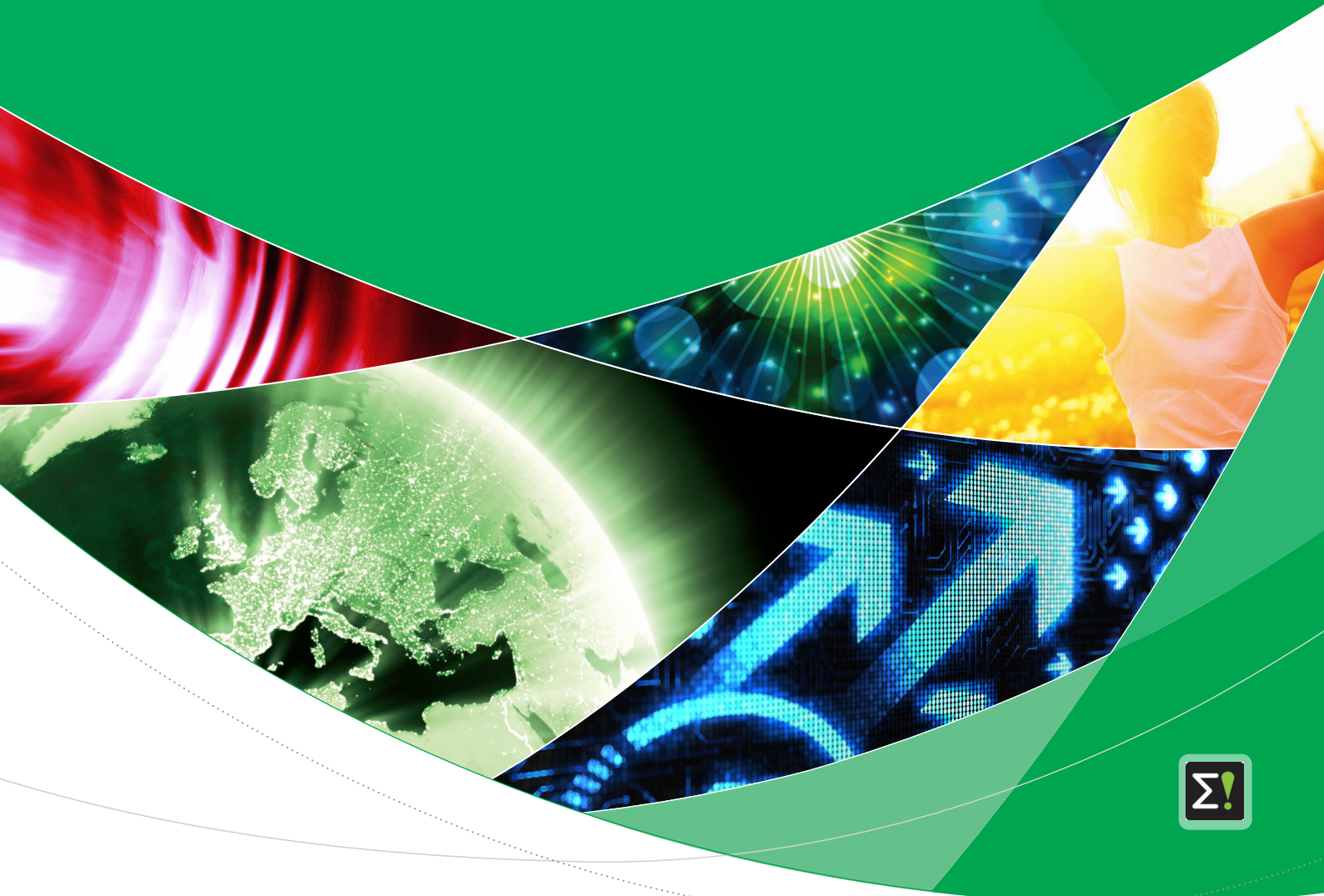# ITEA Rules and Regulations

Version 13

September 2014

ITEA3

ITEA Rules & Regulations

Version 13 – September 2014

WARNING

Make sure that you have the latest version the ITEA Rules & Regulations: check it on the ITEA website and, whenever needed, discard obsolete versions you might have stored and download the up-to-date one.

Table of Contents

1. Introduction

The goal of this document is to provide information on the ITEA processes and decision mechanisms, for both the ITEA 2 and ITEA 3 programmes.

2. The ITEA programmes

ITEA 3, the successor of ITEA & ITEA 2, supports innovative, industry-driven, pre-competitive R&D projects in the area of Software-intensive Systems & Services (SiSS), a key driver of innovation in Europe's most competitive industries, such as automotive, communications, healthcare, aerospace and consumer electronics.

From now on, "ITEA" will refer to the relevant ITEA Programme, i.e. ITEA 2 for projects submitted for an ITEA 2 Call, and ITEA 3 for projects submitted for an ITEA 3 Call, or to the actual ITEA organisation managed by the ITEA Office.

ITEA stimulates projects in an open community of large industrial players, SMEs, universities, research institutes and user organisations. As ITEA is a sub-programme of the overall EUREKA Programme, also called a EUREKA Cluster, the community is founded in Europe based on the EUREKA principles and is open to participants worldwide. ITEA 2 and ITEA 3 are eight-year programmes with annual Calls for Projects, the last ITEA 2 Call being in 2013 and the first ITEA 3 Call in September 2014.

2.1. The ITEA 3 programme schedule

Compared to the previous ITEA and ITEA 2 programmes, in the ITEA 3 Call calendar the Call has been shifted from February / March to September and the labelling of projects from December to March. The main reason for this is to accelerate the project start through a better alignment of the ITEA project labelling decisions with the national funding decision procedures.

The two-step annual call structure is maintained with Project Outlines being evaluated before Full Project Proposals are submitted.

The ITEA Call process and schedule are published on the ITEA public website and are updated for each new Call.

2.2. The ITEA website

ITEA wishes to communicate its intentions and results as much as possible to the wider public with an interest in ITEA and to the people in the ITEA community. For this purpose a website has been set up. The public part of the ITEA website (https://itea3.org) contains information about:

- ITEA in general
- companies, universities and institutes participating in ITEA
- project portfolio
- project Call information
- news & events
- publications
- press Information.

For communication with the ITEA Community, including ITEA bodies and project participants, a restricted Community website (https://itea3.org/community) has been set up to allow access to those who have registered for a MyITEA account and, in some cases, signed a dedicated Non-Disclosure Agreement. The data accessible through the ITEA Community website depends on the account access rights.

2.3. The Co-summit

Each year ITEA co-organises a Co-summit with ARTEMIS-IA. The goals of this event are to:

- inform a wider public (including Public Authorities) about ITEA's vision, strategy and (project) progress and results;
- contribute to maintaining and extending the "ITEA Community".

