

Rules and Regulations

SMART

Overview for the SMART Project Proposer



Content

1. SMART	3
1.1 Rationale.....	3
1.2 Introducing SMART	4
1.3 SMART Research and Innovation domains	4
1.4 Timeframe and Cost	4
2. Structure of the SMART Association	4
2.1 Purpose of SMART Association	4
2.2 Basic Principles	5
2.2.1 SMART Board	5
2.2.3 SMART Technical Committee.....	6
2.2.4 SMART Office	6
2.2.5 SMART General Assembly.....	6
2.2.5 SMART Public Authorities Board	6
3. Project management process	7
3.1 Project initiation	7
3.2 Project Evaluation.....	7
3.3 Project labelling	8
3.4 Changes in active SMART Projects.....	9
4. Reporting and monitoring	9
4.1 General:	9
4.2 Reporting:	9
4.3 Monitoring:.....	9
4.4 Reporting documents:	10
4.5 External communication:.....	10
5. Interaction with the Public Authorities.....	10
5.1 Reporting to the Public Authorities	10
5.2 Co-ordination of public support:	10
5.2.1 General:	10
5.2.2 Procedures.....	10
6 Regulations for financing and funding SMART Projects:.....	11
7 Code of Ethics and good Conduct/Conflict of interest.....	12
8 Program and SMART Projects related contracts.....	13
8.1 General:	13
8.2 Framework Agreement (FA):	13
8.3 Declaration of Acceptance (DoA) as per Annex B of the Framework Agreement:.....	14
8.4 Project Consortium Agreements (PCA):.....	14

SMART

9. Financial regulations for the SMART Association..... 14

10 Short description of Project documents 15

 10.1 General: 15

 10.2 Project Outline (PO):..... 15

 10.3 Full Project Proposal (FPP):..... 16

 10.4 Technical Report (TR): 16

 10.5 Change Request form (CR):..... 17

11 Procedure for getting the SMART label (action list)..... 17

ANNEX I: SMART Contribution Rules..... 18

ANNEX II: SMART Compensations..... 20

1. SMART

1.1 Rationale

Manufacturing is a vital sector, whose role is increasingly seen as fundamental towards European recovery and sustainable growth. It is a relevant Key Enabling Technology for the current shift towards a 'Competitive Sustainable Globalization', addressing major Socio-Economic and Environmental challenges of our times.

Manufacturing is the most important source of economic development and growth and its economic importance goes far beyond its contribution to GDP. Around 1 in 10 (9.8 %) of all enterprises, in the EU-27's non-financial business economy, were classified as manufacturing in 2010, a total of 2.1 million enterprises. Manufacturing accounts for 80% of the total EU exports and the EU in 2012 had a trade surplus of 365 billion € in manufactured products. The manufacturing sector employed 30 million people in 2012 and generated 1.760 billion € of value added. Of these two indicators, manufacturing was the second largest of the NACE sections within the EU-27's non-financial business ("real") economy in terms of its contribution to employment (22.6 %) and the largest contributor to non-financial business economy added value, accounting for more than one quarter of the total (26.8 %). Additionally, there are many peripheral services dependent from manufacturing which trigger additional occupation. Moreover, the manufacturing industry accounts for 80 % of private Research & Development expenditure and European industry is a world leader in several manufacturing sectors, e.g. mechanical engineering, with a 37 % global market share.

In the current economic and social worldwide context, European manufacturing companies are confronted with their competitors in developed as well as emerging and developing economies. **Manufacturing enterprises must deal with** increasing globalization and cost pressures while achieving at the same time high quality, short time-to-market, more energy and resource efficiency, higher manufacturing flexibility and product enhancement and customization. Beside this, manufacturing is required to increasingly take a **human centric approach** in which the person must be considered as a fundamental element at all levels whose knowledge and skills must continuously be updated. Moreover, manufacturing is required to be not only **competitive** but also **sustainable** from an environmental, economic and social point of view. on the European industry These systems must evolve in parallel with markets and enabling technologies, using technology as a competitive lever to achieve these goals.

The necessity to achieve substantial transformations of European manufacturing ecosystems to overcome the analysed trends, e.g., in GDP share, employment and applications, requires coordinated research, innovation and diffusion efforts deploying key technologies and enablers. The most urgent management challenge of our time is to combine innovation and market needs into one unified system. EU is a major producer of knowledge in advanced manufacturing. **Thus, the SMART Program shall attend a strong need for exploiting research outputs and enabling technologies to reach the market faster and successfully.**

Currently, the manufacturing industry is characterized by a large number of actors, mostly SMEs which are to a large extent uncoordinated; these SMEs find difficulties in getting financial resources in order to improve their product development and manufacturing systems. Consequently, SMEs are struggling in bringing their developments to the market in an efficient way.

