of rejected applications are not published on the Register of expert groups. The competent Commission departments keep these data for six months and do not process them for other purposes.

## **2. Why do we process your data?**

Purpose of the processing operation: The European Commission, Secretariat-General, Head of Unit B.2 (Institutional Affairs) ('the Data Controller') collects and uses your personal information to ensure transparency on expert groups' membership and activities.

The processing and publication on the Register of expert's personal data is necessary for the performance of a task carried out in the public interest, since it increases the transparency on Commission expert groups (article 5 (a) of Regulation (EC) N° 45/2001).

As regards, in particular, the declarations of interests filled in by experts appointed in a personal capacity, the processing of personal data of these experts serves the public interest of enabling the Commission to verify the experts' independence in providing advice to the Commission. Furthermore, the public disclosure of declarations of interests allows for public scrutiny of the interests declared by experts appointed in a personal capacity, which is necessary in order to ensure public confidence in the independence of these experts. The public disclosure of declarations of interests also ensures a high degree of transparency with respect to the membership of expert groups and aims at contributing to fostering the integrity of the experts in question.

Art 27 of Regulation (EC) N° 45/2001 is not applicable.

## **3. Which data do we collect and process?**

The personal data collected and further processed may be:

- Name;
- Professional title;
- Professional profile;
- Nationality;
- Gender;
- Interest represented (only for individuals applying to be appointed as members of expert groups or sub-groups representing a common interest and for the designated representatives of organisations applying to be appointed members of expert groups or sub-groups);
- Information included in the declarations of interest (only for individuals applying to be appointed as members of expert groups or sub-groups in a personal capacity).

## **4. How long do we keep your data?**

The Data Controller only keeps the data for the time necessary to fulfil the purpose of collection or further processing.

When an individual is no longer participating in a group listed in the Register of expert groups, all personal information related to this individual is removed from the Register. The competent

Commission departments keep personal information for 5 years after the date where relevant individuals cease to participate in the work of the group.

Declarations of interests of individuals appointed as members or alternate members in a personal capacity of expert groups or sub-groups are published on the Register as long as they are members.

When a group is closed down, it remains published in the Register of expert groups for five years, with the indication 'Closed'. During such time, personal information other than the above-mentioned declarations of interests is visible on the Register.

An XML file is created daily with all the information regarding active groups. All versions of this file, showing the situation of the Register as of the day it was created, are stored in a file server for 5 years.

#### **5. How do we protect your data?**

All data in electronic format (e-mails, documents, uploaded batches of data etc.) are stored either on the servers of the European Commission or of its contractors, the operations of which abide by the European Commission's security decision of 16 August 2006 [C(2006) 3602] concerning the security of information systems used by the European Commission.

The Commission's contractors are bound by a specific contractual clause for any processing operations of your data on behalf of the Commission, and by the confidentiality obligations deriving from the transposition of Directive 95/46/CE.

#### **6. Who has access to your data and to whom is it disclosed?**

Information collected is publicly available on the Register of expert groups.

The XML files referred to in point 4 are not available neither via the internal application of the Register or the public version of the Register, and are only accessible to a reduced number of users in the System Owner and System Supplier's teams.

#### **7. What are your rights and how can you exercise them?**

According to Regulation (EC) n°45/2001, you are entitled to access your personal data and rectify and/or block it in case the data is inaccurate or incomplete.

If you do not wish to have your name published on the Register of expert groups, you may submit a request to the relevant Commission department for a derogation from publication. A derogation shall be granted where justified on compelling legitimate grounds in relation to your specific situation, in particular where disclosure of the experts' name could endanger your security or integrity.

You can exercise your rights by contacting the secretariat of the competent Commission department or in case of conflict the Data Protection Officer and if necessary the European Data Protection Supervisor using the contact information given at point 8 below.

#### **8. Contact information**

If you have comments or questions, any concerns or a complaint regarding the collection and use of

your personal data, please feel free to contact the secretariat of the competent Commission department, using the following contact information:

The Data Processor:

- DG GROW, [REDACTED]  
[REDACTED]
- E-mail [REDACTED]@ec.europa.eu

The Data Protection Officer (DPO) of the Commission: [DATA-PROTECTION-OFFICER@ec.europa.eu](mailto:DATA-PROTECTION-OFFICER@ec.europa.eu)

The European Data Protection Supervisor (EDPS): [edps@edps.europa.eu](mailto:edps@edps.europa.eu).

### **9. Where to find more detailed information?**

The Commission Data Protection Officer publishes the register of all operations processing personal data. You can access the register on the following link : <http://ec.europa.eu/dpo-register>

This specific processing has been notified to the DPO with the following reference: DPO-2194.8.