|  |
| --- |
| ToR TTF T038 (TC MTS / WG AI) |
| Version: 0.3 |
| Author: Dr. Jürgen Großmann, Dr. Philip Makedonski, Finn Kristoffersen, Taras Holoyad – Date: 2023-08-07 |
| Last updated by: ETSI Secretariat – Date: 2023-12-22 |
| page 1 of 14 |

Terms of Reference – Testing Task Force

TTF T038 (TC MTS / WG AI)

Towards a Harmonized Documentation Scheme for Trustworthy AI

Summary information

|  |  |  |
| --- | --- | --- |
| Approval status | Approved by TC MTS (doc ref: [MTS(23)000043](https://docbox.etsi.org/MTS/MTS/05-CONTRIBUTIONS/2023/MTS%2823%29000043_TTF_ToR_Documentation_of_AI_systems.docx)) | **YES** |
| Reference Body | TC MTS / WG AI |
| ETSI Funding | **Maximum budget: 96 500 EUR** |
| Minimum of 4 ETSI Members Support | **YES** |
| Time scale | **From** | 2024-02-05 |
| **To** | 2025-02-10 |
| Work Items  | See clause 3.2 below |
| TTF Roadmap reference | [https://docbox.etsi.org/MTS/MTS/05-CONTRIBUTIONS/2023//MTS(23)000046\_Harmonized\_Documentation\_Scheme\_for\_Trustworthy\_AI\_Roadmap.docx](https://docbox.etsi.org/MTS/MTS/05-CONTRIBUTIONS/2023//MTS%2823%29000046_Harmonized_Documentation_Scheme_for_Trustworthy_AI_Roadmap.docx)  |

Part I –TTF Technical Proposal

# Rationale & Objectives

## Rationale

The ETSI TC MTS provides technologies, tools, and guidelines on conformance and interoperability testing and certification of protocols and other systems, including AI systems, that are under standardisation at various ETSI groups and committees.

The European AI regulation (EU) 2021/xxxx classifies AI use by risk level and imposes documentation, auditing, and process requirements on providers and deployers of AI systems[[1]](#footnote-2). Thus, ‘high-risk’ AI systems must undergo a rigid conformity assessment and providers and deployers must provide a technical documentation demonstrating major properties of the AI system before they can enter the European market. It is up to the standardization organizations to provide:

1. technical specifications and to define detailed technical requirements and measures by which conformity can be reached;
2. methods through which such a conformity assessment can be operationalized in an efficient manner;
3. procedures and templates for a stakeholder-oriented documentation of the properties and capabilities of an AI system[[2]](#footnote-3)**.**

With regard to the documentation of AI systems, the European AI Regulation (EU) 2021/xxxx sets out detailed requirements for the scope and manner of documentation. Compliant documentation must

* be complete, accurate, understandable, and unambiguous;
* contain information on the functioning and limitations of the AI system;
* contain information on the data used for the development and training of the AI system;
* contain information on how the AI system was tested and what results were obtained;
* must contain information on how the AI system can be updated or improved;
* contain information on who is responsible for the development, training, and deployment of the AI system;
* must contain information on how the AI system can be used and what limitations or recommendations apply.

## Objectives of the work to be executed

While ETSI already addresses some aspects regarding bullets 1. and 2. from the rationale above by ETSI TR 103910 and ETSI TS 104008 , this proposal extends the current efforts to also address bullet 3. by providing a systematic outline on

* documentation requirements associated with the European AI Act and associated standardization activities,
* an overview on existing documentation approaches established in the industry, as well as
* recommendations for a harmonized documentation scheme considering regulatory requirements, different stakeholder profiles and industry best practices.

The content of this proposal is meant to underline the need for a harmonized documentation approach and as such addresses one of the most important aspects of European AI regulation, connects to the current AI related work at ETSI MTS and represents a distinct and relevant contribution of ETSI in the context of European AI standardization.