Participants range from project team members to special guests. The content of the Co-summit has several elements:

- guest speakers, who present views on the event theme;
- the ITEA executive team, which presents the status of the programme;
- representatives of selected projects who formally present their achievements;
- between the sessions, a continuous, full-scale exhibition of on-going projects with presentations, posters and live demonstrations;
- the prestigious annual ITEA Achievement Awards given to the best performing completed projects of the previous period.

3. Structure of ITEA

3.1. Purpose

The scope and purpose of the ITEA programmes are to stimulate and support pre-competitive R&D projects within the goals of ITEA, to be executed by the project partners and partly publicly funded.

3.2. Basic principles

- The ITEA 2 and ITEA 3 programmes are EUREKA ICT Cluster. The EUREKA rules that are applicable to the ITEA projects and partners include the following:
  - a consortium must consist of at least two different organisations from two different countries, of which one must be a EUREKA Member Country and another one either a EUREKA Member Country or a EUREKA Associated Country;
  - the Project Leader (PL) must be from an organisation established in a EUREKA Member Country or EUREKA Associated Country;
  - partners from non-EUREKA countries may participate in a Project provided all participants agree,
  - public funding is not a pre-requisite for a Project to get or keep a EUREKA label;
  - being funded is not a pre-requisite for a partner to participate in a Project;
- The ITEA programmes are industry-driven with regard to strategy, goals and management;
- The ITEA 2 programme adheres to the ITEA 2 Frame Agreement; the ITEA 3 programme adheres to the ITEA 3 Frame Agreement;
- The composition of the executive bodies reflects an appropriate mix with respect to countries, fields and levels of activity;
- The ITEA programmes are not-for-profit and financed by most of the contributors to the projects.

The ITEA programmes have no direct control over the projects performed. Technical know-how, ownership of results and responsibility for project management, execution and reporting remain with the project partners.

In the event that a project no longer complies with one or more of the basic EUREKA rules mentioned above, the PL (or the project partners) must immediately inform an ITEA Programme Coordinator. The consortium should then work out a corrective action plan and submit a Change Request accordingly. If no solution is foreseen within a reasonable time, the project consortium may decide to abandon the project; otherwise, the ITEA Office will bring the issue to the attention of the ITEA Bodies.

3.3. Tasks of the ITEA organisation

The main tasks of the organisation (Office and Bodies, see next paragraph) are:

- to create/increase awareness of the programme;
- to help set up projects[1] and continue to support them throughout their term;

---

[1] Including support in building project consortia through focused sessions at the launch of the Calls.

- to ensure rigorous quality from call to completion; and
- to monitor changes in technology and steer the technical content of the programme accordingly while maintaining strong cooperation with Public Authorities (PAs) and other EUREKA Cluster programmes.

3.4. The ITEA bodies

To achieve these tasks, a permanent ITEA Office has been established as well as three additional bodies: the Board, the Board Support Group (BSG) and the Steering Group (STG), each composed of ITEA Founding Companies (IFCs) representatives. The detailed list of IFCs can be found on the ITEA website.

All members of ITEA bodies have signed a Non-Disclosure Agreement (NDA) covering all the information they work with, related to their ITEA duties.

The different tasks of the ITEA bodies are shown in Figure 2 - The ITEA organisation

ITEA Board

- Responsible for overall strategy and coherence
- Labels project proposals
- Represents the programme to stakeholders
- Negotiates with Public Authorities
- Responsible for the ITEA Office

ITEA Board Support Group

- Supports the ITEA Board with delegated responsibilities and prepares the Board meetings
- Prepares Guidelines for the Steering Group
- Sets priorities and ranks projects for public support
- Approves project proposals and makes recommendations for labelling

ITEA Steering Group

- Evaluates Project Outlines and Full Project Proposals and recommends a selection
- Monitors projects progress by participation in project reviews
- Evaluates Change requests
- Evaluates half year Progress reports

ITEA Office (includes Chairman and Vice Chairman)

- Helps set up projects and continues to support them throughout their working period
- Issues and monitors rules
- Monitors progress
- Analyses data and reports on the programme
- Supports other ITEA bodies
- Creates/increases awareness of the programme
- Provides information and communications
- Maintains and improves ITEA websites
- Organises ITEA events
- Issues the ITEA Magazine
- Produces an annual quality report
- Proposes improvement priorities
- Proposes and executes the budget
- Executes the financial administration
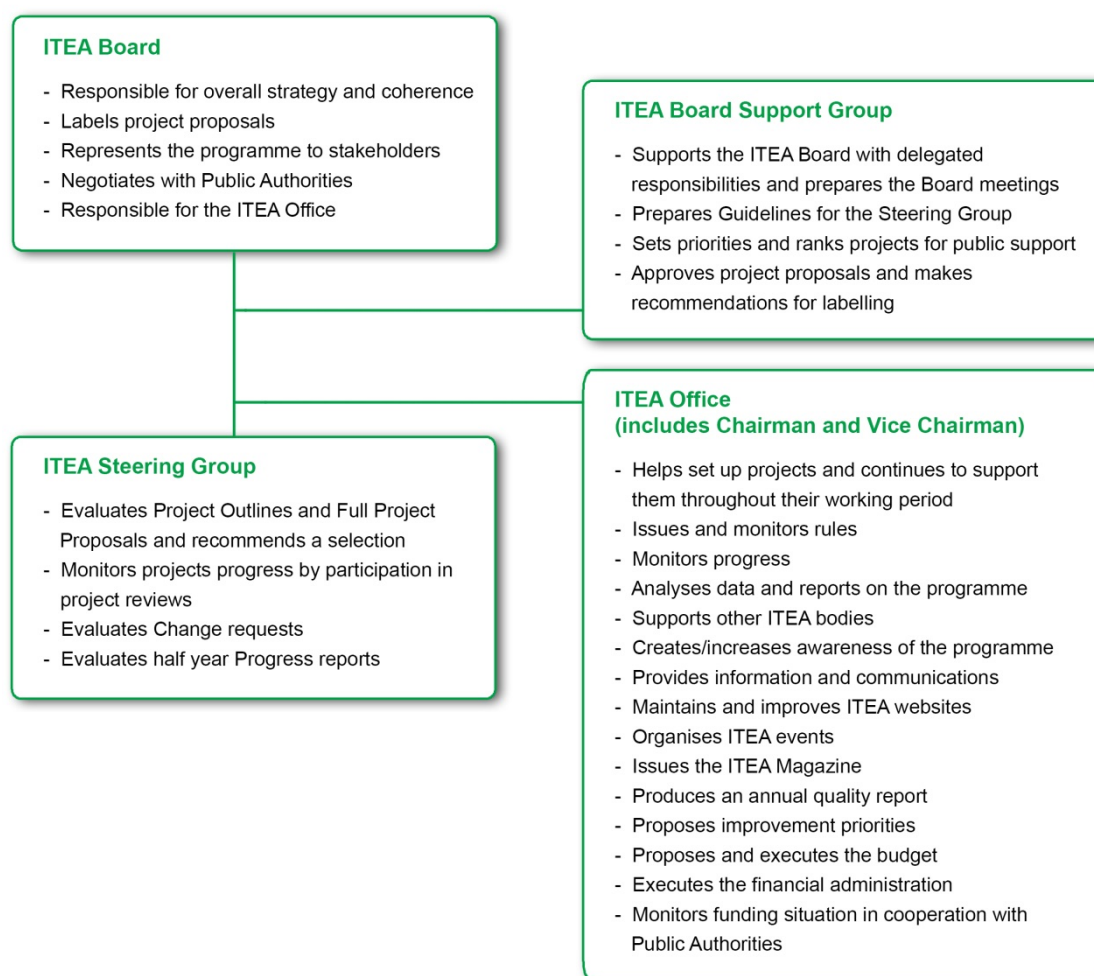- Monitors funding situation in cooperation with Public Authorities

