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GUIDELINES FOR PROPOSERS

Capability & Technology Demonstrator Program

Important Note

These Guidelines have been drafted solely to assist those wishing to submit Capability & Technology Demonstrator proposals to the Department of Defence for evaluation under the Capability & Technology Demonstrator Program. Whilst all reasonable care has been taken to ensure that the Guidelines accurately reflect Defence policy on Capability & Technology Demonstrators, these Guidelines are for information purposes only and the information which they contain is given without liability or responsibility on the part of Defence. These Guidelines do not constitute any legal obligation on the part of Defence including by way of a contract, a pre-contractual representation or commercial arrangement of any kind and should not be relied upon for any of these purposes.

The Capability & Technology Demonstrator Program

1. The aim of the CTD Program is to provide opportunities to demonstrate how advanced technology can provide significant enhancement in priority Defence capability areas. The CTD Program promotes a mechanism for companies and individuals to put their innovative solutions or ideas to Defence for assessment.
2. These Guidelines provide guidance to Proposers on the submission, receipt and evaluation of CTD Proposals. Further advice on the CTD Program is outlined on the CTD Program Website at: <http://www.dsto.defence.gov.au/partner-with-us/demonstrate-your-technology/about-ctd-program>
3. The submission of Proposals under the CTD Program is voluntary. Proposers are responsible for any costs incurred in the preparation and evaluation of Proposals.
4. Defence is not bound to evaluate any Proposal under the CTD Program and reserves the right to reject any Proposal without consideration. The time frames contained in the policy and these Guidelines are indicative only and will not bind Defence in any way.

Requirements for Capability and Technology Demonstrators

5. A CTD proposal must meet certain criteria in order to be considered for funding. Should an Initial Proposal be shortlisted for consideration at the Detailed Proposal stage, they will need to address specific evaluation criteria. These evaluation criteria are:
 - a. Capability Development – the degree to which the proposal has the potential to provide a new or enhanced capability to Defence and/or inform the capability development process.

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- b. Capability Transition - the likelihood of the proposal or the technology of transitioning into service.
- c. Technology and Innovation - the degree of technical innovation and its strategic importance to Defence.
- d. Industry Capability Enhancement - the degree to which Australian industry will benefit from receiving Defence assistance in demonstrating the technology.
- e. Project Management - the likelihood of the proposal being completed in accordance with the stated outcomes, schedules and costs.

In the Initial Proposal, proposers should describe how the proposal's cost is justified by the benefits gained. A contracted CTD project typically lasts 2 to 3 years.

Preparation of Capability and Technology Demonstrator Proposals

6. Proposers should ensure that Proposals are brief and concentrate on substantive material that is essential for a complete understanding of the Proposal. Detailed information such as graphs or designs should be included where necessary. Use of original or unique attachments should be avoided, as Defence will take no responsibility for lost or unreceipted Proposals.

7. Proposers should ensure that Proposals include all information that is required to permit an evaluation of the following aspects:

- a. a clear and explanatory title
- b. an explanation of the innovative concept of the Proposal;
- c. a statement on the relevance of the innovation to Defence with a clear statement of the perceived Defence requirement/current operation and how this could be better achieved;
- d. a definition of the innovative features and various potential applications of the innovation, and the perceived benefits;
- e. details of any relevant intellectual property (IP) considerations that the Proposer would apply to any successful arrangement, including licencing or ownership intentions for IP brought to the project (background) and IP developed during the project (foreground);
- f. a description of the key drivers/variables in any proposed commercial arrangements including partnerships or subcontractors, any prior disclosure agreements and, licences or commercial contracts;
- g. details on financial aspects of the Proposal;
- h. additional data such as:
 - a. any perceived management, environmental or security risks or considerations; and
 - b. any facilities and/or equipment requirements; and

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c. contact information for notifications to be given under the CTD Program.