SMART

SMART is aimed at promoting **close-to-market innovative projects**, led by **industry** and aiming at levelling the European industry in terms of innovative products, processes and services.

Mission:

The mission of SMART is to boost the competitiveness, growth and attractiveness of the European discrete manufacturing industries through the promotion of R&D&I in an open community of large industries, SMEs, RTOs, academia and user organizations.

1.2 Introducing SMART

SMART EUREKA Cluster on advanced manufacturing, is a strategic program created to boost the competitiveness, growth and attractiveness of the European discrete manufacturing industries through the promotion of R&D&I in an open community of large industries, SMEs, RTOs, academia and user organizations

SMART has developed a specific vision on how to achieve this goal on the Industrial Vision Statement (IVS). IVS establishes the basis for SMART, It describes the rationale and vision, the strategy and the implementation outline as prepared by the industry-driven team, made up of Program participants in close cooperation with national agencies dealing with research and innovation in the field of Advanced Manufacturing

1.3 SMART Research and Innovation domains

The SMART interrelated advanced manufacturing research and innovation domains, further described in the SMART living technology roadmap, will initially include:

- Advanced Manufacturing Processes
- Intelligent and Adaptive Manufacturing Systems
- Digital, Virtual and Efficient Companies
- Person-Machine Collaboration
- Sustainable Manufacturing
- Customer-based manufacturing

1.4 Timeframe and Cost

The time frame for SMART, starts with the SMART Applicant Label in June 2017 and will last up to June 2025.

2. Structure of the SMART Association

2.1 Purpose of SMART Association

“SMART Eureka Cluster International Association” has been implemented for performing the SMART cluster.

The scope and purpose of the Association is to stimulate, select, promote and co-ordinate R&D projects within the goals of SMART, to be executed by the SMART Projects’ Participants.

SMART

2.2 Basic Principles

- The SMART Program is industrially guided with regard to its strategy, goals and management.
- The SMART Association is set up according to the Frame Agreement.
- The composition of the executive bodies reflects an appropriate mixture in respect to countries, sectors and levels of activity.
- The SMART Association is an International not-for-profit association.
- The SMART Association has no direct financial control over the SMART Projects performed. Technical know-how, ownership of results and responsibility for project management, execution and reporting remain with the SMART Projects' Participants.

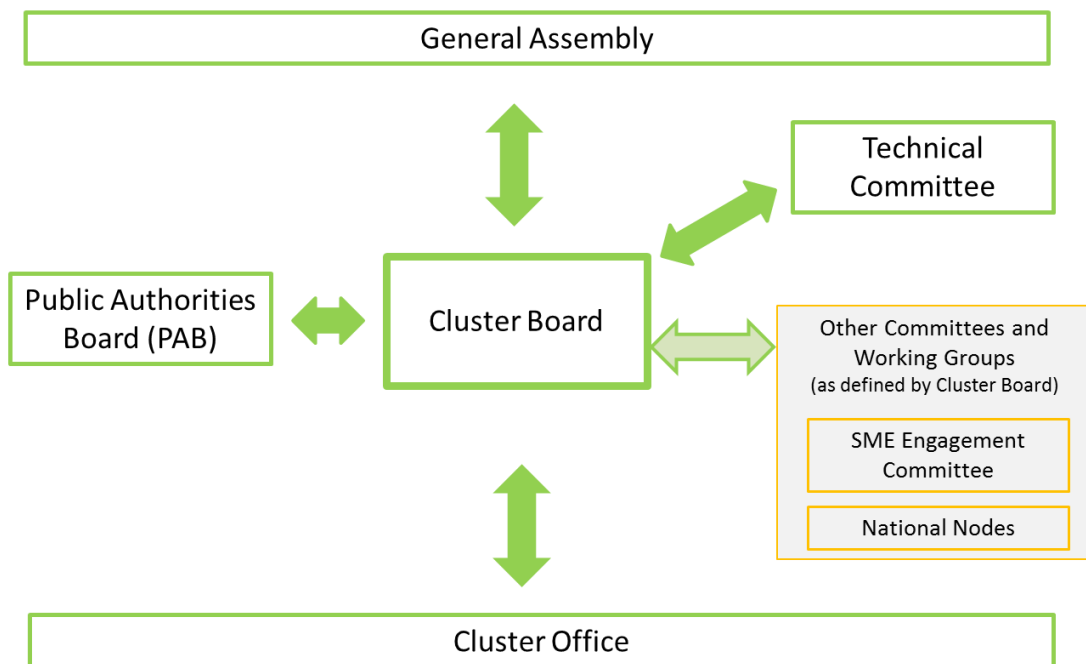


Figure 1. SMART Association Bodies.