Figure 2 - The ITEA organisation

In addition, supporting scientific committee(s) and forum(s) will be implemented when necessary.

The ITEA Office executes the office tasks for the ITEA Programmes.

4. ITEA and Public Authorities

The Public Authorities (PAs) that support ITEA harmonise and synchronise measures related to the ITEA programmes in order to ensure continuity and optimal execution of the programme.

The PAs from the main countries for ITEA organise themselves in the ITEA Directors Committee (DC) and the ITEA Authorities Committee (ITAC), which supports the ITEA Directors Committee.

The ITEA Directors Committee is the formal contact point for the ITEA Board and the ITEA Authorities Committee is the formal contact point for the Board Support Group and for communication with the ITEA Office.
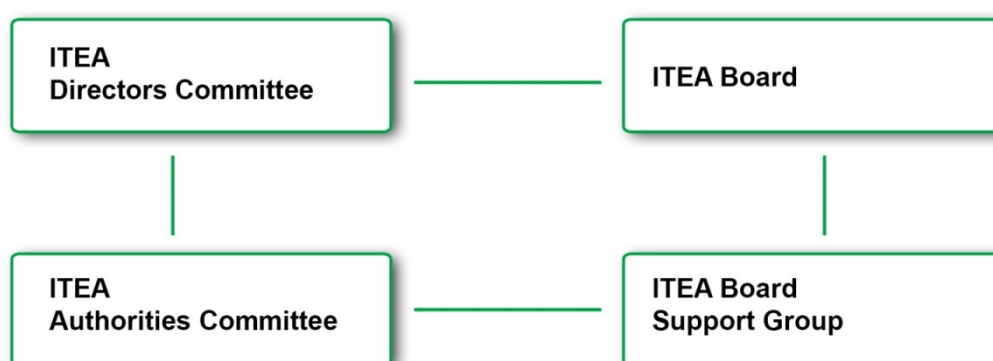

Figure 3 - Cooperation with Public Authorities

The countries involved in DC and ITAC can be found on the ITEA website.

The Directors Committee and the ITEA Board meet at least once a year and address strategic issues at the ITEA programme level.

The ITAC has a similar relationship with the ITEA Directors Committee as the ITEA Board Support Group (BSG) has with the ITEA Board. The ITAC and BSG meet approximately three times a year.

4.1. Interaction between ITEA and the Public Authorities

4.1.1. Reporting from ITEA to the Public Authorities

- ITEA was established in agreement with the respective Public Authorities (PAs); the ITEA partners can seek financial support from their respective governments.
- Part of the information collected by the ITEA organisation is needed by the PAs as a basis for decision making on starting or continuing financial support for the individual projects.
- The PAs require information at both programme and project level.
- The information at programme level is given via:

    - the ITEA Annual Report containing elements such as programme achievements and challenges, project Call progress and effort overview
    - the ITEA Magazine, which is published three times per year
    - the ITEA Community website, with up-to-date project data.

- The information at project level is based mainly on the technical reports and includes progress achieved, quantifiable results, market and/or competitive situation, cooperation aspects and a milestone trend analysis.
- The ITEA Office takes care of providing the regular programme information required by EUREKA.
- Partners from a EUREKA country outside those represented within the DC / ITAC applying for an ITEA label have to contact the EUREKA National Project Coordinator (NPC) in their country.
- The PAs are regularly informed about any relevant events concerning new or ongoing projects (such as labelling status, project change requests, etc.).

4.1.2. Coordination of public support

4.1.2.1. General

- The ITEA organisation provides the respective PAs as early as possible with information that can be used as a basis for the planning of financial support for the individual projects.
- Each respective PA supports – in close contact with the ITEA organisation – the European synchronisation of the public funding.
- The respective PAs provide the ITEA organisation with all relevant information for the planning of a coordinated start and execution of the projects.
- The respective PAs contribute to the Calls by providing special topics related to the themes of their national programmes.

4.1.2.2. Organisational aspects

- Supported by the ITAC, the Directors Committee coordinates and monitors the execution and funding of ITEA.
- According to its individual funding mechanisms, each PA may involve its own bodies or advisors.

4.1.2.3. Procedures

- New project proposals (see detailed procedure in § 5.3) are sent to the ITAC on the basis of a Project Outline (PO).
- The ITAC examines the POs and discusses the funding outlook and the potential source of national funding. The opinion of the ITAC is disclosed to the BSG in a joint meeting.
- The Office informs the Project Leaders (PLs) of the final decision of ITEA and provides the ITEA evaluation report plus the funding outlook and technical comments of the ITAC.
- The project consortia submitting a proposal that passes the Project Outline phase are invited to make a Full Project Proposal (FPP). The submitted FPPs are sent to ITAC.
- ITAC members evaluate the FPPs through their own mechanisms. The outcome of the evaluation process (ITEA as well as ITAC evaluation) and the funding outlook are discussed in a joint ITAC-BSG meeting.
- The funding outlook is not to be considered as a formal or legal commitment from the PAs for funding.

5.   From a project idea to the label

5.1. Project initiation

- The ITEA programmes are open for organisations able and willing to contribute significantly to the strategic and technological goals of ITEA and to comply with the rules of ITEA.
- A Project Proposer Handbook document, available on the ITEA public website, provides advices on how to proceed from a project idea onwards.

