

## **WARA 3.0**

Guidelines for the establishment and operation of  
WASP Research Arenas

### Table of Contents

<b>1</b>	<b><i>Objectives.....</i></b>	<b>2</b>
<b>2</b>	<b><i>Governance structure .....</i></b>	<b>2</b>
<b>3</b>	<b><i>Rules of engagement .....</i></b>	<b>2</b>
3.1	Application Process for establishing a new WARA .....	3
3.2	Collaboration agreement.....	3
<b>4</b>	<b><i>Annual cycle .....</i></b>	<b>4</b>
<b>5</b>	<b><i>Reports and evaluation.....</i></b>	<b>4</b>
5.1	Report on co-financing and requisition .....	4
5.2	Key performance indicators (KPI).....	4
5.3	Yearly report and plans for the coming year .....	5
5.4	Three-year evaluation and application for extension.....	5
<b>6</b>	<b><i>Governing documents and templates .....</i></b>	<b>5</b>

## 1 Objectives

Through WASP Research Arena (WARA), companies contribute with advanced technical platforms, data, or infrastructures that are normally not accessible to academic research. An important part is to enable and support collaborative research in challenging and complex environments, and to jointly identify new research challenges. The main objective is to provide WASP PhD students and researchers with means to develop, test, and demonstrate research with high industrial and societal relevance, leading to high-impact publications.

The arenas should also support PhD project courses, promote networking, development of new research initiatives, and increase the visibility of WASP research in society. The arenas are important meeting places for academic researchers and industry partners.

## 2 Governance structure

WASP is governed by the WASP Board as appointed by the vice-chancellor of Linköping University. The vice-chancellor of Linköping University has also appointed the Program Director and a Scientific Advisory Board. The Research Arenas are part of the overall WASP program, and the WASP Board has decided on an organization structure where WARA is one major entity, and for its governance an Arena Management Group (AMG).

The governance structure for WASP research arenas is described in detail in the [Collaboration Agreement for WARA](#) and can be summarized as follows:

- a. The WASP Board is the main decision body for approval of WARA overall strategies, annual reports, plans and budgets as well as new arena applications.
- b. Arena Management Group (AMG) shall ensure that the overall objectives of WARA are achieved. To promote WARA activities, to ensure strong linkage between research arenas and the formulation of new research challenges, as well as to cooperate with the WASP Graduate School Management Group for mutual benefit. AMG is the executive steering body for the overall WARA program. [Rules of procedure for AMG](#)
- c. WARA Project Leader, being the main responsible for the arena.
- d. WARA Project Group, being the operative steering group for the arena.
- e. WARA Scientific advisor, supporting the project group with scientific excellence in planning and follow-up of activities, assisting with anchoring and engagement of relevant researchers.

## 3 Rules of engagement

There are some requirements to be fulfilled to initiate and operate a WARA initiative. The main objective is to facilitate state-of-the-art infrastructures within WASP research areas with common research questions for academia and industry. There must be an industry partner willing to be the main leader of an initiative with clear common research questions that gather researchers from at least three universities and at least two more industry partners. An arena is approved for 3 years with possible prolongation by a maximum of 3 years each time.

The following conditions must be fulfilled to establish and operate a WARA within WASP:

Structure and funding:

- a. A WARA must have at least three active industry partners. Up to two actors within the same corporate group can participate in a single WARA if they have separate complementary activities that each contribute to the activities within the arena. This needs to be described and justified in a submission and decided at a board meeting.

- A single company or corporate group can receive up to 75% of the total WASP funding allocated to a WARA.
  - A single company or corporate group can contribute up to 75% of the total in-kind co-funding for a WARA. All in-kind co-funding must be auditable.
  - A single company or corporate group must contribute a minimum of 10% of the total in-kind co-funding for a WARA to be considered as an active industry partner. All in-kind co-funding must be auditable.
- b. A WARA must have at least three universities engaged in the arena.
    - A university must have at least one researcher (PhD student, postdoc or senior researcher) carrying out research activities within a WARA to be considered as an engaged university.
    - A university can receive up to 30% of the total WASP funding allocated to a WARA.
  - c. The total in-kind from publicly funded actors within an individual WARA can be included up to a maximum of 20% of the total stipulated in-kind. However, in-kind via University and University college (högskola) or funds from research funding agencies cannot be included.
  - d. Each WARA has, apart from the main funding, separate funding for networking and events corresponding to 10% of the total budget for the actual WARA.

#### Use of funding:

- a. The main part, at least 80% of the WASP funding that are allocated to personnel costs, should be devoted to facilitating research infrastructures by engagement of, for example, research engineers.
- b. Up to 20% of the WASP funding for a WARA may be used for management and research coordination, including WARA Scientific Advisor. Management costs are typically covered through in-kind contributions.

#### Operations:

- a. All activities in a WARA must be executed under the WASP Code of Conduct.