2.2.1 SMART Board

The Cluster Board is the executive body of the cluster organisation. A cluster board of high-level manufacturing ecosystem representatives will be entrusted with the overall management of the new Cluster, being responsible for the strategy and coherence of the cluster initiative. The Board will be industry driven, with Large Companies and SME holding the majority of voting rights. The board will also include RTOs and Academia to balance the presence of the relevant actors in the manufacturing ecosystem actors. The cluster board will elect the board chairperson.

The Cluster Board will initiate and maintain very close and systematic relationships with the Public Authorities Board of the member countries. This provides a forum for information exchange about the strategies of the different countries and how they connect with the cluster activities.

SMART

The Cluster Board will be open to new members and will be periodically renovated by the General Assembly.

2.2.3 SMART Technical Committee

The Cluster Board will set up a Technical Committee as an operational support group with selected experts from industry and academia to participate in the evaluation and monitoring of projects progress. Its technical strengths and integrity are the basis for recognition of the SMART quality label. The SMART Program will conform to the current best practices within EUREKA: openness, transparency and effective avoidance of conflicts of interests.

2.2.4 SMART Office

The Program Office assists the Board in the coordination, administration and organisation of the Program. It is a central contact point and a meeting place for the whole Program organisation. The Program Office is responsible for the promotion of the Program at a general level, the management of the Program calls for Projects, reporting to the Eureka Network and especially the Eureka Secretariat. It should gather all the information regarding public funding granted to Program projects in close cooperation with the Public Authorities and make it available to the Eureka Network.

The Program Office operates under the supervision of the Cluster Board, which determines the services and missions and ensures its financial capacities to implement them. The operational costs of the Office will be paid through fees from Board Members, Program Members and/or project participants.

2.2.5 SMART General Assembly

The not-for-profit association created to run SMART will have a General Assembly of SMART members, and shall have the broadest powers within the limits defined by law. In particular, will be in charge of validating the overall management of the association carried out by the Cluster Board and the election of its members.

2.2.5 SMART Public Authorities Board

The Board may decide to ask Public Authorities of the current Member Countries to create a PAB grouping representatives (one per country) of their respective funding authorities. The role of the PAB is to be the official interface with the Board in order to exchange on the realisation of SMART and to discuss between the various countries concerned the perspectives of funding for each project which received or might receive the SMART label.

It will be the place also for all Public Authorities to harmonize their funding policies versus SMART Projects and whenever possible to smooth the funding process for SMART Project Participants. This includes also the organization whenever possible of joint dedicated calls upon the Board recommendation

SMART

3. Project management process

3.1 Project initiation

The SMART Program research and innovation domains are defined in the SMART Technology Roadmap and as such allow potential SMART Project Participants to formulate project proposals.

SMART Program is open for applying project partners who are able and willing to contribute significantly to the strategic and technical goals of SMART and to comply with the rules of SMART described in the Industrial Vision Statement document.

Project proposals may be submitted on a permanent basis, however Calls for Proposals are organised once or twice a year to streamline projects evaluation and labelling.

Project proposals are selected by the SMART Association Board, based on the principles given in the SMART Industrial Vision Statement and the Technology Roadmap agreed with the Public Authorities (basic evaluation guidelines).

The participation of a project partner applying for financial support in a SMART Project requires the willingness of the respective Public Authority from his/her country to support SMART Projects in accordance with EUREKA rules.

3.2 Project Evaluation

Project proposals are technically evaluated in two steps:

- 1) A "Project Outline" (PO) is to provide information for pre-selection. Pre-selected consortia will be then invited to prepare
- 2) A "Full Project Proposal" (FPP).

Remark: once a PO is pre-selected, participants are invited to engage discussions with their Public Authorities to assess eligibility for financial support.

The PO and FPP will be evaluated and selected according to:

- 1. Relevance to SMART Program**
- 2. Quality and efficiency of the implementation – Project planning and consortium quality**
 - Quality of the consortium
 - Added value through co-operation
 - Realistic and clearly defined project management and planning
 - Reasonable cost structure
- 3. Impact - Market and Commercialisation**
 - Market application and impact
 - Market access and risk
 - Competitive advantage
 - Clear and realistic commercialisation plan

4. Excellence - Innovation and R&D

- Degree of innovation
- New applied knowledge
- Level of Technical challenge
- Technical achievability and risk

5. Contact with NFAs

- Contact with National Funding Authorities

The evaluation and selection of project proposals takes the assessment of financial public support into account. If during the course of the project evaluation or the discussions with the Public Authorities about financial support, changes of project proposals are requested, the consortia will be informed and asked for adjusting their PO or FPP. If the funding perspective from the involved Public Authorities is negative, a project proposal will only be processed further if the concerned applying project partner has declared his willingness to perform his tasks without funding.

