Guidelines of the prostep ivip Association

Version 2.8, Edition: 4.10.2023
Guidelines of the prostep ivip Association

This document describes the organizational structures and measures that facilitate fulfilling our mission, namely the development of innovative approaches to solving problems and modern standards for product data management and virtual product creation.

The paradigm of the prostep ivip Association is as follows:

- The members of the association develop ideas for solutions to problems and contribute actively to their realization.
- The association, for its part, supports these active members in their endeavor and provides them with a platform of like-minded people.

This document is intended to provide an overview of how the technical work performed by the prostep ivip Association is organized and handled, and how this work is structured.

Because we strive for continual improvement, this document should be regarded as a living document. Major changes will be incorporated in a new version of this document, which will be made available in the member-only section of the prostep ivip Association website.
Appendix C: Processes involved in the association's work

7. Communication tools
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1. Bodies and roles in the prostep ivip Association

Guidelines of the prostep ivip Association
1. Bodies and roles in the prostep ivip Association

The following is a description of the main bodies in the prostep ivip Association and of certain individuals and the role that they play within the association.

**Members:**

The members of the association are grouped as follows:

- System users (Member Group 1)
- System vendors and software companies (Member Group 2)
- Research institutes and other organizations (Member Group 3)

All members are entitled to information about the work performed by the association. This does not include the disclosure of business secrets to third parties. Members have the right to submit requests to the board, Assembly of Members and, in particular, the technical steering committee (TSC). Furthermore, each and every member has the right to avail himself of all the privileges and perks inherent to membership in the association.

All members are obligated to support the association in fulfilling its duties within the framework of the Articles of Association. There is no obligation to provide special services.

**Board:**

The board conducts the business of the association within the framework of the Articles of Association and the resolutions passed by the Assembly of Members. Its primary function is to allocate funds within the framework of the approved annual budget. The board meets at regular intervals, but no less than once per calendar year.

The chairman of the technical steering committee (TSC) attends at least one board meeting per calendar year.

**Administrative Office of the prostep ivip Association**

The association maintains an administrative office that is charged with managing day-to-day business.

The office manager and the manager of the technical program of the association report to the board. They attend the meetings of the board in an advisory capacity.

The manager of the technical program is responsible for providing advice and support relating to technical and budget-related matters. The association's secretariat is responsible for providing support with organizational matters.

In order to ensure optimum support on the part of the association's administrative office, meetings relating to the work being carried out by the association should be held at the same location as the administrative office.

**Technical steering committee (TSC):**

The technical steering committee is directly responsible to the board. The TSC elects a chairman and deputy chairman from among its members every two years. The TSC is comprised of the project chairmen. Participation of other persons in the TSC must be agreed by the TSC chairman. As a matter of principle, the continued representation of association members (companies, institutes, etc) in the TSC is desired.

The TSC is responsible for managing the association’s technical work program. It can make decisions within the framework of its budget.

The TSC assumes responsibility for the following:

- identification and recommendation of future project topics / topic scouting
supervision and harmonization of all the technical work performed by the association
- decisions regarding the execution of a project on the basis of the respective project plan
- appointment of project chairmen
- allocation of funds
- decision regarding the exemption of individual project partners from the consortial fee at the request of the project group in question
- monitoring project progress and achievement of the project goals
- decisions relating to the conclusion of a project and further utilization of the results
- responsibility for the technical program vis-à-vis the board

The chairman of the TSC is responsible for reporting to the board.

The manager of the technical program of the prostep ivip Association provides the TSC chairman with support in fulfilling his/her duties.

**Manager of the technical program of the prostep ivip Association:**

The manager of the technical program is the primary contact person with regard to the TSC. He/she acts as coordinator for the TSC. His/her duties include:

- administrative support for the TSC
- active coordination and monitoring of all of the association’s technical activities
- reporting to the board
- fiduciary management and supervision of the TSC budget
- handling of payment transactions
- compliance with the association’s anti-trust regulations

**Project chairman:**

Each project requires at least one chairman from a user company.

