Network of Excellence

NEWCOM#
Network of Excellence in Wireless Communications#

FP7 Contract Number: 318306

WP4.3 – Administrative Management

D43.1
Newcom# Management Book

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<td>CTTC, CNIT</td>
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Abstract

This Document has two main purposes. On one hand, it describes the structure of the NEWCOM# Network of Excellence in Wireless Communications (the Project, or N# for short), the participants, their respective responsibilities and various activities (JPA, joint program of activities). On the other, the handbook also sets out and clarifies the administrative procedures (deliverables, reporting etc.) to be followed by the participants. It is intended that the handbook will evolve with time, and may therefore be updated as the Project progresses.

The N# Handbook can be considered to be both an introductory document to N#, and the official source of information about the project and its participants. As mentioned above, it describes the processes and procedures to be followed by the N# partners and will in many cases refer to standard procedures and documents from the European Commission (EC). This Handbook is an operative instrument to support the consortium partners in their everyday implementation of the project. Should any of the conditions of this Handbook be found in conflict with the EC Grant Agreement (GA) or with the Consortium Agreement (CA), then the conditions of the GA or of the Consortium Agreement shall prevail.

Keywords

NEWCOM# Handbook, Project Management, NEWCOM# Office, Procedures

Authors

<table>
<thead>
<tr>
<th>Full Name</th>
<th>Beneficiary / Organisation</th>
<th>e-mail</th>
<th>Role</th>
</tr>
</thead>
<tbody>
<tr>
<td>Marco Luise</td>
<td>CNIT-PISA</td>
<td><a href="mailto:marco.luise@iet.unipi.it">marco.luise@iet.unipi.it</a></td>
<td>Contributor</td>
</tr>
<tr>
<td>Simona Moschini</td>
<td>CNIT-PISA</td>
<td><a href="mailto:simona.moschini@cnit.it">simona.moschini@cnit.it</a></td>
<td>Contributor</td>
</tr>
<tr>
<td>Carles Antón-Haro</td>
<td>CTTC</td>
<td><a href="mailto:carles.anton@cttc.es">carles.anton@cttc.es</a></td>
<td>Section Editor</td>
</tr>
<tr>
<td>Rosa Martinez</td>
<td>CTTC</td>
<td><a href="mailto:rosa.martinez@cttc.es">rosa.martinez@cttc.es</a></td>
<td>Overall Editor</td>
</tr>
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Reviewers

<table>
<thead>
<tr>
<th>Full Name</th>
<th>Beneficiary / Organisation</th>
<th>e-mail</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hanna Bogucka</td>
<td>PUT</td>
<td><a href="mailto:hbogucka@et.put.poznan.pl">hbogucka@et.put.poznan.pl</a></td>
<td>30/01/2013</td>
</tr>
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The Project NEWCOM# (N# for short) is a Network of Excellence (NoE) under the European Commission (EC) 7th Framework Programme (FP7) eighth call. It is therefore governed by:

- The FP7 rules for participation and dissemination of results;
- The EC Grant Agreement (GA) (sometimes called the contract);
- The N# Network of Excellence Consortium Agreement.

in order of priority.

The parties have agreed to work together exclusively for the implementation of the NoE as established in the Consortium Agreement (CA). The duration of the project shall be 36 months from 01 November 2012 (hereinafter referred to as the “start date” or T0).