### 3.1 Application Process for establishing a new WARA

An application to initiate a new WARA shall cover 3 years of operation. An application can be forwarded at any time to WASP program director. The application process is divided into two phases:

- a. A short presentation describing the main ideas and a tentative constellation should be prepared. The presentation should be a maximum of 3 pages. The draft application is reviewed by the Arena Management Group (AMG) and if the outcome is positive, the second phase can be initiated.
- b. In the second phase, a full application is prepared. The application is reviewed by AMG and presented to the Executive Committee (EXC). In case of a positive outcome, AMG and EXC give a recommendation to the WASP board to grant the initiative.

For more information and templates see WASP Intranet.

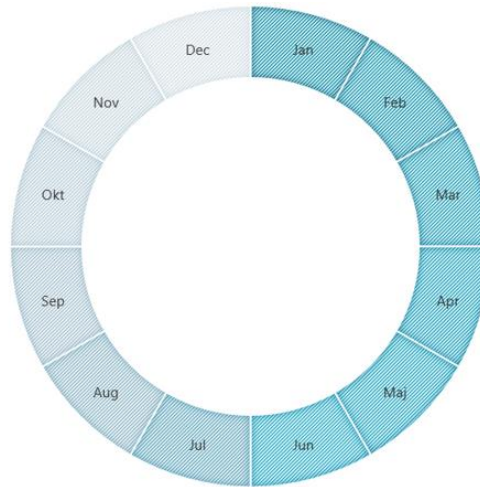
### 3.2 Collaboration agreement

A [collaboration agreement](#) has been drafted to further the cooperation by instituting the organization and the framework of the cooperation of WARA. All the active industry partners as defined in the rules of engagement should sign an accession to the Collaboration Agreement. The Collaboration Agreement includes aspects such as responsibilities, confidentiality, governance structure and financial provisions. However, it does not handle issues related to, for example, IPR and publications. The parties involved in a specific project within an arena can handle these questions in a separate Project Agreement. This will however not include WASP as an entity but might include researchers at WASP universities.

## 4 Annual cycle

T3:

- WARA Budget frame proposal for approval by the board.
- One- or/and three-year evaluations for approval by the board (if there are any)
- Reporting the in-kind contributions and requisitions of costs related to the arena.



T1:

- Yearly reports and plans for coming years for approval by the board
- WARA individual yearly budget to the board for decision
- Reporting the in-kind contributions and requisitions of costs related to the arena.

T2:

- Initial discussions for next year starts
- Evaluation process starts, if it's applicable for any WARA
- Reporting the in-kind contributions and requisitions of costs related to the arena.

## 5 Reports and evaluation

### 5.1 Report on co-financing and requisition

WASP requests information on industry co-financing in connection with requisition to enable reporting to KAW. Co-financing is expected to occur through in-kind contributions through the involvement in WASP Research Arenas (WARA). There may also be reimbursable costs for industries engaging in WARA. Reporting the in-kind contributions and requisitions of valid costs is made every tertial. For more information see WASP Intranet [Riktlinjer redovisning medfinansiering och kostnader WARA.](#)

### 5.2 Key performance indicators (KPI)

- Number of publications **generated in the arena**. The following should be included in the publication. *This work was partially supported by the Wallenberg AI, Autonomous Systems and Software Program, WASP, (WARA-X) funded by the Knut and Alice Wallenberg Foundation.*
- Number of academia/industry co-publications generated in the arena.
- Other assets, for example, patents, data sets and open source
- Academic Research engagement in terms of:
  - Number of WASP-funded/WASP-affiliated PhD students active in research arenas
  - Number of projects in the WASP Graduate School Project Courses
- Industry & Society engagement:
  - Number of active companies/organizations at a level as described in Section 2, rules of engagement.
  - Number of companies/organizations participating on a lower level e.g. engaged but not signed collaboration agreement.
- Gender balance in terms of:
  - Percentage of underrepresented gender in WARA leadership.
  - Percentage of underrepresented gender among PhD students active in the WARA.

### 5.3 Yearly report and plans for the coming year

Each active arena should make a yearly report describing how the initiative has fulfilled the approved program plan as set forward in the previous yearly planning. The report shall contain:

- 1) Status and achievements from the past activity year including the KPIs
- 2) Description of how the funding has been used
- 3) Plans for the coming year
- 4) Requested funding for the coming year

For more information and templates see WASP intranet [Yearly report](#), [Plans for coming year](#).

### 5.4 Three-year evaluation and application for extension

As described in Section 2, WARA should have a three-year plan upon initiation. When the initiative approaches the end of a three-year period, an evaluation of the achievements will be performed and upon a positive outcome, an application for an additional three-year period can be made.

For more information and templates see WASP intranet [Three-year evaluation and application for extension](#).

## 6 Governing documents and templates

[Collaboration Agreement for WARA](#)

Application for establishing a new WARA

[Rules of procedure for AMG](#)

[Riktlinjer redovisning medfinansiering och kostnader WARA\\_instruktion](#)

[Riktlinjer redovisning medfinansiering och kostnader WARA\\_mall](#)

[WASP Code of Conduct](#)

[Instructions – Plans for the coming year](#)

[Template - Plans for the coming year](#)

[Instructions - Yearly report](#)

[Template – Yearly report](#)

[Instructions - Three-year evaluation and application for extension](#)

[Template - Three-year evaluation and application for extension](#)

[Budget sheet WARA X](#)