SMART will compensate Experts for their work in project evaluation as defined in Annex II. SMART Compensations.

3.3 Project labelling

- The SMART Label granted by the SMART Board marks the successful evaluation of a project proposal (**FPP**).
- The SMART label is the confirmation of the SMART Association that the proposed project fits to the goals of SMART and that the applying organizations are accepted as SMART Project' Participants in the SMART Program
- The SMART label is the confirmation that the SMART Association recommends the project for public funding in agreement with the "funding perspectives" provided by the concerned Public Authorities. The label is given to the project (which can then be denominated "SMART Project") - as described in the Full Project Proposal - and to each applying project partner (which can then be denominated "SMART Project Participant") according to the list of SMART Project' Participants in the Full Project Proposal (any SMART Project Participants including the Project Leader as well as any associated partners and subcontractors will have to sign a document called **Declaration of Acceptance**, being Annex B to the Framework Agreement). With regard to SMART **Regulations**, subcontractors and associated SMART Project' Participants and their contribution to SMART Projects are treated as part of their main contractors, unless they apply for funding as separate organization.
- The SMART Board gives the label for a specified period of time, which may be shorter than the proposed duration of the SMART Project (in which case the possibility of an extension of the label after an interim evaluation of the project is foreseen).
- The label is subject to the condition that the applying project partners and/or the SMART Project Participants, comply with the SMART regulations irrespective of the funding situation. A "**Declaration of Acceptance**" (being Annex B to the Framework Agreement) has to be signed by SMART Projects' Participants participating for the first time in a SMART Project.

- The SMART Board may decide to withdraw the label either from the total SMART Project or from individual SMART Project' Participant, if the conditions and criteria for giving the label are not or no longer fulfilled.

3.4 Changes in active SMART Projects

- Necessary adjustments of active SMART Projects are made by means of a **“Change Request”**.
- If the conditions for giving the SMART label or criteria based on which the evaluation has been performed have changed, a Change Request is mandatory to maintain the SMART label.
- The procedure can be started either by the SMART Association or by a SMART Project Participant and is organized by the SMART Office. It contains the following steps:
 - After agreement by the SMART Project' Participant, the project coordinator (Project Leader) sends the Change Request to the Office.
 - If the Office considers the change as "minor", the request is passed on to the Technical Committee for final decision.
 - If the change is major, the Technical Committee will pass the request to the SMART Board for final decision, together with a recommendation.
 - After approval, the Project Leader will provide the SMART Association with the updated documents (PO, FPP, and PCA, as applicable).

4. Reporting and monitoring

4.1 General:

- The reporting and monitoring procedures are installed to manage the program and to maintain its coherence.
- Part of the information created will be submitted to the Public Authorities involved in SMART and to the EUREKA Association according to their specifications.

4.2 Reporting:

- Technical reporting is used to inform the different levels of the SMART Association on the progress of SMART Projects.
- Based on the information generated by the reporting procedure, the SMART Association will report to the Public Authorities on the progress of the program and of each individual SMART Project.
- The regular reporting sequence is carried out twice a year.

4.3 Monitoring:

- SMART Association will monitor the SMART Projects on a regular basis.
- Monitoring is based on the progress reports as well as other means which may be organized by the SMART Association.
- The Technical Committee is in charge of SMART Projects monitoring.

4.4 Reporting documents:

- Technical Reports on SMART project level, to be provided by the SMART Project Leaders.
- SMART Report, to be provided by the SMART Association.

4.5 External communication:

A reference by any SMART Project' Participant to « *SMART Project, a EUREKA project* » has to be made in all publications, exhibitions, lectures and press information concerning results of any SMART Project.

5. Interaction with the Public Authorities

5.1 Reporting to the Public Authorities

- SMART EUREKA Program has been established in agreement with the involved Public Authorities (PAs) and the SMART Program Participants are seeking financial support from their respective governments.
- Part of the information collected by the SMART Association is needed by the Public Authorities as a basis for decision making on starting or continuing financial support for the individual SMART Projects.
- The SMART Office will take care of the regular program information required by EUREKA.
- The information on SMART Project level is mainly based on the Technical Reports and includes: achieved progress, quantifiable results, market and / or competitive situation, co operation aspects and a milestone trend analysis.
- The information on the SMART program level is given in the annual Program Reviews and contains the following elements: major program achievements (technical, strategic); market aspects and competitive situation; information concerning budget and resources; major changes of program goals.
- The Public Authorities are regularly informed about any relevant events concerning new or running SMART Projects (such as labeling status, SMART Project change requests etc.).