The project chairman is chosen by the project group and appointed by the TSC. He/she assumes responsibility for managing the project and represents the interests and results of the project group vis-à-vis the TSC. The project chairman reports to the manager of the technical program of the prostep ivip Association. The project coordinator provides the project chairman with support in carrying out his/her duties. These duties include:

- project planning
- responsibility for the project plan, which is coordinated with the TSC
- supervision of project resources (e.g. approving offers and invoices)
- coordination and monitoring of milestones
- responsibility for the progress of the project and its results vis-à-vis the TSC

**Project coordinator:**

The project coordinator is chosen by the project group and is charged with coordinating the project by the prostep ivip Association. He/she works closely with the manager of the technical program of the prostep ivip Association. As a rule, the duties of the project coordinator comprise:

- detailed project planning
- administrative support for the project work
- reporting to the project chairman
Project Steering Committee (PSC):

The project steering committee defines the mission and objectives, work schedule and budget of a project and monitors the progress of the project.

If a project fee is levied, the PSC comprises the members of a project who contribute to paying this fee (project partners). Each project partner names a person who is responsible for the project (also in combination with a technical contact person) and represents the partner's interests in the PSC. The project chairman assumes the role of chairman of the PSC and assumes responsibility vis-à-vis the TSC.

The project chairman and all the consortial partners are eligible to vote at the PSC meetings. Not entitled to vote are project partners who do not contribute to projects (e.g. associated members) and who are not expressly authorized by the project group and the association's administrative office to do so (mandate with exact description of the tasks to be performed).

The PSC decides whether or not it is possible for project partners to be represented by commissioned service providers. The PSC has the option of proposing project partners to the TSC who are to be exempted from financial participation in the project. This requires a unanimous decision by the PSC.

The tasks performed by the PSC comprise:

- securing results and milestones
- releasing results and monitoring milestones
- public relations work
- decisions regarding the commissioning of service providers and acceptance of the work performed
- definition of whether or not, and the extent to which, non-voting members can participate in the project group

Furthermore, the PSC assumes responsibility for harmonizing the project results with those of other association projects and with the work performed by other organizations, bodies, institutions, etc. if appropriate points of contact exist.

If only partners who are eligible to vote participate in a project, the duties performed by the PSC can be performed within the framework of regular project meetings and workshops. In this case, separate PSC meetings are not necessary.

If no project fee is levied, the project chairman assumes responsibility for the duties normally performed by the PSC.
2. Anti-trust law and the prostep ivip Association

Prostep ivip is committed to acting lawfully and conducts its work in keeping with German and European anti-trust law. Therefore, the prostep ivip Association would like to provide its bodies, members and employees with information relating to this matter in the following sections. It is in the interest of the prostep ivip Association and its members that the points mentioned below be observed at all times so that questionable behavior with regard to anti-trust law can be avoided from the outset. The following sections are intended to provide members and employees of the prostep ivip Association with security and serve as an orientation guide. It therefore includes regulations pertaining to permitted and prohibited topics for association meetings and recommendations by the association.

It is mandatory that everyone involved with the prostep ivip Association comply with these regulations, thus protecting both the association and its members.

2.1. General information about anti-trust law

Anti-trust law is intended to fight all types of restraints placed by competitors.

In Germany, the ban on cartels stems from § 1 of the law against the restraint of competition (German: Gesetz gegen Wettbewerbsbeschränkungen GWB)). According to this paragraph, all agreements between companies, all decisions by associations of companies and all concerted practices which are intended to or have the effect of preventing, restricting or distorting competition are prohibited. In addition, the European ban on cartels applies if the practices mentioned in §1 GWB are liable to affect trade between member states (Art. 101 of the TFEU).

This means that, on the one hand, anti-trust law prohibits agreements regarding prices, terms and conditions, etc. However, this presupposes implied and in particular non-written declarations. An agreement can also be made by means of conduct from which the intention may be implied.

On the other hand, in addition to agreements, anti-trust law also prohibits what is referred to as concerted practices by companies that have a similar result. This section on anti-trust law cannot, however, do justice to the overall complexity of anti-trust legislation. If questions arise regarding points of detail, it may be necessary to make a more detailed legal evaluation.

2.2. Topics for / organization of project group meetings

2.2.1. Permitted topics for a project group meeting

Companies can exchange information related to their respective topic within the framework of a project. This includes:

- As a rule, information about business expectations for the company as a whole, the entire range of products and other aggregated business areas that do not allow any conclusions to be drawn about the market position of individual products.

- General economic data.

- Currently proposed legislation and its impact on the member companies as a whole.

- Discussions about lobbying activities being carried out by the prostep ivip Association.

- Benchmarking activities (as long as, for example, data is freely available on the market, data does not relate to products and market behavior, information only relates to internal processes or environmental standards).

