



**ISTITUTO
ITALIANO DI
TECNOLOGIA**

CLASSIFICATION POLICY FOR AGREEMENTS AND PROJECTS

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1. Aims and objectives

In pursuing its missions of promoting scientific and technological development and higher education, IIT (also “Foundation” or “Institute”) must perform two distinct types of operation:

1. **RESEARCH AGREEMENTS** to regulate external collaborative projects with public, private, national and international research institutions and agreements for higher education (principally in cooperation with academic institutions);
2. **COMPETITIVE PROJECTS** to raise external funds which may come from public, private, national, and international funding agencies or institutions.

The aim of this policy (P17) is to describe these two types of operations, and it is addressed to the following recipients (“Recipients”):

- members of organisations, committees, commissions or other such bodies set up by IIT;
- all managerial and non-managerial staff working for and on behalf of IIT;
- collaborators;
- affiliates (PhD students and researchers from institutions which have agreements in place signed with IIT).

The stipulation and management of research agreements and competitive projects include, amongst other aspects, the need to ensure a fair distribution of the cost/benefit *ratio* between IIT and its counterparts, and to prevent the results of scientific research from going forcedly to the benefit of the latter parties. For this reason, all the Recipients of P17 must:

- give preference to IIT's interests in the place of any other situation that could give rise to personal benefit, whether real or potential, for oneself or one's family members or one's business partners should these exist, in which said business partners are persons who have entrepreneurial relations with the Recipients, whether these relations have a contractual or associative nature;
- notify the Compliance Directorate by sending an email to transparency@iit.it, as specified in the Procedure for the Management of Conflicts of Interest, in the event that even just the possibility of a conflict of interest involving the persons concerned should arise.

The Compliance Directorate examines every conflict-of-interest issue and, may turn to the Foundation's Ethics Committee for an opinion on cases included in the Procedure for the Management of Conflicts of Interest.

2. Foreword and definitions

2.1 In the context of P17, agreements are classified according to their content, since this is understood to be their most significant characteristic, rather than according to their name, which may vary from one organisation to another. Agreements are therefore divided into the following categories:

- Institutional agreements, which have programmatic character and strategic relevance (for example, memoranda of understanding);
- Framework agreements, which describe in more detail the relations between the parties regarding joint research interests and possible staff exchanges; these agreements may give rise to implementation agreements (see below);

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- Implementation agreements: these stem from framework agreements and/or institutional agreements as specified in Article 3.1 and define in greater detail the collaborative scientific activities performed by the parties;
- Research agreements: autonomous agreements that identify the modes of interaction between the parties in the performance of specific and detailed scientific activities. They do not stem from higher-level documents (such as framework agreements);
- Higher education agreements: established principally for PhD training and master's theses.

In general, the above-described categories regulate collaborations that fall within the Institute's scientific and financial planning, and therefore do not require additional financial resources. In some cases, however, the opportunity for strategic collaboration with a highly innovative content arises asynchronously with respect to the annual planning. In these cases, such activities may require the allocation of additional financial resources.

2.2 Competitive projects are a fundamental tool for the Institute's competitive growth and follow a wide variety of schemes, funding mechanisms and calls for proposals, depending on the type of funding body: international public institutions (EC, US agencies, etc.), national public institutions (ministerial calls for proposals), national agencies, private organisations, and companies. Very briefly, project types can be grouped as follows:

- European projects;
- National projects;
- Projects promoted by foundations and other non-profit organisations;
- International projects.

P17 sets out the principal features of the research agreements and competitive projects entered into by the Foundation, as listed above, and defines the basic procedures for their proposal, authorisation and management. Further additions and supplements will be made to the document in the course of the Institute's activities based on the needs that may arise from time to time and in accordance with changing requirements.

3. Agreements

Institutional agreements, framework agreements, implementation agreements, research agreements and higher education agreements define the collaborative research relations between the Foundation and other public and private entities.

These types of documents regulate collaborative relations aimed at scientific, cultural, and educational exchanges or at the implementation of joint research projects, which may also include the joint laboratory as a mode of operation (see 3.2).

Regarding the categories listed in section 2.1, agreements are further subdivided into:

- 1) Institutional agreements, from which the following may derive:
 - a. implementation agreements or research agreements without financial resources or with budget-approved financial resources;
 - b. implementation agreements or research agreements requiring financial resources that have


not been previously included in the budget.