Even though there is a number of documentation approaches developed by the industry, e.g., ModelCards[[3]](#footnote-4) for models, DataSheets[[4]](#footnote-5) for data sets, FactSheets[[5]](#footnote-6) to account for transparency and accountability (see HuggingFace[[6]](#footnote-7) for an overview), at this time there is no documentation approach or standard that directly addresses the requirements and obligations of the European AI regulation. However, some existing guidelines and frameworks, such as the AI Ethics Guidelines[[7]](#footnote-8) developed by the High-Level Expert Group on AI and the OECD AI Principles[[8]](#footnote-9), provide some guidance on more precise documentation requirements for AI systems.

This TTF will contribute to the implementation of the European AI Act, based on the guidelines mentioned above, ongoing standardization activities, as well as on references to industrial best practices as a starting point to work towards a comprehensive documentation approach for the European industry. The approach encompasses a detailed technical documentation by including system architecture, algorithmic design, model specifications, as well as the documentation of data and data sets being used. Moreover, it documents the system’s capabilities and limitations and considers aspects that deal with quality properties like robustness, transparency and bias on data, model and system level.

Specifically, the TTF will create the following outcomes.

1. A consolidated set of documentation requirements considering different stakeholders like users, developers, authorities and with different scope e.g., data-focused, models-and-methods-focused, as well as systems-focused.
2. An overview on existing approaches and best practices with reference to their target of documentation and the respective application domain.
3. An analysis of the shortcomings and necessary additions to comply with the European AI Regulation.
4. Recommendations for industry and standardization for the design of a Harmonized Documentation Scheme for AI Systems.

The outcomes from the TTF may contribute to subsequent work on standardised documentation schemes, potentially also machine-readable formats to facilitate automated validation and certification activities.

## Previous funded activities in the same domain

ETSI MTS currently does not have any STF or TTF work addressing the topic of AI. However, ETSI MTS already defines important building blocks for a test-based conformity assessment for AI-based systems.

* ETSI TR 103910 (planned publication date 2024-07-11) outlines a catalogue of test approaches and methods intended for determining and approving the quality characteristics of AI systems.
* ETSI TS 104008 (planned publication date 2024-09-26) defines a certification and approval scheme based on continuous audits, which allows a flexible introduction of certification and approval procedures to meet the requirements of the EU AI act as well as the need for efficient industrial procedures.

## Consequences if not agreed

The TTF proposed here is working on foundations for documenting AI systems. If this work does not take place, takes place later, or is realized by other standardization bodies, a high coordination effort would be necessary to harmonize the work already taking place on AI in ETSI and MTS with the requirements for the documentation of AI systems and their review. Proliferation of non-standardised documentation, formats and approaches may lead to challenges with comparability, interoperability, and assessment of AI-enabled systems. In addition, ETSI loses the opportunity to make a relevant contribution in a central area of European AI standardization. Lack of standardised documentation and potential machine-readable formats would limit automation in certification and validation activities.

# ETSI Members Support

|  |  |  |
| --- | --- | --- |
| **#** | **ETSI Member** | **Supporting delegate** |
| 1 | Fraunhofer FOKUS | Dr. Jürgen Großmann |
| 2 | Institut für Informatik, Universität Göttingen | Dr. Phillip Makedonski |
| 3 | Cinderella ApS | Finn Kristoffersen |
| 4 | Bundesnetzagentur | Taras Holoyad |
| 5 | Siemens AG | Dr. Andreas Ulrich |

# Deliverables

## Base documents

|  |  |  |
| --- | --- | --- |
| **Document** | **Title** | **Status** |
| ETSI TR 103901  | MTS AI Testing Test Methodology and Test Specification for AI-enabled Systems | Early Draft |
| ETSI TS 104008 | MTS Continuous Auditing Based Conformity Assessment for AI-enabled systems | Early Draft |
| 15698/22 | European AI regulation (EU) 2021/xxxx (see footnote 1) | Final Draft |
|  | AI Ethics Guidelines<https://digital-strategy.ec.europa.eu/en/library/ethics-guidelines-trustworthy-ai> | published |
|  | OECD AI Principles“Ministerial Statement on Trade and Digital Economy”, Ministry of Foreign Affairs of Japan, 09.06.2019.<https://www.mofa.go.jp/files/000486596.pdf>  | published |
|  | Relevant contributions from industry and academia (e.g., see footnotes 3 - 6) |  |

## New deliverables

**Objective:**

* Deriving recommendations for a documentation scheme that supports the continuous and consistent documentation of quality and quality related attributes for AI-enabled systems.