- Development of an overview of the industry.

- General exchange of data that is freely available (e.g. on the Internet or from business reports published by member companies).
2.2.2. **Prohibited topics for a project**

Within the framework of a project, companies are not permitted to exchange information on any topics that violate anti-trust law and so called "secret competition" (e.g. invitations to tender) or which involve internal company information or data.

This includes in particular:

- Information or agreements about prices, price components, discounts, price strategies and calculations as well as planned price changes.
- Delivery and payment conditions relating to contracts with third parties.
- Information about business strategies and market behavior.
- Information about profits, profit margins, market shares and planned investments insofar as this information is not public.
- Information about internal research and development projects.
- Coordination of offers vis-à-vis third parties, allocation of markets or supply sources geographically or with regard to personnel, as well as explicit or tacit agreements regarding the boycott of certain companies and blocking deliveries/supplies to these companies.

2.2.3. **Preparation and execution of project group meetings**

The chairs of the project group meetings send out an official invitation to the meeting in good time and in coordination with the administrative office of the prostep ivip Association. An agenda that is as detailed as possible is to be included with the invitation. The members of the administrative office of the prostep ivip Association provide the chairs of the project group meetings with support, ensuring that the agenda and material for the meetings is clearly and unambiguously formulated and that they do not contain any items that may be of concern with regard to anti-trust law. If there is any doubt (see section 2.1, paragraph 4), the manager of the prostep ivip Association’s administrative office is available for clarification or correction. Either the office manager or the manager of the technical program should be present at any prostep ivip Association/project group meeting to provide support to the chair of the respective meeting.

The chair of a meeting ensures that the formal meeting procedure (with agenda and minutes) is duly adhered to. At the beginning of a meeting, the chair instructs those attending that all conduct during the meeting must comply with anti-trust law. If meetings with the same participants are held regularly, this instruction is not given at every meeting but at appropriate intervals.

The chair of a meeting prevents any violation of anti-trust law by intervening during the course of the meeting. The employees of the prostep ivip Association provide the chair of the meeting with support by ensuring that no changes are made to the agenda. If, however, a change to the agenda is desired by a participant or participants, the chair of the meeting is to ensure that a formal resolution regarding this change is made and that it is duly noted in the minutes.

Those participating in a meeting should object to new agenda items if they believe that the items are of concern with regard to anti-trust law or if no formal resolution regarding the change in agenda is made. They should demand that the deviation from the agenda and their objection to this deviation be duly noted in the minutes. The chair of a meeting will examine the objections and, if appropriate, reject the agenda items.

2.2.4. **Minutes of Association/project group meetings**

The employees of the prostep ivip administrative office provide the chairs of meetings with support by ensuring that correct, complete and precise minutes are taken during association/project group meetings, including any resolutions made during the respective meeting. Those participating in a meeting should object if they notice that no minutes are being taken.

The employees of the prostep ivip administrative office work towards ensuring that the formulation of the minutes is clear and unambiguous. The minutes of the association/project group meetings will be sent to all those who participated in the meetings no later than 3 weeks after the meeting. The participants are to check the minutes to ensure that they provide an accurate account of the meeting
and any resolutions made. They are to notify the keeper of the minutes and the administrative office of the prostep ivip Association immediately of any incomplete or incorrect minutes, especially with regard to topics relating to anti-trust law, and ask that they be corrected.

2.2.5. Conduct in association/project group meetings

With the support of employees from the prostep ivip administrative office, the chair of a meeting ensures that the association/project group meeting does not involve any illegal resolutions, agreements, conversations or spontaneous comments about topics relating to anti-trust law. The chair of a meeting is to immediately point out any conduct by a participant in the meeting that is not compliant with anti-trust law.

The chair of a meeting should discontinue a discussion or, if necessary, cut short or postpone the entire meeting should legal clarification be required. Those participating in a meeting should request that a discussion or meeting be discontinued or postponed if they have reservations as to its legality. This request must be noted in the minutes. If a discussion that they deem of concern with regard to anti-trust law is continued, those participating in a meeting should leave the meeting. The name of anyone attending a meeting who leaves that meeting must be duly noted in the minutes together with the time at which he/she left the meeting.
3. Project work in the prostep ivip Association

The work performed in the prostep ivip Association is project oriented. This means that every activity carried out by the association is regarded as a project.