5.2 Co-ordination of public support:

5.2.1 General:

- The SMART Association provides the involved Public Authorities as early as possible with information, which can be used as a basis for the planning of financial support for individual SMART Projects.
- The involved Public Authorities provide the SMART Association with all relevant information for the planning of a coordinated start and execution of SMART Projects.

5.2.2 Procedures

SMART

- New project proposals are pre-selected by the SMART Association on the basis of Project Outlines (PO) and the POs are sent to the Public Authorities together with the evaluation results and an identification of the project priority.
- The Public Authorities examine the selected Project Outlines and discuss the funding perspectives and the potential source of funding (national or else). The opinion of the Public Authorities will be discussed with the SMART Association.
- Taking into account the comments of Public Authorities, the SMART Association selects the Project Outlines that will be invited to submit a Full Proposal.
- The SMART Association will give feedback to SMART Project' Participants on all funding relevant issues.
- The labeled Full Project Proposal will be evaluated by the concerned Public Authorities, according to their own procedures. The outcome of the evaluation process will be reported to the SMART Association together with the final funding outlook.
- The funding outlook is not to be considered as a formal or legal commitment of the Public Authorities for funding.

6 Regulations for financing and funding SMART Projects:

- SMART Project Participants are responsible for the execution and financing of their SMART Project contribution.
- SMART Project Participants expect that public funding for the execution phase of the SMART Project will be obtained after positive evaluation of the SMART Projects by the Public Authorities.
- Each Public Authority will decide in each individual case and according to their respective funding rules about the funding of a SMART Project.
- Funding contracts are dealt with directly between the SMART Project Participants and the funding Public Authority.
- Each SMART Project Participant is responsible for providing the respective Public Authority with all information concerning his SMART Project according to the relevant funding rules.
- In addition to the SMART Project Participants' information, the SMART Association will provide the participating Public Authorities at any time with all complementary available information necessary for the preparation of funding decisions.
- The SMART Association will report regularly to the participating Public Authorities on the progress and on all changes in the running program as well as the individual SMART Projects.
- In addition to the program organization established by SMART, each participating Public Authority can appoint its own experts

7 Code of Ethics and good Conduct/Conflict of interest

- Each Party remains fully independent from the others and in this regard, has absolutely no obligation to provide access to any information it holds (as described below) and no right to use any of these information held by another Party, unless otherwise agreed in the scope of a specific SMART Project through a Project Consroti Agreement (as detailed below).
- Each Participant in a SMART Project undertakes not to use, any information which is owned or controlled by another SMART Project Participant in the same fields as, or fields related to the SMART Project prior to its start. Furthermore, they undertake not to use any related patent applications, patents, registered designs, copyrights and other similar statutory rights, as well as applications for any such rights, owned or controlled by a SMART Project Participant in the same fields as, or fields related to, the SMART Project prior to its start.
- Each Participant in a SMART Project undertakes not to use any information generated by any other SMART Participant, or third party working for it, in the performance of the SMART Project, unless otherwise agreed in the scope of a specific SMART Project through a Project Consortium Agreement, as fully described below. Furthermore, they undertake not to use any related patents, registered designs, copyrights and other similar statutory rights, as well as applications for any such rights, resulting from the performance of the SMART Project, unless otherwise agreed in the Project Consortium Agreement.
- In this regard, each Participant in a SMART Project shall retain ownership of its intellectual rights. These Regulations impart no rights between the Parties or SMART Project' Participants under any information and associated intellectual property rights of a Party or SMART Project' Participant, unless otherwise agreed in a Project Consortium Agreement (PCA).
- In this regard, any access right to any other SMART Project' Participant' information and associated intellectual property rights shall be negotiated in good faith between the interested Participants in the scope of a specific SMART Project. These rights will then be fully put in place through a Project Consortium Agreement (PCA) agreed and concluded between the SMART Project' Participants of the concerned SMART Project case by case. Furthermore, each SMART Project' Participant undertakes to negotiate any access right to its information and associated intellectual property rights, at conditions at least equivalent to the most favorable conditions negotiated with other partners and or co-contractors.
- These Regulations impart absolutely no commercial exploitation right, including the sale, transfer or licensing of the intellectual property on any other Party's or SMART Project' Participants' information and associated intellectual property, unless otherwise agreed in the Project Consortium Agreement.
- Each Participant in a SMART Project shall ensure that the abovementioned rules will be applied by the other SMART Project' Participants.

8 Program and SMART Projects related contracts

8.1 General:

- The SMART contracts and guidelines (Framework Agreement and Annexes, Regulations and Project Consortium Agreement) define the legal background for the co-operation within the SMART Program.
- Funding contracts refer to the SMART contracts and are dealt with directly between SMART Project Participants and their funding Public Authority.
- The compliance of the Funding contracts with the SMART contracts and guidelines is a prerequisite for obtaining and maintaining the SMART label.