**Tasks:**

* T1: Documentation requirements considering different stakeholders like users, developers, authorities and with different scope e.g., data-focused, models-and-methods-focused, as well as systems-focused[[9]](#footnote-10).
* T2: Overview on existing approaches and best practices with reference to their target of documentation and the respective application domain
* T3: An analysis of the shortcomings and necessary additions to comply with the European AI Regulation.
* T4: Recommendations for industry and standardization for the design of a Harmonized Documentation Scheme for AI Systems[[10]](#footnote-11),

**Deliverables:**

* Guidelines for transparent documentation of quality and quality related measures for trustworthy AI

|  |  |  |  |
| --- | --- | --- | --- |
| **Deliv.** | **Work Item code****Standard number** | **Working title** | **Expected date for publication** |
| D1\* | [DTR/MTS-20187318](https://docbox.etsi.org/MTS/MTS/05-CONTRIBUTIONS/2023/MTS%2823%29000056_Guidelines_for_transparent_documentation_of_quality_and_qual.zip) | Guidelines for transparent documentation of quality and quality related measures for trustworthy AI | 4/2025 |

\* Additional deliverable may be added to capture any normative content from the work of the TTF.

# Maximum budget

## Task summary/Manpower Budget

|  |  |  |
| --- | --- | --- |
| **Task** | **Task short description** | Budget (EUR) |
| T0 | Project management | 7.000 |
| T1 | Requirements analysis | 20.000 |
| T2 | Overview on existing approaches and best practices  | 20.000 |
| T3 | An analysis of the shortcomings and necessary additions to comply with the European AI Regulation. | 15.000 |
| T4 | Recommendations for industry and standardization for the design of a harmonized documentation scheme for AI systems | 30.000 |
|  | **TOTAL** | 92.000 |

## Travel budget

Although coordination meetings, technical work and reporting can be conducted remotely, experts should anticipate that travels may become necessary, e.g., for participating at TB meetings, possibly also CEN/CENELEC, ISO/IEC meetings, as well as for promoting the work of the TTF, e.g. at the UCAAT.

|  |  |
| --- | --- |
| **Expected travels** | **Cost estimate (EUR)** |
| Participation at 3 MTS/other group meetings | 3.000 |
| Participation at UCAAT 2024 to promote the work towards a harmonized documentation scheme for trustworthy AI | 1.500 |
| **TOTAL** | **4.500** |

## Other budget line

None.

Part II – Details on TTF Technical Proposal

# Tasks, Technical Bodies and other stakeholders

## Organization of the work

The working group MTS AI will, acting as a steering group, oversee and advise the work of the proposed TTF. It will plan regular meetings between the TTF working sessions to monitor the progress of the work and provide technical advice.

All deliverables will be subject to established quality management approaches within ETSI, including multi-stage drafting with early, stable, and final drafts presented to the technical reference bodies, as well as disseminated for feedback to other relevant technical bodies and stakeholders.

Outcomes of the project will be disseminated in other venues such as the ETSI UCAAT, ETSI AI Conferences, etc. to gather further feedback from interested parties.

All deliverables are new work items. Final drafts for all deliverables are expected at the end of the project as the work will be done in strong cooperation with MTS AI to synchronize on the progress with ETSI TR 103901 and ETSI DTS-MTS-104008. The multi-stage drafting will help to ensure that required content is provided sufficiently early to avoid blocking the work on dependent deliverables.