A project is an undertaking with a predefined timeframe. It is characterized by clear and fully defined objectives, specific financial resources, delineation with regard to other projects, project-specific organization, and the necessity for interdisciplinary collaboration.

Generally speaking, participation in the association projects is subject to membership in the association. Non-member participation may be approved by the TSC in exceptional cases at the request of the project group concerned. The financial participation of non-members in projects is described in section 3.3.

It is the duty of all the participants in a project group, especially those belonging to the PSC, to coordinate a project with other projects in order to encourage acceptance of the project results.

Every association project must have an overall project plan. This project plan must provide a clear description of at least the following points:

- Relevance of the project
- Brief description of the work packages
- Expected results and their benefits for the association and its members
- Milestone schedule, time schedule and budget plan

The following principle applies:

- The need to continue each project must be presented to the TSC at least once a year based on the benefits for the association, the partners and the community.
- Every project must be supported by pilot applications in industry.
- The financial commitment of the association to application projects and implementor forums will be reduced in each successive year.
  - Year 1: up to 100% of the project budget
  - Year 2: up to 60% of the project budget
  - Year 3: up to 30% of the project budget
  - From year 4: up to 10% of the project budget. Upon a decision of the TSC, an increase up to 20% is possible.
- The association's participation in benchmark and standardization projects is independent of the project duration. Efforts should be made regarding the financial participation of industry partners and/or associated organizations.

At least two user companies must be represented in each application project. Any deviations from these guidelines require an appropriate resolution by the board.

3.1. Categories of association projects

A distinction is made between three different categories of association projects:

- Standardization - development and maintenance of standards
- Implementor forums – promotion of standard-compliant implementations
- User project – discussion and/or solution of user-related problems

In a user project, a particular problem is dealt with within the context of a project group. The activities related to standardization, implementor forums and user groups are of a long-term nature. The associated project groups work on various problems on the basis of an annual work schedule.
3.2. Financial model

The budget of the prostep ivip Association is limited. In order to increase the range of interesting projects and at the same time the effectiveness of its projects to the benefit of all association members and provide sufficient budgetary resources as start-up financing for innovative problems, the association endeavors to ensure the financial participation of the companies involved in the projects (consortial project):

- Basic financing of administration, coordination and public relations work by the association.
- Additional financing – project fees – by member companies of the work performed in the project, user support, documentation of the project work and project results

The project fee is levied at the start of a project – normally at the beginning of a calendar year. The total amount of the project fees provides the basis for overall project planning.

3.3. Participation in association projects

Active and/or regular participation in the Association’s projects is subject to ordinary membership in the prostep ivip Association. Association projects are, in principle, open to all association members.

If a project fee is levied, members of Member Group 3 (universities, etc.) are exempt from payment. Instead of paying a project fee, these members can contribute the appropriate work to the project, subject to agreement with the PSC and the manager of the association’s technical program. An appropriate offer must be submitted. The results of any work performed in this way must be released by the PSC.

If a project fee is levied, dedicated service providers are also affected. Requests for exceptions can be presented to the TSC, which will then decide with regard to the presented case for the relevant year.

Members (companies) of another body that has a Memorandum of Understanding (cf. section 3.8) with the prostep ivip Association may participate like regular members in a project that is supported jointly with this body. If a project fee is levied, these participants are also affected.

In exceptional cases and after approval by the TSC, participation in association projects is permitted for non-members of the prostep ivip Association if they pay a consortial fee consisting of (not to be specified in detail):

1. Consortial fee for the particular project
2. Equivalent amount to the membership fee for the association that is to be paid by the company on 1 January
3. An additional lump sum of 10% of 1. and 2.

In the event that the company decides to become a member of the association within the current year, the membership fee due under 2. will be credited to the company.

If a project fee is levied, potential project partners for current projects should decide by the end of the first quarter of the year in question at the latest whether or not they will participate in the project in that year. If at least one informal written confirmation is not received by the end of Q1, it will be assumed that no participation is desired and the project candidate in question will be denied access to all project information (this includes, for example, invitations to meetings and access to the project webspace).

Individual agreements regarding the deadline for consortial participation must be concluded for new projects to be established in the current year.

3.4. Project work

Projects are the responsibility of the TSC. Project work comprises:

- working on the project objectives within the framework of a project plan that has been coordinated with the TSC
- publication of project results released by the TSC
- carrying out public relations work
3.5. Project results and rights to the results

The results of all the projects carried out within the framework of the association’s project-related work are made available to the prostep ivip Association for their unrestricted and free use. If these project results comprise software and/or programs, this stipulation relates not only to the executable programs but also to the documented source code and user documentation, or at least to a comprehensive, written overview. The TSC is responsible for making decisions regarding the further exploitation of the project results.