8.2 Framework Agreement (FA):

- The Framework Agreement is the private agreements, setting the rules for the SMART Association for performing the SMART Program.
- The Framework Agreement is signed by the Founding Members of the SMART Association being the initial Organizations listed in the Framework Agreement: Then, an Industrial Company wishing to become Member of the SMART Association has to make a request of membership to the Board of SMART Association and undertakes to sign Annex A of the Framework Agreement if this request is accepted. Industrial Companies and/or Research Institutes/Universities, which research and development project has received the SMART label, have to sign Annex B of the Framework Agreement and then become Project's Participants.
- The Framework Agreement comprises
 - A description of the Association and of its structure and organization.
 - Relationships and collaboration between the Members of the Association, the Projects' Participants and the members of the Technical Committee
 - Tasks and responsibilities of the Members of the Association, the Projects' Participants and of the Technical Committee members
 - Composition of the bodies of the Association
 - Voting procedures for the bodies of the Association
 - Rules for the accession of further parties
 - Code of Ethics and good Conduct rules
 - Financial rules for the Association
 - Confidentiality issues

ANNEXES to the Framework Agreement:

ANNEX A: Declaration of Accession to the Framework Agreement – Organizations with R&D activities in the field of the SMART Program willing to become Members

ANNEX B: Declaration of Acceptance to the SMART Projects' Participants (see point 8.3 below) - Non Member organizations taking part on a SMART Project.

ANNEX C: Declaration for Members of the Technical Committee

ANNEX D: SMART's bylaws

ANNEX E: Pre-fees paid by Spanish members

ANNEX F: SMART Confidentiality Undertaking

8.3 Declaration of Acceptance (DoA) as per Annex B of the Framework Agreement:

- Each non-Member SMART Project Participant has to acknowledge the rules and regulations laid down in the Framework Agreement (a copy of which is provided to each SMART Project's Participant) as being applicable to his SMART Project (s) by signing a **DoA**.
- The SMART label will only become valid after the DoA is being signed (Public Authorities may make their funding decisions dependent on the availability of the DoA).
- **Association Members do not need to sign the DoA.**

8.4 Project Consortium Agreements (PCA):

- For each SMART Project's Participant a PCA has to be signed.
- The PCA details the co-operation between the SMART Project' Participants (contractors, subcontractors and associated SMART Project' Participants – if applicable).
- For some Public Authorities the PCA - signed by all SMART Projects' Participants - is a prerequisite for granting a funding contract.
- The PCA has to explain
 - the purpose and scope of the co-operation
 - the executing of subcontracting
 - financing aspects (if applicable)
 - confidentiality regulations
 - warranty and liability rules
 - Industrial Property Rights and Licensing rules
- The main elements of a PCA are laid down in a PCA template (available from SMART website).

PCA Template

This document is only a **template document** that will need to be customized to each specific SMART Project and each specific SMART Project' Participant's situation, on a case by case basis.

All SMART Project' Participants have to communicate to the SMART Association - when submitting a Full Project Proposal - that a PCA has been or will be signed.

9. Financial regulations for the SMART Association

- The anticipated running costs of the SMART Association (as budgeted and approved by the SMART Board and validated by the General Assembly) are listed in a yearly budget subject to the approval of the SMART)
- The cost will be shared between:
 - a. the SMART Board members with fixed yearly **Membership fees**
 - b. the SMART association members with a one-time fee
 - c. the SMART Projects' Participants for whom **Project fees** are:
 - Defined, for each funded SMART Projects' Participants, as a percentage of their share of the project's total budget that is described in the Full Project Proposal.
 - To be paid to SMART on a yearly basis according to rules set by and only by funded SMART Projects' Participants.

Notes:

- Calculation rules of **Membership fees** as well as of **Project Fees** are reviewed yearly by the Board and may be adjusted according to budget needs. See **ANNEX I** for the currently applicable membership and project fees.
- The applicable **Project Fee** is the one in force for any specific Call for projects proposals

- The SMART Office Director is responsible for the budget's implementation under the Treasurer's supervision; the Office runs its business according to rules and regulations of normal trade custom.
- All other cost resulting from the participation of persons or organizations in SMART activities are to be borne by these persons or organizations.

10 Short description of Project documents

10.1 General:

- All documents submitted to the SMART Association must be written in English.
- Unless specified differently, all documents have to be sent to the SMART Office in electronic form (Word, PDF) which takes care for the SMART internal distribution.
- The documents have to comply with the required formats.
- The documents are considered as « SMART CONFIDENTIAL » (i.e. used only for SMART internal purposes and for information to EUREKA and the concerned Public Authority bodies).