## Other interested ETSI Technical Bodies

Due to the high importance of AI for ICT in general and for ETSI standards in particular, it is assumed that many TCs will have dedicated interest in the results of the TTF. An overview of all AI related TCs can be found on the corresponding ETSI sites[[11]](#footnote-12). In order to spread the results as broadly as possible, MTS will make use of existing coordination tools at ETSI. This includes the coordinated dissemination of the TTF results via OCG AI as well as via selected TCs with special interest such as the newly established TC SAI.

## Other stakeholders

For the coordination of standardization work, exchanges with ISO/IEC JTC1 SC42 "Artificial Intelligence" as well as CEN-CENELEC JTC 21 "Artificial Intelligence" can be targeted, so that duplication of work can be avoided, and a focus can be placed on the topics relevant to AI in the European legislative proposal.

With regard to ISO/IEC JTC1 SC42 "Artificial Intelligence", an exchange on topics relevant to test requirements, basic standards, data, trustworthiness, and computational approaches can take place. As well, coordination with the European committee CEN-CENELEC JTC 21 "Artificial Intelligence" should take place on topics such as conformity assessment, risk management and classification of artificial intelligence. Due to ETSI's strong focus on telecommunications, coordination with CEN-CENELEC and ISO/IEC is important since the industrial policy goals and the European Commission's priority legal requirements can be achieved efficiently together.

Part III: Execution of Work

# Work plan, time scale and resources

## Task description

|  |  |
| --- | --- |
| **Task 0** | ***Project Management*** |
| **Objectives** | Planning, organisation, and preparation of TTF meetingsOn-going reportingParticipation at TC/WG meetingsDelivery of the TTF final report |
| **Input** | This ToRInformation from the preparatory meetingExpertise availability information and other project management data |
| **Output** | Session planningMaterials for WG and TC meetingsProgress reportsFinal report |
| **Interactions** | The TTF leader will interact with the MTS AI Working Group and the MTSCommunicating with other stakeholders and TTFsAdditional support will be provided by the ETSI secretariat |
| **Resources required** | Resource planning, reporting, and coordination7.000 € |

|  |  |
| --- | --- |
| **Task 1** | ***Requirements Analysis*** |
| **Objectives** | Gathering of documentation requirements considering different stakeholders such as users, developers, authorities Identification and assignment of different scopes e.g., data-focused, models-and-methods-focused, as well as systems-focusedIdentification, classification, and prioritisation of key documentation componentsIdentification of profiling requirements towards different verticals (domains, techniques, and capabilities)Definition of validation use cases  |
| **Input** | The European AI regulationPotential input from stakeholders Relevant documents from ETSI and other SDOsRelevant contributions from the state of the art and the state of practice |
| **Output** | The agreed set of requirements, including related use-case and validation considerations |
| **Interactions** | The MTS AI Working Group shall be involved in this initial task to ensure that the agreed set of requirements are suitableThe MTS AI Working Group shall be involved in this task to guide the prioritisation and categorisation of documentation componentsRelevant stakeholders need to be involved in the process to identify, prioritise and validate the requirements |
| **Resources required** | Definition of requirements including use-case and validation considerations20.000 € |

|  |  |
| --- | --- |
| **Task 2** | ***Overview on existing approaches and best practices*** |
| **Objectives** | Identification of relevant contributions from the state of the art and the state of practicePreparation of a detailed and systematic overview of the state of the art and the state of practiceIdentification of gaps and harmonisation needs in relevant documents based on the requirements |
| **Input** | Documentation requirementsRelevant documents from ETSI and other SDOsRelevant contributions from the state of the art and the state of practice  |
| **Output** | Selection criteria (risk-oriented, independent of domain, technique, capability)Detailed and systematic overview of existing approachesGaps and harmonisation needs in existing approaches |
| **Interactions** | The MTS AI Working Group shall be involved in this task to guide the selection and evaluation of relevant contributionsAuthors of relevant contributions may be involved for further information and refinement |
| **Resources required** | Identification and evaluation of relevant contributions, identification of gaps and harmonisation needs20.000 € |