8. Proposers are strongly encouraged to use the templates for Proposals included at Annex B to these Guidelines.

Protection of Confidential Information and Intellectual Property

9. Defence will use the information contained in Proposals for evaluation purposes only. All information provided will be treated by Defence as commercially sensitive.

10. Proposers should appropriately mark pages of Proposals in order to maximise protection of Confidential Information.

Submission of Capability and Technology Demonstrators

11. Proposals should be directed to:

The Capability and Technology Demonstrator Program Office
by email in Word format to ctdpo@dsto.defence.gov.au
or by mail
CTD Program Office, Department of Defence
F2-1-096
P O Box 7931
Canberra BC ACT 2610
Australia

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12. The CTD Program Office will maintain a central database of Proposals and will monitor and oversight the progress of all Proposals received by Defence through the selection process.

Evaluation of Capability and Technology Demonstrators

13. Proposals will be evaluated under a two-stage process by Defence personnel with appropriate skills and experience against the criteria detailed in these Guidelines. The final assessment will be endorsed by the Defence Capability Committee before Defence seeks Government approval for funding the proposal and a contract negotiation process between Defence and the Proposer can commence.

14. During the evaluation, Defence may seek clarification from Proposers. Proposers should respond to these requests in writing. 15. The first stage of proposal evaluation involves the determination of Defence sponsorship intentions through consideration of the short Initial Proposal. If Defence takes up sponsorship, the Proposer is requested to produce a Detailed Proposal following consultation with their sponsor. The Detailed Proposal is used in the second stage of proposal evaluation to determine priority and, ultimately funding.

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Initial Proposal Evaluation

16. The information sought in an Initial Proposal is detailed in the Initial Proposal template. Notes on how to complete the Template are provided at **Annex B** below.

17. All Initial Proposals are first screened to see if they meet the requirements for more detailed consideration and shortlisting by the Capability Development staff, based on capability needs, priorities and potential. The screening is conducted by the CTD Program Office, in consultation with other relevant Defence personnel.

18. Defence is open to all proposals that can enhance defence capability. However, proposers should be aware of the main areas of defence capability interest for each Round. Specific areas of interest for Round 20 are noted at Annex C. A successful Round 20 CTD proposal would not go to contract before mid 2016 and would then take on average, about 2-3 years to complete.

19. Where a Proposal is declined, the Proposer will be advised of the reasons for that assessment. Proposals that are declined can be amended and re-submitted in future annual rounds of the CTD Program.

Detailed Proposal Evaluation

20. If your Initial Proposal is assessed to justify further consideration under the Program, and is of sufficient priority to be afforded sponsorship, the Proposal may move to the next stage. The CTD Program Office will request the Proposer to prepare, with advice from a Defence Sponsor, a more detailed submission. A template for a Detailed Proposal will be provided as part of a formal Request for Proposal (RFP) package.

21. Evaluation of your Detailed Proposal will be conducted by the CTD Review Group. The CTD Review Group advises the Defence Capability Committee on the level of support, the suitability of the scope, the cost effectiveness and the acquisition strategy of each Capability and Technology Demonstrator proposal.

22. The CTD Review Group comprises senior representatives from:

- Defence Science and Technology Organisation
- representatives from the Capability development and acquisition organisations
- Strategy Group
- Other Defence Groups as required.

23. If a Proposal is selected under the CTD Program, DSTO will manage the process from negotiations to project closure with the involvement of a project sponsor, Defence users and scientific advisers as required. A Proposer should not regard the selection of a Proposal under the CTD Program as a commitment by Defence to enter into contract or a sole source procurement process with the Proposer.

25. The Proposer will be advised of the outcome of the CTD Review Group as soon as reasonably practicable. Where a Proposal is declined, the Proposer will be advised of the reasons for that assessment. Proposals that are declined can be amended and re-submitted in future rounds of the CTD Program.