5.2. Calls for Projects

Every year, ITEA issues an open Call for Projects. ITEA 3 Calls open after the summer holidays and target a project start before the next summer holidays.

5.3. A two-phase Call procedure

The ITEA website clearly outlines the process of project selection: candidates have to check the public ITEA website for up-to-date processes and recommendations. To obtain funding from public authorities, partners must first get their project labelled by ITEA (but an ITEA project label does not automatically imply funding for the project!). A project proposal has to meet a number of criteria, whereby it is evident that the project is aligned to the ITEA programme.

This key process, which we call the labelling process, is carried out according to the procedure described below. The labelling procedure:

- complies with quality standards set by ITEA and worked out in agreement with PAs;
- accommodates a set of constraints due to the fact that different national authorities fund them (therefore, the content of each of the projects must be approved at the national level); and
- avoids consortia doing large amounts of work without a reasonable chance of success.

To fulfil the above-mentioned conditions, a two-phase selection procedure is used.

The **first phase** for a project consortium consists of responding to a Call for "**Project Outlines**" (PO). The PO must give a short overview of a project, mainly describing **what** the project is about (see § 5.4 for more details): concept & vision, objective, market relevance and proposed innovation.
This enables an initial selection among the different ideas presented while keeping the workload of consortia to a reduced level. At the opening of each Call, ITEA organises a two-day PO preparation event for newcomers as well as current ITEA partners in order to form consortia and/or generate preliminary outlines for projects.
The PO is used for the pre-selection of proposals, preliminary information and budget discussions between the ITEA organisation and the respective PAs and for general information exchange within the ITEA organisation.

PO evaluation:
The Programme Coordinators assign three STG members (from companies not participating in the proposal and not directly related to the consortium) to evaluate the PO (based on the selection

criteria as defined in § 5.4) and report to the STG. The STG evaluation is communicated to the Board Support Group (BSG).

In parallel, the ITEA Office sends the POs to the ITAC, which makes its own evaluation.
Once both evaluations are complete, the ITAC and the BSG exchange their opinions on the projects in a joint meeting.
Pursuant to this meeting, the BSG decides for each PO whether it is accepted or not.

The Project Leaders (PLs) are then informed about the BSG decision and receive the ITEA and PAs recommendations from the ITEA Office.

Hence, about three months after a Call has been launched, a consortium knows whether it has a reasonable chance of being labelled.

The **second phase** for the project consortia is the production of the "**Full Project Proposal**" (FPP).

The consortia of the accepted POs are invited to prepare an FPP and submit it to ITEA before a specified deadline.

The FPP must detail the project content and in particular **how** the project will be executed and managed; the information contained in the PO can be updated based on the feedback received, and needs to be submitted for the FPP as well (see § 10.3.2 for more details).

Early in the FPP preparation phase, the ITEA Office organises a briefing day in order to help potential PLs to increase their chances of success.

A time span of a few months between the PO acceptance and the FPP submission allows the consortia to fine-tune their proposal, at best taking into account advice from the relevant national PAs.

Immediately after the submission deadline, the ITEA Office sends all the FPPs to the ITAC and BSG. The FPPs are evaluated in parallel by ITEA and by the PAs. Consortia eventually receive the results of both evaluations from the ITEA Office.

FPP evaluation:
The process is similar to the one for the PO evaluation: the Programme Coordinators assign three STG members (the same as for the PO evaluation where possible and, in any case, from companies not participating in the proposal) to evaluate the FPP (based on the selection criteria as defined in § 5.4) and to report to the whole STG. This evaluation also takes into account how the mandatory recommendations made by ITEA and the PAs in the PO evaluation have been implemented. For each FPP, the STG recommendation to accept or refuse it is communicated to the BSG.

After the parallel evaluations made by the BSG on the one hand and the ITAC on the other hand, the ITAC and the BSG exchange their opinions on the projects in a joint meeting, pursuant to which the BSG makes the final recommendation to the ITEA Board, which makes the final decision to grant the ITEA label or not. The PLs are then informed about the official ITEA decision within a few days.

5.4. Criteria for the PO and FPP evaluation

(Questions to be answered in the PO/FPP document)
The PO as well as the FPP will be evaluated according to the following criteria:

- **Relevance to the ITEA programme**
- **State-of-the-art:**

  - Is the technology state-of-the-art properly described?
  - Does the proposal document how the project relates to and/or builds on the results of, and differentiates from, other (completed or running) cooperative projects?
  - Is there an adequate "Market Analysis" section (including a description of competitors)?
  - Are the market opportunities clearly documented for each partner?

- **Innovation**

  - Is the innovation described in relation to the state-of-the-art and is the project innovative enough?
  - Are the future potential products or services identified?

- **Expected impact**

  - Are the objectives clearly quantified and is it explained how results will be measured?
  - Are the concrete final results as well as the expected impact clearly described and credible?

- **Exploitation**

  - Is there an adequate description of the exploitation prospects?
  - Are the management expectations from, and involvement with, software- or system-engineering related activities clearly described for the companies that are not software tool vendors?
  - Is there an adequate description of a standardisation plan (whenever standardisation is a key factor for successful exploitation)?
  - Is there an adequate description of the dissemination plans (e.g. communication to future customers, publications, etc.)?

- **Impact on the quality of life**

  - How does the project impact the quality of life? (e.g. improved wellbeing, enhanced healthcare, increased security, etc.)

- **Consortium (key players & cooperation added value)**

  - Is the value chain properly described?
  - Is the positioning of the participants along the described value chain documented?
  - Is there sufficient R&D competence and business power in the consortium?
  - Is the mix of partner types (i.e. large industrial players, SMEs and universities or research institutes) appropriate?
  - Is the mix of countries in accordance with the EUREKA rules (see § 3.2)?
  - Is the added value of each partner's contribution described and convincing?
  - Does this consortium help the partners to achieve their goals (business and technological)?
  - For projects having software- or system-engineering related activities: are software tool vendors participating? If not, is a justification provided?

- **Project management & work plan**

  - Is there an adequate work plan?
  - Is there an adequate project management plan?
  - Are the role and contributions of each partner clearly defined?
  - In the course of the project is it planned to update/extend the state-of-the-art described in the FPP and to make its latest description a public deliverable?

- **Effort justification**
  - Is there a convincing "Rationale for Funding"?
  - Is the total effort in line with the work and the objectives to be achieved?
  - Is the effort of each partner in line with the work to be done?

- **Contacts with PAs**

  - Were the PAs contacted?