|  |  |
| --- | --- |
| **Task 3** | ***An analysis of the shortcomings and necessary additions to comply with the European AI Regulation.*** |
| **Objectives** | Analysis of identified gaps and harmonisation needs with regard to the European AI RegulationPreparation of proposals to address shortcomings of existing approachesMapping requirements and approaches to the corresponding obligations from the European AI Regulation |
| **Input** | The European AI regulationDocumentation requirementsDetailed and systematic overview of existing approachesGaps and harmonisation needs in existing approaches |
| **Output** | Mappings of the requirements and approaches to obligations from the European AI RegulationProposals to address shortcomings of existing approaches |
| **Interactions** | Relevant stakeholders may be involved in the preparation of proposals to address shortcomings of existing approaches |
| **Resources required** | Proposal for harmonisation and ways to address shortcomings of existing proposals15.000 € |

|  |  |
| --- | --- |
| **Task 4** | ***Recommendations for industry and standardization for the design of a harmonized documentation scheme for AI systems*** |
| **Objectives** | Preparation of recommendations for industry and standardisationEvaluation of the suitability of existing approaches for the implementation of the recommendationsIdentification of considerations regarding profiling towards specific domains, techniques, and capabilitiesIdentification and documentation of process-oriented aspectsIdentification and discussion of potential normative outcomes |
| **Input** | The European AI regulationDocumentation requirementsDetailed and systematic overview of existing approachesGaps and harmonisation needs in existing approachesProposals to address shortcomings of existing approaches |
| **Output** | Recommendations for industry and standardisationReport on the suitability of existing approaches to implement the recommendations |
| **Interactions** | The MTS AI Working Group shall be involved in this task to guide and validate the definition of the recommendations |
| **Resources required** | Definition of recommendations and evaluation of the suitability of existing approaches to implement the recommendations30.000 € |

## Milestones

|  |  |  |
| --- | --- | --- |
| **Milestone** | **Description** | **Cut-Off Date** |
| **A** | 1st progress report to TC MTS & early draft | 2024-05-10 |
| Reference Body Deliverable | 1st progress report to be approved by TC MTS |
| ETSI Deliverable | Early draft submitted to TC MTS |

|  |  |  |
| --- | --- | --- |
| **Milestone** | **Description** | **Cut-Off Date** |
| **B** | 2nd progress report to TC MTS & stable draft | 2024-09-09 |
| Reference Body Deliverable | 2nd progress report to be approved by TC MTS |
| ETSI Deliverable | Stable draft submitted to TC MTS |

|  |  |  |
| --- | --- | --- |
| **Milestone** | **Description** | **Cut-Off Date** |
| **C** | Final report to TC MTS & final draft | 2025-01-10 |
| Reference Body Deliverable | Final report to be approved by TC MTS |
| ETSI Deliverable | Final draft submitted to TC MTS |

|  |  |  |
| --- | --- | --- |
| **Milestone** | **Description** | **Cut-Off Date** |
| **D** | Deliverables published, TTF closed | 2025-02-10 |

## Task summary

|  |  |  |  |
| --- | --- | --- | --- |
| **Code** | **Task / Milestone**  | **Target Date** | **Estimated Cost (EUR)** |
| **From** | **To** |
|  | Start of work | 2024-02-05 |  |  |
| T0 | Project Management  | 2024-02-05 | 2025-02-10 | 7.000 |
| T1 | Requirements Analysis | 2024-02-05 | 2024-05-31 | 20.000 |
| T2 | Overview on existing approaches and best practices | 2024-02-05 | 2024-06-28 | 20.000 |
| T3 | An analysis of the shortcomings and necessary additions to comply with the European AI Regulation. | 2024-04-01 | 2024-09-30 | 15.000 |
| T4 | Recommendations for industry and standardization for the design of a harmonized documentation scheme for AI systems | 2024-06-03 | 2025-01-31 | 30.000 |
| MA | Early draft and 1st progress report | MTS#92 | 2024-05-10 | 27.600 |
| MB | Stable draft and 2nd progress report | MTS#93 | 2024-09-09 | 27.600 |
| MC | Final draft and final report | MTS#94 | 2025-01-10 | 27.600 |
| MD | Deliverables published, TTF closed |  | 2025-02-10 | 9.200 |
|  | 92.000 |