- 2) Framework agreements, from which the following may derive:
 - a. implementation agreements without financial resources or with budget-approved financial resources;
 - b. implementation agreements requiring financial resources that have not been previously included in the budget.
- 3) Research agreements, which may:
 - a. not require financial resources or with budget-approved financial resources;
 - b. require financial resources that have not been previously included in the budget.
- 4) Higher education agreements, which may:
 - a. not require financial resources or with budget-approved financial resources;
 - b. require financial resources that have not been previously included in the budget.

The management of agreements, from the preliminary investigation phase through to their conclusion, falls under the responsibility of the Research Organisation Directorate (also known as R.O.D.), which:

- 1) checks the suitability of the proposal with the Scientific Director;
- 2) is responsible for drafting and revising the text with the collaboration of the Directorates involved according to the subject matter and the area of expertise, according to the following scheme:

Directorate involved	Topics
Human Capital and Organization Directorate	Management and direction of human resources
Health and Safety Directorate	Lab safety
Legal Affairs Directorate	Verification of the legal aspects of the agreement, its compliance with clinical studies/ Clinical Investigation Plan regulations, verification of Intellectual Property aspects, verification of aspects regarding the definition of privacy roles and the processing of personal data
Administrative Directorate	Verification of accounting, tax, and administrative aspects in general
Management and Control Directorate	Confirmation of budget invariance and alignment with future plans
Compliance Directorate	Conflicts of interest (potential or real) and revision of the text in accordance with current legislation
Information and Communication Technology Directorate	IT security issues
Technical Services and Facilities Directorate	Space management and functionalisation

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The following tables summarise the approval process for each category of agreement:

A. Agreements without financial resources or with budget-approved financial resources

Institutional Agreements		Framework agreements		Research agreements	Higher education agreements		
Principal document	Implementation agreement or Research agreement	Principal document	Implementation agreement				
Approval by Scientific Director							
Regular reporting to the Executive Committee							
Signature of the Scientific Director/President		Signature of the Scientific Director					

B. Agreements with financial resources that have not been previously included in the budget

Institutional agreements	Framework agreements	Research agreements	Higher education agreements
Implementation agreement or Research agreement	Implementation agreement		
Approval by the Executive Committee			
Signature of the Scientific Director/President	Signature of the Scientific Director		

Institutional agreements: distinctive features

Subject: the institutional agreement has a programmatic nature and strategic importance. It defines the modes of collaboration with another/other organisation/organisations and the medium-long term decisions, in compliance with the contents of IIT's scientific plan. An institutional agreement identifies very broad objectives and areas of collaboration concerning one or more research programmes and one or more Research Lines/ IIT Network Centres.

Content: the institutional agreement defines the overall framework of the collaboration and refers the identification of future activities and their implementation modes to subsequent detailed agreements. These regulate, among other aspects: exchange of personnel, management and use of Intellectual Property, confidentiality, publications regime, data processing and data protection measures, health and safety at the workplace, etc...

Stakeholders: Public/private research organisations, universities, companies, national and international public authorities

Proposal: Scientific Directorate and/or Research Line and/or IIT Network Centre

Responsibility: Scientific Director

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Framework agreements: distinctive features

Subject: the framework agreement defines the modes of collaboration with another organisation/other organisations and the medium-term decisions, in compliance with the contents of IIT's scientific plan. The framework agreement describes the general rules of engagement concerning exchange of personnel, management and use of Intellectual Property, confidentiality, publications regime, data processing and data protection measures, health and safety at the workplace, etc...

Content: the framework agreement defines the general context of the collaboration and the scientific field(s) of interest and may refer to implementation agreements for details regarding the modes of implementation.

Stakeholders: Public/private research organisations, universities, companies, national and international public authorities

Proposal: Scientific Directorate and/or Research Line and/or IIT Network Centre

Responsibility: Scientific Director

Implementation agreement: distinctive features

Subject: the implementation agreement stems from the general topics set out in the relevant institutional agreement or framework agreement. It may be without financial resources, with budget-approved financial resources or may require financial resources that have not been previously included in the budget. These resources must be sourced from other allocation funds and be authorised by the Scientific Director. In the latter case, the Research Line/IIT Network Centre involved in such a project, which as such is considered a strategic opportunity, are required to define the financial resources that have not been previously included in their annual planning, bearing in mind that said resources may affect both the budget relating to the current year and those relating to future financial years.