For the PO evaluation, the main focus is on the following criteria:

- **State-of-the-art & Innovation**
- **Expected impact & Exploitation**
- **Consortium (key players & added value of cooperation)**

In *addition* to the above-mentioned criteria, the following are taken into account for the FPP evaluation:

- **Project management & work plan**
- **Effort justification**
- **Contacts with PAs**

5.5. Project labelling

- The "ITEA 2 label" and the "ITEA 3 label"[2] are endorsed by EUREKA. They are the assessment by the ITEA organisation that the proposed project fits the goals of ITEA and that the applying organisations are accepted as partners in the considered ITEA programme.
- To obtain and keep an ITEA label, a project must comply with the EUREKA rules (see § 3.2).
- The ITEA label also implies that the ITEA organisation recommends the project to PAs for public funding provided it takes into account the evaluations and recommendations made by the ITEA organisation and by the respective PAs.
- Projects complying with the following criteria:

  - are focused
  - are innovative
  - address a key societal challenge (e.g. train security)
  - gather together the main European players
  - potentially have a great impact on the economy, pushing European leadership
  - and/or target strong standardisation

---

[2] From now on, "ITEA label" will refer to the "ITEA 2 label" for projects submitted to an ITEA 2 Call, and to the "ITEA 3 label" for projects submitted to an ITEA 3 Call.

are eligible for recommendation to the PAs for an accelerated funding decision process ("fast funding").

- An ITEA label, however, does not automatically imply funding for the project; each partner must apply for funding in its respective country (in some through a National Programme) and negotiate with its national Public Authority. To enable the quickest possible funding decision by the PAs, the partners have to check the right deadline or time window with the PAs of each respective country. As a consequence, the national application for funding may have to be done before labelling or even before the FPP submission (depending on the country). For instance, excellent POs may be selected, in agreement with the Public Authorities, for parallel preparation of the FPP and the national funding applications in order to arrange for fast funding shortly after the labelling decision.
- The label is given to the project – as described in the FPP – and to each applicant partner according to the list of partners in the FPP.
- With regard to the ITEA regulations, subcontractors and their contribution to projects are considered as part of their main contractors. In their costs contractors must indicate the cumulative actual costs of their subcontractors and themselves; the ITEA fees will apply to these overall costs.
- The label is conditioned by the project partners' compliance with the ITEA regulations (irrespective of the funding situation).
- The ITEA Board may decide to withdraw the label, either from the total project or from individual partners, if the conditions and criteria for granting the label are no longer fulfilled or where a project consortium or partner does not cooperate in providing the proper information to the ITEA Office.

6.   After labelling

6.1. Project Leaders Briefing Session

Once the label has been granted, the Project Leaders (PLs) are invited for a briefing session where all rules, regulations and guidelines related to executing the project are explained.

6.2. Financing and funding ITEA projects

- Each project partner is responsible for executing and financing his effort in the project.
- Each PA will decide on a partner per partner basis and according to the relevant national funding regulations to fund a project or not.
- Funding contracts are dealt with according to the national regulations (e.g. directly between each project partner and the relevant funding PA or through a national coordinating participant).
- Each project partner is responsible for providing the respective PA or national coordinating participant with all information concerning his project according to the national regulations.
- In addition to the FPP, the ITEA organisation will provide the relevant PAs with any available information necessary for preparing funding decisions.
- The ITEA organisation will regularly report to the relevant PAs on the progress and changes in the programme as well as in the individual projects.
- In addition to the programme organisation established by ITEA, each participating PA can instate its own experts for the evaluation of project proposals or ongoing projects.

6.3. National applications

- Since the submission deadline of the national application varies from country to country, each project partner (or national contact person of each consortium) should get in touch with the relevant Public Authorities contact person immediately after the Call opening to find out the deadline, the information to be gathered and/or the forms to be filled in.
- Information on the PA contact persons is available:

    -   on the Funding page of the public ITEA website for the countries' ITAC members, and
    -   on http://www.eurekanetwork.org/in-your-country ("Select your country") of the EUREKA website for the EUREKA countries that are not members of the ITAC.

- The PL must stimulate the launch and monitor the status of the national applications to be completed by each partner; the PL must inform the ITEA Office of the status of the national application.
- Partners who fail to obtain funding may decide either to participate in the project at their own cost or to leave the project; in the first case, they (or the Project Leader) should inform the ITEA Office; in the latter case, it is subject to a Change Request (see § 6.7).

6.4. Funding decisions

The PL should monitor the status of the funding decisions for each partner of the project and provide this information to the ITEA Office, per country and per partner, as soon as it is known.

6.5. Project Cooperation Agreement (PCA)

Preferably before but at the latest after the label has been granted, the PL must launch the process of getting all the partners of the project agreeing upon and signing a Project Cooperation Agreement (see § 11.5). The ITEA Office must be informed of the existence of a signed PCA, and the PL is asked to report to the Programme Coordinators the status of the PCA up to its signature.

6.6. Basic guidelines for Intellectual Property Rights (IPR)

The main IPR principles with regard to the cooperation of partners in an ITEA programme are specified in the corresponding Frame Agreement (see § 11.1). Project-specific IPR clauses can be included in the PCA.

6.7. Project statuses and start date

Projects can have the following statuses:

- **Concept:** a pre-PO proposal that has not yet been submitted. Non-submitted concepts are deleted.
- **PO submitted:** this is a temporary status that will change to one of the two following statuses once the PO has been evaluated.
- **PO accepted:** the project is then invited to submit an FPP. It is a temporary status (the status changes by the FPP submission deadline at the latest).
- **PO rejected:** a rejected PO cannot continue as it is and cannot be resubmitted, but can still be enhanced based on the evaluation feedback to generate a new project for the following Call.
- **No FPP submitted:** the project is then de facto cancelled.
- **FPP submitted:** This is a temporary status that will change to one of the two following statuses once FPP has been evaluated.
- **FPP rejected:** a rejected FPP cannot continue as it is and cannot be resubmitted, but can still be enhanced based on the evaluation feedback to generate a new project for the following Call.
- **Labelled:** the FPP has been accepted and the ITEA label granted. The consortium is then invited to check with the relevant Public Authorities for the national funding procedures and decisions. It is a temporary status, as labelled projects either start or get cancelled.
- **Running:** when a project has started and is not yet finished.
- **Completed:** when a project that has started is finished, i.e. when all partners have stopped working on the project. As a consequence, only running projects can become completed projects.
- **Cancelled:** a labelled project may still be cancelled due to withdrawal of mandatory partners (e.g. due to a negative funding decision): it is then cancelled through a cancellation Change Request. A cancelled project cannot start over again as the label is lost: if desired, a new project can be set up and submitted to the following Call.