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Task/ Mil.** | **J** | **F** | **M** | **A** | **M** | **J** | **J** | **A** | **S** | **O** | **N** | **D** |  | **J** | **F** | **M** | **A** | **M** | **J** | **J** | **A** | **S** | **O** | **N** | **D** |
| T0 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| T1 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| T2 |  |  |  |  |  |   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| T3 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| T4 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| MA |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| MB |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| MC |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| MD |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

# Expertise required

## Team structure

This TTF should be made up of (up to) 5 experts to ensure the following mix of competences, and includes one project leader:

|  |  |
| --- | --- |
| **Priority** | **Qualifications and competences** |
| High | Artificial intelligence and machine learning operational expertise |
| Medium | Test methodology and test specification expertise |
| High | Expertise in the testing of AI and ML-enabled systems |
| High | Knowledge of the European AI Act and associated standardization activities  |
| High | Expertise in the certification, auditing and documentation of industrial systems |
| Medium | Hands-on experience with AI and ML tools |
| High | Organizational and consensus building skills (project leader) |

All participants will have to demonstrate report writing skill and the ability to work in an international environment.

Part IV: TTF performance evaluation criteria

# Performance Indicators

In the course of the activity, the TTF Leader will collect the relevant information, as necessary to measure the performance indicators. The result must be presented in the Final Report.

After the conclusion of the TTF, the Reference Body Chair will report to the D-G on the actual achievement of the performance indicators set in these ToRs. This information will be used to assess further requests from the Reference Body.

The performance indicators must include qualitative and quantitative assessment of the following elements, as applicable:

|  |
| --- |
| **Select relevant Performance indicators applicable for these ToR (X)** |
| Contribution from ETSI Members to TTF work |
| Monthly steering group meetings with the MTS AI working group | x |
| Contributions/comments received from the MTS TB | x |
|  |  |
| **Contribution from the TTF to ETSI work** |
| Contributions to MTS meetings (number of documents / meetings / participants) | x |
| Contributions to other Reference Bodies | x |
| Presentations in workshops, conferences, stakeholder meetings | x |
|  |  |
| **Liaison with other stakeholders** |
| Stakeholder participation in the project (category, business area) | x |
| Cooperation with other standardization bodies |  |
| Potential interest of new members to join ETSI |  |
| Liaison to identify requirements and raise awareness on ETSI deliverables  |  |
| Comments received on drafts (e.g. on WEB site, mailing lists, etc.) | x |
|  |  |
| **Quality of deliverables** |
| Approval of deliverables according to schedule | x |
| Respect of time scale, with reference to start/end dates in the approved ToR | x |
| Comments from Quality review by Reference Body | x |
| Comments from Quality review by ETSI Secretariat | x |
|  |  |

# Document history

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Date** | **Author** | **Status** | **Comments** |
| 0.1 | 2023-08-07 | Jürgen Grossmann,Philip Makedonski,Taras Holoyad,Finn Kristoffersen | Draft | Initial ToR (Part I only) |
| 0.2 | 2023-12-04 | Jürgen Grossmann,Philip Makedonski,Taras Holoyad,Finn Kristoffersen | Draft | Full ToR  |
| 0.3 | 2023-12-22 | ETSI Secretariat | TC approved | Update before IKOM |

Annex I Response to the Request for Proposals
CfE – TTF T038 (REFERENCE BODY MTS / WG AI)