Content: subject to the terms and conditions already specified in the institutional or framework agreement, the implementation agreement defines objectives, milestones, deliverables of joint interests, and the personnel involved. Where necessary, it also integrates some of the general stipulations already present in the institutional or framework agreement (for example, details regarding the management of Intellectual Property, personal data, health and safety at the workplace, etc...). In general, it can lay the foundations for drafting joint proposals to be submitted to national and international funding agencies and organisations (for example, European Projects, Ministerial projects, and others as described below). Stakeholders involved: public/private research organisations, universities, companies, national and international public authorities.

Proposal: Scientific Directorate and/or Research Line and/or IIT Network Centre

Responsibility: Head of Research Line/ IIT Network Centre or head of research programme

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Research Agreements: distinctive features

Subject: the research agreement consists of a document aimed at implementing a specific joint research programme in the absence of a higher-level agreement. It may be without financial resources/with budget-approved financial resources or may require financial resources that have not been previously included in the budget. In the latter case, these resources must be sourced from other allocation funds and be authorised by the Scientific Director.

Content: a research agreement comprises a joint research programme defining objectives, milestones, deliverables of joint interest, personnel involved, management and utilisation of Intellectual Property, confidentiality, publications regime, data processing and the means adopted for data protection, health and safety at the workplace, etc... In general, a research agreement can lay the foundations for drafting joint proposals to be submitted to national and international funding agencies and organisations (for example, European Projects, Ministerial projects, and others as described below).

In cases where the research agreement requires financial resources that have not been included in the budget, these are generally intended to cover items such as: personnel, consumables, the significant use of instrumentation, etc... Research agreements having these characteristics may concern cases in which IIT has a strategic interest in investing resources to acquire skills, measurements and experimental data which could not otherwise be obtained and are useful for the development of its scientific plan

Stakeholders involved: Public/private research organisations, universities, companies, national and international public authorities

Proposal: Scientific Directorate and/or Research Line and/or IIT Network Centre

Responsibility: Head of the Research Line/Network Centre or head of research programme

Higher education agreements: distinctive features

Subject: Activation of PhD scholarships.

Content: these are agreements concluded with national and international universities in specific areas of interest for IIT. Higher education agreements contain provisions concerning ownership of the results generated by the student, publication regime, confidentiality of information, compliance with the principles of Open Science, as well as the amount, and methods of payment of the scholarship awarded to students and any other provisions relevant to the doctoral programmes covered by the agreements.

Possible financial resources may be internal, in which case they may have already been approved in the budget or added to it as a consequence of a reduction of other budgeted costs, or external, based on the amount resulting from the competitive projects won by the Foundation's PIs.

Stakeholders involved: national and international universities

Proposal: Scientific Directorate and/or Research Line and/or IIT Network Centre

Responsibility: Head of the Research Line/IIT Network Centre

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Agreements regarding Joint Research Laboratories: distinctive features

“Joint research laboratories” concern collaborations differing from those initiated through the “joint laboratories with companies” as described in P28 - Industrial Liaison Policy, to which reference can be made for any necessary information.

A joint research laboratory derives from the decision on the part of the Scientific Directorate and/or Research Line and/or IIT Network Centre to set up a medium-long term scientific collaboration (in other words, not yielding immediate industrial/business results among its objectives) with national or international public/private organisations such as, but not limited to: (i) research institutes, (ii) universities and (iii) hospitals, “policlinici” (Italian for “university hospitals”) and “Istituti di Ricovero e Cura a carattere scientifico” or “IRCCS” (Italian for “Scientific Institutes for Research, Hospitalization and Healthcare”).

The minimum distinctive features of this collaboration are the following:

- IIT considers the organisation with which it intends to launch the collaboration capable of testing the products deriving from its research, and the organisation considers IIT capable of contributing to its own mission (for example, improvement of patients’ life conditions, or advancement in scientific knowledge with positive effects in the technical, industrial and labour sectors in the broadest sense of these terms);
- IIT researchers and researchers from the organisation generally work in close synergy in shared spaces on the basis of a joint scientific project;
- IIT and the organisation can make their respective equipment available to each other in the spaces that have been selected.