The project results must be published as prostep ivip Recommendations to protect investments and ensure sustainability. Prostep ivip Recommendations provide the project results with a binding character as early as possible, and they can then be passed on to the appropriate standardization bodies (e.g. ISO, OMG) for standardization.

The project partners can, however, continue to utilize the results of a project for their own needs. However, utilization of project know-how – by project partners or participating service providers – before it is published by the respective project group, e.g. when requesting funding from potential sponsors, requires the express and unanimous approval of the PSC and TSC.

If a project partner wishes to contribute its own results – obtained outside of the project in question – to the project, this must be approved by the PSC and the manager of the technical program in good time and a case-specific special arrangement agreed upon. Any special arrangement of this type must be agreed upon in writing by all the parties involved before the project is launched.

If a project partner joins a project after it has been launched, the PSC decides, together with the manager of the technical program, on the extent to which this project partner has rights to the projects results.

3.6. Project language

The language used for projects is German. Should any participant in a project want the language to be English, the language used for the project will then be English. All required information – budget plan, offer, invoice and the activity confirmation – must be given in English.

If the language used for documentation is German, brief but informative summaries in English must be provided for all of the documents created within the framework of a project.

3.7. Involvement of scientific/research institutes in projects

The association strives to ensure the involvement of partners active in the area of science/research in the projects conducted by the association. Therefore, due consideration must be given to Member Group 3 when a project is drawn up. Appropriate work packages must defined and the corresponding offers obtained in consultation with the PSC and the manager of the technical program. A balance must be found between the interests and requirements of the member groups involved. Member Group 3 plays an important role as an innovator within the prostep ivip Association. The association provides support to innovative initiatives relevant to industry originating in Member Group 3 as needed, for example by providing infrastructure and/or financial support.

3.8. Collaboration with other bodies and organizations

Collaboration with other bodies or with projects being conducted by other bodies or organizations requires a formal foundation in the form of a Memorandum of Understanding (MoU). This MoU must be created before collaboration is launched and regulates this collaboration.

The conclusion of a MoU requires an appropriate resolution by the board.
4. Processes involved in the association’s work

The overall process involved in the project-related work performed in the prostep ivip Association can be subdivided into three processes:

- project initialization
- project execution
- project completion

From the point of view of the project work, there are also two, requisite auxiliary processes. These describe the sourcing and application of funds.

4.1. Overview

Figure 1 below shows the overall process involved in projects conducted by the prostep ivip Association, where

- roles are represented by horizontal lines
- milestones are represented by rhombuses
- processes are represented by boxes with rounded corners
- decisions are represented by hexagons
- important information and/or decision flows and data flows are represented by arrows

As indicated in Figure 1, the initialization phase is followed by financing and project implementation once the TSC has decided that the project is to be executed. The financing phase will be conducted annually during the duration of the project. After successful completion of the project and approval of the results by the TSC, the project is brought to a close and the documented results are handed over to the association for further public relations work.

![Figure 1: Overall process involved in projects conducted by the prostep ivip Association](image)

All the processes shown here are included in Appendix C, where they are drawn to a larger scale. Some are described in greater detail by means of subprocesses.

4.2. Project initialization

The key steps involved in project initialization (cf. Figure 2) are (in this order) the

- development an idea for a project in the form of a project outline
- identification of potential project members and sending the project outline to these members
- creation of a consortium that is prepared to conduct and finance the project
- selection of the project chairman by the consortium
development of an overall project plan. The project plan includes the budget plan. The project plan comprises securing not only the technical content but also the sourcing and application of funds.