Deadline: 18 January 2024

|  |
| --- |
| **Contractor information \*** |
|  |
| **Contractor name \*:***Indicate the Company/Organization Name* |  |
|  |
| **Contact person for the technical aspects** | **Contact person for Decision on ETSI financial offer to this project (if any)** |
| Title |  | Title |  |
| First name |  | First name |  |
| Last name  |  | Last name  |  |
| Role |  | Role |  |
| e-mail |  | e-mail |  |
| Phone |  | Phone |  |
|  |
|  | **Yes** | **No** |
| Do you or any employee of your Company/Organization hold an elected or appointed position in the Reference Body requesting the TTF T034 creation? | oIndicate in which position:----------------------------------- | o |
| **If you are self-employed candidate:**Do you currently have other contracts in progress with ETSI? | o | o  |

All fields marked with an asterix (\*) are mandatory

**1.1 Introduction**

A short presentation of the technical structure responsible for this activity, e.g.:

* Business area, number of employees, link to WEB site,
* Department(s)/team(s)/experts in charge of the technical activities related to this Project,
* Reference to products/services of your Company/Organization or supporting Member to which the standards developed by this Project will apply,
* Motivation for your Company/Organization or supporting Member to participate in this Project.

**1.2 Proposed approach**

**Proposed contribution to tasks & related cost**

Identify the tasks to which your Company/Organization is proposing to contribute by filling-in the table below:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Tasks No** | **Tasks Description** | **Max Budget Allocated in Euro** | **Amount in Euro (mandatory)** | **% of whole Task (mandatory)** |
| 00 | Project Management | 7 000 | . | . |
| 01 | Requirements analysis | 20 000 | . | . |
| 02 | Overview on existing approaches and best practices | 20 000 | . | . |
| 03 | An analysis of the shortcomings and necessary additions to comply with the European AI Regulation | 15 000 | . | . |
| 04 | Recommendations for industry and standardization for the design of a harmonized documentation scheme for AI systems | 30 000 | . | . |
|  | **TOTAL** | **92 000** |  |  |

**Amount in Euro (mandatory)**: Indicate the price offered for your contribution to the task(s)

**% of whole task (mandatory)**: Indicate to which percentage of the execution of the whole task your offer corresponds

Provide a description of the proposed approach, competences, reference to related activities:

* Explain which part of the task is corresponding to the requested percentage that your Company/Organization will handle,
* Explain the scope that your Company/Organization will cover,
* Explain your approach to the management of the quality and,
* Explain your approach to the management of the risks and their mitigation,
* Describe and justify the proposed costs to achieve this project objectives.

Annex II Terms and Conditions
CfE – TTF T038 (REFERENCE BODY MTS / WG AI)

Deadline: 18 January 2024

**2.1 Submission of Proposals**

All proposals in response to this CfE shall be submitted before the deadline indicated in thisCollective Letter, using exclusively the WEB application on the ETSI Portal at the following address: <https://portal.etsi.org/cfe>.

Proposals shall be composed of Curriculum Vitae of the proposed service providers’ personnel and the Annex I of this CfE duly filled-out.

Proposals that will be partial or incomplete at the deadline will not be accepted.

The Terms and Conditions in this Annex will apply.

**2.2 Modification and Withdrawal of Proposals**

Applicants may, without prejudice to themselves, modify or withdraw their proposal by written request, provided that the request is received by ETSI prior to the due date and time, at the address to which their proposal was submitted. The applicant may submit a new proposal provided that such new proposal is received prior to the deadline for responding which is specified in this Collective Letter.

**2.3 Assessment of Proposals**

The ETSI Director-General, in consultation with the Reference Body Chairman, is responsible for the selection of the service providers that will be contracted to perform this Project work. The ETSI Director-General and the Reference Body Chairman may be assisted by a Selection Panel to assess the applications received and make the final decision.

As per article 1.10.4 of the ETSI Directives, the Director-General may discard proposals that could be identified as creating potential conflict of interest.

The ETSI Secretariat will only communicate to the applicants the result of the selection (accepted or not accepted). Should applicants need more information on the rationale for the selection, they must address a formal request to the ETSI Director-General.