The project is divided into reporting periods of the following duration:

- **P1**: from month 1 to month 12
- **P2**: from month 13 to month 24
- **Final**: from month 25 to the end of the project

2

2.1 **PARTNERS**

The partners of the N# NoE are the following:

<table>
<thead>
<tr>
<th>Participant #</th>
<th>Part. full name</th>
<th>Part. short name</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Consorzio Nazionale Interuniversitario delleTelecomunicazioni</td>
<td>CNIT</td>
<td>Italy</td>
</tr>
<tr>
<td>2</td>
<td>Aalborg University</td>
<td>AAU</td>
<td>Denmark</td>
</tr>
<tr>
<td>3</td>
<td>Bilkent University</td>
<td>Bilkent</td>
<td>Turkey</td>
</tr>
<tr>
<td>4</td>
<td>Centre National de la Recherche Scientifique</td>
<td>CNRS</td>
<td>France</td>
</tr>
<tr>
<td>5</td>
<td>Centre Tecnològic de Telecomunicacions de Catalunya</td>
<td>CTTC</td>
<td>Spain</td>
</tr>
<tr>
<td>6</td>
<td>Institute of Accelerating Systems and Applications</td>
<td>IASA</td>
<td>Greece</td>
</tr>
<tr>
<td>7</td>
<td>INOV, INESC Inovação, Instituto de NovasTecnologias</td>
<td>INOV</td>
<td>Portugal</td>
</tr>
<tr>
<td>8</td>
<td>Poznan University of Technology</td>
<td>PUT</td>
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<td>9</td>
<td>Technion</td>
<td>Technion</td>
<td>Israel</td>
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<td>10</td>
<td>Technische Universitaet Dresden</td>
<td>TUD</td>
<td>Germany</td>
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<td>11</td>
<td>University of Cambridge</td>
<td>UCAM</td>
<td>United Kingdom</td>
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<tr>
<td>12</td>
<td>Université Catholique de Louvain</td>
<td>UCL</td>
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<tr>
<td>13</td>
<td>Oulun Yliopisto</td>
<td>UOULU</td>
<td>Finland</td>
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<tr>
<td>14</td>
<td>Technische Universitaet Wien</td>
<td>VUT</td>
<td>Austria</td>
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The partners sign the CA and the GA, and are the beneficiaries of the EC Grant.

2.2 **THIRD PARTIES AND AVAILABLE RESOURCES**

A third party is, by definition, any legal entity which does not sign the EC GA. A subcontractor is a type of third party, but not the only one. Since the implementation of the project is the responsibility of the beneficiaries (who do sign the GA, i.e., the partners above), beneficiaries should have the capacity to carry out the work themselves. Therefore the rule is that the
costs eligible in a project must be incurred by the beneficiaries (the partners). However, in some circumstances the EC accepts in addition to the beneficiaries some third parties whose costs may be eligible.

A third party may contribute to the project in two possible ways:

- making available its resources to a beneficiary (in order for the beneficiary to be able to carry out part of the work)
- carrying out part of the work by themselves.

N# has a number of third parties under the second category above that appear in the so-called Special Clause 10 of the GA:

1. The following third parties are linked to CNRS through Special Clause n. 10:
   - Université Paris Sud
   - Institut Eurecom
   - Ecole Supérieure d'Electricité SUPELEC

2. The following third parties are linked to CTTC through Special Clause n. 10:
   - Universitat Politècnica de Catalunya

The third parties “carrying out part of the work” identified above have the following obligations:

- Their costs have to comply with the rules and the principles mentioned in Article II.14-II.17 of GA, in the same way as the beneficiaries, and must be recorded in their accounts. In other words, the rules related to eligibility of costs, identification of direct and indirect costs and upper funding limits apply to third parties as well. Equally those concerning controls and audits of Article II.22 and Article II.23 of GA.
- Each third party fills in its costs in an individual form C, and where necessary, shall provide its individual certificate on financial statements and/or on the methodology which are different from those of the beneficiary. The beneficiary will submit both forms and a summary report integrating both the costs of the beneficiary and those of its third parties.