Initialization of a new project in the prostep ivip Association

Figure 2: Processes for project initialization

Table 1 shows the time schedule and the allocation of tasks during the project initialization phase

<table>
<thead>
<tr>
<th>Tasks</th>
<th>Responsible</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preparation of project outline together with the idea provider, dispatch to TSC</td>
<td>Administrative office</td>
<td>Max. 2 weeks</td>
</tr>
<tr>
<td>Preliminary resolution regarding project launch</td>
<td>TSC</td>
<td>Any time using circulation procedure</td>
</tr>
<tr>
<td>Project preparation (contact potential partners, send them project outline, organized kick-off)</td>
<td>Administrative office</td>
<td>Immediately after resolution regarding project launch</td>
</tr>
<tr>
<td>Develop project plan</td>
<td>Project group</td>
<td>+ approx. 4 weeks</td>
</tr>
<tr>
<td>Selection of project chairman</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Suggestion regarding service providers (including coordinator)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Suggestion regarding additional members</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review of project plan and sending offers regarding</td>
<td>Administrative office</td>
<td>+ approx. 3 weeks</td>
</tr>
</tbody>
</table>

Guidelines of the prostep ivip Association

prostep ivip Association

Dolivostraße 11 • 64293 Darmstadt • Tel: 0 61 51 - 92 87-336 • Fax: 0 61 51 - 92 87-326 • E-mail: psev@prostep.org • www.prostep.org
### Final resolution regarding the launch of the project
Approval of budget
Deployment of project chairmen

<table>
<thead>
<tr>
<th>participation in project</th>
<th>office</th>
<th>Next meeting of the TSC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Final resolution</td>
<td>TSC</td>
<td></td>
</tr>
<tr>
<td>regarding the launch of</td>
<td>Next meeting of</td>
<td></td>
</tr>
<tr>
<td>the project</td>
<td>the TSC</td>
<td></td>
</tr>
<tr>
<td>Approval of budget</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Deployment of project</td>
<td></td>
<td></td>
</tr>
<tr>
<td>chairman</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Table 1: Overview of the time schedule during the project initialization phase

<table>
<thead>
<tr>
<th>Template</th>
<th>Document(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project idea</td>
<td>Project Outline, Project Plan</td>
</tr>
<tr>
<td>Formation of groups</td>
<td>Agenda, Minutes, Partner List</td>
</tr>
<tr>
<td>Project planning</td>
<td>Overall Project Plan, Budget Plan</td>
</tr>
</tbody>
</table>

The TSC decides whether or not a project is executed on the basis of the overall project plan and the number of potential members for the project consortium.

### 4.3. Funding

Budget applications made by the project to the TSC can only be submitted during TSC meetings or in exceptional cases using circulation procedures. If the TSC has approved a project idea and authorized basic financing, additional financing is secured by means of project fees paid by consortial partners as shown in Figure 3. The procedure is as follows:

1. Based on the project plan, the association’s administrative office extends an offer to participate in a project to potential members of the project consortium.
2. Once a corresponding commission has been received, the administrative office performs invoicing.
3. The administrative office verifies that additional financing has been secured on the basis of the payments made.
4. The funds available for the project will be used by the administrative office in line with the resolutions of the project group to ensure the development of the planned project results by service providers.

**Figure 3: Processes for funding**

The administrative office of the association reports the available funding of each project in the spring meeting of the TSC. Taking this information, the TSC then decides in each case, how the project is to proceed (e.g. “Continue as planned”, “Adapt the plan to the current situation within the next two weeks.”)
4.3.1. Sourcing funds

Figure 4 describes the processes for consortium financing of the projects. The main steps are:

1. Approval of the project plan including the associated budget plan by the project chairmen
2. Sending of the offers for participation to potential project partners
3. Confirmation of participation by the project partners
4. Invoicing by the administrative office

![Figure 4: Processes for sourcing funds](image)

4.3.2. Application of funds

The process “Application of funds” describes the commissioning of service providers (SP), the invoicing of services, the appropriate proof of performance and the associated release processes (cf. Figure 5). The service provider must provide proof of performance together with the invoice.

Releases are issued by the project chairman. The administrative office provides the project chairman with the requisite release form, together with copies of the offers and/or invoices.

You will find more information, especially for service providers, in Appendix A.
4.4. Project execution

Figure 6 shows the processes for project execution. The workshops that are to be held at regular
intervals within this context must be announced in good time. The following templates are to be used
for this purpose:

- Agenda and Minutes
- Budget Plan, Overall Project Plan
- Association’s presentation template
- Presentation template for cooperative projects

The project plan provides the foundation for the technical work. It also provides the basis for the TSC
when reviewing the results and for the administrative office when conducting a formal review of the
project. The following documents are provided as templates for presenting the results:

- Overall Project Plan
- Presentation template for prostep ivip projects and for cooperative projects (e.g. with VDA or
  PDES, Inc.)
- Presentation template for status report, including
  - Project Summary
  - Budget Plan

The TSC decides whether a project is completed or continued.