Overall, "Labelled" and "Running" projects are considered as "active" projects. "Rejected", "Cancelled" and "Completed" projects and considered as "inactive" projects. Projects in all other states are "proposals".

The project start date is defined as the start of the international collaboration. The formal definition of the ITEA start date of a project is the international kick-off meeting, managed by a project partner with the validation of the international project coordinator, where all projects partners are invited[3].

A project should start as soon as the main contributors are ready to start, or as soon as the project leader considers the project should start. The project must last as long as at least one funded partner continues to work on the project.

Project Leaders are due to notify the ITEA Programme Coordinators of the start dates of their projects, as soon as these dates are known.

6.8. Changes in active projects

A Change Request (CR) procedure enables current plans to be changed; relevant CR guidelines and template are available on the ITEA website.

Top-down Change Requests can be made by ITEA; such changes to current plans or compulsory actions will then be formulated by an ITEA Programme Coordinator in cooperation with the STG members reviewing the project (in most cases in the Project Review Conclusions & Actions). The Programme Coordinator, together with the STG reviewers will check their implementation by the consortium.

Bottom-up Change Requests related to the content or how a labelled project is executed have to be made by means of the CR procedure, regardless of the reason or kind of change:

- The PL documents and justifies the requested changes in the CR and submits it together with the updated FPP via the ITEA Community website to the ITEA Office, after approval by the project partner(s).
- The Programme Coordinator checks the CR to see whether the change is major or minor and proceeds as described below.
- In the event of a minor change, a Programme Coordinator fills in the CR evaluation form and submits it to the STG for final approval. The change becomes effective after the Vice-chairman of ITEA has duly signed the form. The Programme Coordinator informs the PL and the PAs.
- In the event of a major change, the two assigned reviewers of the Steering Group evaluate the change in terms of trade-off between the original commitment (effort, objectives) and the new situation (effort, objectives and validity of project) and propose to either accept or reject it. The STG then either supports or rejects the proposal. If necessary, the request is sent to the BSG for a recommendation. The change becomes effective after the Vice-chairman of ITEA has duly signed the form. The ITEA Office informs the PL and the PAs.
- In the event of a rejected CR, the reason for rejecting a CR will always be given. The project partners have the right to go directly to the ITEA Board if the STG rejects their request.
- The PL must re-assess the validity of the PCA (e.g. in the case of the partners' name) and if necessary get it amended.

---

[3] The physical as well as virtual attendance of all partners is not a prerequisite for the international kick-off meeting to take place, but the formal invitation is one.

- Necessary information must be officially transmitted to the Programme Coordinators.
- In the event that a partner does not fulfil its obligations to the rest of the consortium, the rest of the consortium might remove this partner from the consortium by taking the relevant steps described in the signed PCA or in the relevant article of the ITEA model PCA where no PCA has yet been signed.

Changes are considered to be minor for:

- start/end date modifications;
- change in project/work package leaders;
- effort modifications if the change is less than 10% of the total manpower; and
- changes of partner name(s).

All other requests are considered major.

All projects changes require an update of the FPP. The ITEA Office always takes care of the necessary information flow and handling of the CR.

7.   Financial contribution

- The anticipated operational costs of the ITEA organisation are listed in an annual budget, subject to the approval of the ITEA Board.
- These costs are to be shared between all the ITEA project partners (with the exception, for ITEA 2 projects only, of universities, as defined in Article VII of the ITEA 2 Frame Agreement).
- The annual financial contribution is a fixed percentage of the planned costs as specified in the latest FPP of the labelled ITEA projects for the relevant year. The percentage is defined and approved each year by the ITEA Board. The actual costs to be declared correspond to the eligible costs as defined by the respective national Public Authorities (i.e. possibly country dependent).
- Exact rules and invoice procedures are laid down in the ITEA contribution regulations document for the relevant year, and are published on the ITEA public website (https://itea3.org/call-documents.html).

8. Communications

Each project is expected to support the ITEA Office with regard to the following:

8.1. Rule for written external communication

Since the ITEA programmes and projects receive public support, references to "ITEA 2, EUREKA cluster programme for ITEA 2 projects, and to "ITEA 3, EUREKA cluster programme" for ITEA 3 projects have to be made in all publications, exhibitions, lectures and press information related to ITEA projects.

8.2. Co-summit

Each running ITEA project is obliged to participate in the annual Co-summit; this may be limited to one or more posters for projects in a start-up phase or consist of a full-size booth with posters, a presentation and/or demonstrator(s).

8.3. Project promotion material

8.3.1. Project leaflets
The project leaflets are double-sided A4 project information sheets to be used for symposia, press and other external information. The ITEA Office provides its copywriter services to the project to write the leaflet on the basis of project documents (e.g. PO & FPP) and inputs from the Project Leader (PL). The ITEA Office is responsible for creating the layout and producing the leaflet (in coordination with the PL and the ITEA Programme Coordinators). A digital version of each leaflet is available on the ITEA public website.

8.3.1.1. Project Profile

A Project Profile leaflet is edited as soon as a Project has started.

8.3.1.2. Project Results
After the Project completion, the "Project Profile" leaflet is updated into a "Project Results" leaflet.

8.3.2. Project poster(s):
The Project posters are single-sided A0 sheets produced for the annual ITEA Co-summit. The ITEA Office provides each PL with a template with guidelines. The PL must then provide text and diagrams / pictures to the ITEA Office which is then responsible for the layout of the posters (in coordination with the Project Leader). After approval by the Project Leader, the ITEA Office takes care of the prints and the shipment of the posters.
After the Co-summit, a digital version or print is available on the ITEA public website.

8.3.3. Data sheet
A data sheet is a concise technical description of the project's output that can be re-used by new projects and will be publicly available on media such as the ITEA website.

Each PL is requested to write a project data sheet using a template provided by the ITEA Office. A first draft of the data sheet needs to be delivered to the ITEA Office one week before the final review in order for the document to be reviewed during the final review. The data sheet should then be finalised shortly after.

9.   Reporting, monitoring and reviewing

9.1. Introduction

The ITEA organisation has been installed in order to manage the ITEA programmes and to maintain their coherence. Part of this task is to maintain an effective reporting and monitoring process covering both strategic and technical aspects of ITEA.

Reporting is organised to inform the ITEA community of the progress of projects and the ITEA programmes.

- Project progress reporting is used to inform the different levels of the ITEA organisation of the progress of projects.
- Based on the information generated by the Project Progress Reports (PPR), the ITEA organisation will report to the ITEA community and in particular to the ITEA Public Authorities (members of the ITEA Directors Committee and of the ITEA Authorities Committee) on the progress of the programme and on each individual project.