As for the first category of third parties, INOV will allocate to the NEWCOM# project some human resources made available to it by Instituto Superior Técnico (IST), on the basis of prior agreement. Under this agreement, Instituto Superior Técnico makes available to INOV a number of members of its staff so that they may participate in the research and development activities carried out by the latter. The human resources are made available to INOV, as a proportion of their full time allocation, to be used at its management discretion and managed by INOV according to its own needs and organization. Since the prior agreement between IST and INOV leaves the assignment of the resources to the discretion of the management of INOV, they should not be considered as made available to participate only in this specific project. Therefore, in accordance with the regulations, the contribution of these resources by IST are eligible costs, should not to be considered as receipts of the project and will be invoiced by INOV in accordance with the cost model used. These resources will be involved in all the tasks that INOV participates.

2.3 ASSOCIATE PARTNERS

NEWCOM# also benefits from the contribution of a number of Associate Partners (APs). Associate Partners are Academic Institutions or Companies that are active in the same research field as the one of NEWCOM#, are not EC beneficiaries under the same Grant, and wish to participate to some extent into the activities of NEWCOM# without receiving any financial support. Two main types of APs are envisaged: Type I, which are those more inter-
ested in conducting dissemination-related activities in collaboration with project partners; and Type II, the main aim of which is to conduct research activities in collaboration with project partners. More specifically:

A Type I Associate Partner, usually a (large) European company, will help the NoE disseminating its own research results towards the European industrial environment and will play an important role in the definition of research objectives. The technology roadmap suggested by such APs will be taken into account by NEWCOM# to possibly steer accordingly its own JPA. Those partners will have access to the scientific publications and deliverables repository of NEWCOM#, and will enjoy preferential rates for the annual conferences, workshops, schools and other events organized by the NoE. Each Type I AP will participate to some dissemination events of the NoE and will be strongly encouraged to directly organize one event at its own premises in order to facilitate the participation of as many people as possible from the surrounding region (e.g., other companies, research centres, etc.).

At the time of proposal submission, the following companies expressed their willingness and commitment to become a Type I AP of NEWCOM#:

<table>
<thead>
<tr>
<th>Network Operators and Broadcasters</th>
<th>Equipment Manufacturers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Telefonica I+D</td>
<td>Thales Communications</td>
</tr>
<tr>
<td>Orange</td>
<td>NEC Labs</td>
</tr>
<tr>
<td>Telecom Italia</td>
<td>Agilent</td>
</tr>
<tr>
<td>Renesas Mobile</td>
<td>SAMSUNG</td>
</tr>
<tr>
<td>AVEA</td>
<td>Intel Mobile Communications</td>
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<th>SMEs</th>
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<tbody>
<tr>
<td>Aeroflex Test Solutions</td>
</tr>
<tr>
<td>Cognovo</td>
</tr>
<tr>
<td>Actix</td>
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<tr>
<td>ITTI</td>
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A Type II AP, usually an Academic or Public Research Institution, will take active part into the research activity of some of the WPs of the NoE without receiving financial support, but with the right to take part into the different WP meetings and initiatives, to have privileged access to documents and deliverables (including possible outcomes of experimental measurement campaigns), to contribute to the writing of deliverables and documentation (including scientific papers), and to be included in the organizing committees of NEWCOM# events. A Research AP will be asked to sign an agreement with the Consortium that will in particular regulate the access/exploitation rights of the IP of joint work, and confidentiality of information acquired by any means during such work.

This categorization into Type I and Type II Associate Partners is strictly internal to the NEWCOM# project.
3.1 **KEY PERSONS**

The key persons in the coordination of NEWCOM# are listed in the following, together with their relevant roles and functions.

3.1.1 **The NEWCOM# Scientific Director (Marco Luise, CNIT)**

The NEWCOM# Scientific Director has the responsibility for the scientific content of the project, including Integration and Spreading of Excellence activities. He chairs the Executive Board and acts as an interface to the Advisory Board (see below) and the European Commission.

3.1.2 **The NEWCOM# Administration and Management Director (Carles Antón-Haro, CTTC)**

The NEWCOM# Administration and Management (A&M) Director has the responsibility for the administration and management of the project, including timely and accurate reporting to the EC, and internal auditing of the partners’ activities. He also manages the NEWCOM# office.