10.2 Project Outline (PO):

- The PO gives a short overview on a project and is used for pre-selection of proposals, preliminary information and budget discussions between SMART Association and involved Public Authorities and for general information Exchange within the SMART Association
- The **PO** format should consist of about 10 pages containing:
 - Summary (short description of tasks, general goals, innovation aspects, technical and strategic relevance for the SMART core competence, market relevance).
 - Consortium description (list of participating organizations, which apply for being "SMART Project' Participant" in the SMART Project, R&D competence and competitiveness of the applying project partners, added value of co-operation)
 - Description of work to be performed per future SMART Project' Participant (who does what)
 - Cost information (total manpower per future SMART Project Participant and per year and total cost per future SMART Project' Participant and per year)
 - Project duration (start, end)
 - master milestones/deliverables (first major deliverables not later than 2 years after SMART Project start)
 - Organizational information (e.g. contact persons)
 - Rationale for funding
- The tasks, manpower and cost of eventual subcontractors or associated SMART Project Participant are to be included as part of the respective future SMART Project Participant, unless they intend to apply for funding as separate organizations.

SMART

10.3 Full Project Proposal (FPP):

- The FPP is used for the evaluation and labeling of new SMART Projects and is the basis for the reporting and monitoring procedure.
- The amount of information given in the FPP is adjusted to the needs of the SMART Association and the request of EUREKA as well as the involved Public Authorities. Specific information required by the individual Public Authority for funding purposes is not part of the FPP.
- The FPP has to include the following chapters:
 - Introduction
 - Project summary, technical goals/strategic goals
 - Competitive situation/market relevance
 - Relevance to SMART core competence
 - Wider benefit
 - Rationale for funding.
 - Project structure. Pictorial of the project structure down to the work-package level.
 - Workpackage description. Description of the project at task level (who does what)
 - Consortium description. List of organizations applying for being “SMART Project’ Participants “*), qualification of the applying project partners, cooperation’s details, organization and added value
 - Exploitation of results
 - Master-milestones. Milestone definitions/deliverables/dates
 - Manpower and cost. Required manpower and cost per company (and country, if applicable) and year, per work-package and year
 - List of responsible Persons. Project Leader, responsible persons at work-package level, and contact person per applying project partner including telephone-/e-mail address information. The list has to include the contractors of the project co-operation and (only) those subcontractors and associated future SMART Project’ Participants which intend to apply for funding as separate organizations.

10.4 Technical Report (TR):

Each SMART Project consortium prepares at least one a year under the responsibility of its Project Leader a technical report that is the basis for the SMART internal reporting and for the information to the Public Authorities.

The report has to contain the following chapters:

- Description of progress (quantifiable results, technical progress)
- Plus/minus-report (list of positive or negative events)
- Market and/or competitive situation (comparison of achievements or plans with respect to the competition)
- Co-operation (major events such as exchange of information or results)
- Changes in the SMART Project (short summary of approved or proposed changes in SMART Project goals, membership etc.)
- Manpower overview (list per applying project partner with manpower approved, manpower contracted and manpower spent)
- Milestone trend analysis

Final report, y cuestionario post-proyecto

10.5 Change Request form (CR):

The Change Request form is used for the description and approval procedure of a required change of a SMART Project.

The form contains the following items:

- Description of the proposed change
- Reason for the proposed change
- Impact on other SMART Projects.

11 Procedure for getting the SMART label (action list)

- Study the SMART Technologies areas ("Technology Roadmap"), Call procedure and regulations (overviewed in this document), that can be obtained from the SMART Website
- Contact the SMART Office for further information, e.g. concerning already existing SMART Projects or proposals, chances of success etc. As a minimum, send an e-mail alert to announce that a PO is being prepared.
- Prepare the Project Outline (PO) together with all applying project partners (important: use given format; all elements must be available).
- Agree with your applying project partners on the nature and scope of your cooperation (important for the formulation of the Project Consortium Agreement (PCA) and for Industrial Property Right (IPR) considerations).
- Nominate the Project Leader

General:

If not stated differently, all further points are the tasks and responsibility of the Project Leader (PL) who acts as interface between the SMART Project Participants and the SMART Association.

- Send your PO to the SMART office (check whether deadlines have to be met).
- Wait for feedback from the office (e.g. invitation to a hearing, request resulting from internal evaluation or from funding discussion with involved Public Authorities, request for preparing a Full Proposal).
- As soon as possible, collect from all participants the relevant signed **DoA**-Declaration of Acceptance (for organizations that are not already signatory of the Framework Agreement) and the signed Forms C and e-mail them to the SMART Office.
- Prepare the Full Project Proposal and send it to the office.
- Wait for (positive) labeling decision by the SMART BOARD.
- Send your formal application (for getting funding) to the concerned Public Authorities.
- Prepare yourself for providing any "specific" information required by your funding Public Authority (the requirements differ from country to country and are not under the SMART Association's jurisdiction).
- After having received the SMART label, be prepared to:
 - Report on progress
 - Ask for approval of SMART Project changes if and when required
 - Respond to financial requests from the SMART Association (see relevant paragraphs in the "regulations"),
 - Respond to contributing to communication events to advertise (as need be) for the results of your project.