Monitoring is organised to evaluate the progress of the projects and of the ITEA programmes and to readjust current plans, if necessary.

- Project monitoring is established as a regular activity in order to provide the ITEA organisation with appropriate information as well as to initiate changes in the programme or in projects, if necessary.
- Additional monitoring can be initiated either by the ITEA bodies (STG, BSG, Board and ITEA Office) or by the PAs.

The ITEA Board and the PAs will use the results of the reporting and monitoring of ITEA projects in their decisions to either maintain or withdraw the ITEA label and/or to continue or stop the funding, respectively.

Each national PA may require additional specific information (e.g. financial details, technical reports/reviews, etc.) from its project contractors according to specific national regulations.

In order to ensure the consistency of the project data available to the ITEA organisation and to the PAs, a continuous exchange of information between ITEA and the PAs takes place.

The basic rules for reporting and monitoring are laid down in the ITEA Frame Agreement[4] and the model of the Project Co-operation Agreement (PCA). Additional information is provided hereafter.

9.2. Regular reporting

Regular reporting is done at two levels:

- At project level, by means of a Project Progress Report (PPR) produced by the project;
- At programme level, by means of the ITEA Annual Report and the ITEA Magazines produced by the ITEA Office.

---

[4] ITEA 2 Frame Agreement for ITEA 2 projects, and ITEA 3 Frame Agreement for ITEA 3 projects.

9.2.1. Project Progress Report

Twice a year, each project consortium prepares, under the responsibility of its PL, a Project Progress Report (PPR).

Guidelines and Templates to be used are available on the ITEA Community website.

The **process** to evaluate PPRs entails the following steps:

1. Three STG members (where possible, those following the project and, in any case, from companies not participating in it) first evaluate the PPR independently of one another; then they consolidate their evaluation in a single PPR evaluation report.
2. This PPR evaluation report is delivered to the PL for further processing of the recommendations.
3. If felt necessary by the STG, a Project Check-up Team (two STG reviewers, the chairman of the STG and a Programme Coordinator) can be instated to review the project in more detail and propose to the PL recommendations for improvement. In the event of a failure to execute these recommendations, information for action is conveyed to the BSG.

9.3. Exceptional reporting

Major problems appearing in a project should be reported promptly by the PL to the Programme Coordinators.
The Programme Coordinators might communicate them to the Presidium and to the STG members following the project, and might make a recommendation to be first approved by them and then communicated to the PL.
In the event that such problems remain, the Presidium may decide to instate a Project Check-up Team to review the project in detail (similar to the Project Check-up Team described in the section "Regular reporting").
The conclusions of the Project Check-up Team and/or the review meeting results will be made available to the STG, BSG and Board. Should severe problems remain, which could affect the overall ITEA programmes, the ITEA Board and ITEA bodies will be informed and make a final decision.

In the event that a project is not completed, the ITEA Board may decide to:

- enforce the necessary changes by means of a Change Request,
- exclude the partner(s) responsible for the non-completion,
- withdraw the ITEA label,
- inform the PAs.

9.4. Monitoring

Monitoring in ITEA consists of the evaluation of project progress in order to re-assess existing plans and get them adjusted, if necessary. Monitoring by the ITEA organisation accompanied by representatives of the PAs is done at project level.

9.4.1. Project review

Project monitoring is the regular evaluation of project progress by means of project reviews aiming to safeguard the progress and quality of the projects and, if necessary, to initiate changes. The ITEA Office schedules the reviews throughout the year.

The project review is performed by two assigned reviewers of the Steering Group together with the Programme Coordinator and, optionally, an additional expert assigned by the PAs as an external reviewer representing all the PAs of the countries in which partners of the project are established. The chairman of the review is either ITEA's Vice-chairman or the ITEA's Chairman. The PA representative(s) will have signed a Non-Disclosure Agreement (NDA).

With respect to the project reviews the following rules apply:

- Projects are reviewed approximately one year after their formal start date. Then a project is reviewed every year, including a final review at the end of the project.
- The review is organised and facilitated by the project team and supported by a mentor, who is, in most cases, an STG member of the main participating ITEA founding company.
- Detailed guidelines are available on the ITEA Community website.

Monitoring comprises technical progress with respect to the commitments stated in the current version of the FPP. This includes checking and verifying the milestones and deliverables, the cooperation between project partners and with other projects as well as the utilisation of human resources. The utilisation of financial resources remains a matter between the individual project partners and their funding PAs.

Monitoring at this level will be based on the FPPs and PPRs, together with the available public and consortium-confidential deliverables.

The review meetings and outputs are intended to help and improve projects. Achieving that goal requires clear communication between the review teams and the project consortia. Project consortia have thus to provide deliverables (both public and private) in time, by uploading them on the ITEA Community website two weeks before the review. These deliverables will be analysed by the reviewers in order to gain a better understanding of the overall achievements of the project.

When providing project deliverables to the review team, public State-of-the-Art (SotA) documents have to be clearly identified: these deliverables will be evaluated by the assigned STG reviewers as potential entries for the ITEA Living Roadmap and the reviewers will report on them to the ITEA Office during the project review. The ITEA Office informs the PL by email when a document is selected as a new Living Roadmap entry.

Project reviews include a reviewers' private session, in which the review team summarises its feedback to the consortium: this feedback is then transferred to the PL via the review report called "Conclusions & Actions" (C&A). Consortia are invited to check this template to see which criteria are considered when reviewing projects.

The review process is described in more detail in the review guidelines document.

9.4.2. Post-project reporting

It is essential to communicate to the Public Authorities the impact of the funding effort made by their country. In many cases, this impact, in terms of exploitation as well as, sometimes, in terms of dissemination, is not visible at the time of the project completion. This is why, at the final Project Review, emphasis must be put on the exploitation prospects and dissemination plans of the project results

In addition, upon request and up to one year after the completion of the project, the PL must inform the ITEA Office of the latest developments concerning exploitation, standardisation, dissemination, patent applications and the creation of spin-offs. Public project websites must be available for at least 2 years after the project completion.

10. Key documents

10.1. General

- All documents submitted to the ITEA organisation must be written in English.
- The documents have to comply with the ITEA-specified formats.
- Unless otherwise specified, all documents have to be sent to the ITEA Office (either directly or via the ITEA websites, depending on the relevant process), which takes care of their distribution within the ITEA organisation.