In terms of contractual format, these collaborations may be governed by implementation agreements stemming from framework agreements or specific research agreements, both of which may require the provision of financial resources not previously included in the budget. In this case, the necessary resources must be taken from other allocation funds and authorised by the Scientific Director.

Whatever contractual format is adopted to regulate such collaborations, it will contain references and provisions relating to the minimum distinctive features listed above, where necessary (for example: plans of the spaces, clauses regulating the loan of equipment, etc...).

In accordance with the characteristics that this form of collaboration may take on each specific occasion, reference can be made to the descriptions and tables in Chapters 2 and 3.1 of this document.

4. Competitive Projects

IIT's primary objective is to transfer the results of its technological research to the industrial sector. Furthermore, IIT has a fundraising objective to pursue to guarantee that the overall budget invested in research also includes a proportion of self-financing.

Both these objectives must be achieved by means of intense project proposal activities on the part of the scientific staff. The main types of research project that IIT staff can propose for the purposes of fundraising and competitions with research institutes/organisations are:


1. European projects;
2. national projects;
3. projects by foundations and other non-profit organisations;
4. international projects.

The management of the projects listed above falls within the Project Office's responsibility, which, according to the topic involved:

- 1) checks the suitability of the proposal with the Scientific Director;
- 2) supports the researcher in drafting the proposal.

also asking for the contribution of the following offices/Directorates:

Office/Directorate involved	Topics
Director General	Information and coordination of subordinate offices
Human Capital and Organization Directorate	Management and direction of human resources
Health and Safety Directorate	Lab safety
Legal Affairs Directorate	Legal and intellectual property aspects
Administrative Directorate	Accounting, tax, and administrative aspects in general
Management and Control Directorate	Monitoring impact on budgets and plans; checking compliance with co-financing parameters
Compliance Directorate	Conflict- of-interests cases (potential or real)

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The following table summarises the characteristics of the various types of competitive projects.

Type of project	European	National	By foundations	International
Size	medium - large	various	medium-small	medium
Co-financing	yes	yes	possible	possible
Tax Regime	institutional	institutional	institutional	institutional
Approval	Scientific Director up to 2.5 million euro; Executive Committee over 2.5 million euro	Scientific Director up to 2.5 million euro; Executive Committee over 2.5 million euro	Scientific Director up to 2.5 million euro; Executive Committee over 2.5 million euro	Scientific Director up to 2.5 million euro; Executive Committee over 2.5 million euro
Signature	Scientific Director or Director General up to 1 million euro – Scientific Director + Director General from 1 to 2.5 million euro; Scientific Director following approval by the Executive Committee for over 2.5 million euro	Scientific Director or Director General up to 1 million euro – Scientific Director + Director General from 1 to 2.5 million euro; Scientific Director following approval by the Executive Committee for over 2.5 million euro	Scientific Director or Director General up to 1 million euro – Scientific Director + Director General from 1 to 2.5 million euro; Scientific Director following approval by the Executive Committee for over 2.5 million euro	Scientific Director or Director General up to 1 million euro – Scientific Director + Director General from 1 to 2.5 million euro; Scientific Director following approval by the Executive Committee for over 2.5 million euro
Amendments to the Contract/Grant Agreement	Scientific Director or Director General following approval by the Executive Committee for budget variations exceeding 0.5 million euro	Scientific Director or Director General following approval by the Executive Committee for budget variations exceeding 0.5 million euro	Scientific Director or Director General following approval by the Executive Committee for budget variations exceeding 0.5 million euro	Scientific Director or Director General following approval by the Executive Committee for budget variations exceeding 0.5 million euro

European projects

Characteristics: These are projects that must necessarily involve participants from at least three European Union countries, and they are linked to the planning of European framework programmes through EU calls for proposals (duration 3-5 years). They fall within different categories (ranging from European projects focussed on education to others focussed on “curiosity-driven” research). They are subject to assessment by EU panels at several stages, and to financial reporting according to the budget plan approved together with the research proposal. Funding contemplates down payments and subsequent milestone payments subject to external audits. These are generally the most prestigious projects for researchers, enabling the sharing of excellent experiences, both with companies and with universities and research organisations. They are usually preceded by a Consortium Agreement (CA) signed by the partners involved, which defines the respective roles and responsibilities. As a rule, one of the partners takes on the role of coordinator.