The following templates are provided for documenting the project and any intermediate results:

- Documentation
- Issue Sheet
- Recommendation
4.5. Project completion

The aim of project completion is the proper technical completion of the project and publication of the results (cf. Figure 7) as a prostep ivip Recommendation.

The following templates are available for documentation purposes:

- Budget Plan, Overall Project Plan
- Recommendation
- Issue Sheet
- Documentation
- Use Case
- Presentation template for prostep ivip projects and for cooperative projects
- Presentation template for status report

On the basis of the results and the project plan, the TSC decides whether a project has been completed, and decides about the release of the results achieved in the project and their further use. If the TSC decides that a project has not yet been completed, the project is automatically still in the process of being executed.

The TSC can ask the project chairman to initialize a follow-up project.

The administrative office uses the results to improve the association’s processes on an ongoing basis and for marketing purposes. All those involved in a project are requested to make the appropriate information available.
Figure 7: Processes for concluding a project
5. Reporting

Table 2 below provides a list of the project-specific reports that are to be compiled at specific intervals. This list includes the report, the reporter (party responsible for the report), the recipient of the report, the interval at which the report is compiled, and the way in which the report is delivered.

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Statement of accounts</td>
<td>Board</td>
<td>Assembly of Members</td>
<td>Spring</td>
<td>Presentation, budget overview</td>
</tr>
<tr>
<td>Status report</td>
<td>TSC chairman</td>
<td>Board</td>
<td>Board meeting</td>
<td>Presentation, budget overview</td>
</tr>
<tr>
<td>Status report</td>
<td>Manager Technical Program</td>
<td>TSC</td>
<td>TSC meeting</td>
<td>Presentation, budget overview</td>
</tr>
<tr>
<td>Status report regarding deliverables and</td>
<td>Project chairman</td>
<td>TSC</td>
<td>TSC meeting</td>
<td>Project summary, budget overview, presentation</td>
</tr>
<tr>
<td>budget planning in particular</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Forecast for annual financial statement</td>
<td>Project chairman</td>
<td>TSC</td>
<td>TSC meeting (fall meeting)</td>
<td>Presentation, budget overview</td>
</tr>
<tr>
<td>Planning for subsequent year</td>
<td>Project chairman</td>
<td>TSC</td>
<td>TSC meeting (summer meeting)</td>
<td>Presentation, budget overview</td>
</tr>
<tr>
<td>Status report</td>
<td>Project chairman</td>
<td>Manager Technical Program</td>
<td>Every two months</td>
<td>Verbal</td>
</tr>
<tr>
<td>Status report, techn. work progress</td>
<td>Project coordinator, service provider, etc.</td>
<td>Project chairman</td>
<td>As required</td>
<td>Presentation</td>
</tr>
<tr>
<td>Status report, Association activities</td>
<td>Manager Technical Program</td>
<td>Project group</td>
<td>As required, at the respective meetings</td>
<td>Presentation</td>
</tr>
<tr>
<td>Field report</td>
<td>Project coordinator</td>
<td>Manager Technical Program</td>
<td>Three times a year</td>
<td>Verbal</td>
</tr>
</tbody>
</table>

| Table 2: Project-specific reports           |                               |                     |                 |                                                 |

The manager of the technical program of the prostep ivip Association is to be informed immediately of any extraordinary (critical) events.
6. Public relations work

It is in the interest of all association members that the work performed by the association be presented as effectively and as promptly as possible. Intermediate results can also be of interest. In principle, all the results of the projects conducted by the association are available to every member of the association.

It is therefore necessary that the public relations work be included in the project budget. It must be guaranteed that – at the very least – the following public relations work be performed within the context of a project:

- contribution to the Annual Report
- publication of the (intermediate) project results
- contributions from the project for the association newsletter and the PDJ

The organization of professional events by the project groups is desired and is supported by the association.

In addition, the association is interested in presenting the projects to a wider public beyond the association and its organs – for example by means of press releases, active participation in symposiums and articles in outside publications. The prostep ivip Association will bear the costs involved for journalistic support upon request.
7. Communication tools

GlobalX is used by the TSC and the project groups as the main communication tool.

The general rules and regulations for using GlobalX are made available to the project partners. Additional, project-specific provisions can also be stipulated. The PSC, in agreement with the manager of the technical program of the prostep ivip Association, decides on a case-by-case basis who, in addition to the project partners, is granted access to GlobalX.