Further Information

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26. Further information on the CTD Program can be obtained by contacting the Innovation Programs on (02) 6128 6488, or via email to: ctdpo@dsto.defence.gov.au

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Annex A

Code of Practice for the Handling and Evaluation of Capability and Technology Demonstrators

1. This Code of Practice is intended to ensure that Proposals submitted under the CTD Program are dealt with fairly and quickly by Defence. It does not bind Defence and should not be relied upon as part of any pre-contractual or contractual representation or basis for a commercial undertaking of any kind.
2. Provided that Proposals are lodged in accordance with the CTD Program, guidelines Defence will use its best endeavours to observe the following procedures:
 - a. An acknowledgment of receipt of all Proposals submitted under the CTD Program will be sent to the Proposer within approximately 10 working days. Defence will then evaluate the Initial Proposal, and if successful, the detailed proposal under a two-stage process comprising the CTD Review Group and the Defence Capability Committee.
 - b. All Proposals will be given equitable consideration at an appropriate level within Defence by personnel with appropriate skills and experience.
 - c. A response will be provided to the Proposer as soon as reasonably practicable.
 - d. A regime of commercial confidentiality will be maintained in respect of all information provided unless the information:
 - (1) is already in the public domain; or
 - (2) is already known to Defence and is not restricted in use; or
 - (3) is required to be disclosed by law, or statutory or portfolio duties.
 - e. Defence will have regard to representations and relevant obligations of confidentiality.
 - f. The Minister will be kept informed of major Proposals of particular interest.

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Annex B

Defence Capability and Technology Demonstrator Proposal Templates

How to use the Capability and Technology Demonstrator Templates

1. For an initial proposal, complete the initial proposal template only.
2. If sponsorship has formally been given by Defence, you will then need to complete the detailed proposal template.
3. Throughout the document, there are questions and explanatory points written in text boxes. The prompts/note boxes can be deleted from your Proposal. You should be guided by the title of each section and the questions / explanatory points in that section. For example:

Title What is the title of the proposal? The title should be concise with the key technology and/or Defence environment information in it to assist Defence in evaluation of the proposal

4. The information requested is in the shaded boxes. For example:

Title:

5. Please attach more detailed and technically complex material (such as patent specifications claims and formula, samples etc) as attachments to your proposal.
6. Please provide the information succinctly (dot points are sufficient) but avoid using terminology which is technically obscure. Please define any technical terminology that cannot be simplified in an attachment to the Proposal.
7. Upon completion, please forward the Proposal to:

The Capability and Technology Demonstrator Program Office
by email to ctdpo@dsto.defence.gov.au (preferred)
or by mail to
Defence Science and Technology Organisation
F2-1-096
P O Box 7931
Canberra BC ACT 2610

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Other Material

8. To avoid loss, any other material supplied with the Proposal must clearly identify the:

Proposer
Proposer's Address
Contact details for the Proposer
Title of the Proposal
Date

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Annex C

CAPABILITY AND TECHNOLOGY DEMONSTRATOR (CTD) ROUND 20

DEFENCE PRIORITY AREAS FOR 2014

(Please note the Priority Areas are not in priority order and CTD proposals may address ANY Defence capability area, not just those listed below).

- **Communications for Army, Navy and Air Force – this also includes computer-to-computer communications and 'Cyberspace'**
- **General situational awareness as applied to both the 'real' battlespace and virtual or Cyberspace.**
- **Force Protection capabilities, particularly for Land forces and also in Cyberspace.**
- **Logistics and National support**
- **Applications to support operational decision making**
- **Sensors / weapons applicable to complex environments**
- **Individual soldier equipment weight reduction**
- **Miniaturisation of platforms and components**
- **Robotics and unmanned systems**
- **Technologies for use on smaller Unmanned Aerial Vehicles (UAVs)**
- **Geospatial Information capabilities**
- **Counter-mine and Improvised Explosive Devices detection and neutralisation**
- **Underwater Sensors**
- **Modelling and simulation**
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