Proposal: Research Line/Network Centres

Management: Project Office, which:

- submits to the Scientific Director’s approval proposals of significantly high economic value (above 2

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- million euros), or proposals requiring a co-funding contribution by IIT above 300k euros/year, or proposals that may deviate from the Foundation's strategic plan;
- performs the necessary assessments with the cooperation of the other competent offices;
- supports the researcher in the proposal submission phase;
- handles all subsequent stages (negotiation, conclusion of the Consortium Agreement and contract).

Responsibility and management: Project Office (and other offices involved according to subject matter)

Signature: contract, see table; Consortium Agreement: Scientific Director

National projects

Characteristics: These are projects of various economic value, with a duration from 1 to 3 years, announced by means of public calls for proposals by various Ministries and national authorities. In addition to smaller calls for proposals from the Italian Ministry of Education, University and Research, the Ministry of Health, the Ministry of Foreign Affairs and International Cooperation and the Regions, there are specific calls for proposals, in which the IIT centres located in the respective regions and the other IIT sites can participate for a variable percentage of the project cost, depending on what is stipulated in the call for proposals. Co-financing varies from 20% to 50% depending on the call. The assessment procedures for these projects depend on the funding organisation responsible, which usually uses panels of assessors, and funding is given in the form of milestone reimbursements, with project milestones subject to audit.

Participation in national projects is usually preceded by the signing of an ATS (Italian for "Associazione Temporanea di Scopo" or "Temporary Syndicate agreement") which specifies the roles and responsibilities of the participants.

Another type of national projects regards first-in competitive projects, involving public and private research organisations. These projects are subject to negotiating phases in accordance with the specific type of call for proposals (ie: call for proposals from the Ministry of Education, University and Research technology districts, and from the Ministry of Enterprises & Made in Italy). Also in this case, the considerations on co-financing and financial reporting set out above apply.

Proposal: Research Line/Network Centres.

Preparation: Project Office, which:

- submits to the Scientific Director's approval proposals of significantly high economic value (above 2 million euros), or proposals requiring a co-funding contribution by IIT above 300k euros/year, or proposals that may deviate from the Foundation's strategic plan;
- performs the necessary assessments with the cooperation of other competent offices;
- supports the researcher in the proposal submission phase;
- handles all the subsequent stages (negotiation, conclusion of the Consortium Agreement and contract).

Responsibility and management: Project Office (and other offices involved according to subject matter)

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Signature: contract, see table; *Associazione Temporanea di Scopo*, Temporary Syndicate agreement: Scientific Director, Director General or delegated managers according to the respective proxies

Projects by foundations and non-profit organisations

Characteristics: These are subject-based calls for proposals, issued annually or every two years. They can involve co-financing and are generally of medium to small amounts (approximately 100k-300k euros). Typical examples are the calls for proposals by the TELETHON Foundation or the major banking foundations (Fondazione CARIPLO, Compagnia di San Paolo, Fondazione Monte dei Paschi di Siena). In the case of joint participation with other partners, a preliminary Partnership Agreement (PA) is drafted, defining the participants' respective roles and responsibilities.

Proposal: Research Line/Network Centres

Preparation: Project Office, which:

- submits to the Scientific Director's approval proposals of significantly high economic value (above 2 million euros), or proposals requiring a co-funding contribution by IIT above 300k euros/year, or proposals that may deviate from the Foundation's strategic plan;
- performs the necessary assessments with the cooperation of the other competent offices;
- supports the researcher in the proposal submission phase;
- handles all the subsequent stages (negotiation, conclusion of the Partnership Agreement and contract).

Responsibility and management: Project Office (and other offices involved according to subject matter)

Signature: contract, see table; authorisation for submission: Scientific Director; Partnership Agreement: Scientific Director

International projects

Characteristics: these projects are financed following agreements with other international institutions. They are of medium economic value (approximately 400k-600k euros) and have a duration ranging from one to three years.

Proposal: Research Line/Network Centres

Preparation: Project Office, which:

- submits to the Scientific Director's approval proposals of significantly high economic value (above 2 million euros), or proposals requiring a co-funding contribution from IIT above 300k euros/year, or proposals that may deviate from the Foundation's strategic plan;
- performs the necessary assessments with the competent offices;
- supports the researcher in the proposal submission phase;
- handles all the subsequent stages (negotiation, conclusion of the contract).

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Responsibility and management: Project Office (and other offices involved according to subject matter)

Signature: contract, see table; proposal: Scientific Director