GlobalX is used in all projects for the dissemination of documents, invitations, minutes, etc. It is up to those involved in the individual project groups to decide to what extent the other functionality offered by GlobalX is used.

The project coordinator is responsible for ensuring that the member list in GlobalX is up-to-date and reporting any changes to the association's administrative office.

A maximum of two representatives from each project partner will listed as members in GlobalX.
Appendix A: Notes for service providers

Offers submitted to the prostep ivip Association by service providers must give due consideration to the following:

- All the services being offered and the respective results must be described.
- The services being offered must relate explicitly to the work packages described in the budget plan for the project. The budget plan must be included with the offer as an attachment.
- With regard to the individual work packages, the number of man-hours must be specified for each service.
- If the offer includes travel expenses, these must be listed separately.
  - The registered office of the association is located in Darmstadt. No travel expenses will be paid for participation in project meetings held there.
  - If a project group decides to hold a meeting at another location, travel expenses will be paid up to the amount specified in the project plan.
- Two different hourly rates will be accepted:
  - Senior consultant: €125.00 / hour
  - Consultant: €106.00 / hour
- Precondition for providing services is the availability of the written order from the administrative office.

Offer/contract – general procedure:

- Only formal offers will be accepted. These can be submitted on paper or digitally as a PDF file.
- Each offer is formally checked by the administrative office of the prostep ivip Association.
- If this check is successful, the offer is passed to the project chairman for approval.
- As soon as the project chairman has approved the offer in writing, the service provider is commissioned by the administrative office. The size of the (partial) commission in monetary terms will depend on the size of the available project budget.

Invoices – general procedure:

- Only formal invoices will be excepted. These can be submitted on paper or digitally as a PDF file.
- Invoices will only be accepted together with the respective proof of performance. Such proofs of performance have to include at least the information listed in Figure 8.

<table>
<thead>
<tr>
<th>Nr.</th>
<th>Resource Name</th>
<th>WP Name</th>
<th>Task Description</th>
<th>Date</th>
<th>Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Muster, Max</td>
<td>WP 1</td>
<td>Project plan development</td>
<td>01.01.2007</td>
<td>3</td>
</tr>
</tbody>
</table>

\[ \sum \text{PD: } 0,375 \]

Activity Confirmation
Ref. Project: XXX
Ref. Order No.: YYY

Figure 8: Sample proof of performance
- Receipts must be provided for all travel expenses.
  - Travel expenses must be calculated according to the tax rates valid in Germany.
  - Time spent traveling will not be recognized as working hours.
  - Travel expenses will only be reimbursed up to the specified amount.
  - The following travel expenses can be submitted: costs involved in traveling to and from the respective location, per diem allowance, cost of accommodation. Other costs, such as telephone costs and parking charges, for example, will also be reimbursed if receipts and proof that these costs were necessary are provided.
  - The most economic mode of transport should be used for business travel. We pay the travel costs for the train ticket in the second class and the air ticket from the economy-class. When selecting a hotel, preference should be given to lower-priced hotels.

- Tax obligations are passing over to the recipient of this invoice – conforming § 13 German Value Added Tax Act.

- Every invoice, the respective proof of performance and any claims for travel expenses will be checked formally by the administrative office of the prostep ivip Association.

- If this check is successful, the invoice, proof of performance and any claims for travel expenses will be passed to the project chairman for authorization.

- Once the project chairman has authorized the invoice in writing, the invoice will be paid.
Appendix B: Templates

The following templates for work related to the association are available under Vorlagen/Templates in the TSC WebSpace in GlobalX:

- **General:**
  - Association’s presentation template
  - Presentation template for cooperative projects

- **Project specific:**
  - Budget Plan
  - Partner List
  - Project Outline
  - Overall Project Plan

- **Presentation template for status report, including**
  - Project Summary
  - Budget Plan

- **Workshop specific:**
  - Agenda
  - Minutes

- **Documentation specific:**
  - Documentation
  - Issue Sheet
  - Recommendation
  - Use Case

- **For service providers**
  - Proof of performance
Appendix C: Processes involved in the association’s work
Execution of the project

1. Manage project
2. Shape work program
3. Perform technical work
4. Reporting and public relations
5. Verify results and adjust project

Feedback

Team working in the prostep ivip project

Service Provider(s)

prostep ivip Technical Steering Committee

Project Plan

Project Chair(s)

Termination request

Project start

Project execution secured