The following evaluation criteria will be applied to all proposals, in order of priority:

* Evidence that the applicant has the necessary structure and expertise to ensure delivery
* Reference to current or previous activities in the specific technical domain of this project
* Critical review of the most efficient way to achieve the objectives in this Project ToR
* Effective proposed approach/methodology for the execution of the tasks
* Implementation schedule
* Clear pricing policy

Compliance with the first two (2) criteria is mandatory.

Proposals that are not considered compliant with these criteria will be discarded.

Priority will be given to technical quality of the proposals. Pricing considerations will be taken into account to ensure that the best value for money is achieved. Compatibility with the maximum budget allocated to this Project will be verified before placing a Service Contract.

Following the assessment process, ETSI reserves the right to grant contracts to other than the cheapest proposals, to accept or reject any offer completely or in part, or to reject all proposals, without providing the reasons. If no offer is accepted, ETSI may decide to abandon the work or proceed in any other manner ETSI may select.

**2.4 IPR and confidentiality Agreements**

The information provided in this CfE, as well as the fact that the applicant has received the CfE, is considered confidential and protected under copyright laws. The applicant may not discuss, share, or use the information in this CfE for any purpose other than the response to this CfE.

ETSI will not disclose the content of any proposals to other applicants or any other party, with the exception of the persons involved in the assessment process described in §2.3 above.

However, ETSI reserves the right to make use of the information provided in this proposal to improve this project definition for the purpose of this CfE or any other manner in which ETSI may decide to proceed to select the service providers.

If successful, the applicant will be required to sign a Service Contract, which includes IPR and Confidentiality clauses aligned with the relevant policies in the ETSI Directives.

**2.5 Preparation cost**

ETSI will not be responsible for any costs or expenses that the applicant may incur in preparing and/or submitting the proposal.

**2.6 Service Contract**

A Service Contract will be proposed to the applicants that will be selected to perform the work.

Details on the Terms and Conditions of this contract can be found on the ETSI Portal, at the following address: <https://portal.etsi.org/STF/STFs/Contracts.aspx>

1. Draft AI Act, 21.04.2021 “REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL LAYING DOWN HARMONISED RULES ON ARTIFICIAL INTELLIGENCE (ARTIFICIAL INTELLIGENCE ACT) AND AMENDING CERTAIN UNION LEGISLATIVE ACTS”, 06.12.2022, http://data.consilium.europa.eu/doc/document/ST-15698-2022-INIT/EN/pdf [↑](#footnote-ref-2)
2. Transparent documentation of quality and quality-related measures for trustworthy AI” relates, among others, to AI Act Article 13. [↑](#footnote-ref-3)
3. ModelCards, https://github.com/huggingface/huggingface\_hub/blob/main/src/huggingface\_hub/templates/modelcard\_template.md [↑](#footnote-ref-4)
4. Data Sheets, https://www.fatml.org/media/documents/datasheets\_for\_datasets.pdf [↑](#footnote-ref-5)
5. IBM Fact Sheets, <https://dataplatform.cloud.ibm.com/docs/content/wsj/analyze-data/factsheets-model-inventory.html?audience=wdp> [↑](#footnote-ref-6)
6. Hugging Face, https://huggingface.co/docs/hub/model-card-landscape-analysis) [↑](#footnote-ref-7)
7. AI Ethics Guideline, Ethics guidelines for trustworthy AI, https://digital-strategy.ec.europa.eu/en/library/ethics-guidelines-trustworthy-ai [↑](#footnote-ref-8)
8. OECD AI Principles overview, https://oecd.ai/en/ai-principles [↑](#footnote-ref-9)
9. If the outcome of this task results into any normative content, then a separate technical specification will be created to capture the normative content. [↑](#footnote-ref-10)
10. If the outcome of this task results into any normative content, then a separate technical specification will be created to capture the normative content. [↑](#footnote-ref-11)
11. https://portal.etsi.org/TB-SiteMap/OCG/OCG-AI-Co-ordination [↑](#footnote-ref-12)