ANNEX I: SMART Contribution Rules

According to Article 3 of the SMART Framework Agreements, all costs covered by the approved SMART budget will be borne by all SMART Partners, than include members of the Associations (through membership fees) and project participants (through project participants fees).

This document describes the detailed SMART contribution rules as approved by the SMART Board in its meeting of 28 September 2017.

Validity: starting 28 September 2017.

SMART Membership

Entrance fee to be paid by all the Members of the Association according to the following criteria:

- SMEs companies (following the definition given by COMMISSION SMEs companies (following the definition given by EU Recommendation 2003/361): 2.000€
- Medium capitalization (those companies with less than 2.000 employees in its corporate group, according to the definition of partner enterprise and linked enterprise given by EU Recommendation 2003/361): 4.000-€
- Large companies (those companies that can't be consider as SMEs or medium capitalization according to the previous definitions): 5.000-€
- Others (Universities/RTOs/Associations, etc.): 3.000-€

Annual fee to be paid by all the Board members according to the following criteria:

- SMEs companies (following the definition given by EU Recommendation 2003/361): 4.000€.
- Medium capitalization (those companies with less than 2.000 employees in its corporate group, according to the definition of partner enterprise and linked enterprise given by EU Recommendation 2003/361): 8.000-€
- Large companies (those companies that can't be consider as SMEs or medium capitalization according to the previous definitions): 10.000-€
- Others (Universities/RTOs/Associations, etc.): 6.000-€

Invoicing procedure for project participants

For members, invoice will be issued after the formal request by the organisation willing to become member of the association, and shall be fully paid to become member.

For board members, annual date for invoicing will be established by the board for those being Board members at 1st January of each year.

SMART Project participants

Responsibilities

1. The technical contacts of the project partners are responsible for providing the correct planned cost figures to the SMART Office, for their respective organisations and according to their respective national funding contracts (if any).
2. The project leader is responsible for submitting a Change Request (CR) before the next invoice round, in the case where project partners have indicated that they have revised the planned cost figures.
3. The SMART Office is responsible for calculating and invoicing the **contribution** to be paid by each SMART project partner.
4. The SMART Board is responsible for determining and approving the contribution rules and the annual **SMART contribution rate**.

SMART Contributions

The SMART contribution due per partner is 1.5 % of the annual budget, as approved by the NFAs in their funding contracts with the partner.

Exempted from contribution are:

- a. Partners for whom public funding has been rejected;
- b. Partners that decided to participate at own costs without applying for public funding for the year.

Invoicing procedure for project participants

1. The SMART Office invoices the contribution to each project partner annually. The invoicing will be sent after the the confirmation of the funding from their National Funding Agency. Invoices will be payable within 30 days.
2. Changes to planned costs are taken into account only if reported to the SMART Office via a formal Change Request (CR). Please note that if a funding approval has to be renewed during the project duration, the invoicing will continue based on the figures defined in the latest Full Project Proposal. For changes to the planned costs also the rules as defined in chapter 3.4 of the Rules & Regulations are applicable.
3. No credit notes will be issued after invoicing to correct changes in costs; corrections will be made in the next invoicing round: partners are due to pay the invoices they receive. For exceptional circumstances only, a credit note may be requested and considered.
4. Exceptions:
 - No invoice will be issued to the project partner before project start or before funding has been approved by the relevant Public Authorities.

SMART

6. Each contribution invoice consists of:

- A full instalment of the annual contribution;
- A possible correction for the contribution due up to the current invoice period reflecting the latest Full Project Proposal.

ANNEX II: SMART Compensations

The compensations paid for expert' workload (in project avaluation) are as follows_

- 225€ per project for experts evaluators at PO level
- 450€ per project for experts evaluators at FPP level

Each Expert is entitled to the above mentioned amounts per Expert Report submitted within the designated time limit and which is of satisfactory quality.

The experts will have three possibilities for reimbursement:

- The expert may submit an invoice for the assessment services provided. In this case, he can be reimbursed directly, meaning that he should send an invoice to the SMART Office.
- The expert finds an agreement with his employer company. In this case, the expert can't be reimbursed directly and his company should send an invoice to the SMART Office.
- The expert is hired by a bearing company. In this case, the expert can't be reimbursed directly and the bearing company should send an invoice to the SMART Office.