10.2. Confidentiality

- Unless otherwise specified by the consortium, the State-of-the-Art dedicated text of the POs and FPPs is handled by the ITEA Office as public information.
- The members of the ITEA bodies have signed the ITEA Declaration of Non-Disclosure (DND) and have access to the PO, FPPs, CRs, PPRs and C&As of all the projects.
- Information contained in, or related to, the submitted POs, FPPs and CRs is disclosed to the PAs with the limitations described hereafter:
- Public Authorities (i.e. ITEA Authorities Committee (ITAC) members and National Project Coordinators (NPCs) in the EUREKA countries that are not members of the ITAC) have access to the full POs, FPPs and CRs if, and only if, partners of the project are established in their country.
- All Public Authorities have access to an extract of all the POs and FPPs submitted; such an extract contains the following information:

  - the acronym
  - the full-length title
  - the PO/FPP one-page summary
  - the respective countries and organisations
  - the contact information of the Project Leader.

- STG reviewers assigned to a project (e.g. for a review) have access to the public and restricted deliverables of that project. Confidentiality is ensured by the DND they have signed.
- Besides the above-mentioned cases, all the documents that are used for ITEA internal purposes and for information to EUREKA are considered as 'ITEA confidential', hence not disclosed to anybody that has not signed the ITEA Declaration of Non-Disclosure.

10.3. Information provided by the projects

The information flow from the ITEA projects to the ITEA Office and the PAs is reduced and automated as much as possible and can be grouped as follows:

10.3.1. Project Outline (PO)
Submitting a Project Outline consists of two parts:

- Provision of administrative and structural information via the ITEA Community website;
- Provision of a textual description of the content of your proposal in a "PO Annex".

The up-to-date set of the Project Outline (PO) Guidelines and Annex Template to be used is available on the ITEA website.

The PO must give a short overview of a project, mainly to describe what the project is about. The PO is used for pre-selection of proposals, preliminary information and budget discussions between the ITEA organisation and the respective PAs and for general information exchange within the ITEA organisation.

10.3.2. Full Project Proposal (FPP)
Submitting an FPP consists of two parts:
1. Provision of updated administrative information and of project structure via the ITEA Community website
2. Provision of an updated textual description of the content of your proposal in a "FPP Annex" and its upload to the ITEA Community website.

The Full Project Proposal Guidelines and Annex Template are available on the ITEA website.

The FPP must describe the project content and how the project will be executed and managed. Any relevant information contained in the PO must also be contained in the FPP. The FPP is used for the evaluation and labelling of new projects and is the reference for the reporting and monitoring procedure.

10.3.3. Change Request
A Change Request (CR) template is available on the ITEA Community website and includes the CR guidelines.
A CR must always be accompanied by a revised FPP – to be submitted via the ITEA Community website.

10.3.4. 10.3.4 Project Progress Report (PPR)
The mandatory template and guidelines are downloadable from the ITEA Community website.
The PPR is used for monitoring the progress of projects.

10.3.5. 10.3.5 Information for the ITEA Office

- Status and signature date of the Project Co-operation Agreement (PCA),
- Funding status per country and per partner and regular update on any evolution in the funding situation (national application, funding approval or rejection, partners and years considered in each funding contract, etc.).

10.4. Information provided by the ITEA Office

10.4.1. ITEA Community website areas for ITEA bodies
Dedicated areas of the ITEA Community website are available to the ITEA bodies. All members of the ITEA Board, BSG and STG have a personal login name and password, granting access to specifically defined data. Project Leaders have access to project-specific data. Up-to-date programme and project information and statistics are available via these areas.

10.4.2. ITEA Community website area for Public Authorities
The ITEA Public Authorities also have access to the ITEA Community website. Regarding their access to POs, FPPs and CRs, their access right is differentiated per country.

11. Programme and project related documents

An overview of the formal documents is shown in Figure 5.

- The ITEA contracts (Frame Agreement & Declaration of Acceptance) and a Project Cooperation Agreement define the legal framework for the cooperation within the ITEA programmes.
- Compliance with the ITEA contracts is mandatory for obtaining and keeping the ITEA label.

11.1. Frame Agreement

The Frame Agreement sets out the ITEA organisation regulations for performing the ITEA programmes, each of which has its own Frame Agreement. The Frame Agreement comprises:

- a description of the organisation
- the tasks and responsibilities of the members of the organisation
- the composition of the bodies of the organisation
- the voting procedures for the bodies of the organisation
- the regulations for the accession of further parties
- the definition of the partnership in ITEA
- Industrial Property Right regulations
- the financial regulations for the organisation
- the confidentiality rules

The ITEA Frame Agreement can be sent to anyone on request, by contacting the ITEA Office.

11.2. Non-Disclosure Agreement

Non-Disclosure Agreements (NDAs) have to be signed by:

- Members of the ITEA bodies (i.e. Board, BSG, STG and Office)
- Participants of Project Outline preparation events
- External reviewers
- Third parties participating in working groups (when requested by an ITEA Partner)
- Community members that wish to have access to the ITEA Living Roadmap

11.3. Letter of Intent

A Letter of Intent (LoI) must be sent to the ITEA Office by each participating Partner when a Project Outline is submitted (a model LoI containing instructions is available on the ITEA website, in the Call documents section).

11.4. Declaration of Acceptance

- Each partner intending to participate in an ITEA Project has to acknowledge the rules and regulations laid down in the ITEA Frame Agreement (of the project ITEA Programme) as being applicable to such Project(s) by signing the appropriate Declaration of Acceptance (DoA) and sending it to the ITEA Office within two weeks after the FPP submission deadline.

- The ITEA label is only valid when all the required DoAs have been signed (PAs may make their funding decisions depending on the availability of the DoA).
- Concerning the ITEA 2 programme, neither parties nor affiliates of an ITEA Frame Agreement do not have to sign a DoA for the corresponding programme. Partners having already signed and sent a DoA for another project (of an earlier Call or of the same Call) of the ITEA 2 Programme do not need to provide it again.
- Concerning the ITEA 3 Programme, each partner of each project has to sign an ITEA 3 DoA.
- ITEA 2 DoAs are not transferable to the ITEA 3 Programme.

11.5. Project Cooperation Agreement

All partners in each ITEA project have to sign a Project Cooperation Agreement (PCA).The PCA details the cooperation between the project partners (contractors, and if applicable, subcontractors).

For some PAs the PCA - signed by all partners - is a pre-requisite for granting a funding contract or for executing the payments. The PCA has to explain:

a. the purpose and scope of the co-operation

b. the execution of subcontracting

c. financing aspects (if applicable)

d. confidentiality regulations

The main elements of a PCA are laid down in a PCA model. When submitting an FPP, all partners have to declare to the ITEA organisation that a PCA has been or will be signed.

11.6. Other formal documents

Other formal documents (as discussed earlier)

- Project Outline (PO)
- Full Project Proposal (FPP)
- Change Request (CR)

ITEA3