3.1.3 **The NEWCOM# EC Project Officer (Petru Ciudin, EC, DG CONNECT)**

The NEWCOM# Project Officer is the liaison of the project with the European Commission. He transmits and receives all communications from the N# Directors, and coordinates the annual Project Reviews.

3.1.4 **Vice-Directors for Research (Pierre Duhamel, CNRS, Roberto Verdone, CNIT)**

Two Vice-Directors for Research are responsible for the continuous monitoring of activities performed within the research WP’s and coordinate all such activities, with the aim to create the highest possible level of synergy between the various WPs. They identify possible gaps and needs for manpower re-distribution, or inclusion of new partners. Each Vice-Director specifically deal with a thematically homogeneous set of research WP’s (Track 1 and Track 2, respectively).

3.1.5 **Head of Integration and Spreading of Excellence (Luis Correia, INOV)**

The I&S Head is responsible for the continuous monitoring of the Integration and Spreading of Excellence activities under N#'s Track 3. The aim is to create the highest degree of integration for the different NoE activities, and to give the highest visibility to the outside world of the NEWCOM# activity and scientific prominence. His presence in the Executive Board (see below) also ensures close coordination with the Joint Research Activities.

3.1.6 **NEWCOM# Local Scientific Representatives**

One local representative per partner acts as an interface between the diverse NEWCOM# consortium bodies (in particular with the NEWCOM# Office) and the group of local researchers/PhD students. He/she monitors the local research activities, broadcasts locally the information received from the central bodies in a timely manner, and generally takes care of timely and accurate reporting. In essence, the local representative is responsible for all local scientific operations. As a rule, this person is the same as the partner’s representative in the General Assembly (see below) in order to avoid overlapping and/or conflicting responsibilities.
Further details on and the names of the Local Scientific Representatives can be found in http://www.newcom-project.eu.

### 3.1.7 NEWCOM# Local Administrators

Each partner in the network also appoints an administrative contact person with whom the NEWCOM# Office maintains regular contacts, primarily through e-mail, and when appropriate through telephone calls and videoconference. The Local Administrator, with the cooperation of the above-mentioned Local Scientific Representative, prepares Periodic Activity Reports and Cost Statements for the NEWCOM# Office in order to facilitate effective monitoring of the progress of the project. As a rule, the local administrator is not the same person as the Local Scientific Representative.

### 3.2 Consortium Bodies

The key bodies that steer and manage the NoE are now listed, together with their relevant roles and functions.

#### 3.2.1 NEWCOM# Coordinator

Consorzio Nazionale Interuniversitario delle Telecomunicazioni (CNIT) will be the Coordinator of NEWCOM#, in charge of almost all the management activities. It has a wide experience in coordinating European Projects, and, was one of the main partners of NEWCOM++.

#### 3.2.2 General Assembly

The General Assembly (GA) is formed by a representative from each partners, it makes strategic decisions about the network life and meets once a year to approve the budget and the yearly update of the JPA.

#### 3.2.3 Executive Board

The Executive Board (EB) is the top operational body where decisions are taken and the consequent actions are planned, both at the scientific and at the management level. The EB is chaired by the Scientific Director and takes strategic decisions on the activities to be undertaken and on the distribution of funds among the various activities/partners. In particular, it approves the annual Joint Programme of Activities prepared by the Scientific Director with the help of the Vice-Directors for research, and by the Head of Integration and Spreading of Excellence activities. Individual programmes are revised and integrated into the draft JPA, which is then discussed with the Advisory Board for final revision and approval. The EB also receives data from the auditing and quality control WP’s and takes the necessary actions where needed.

The Executive Board is aided in the implementation of the necessary actions by the NEWCOM# office and meets physically or virtually (via videoconference) several times a year. Members of the EB are the two NEWCOM# Directors (M. Luise, C. Anton-Haro), the Head of Integration and Spreading of Excellence (L. Correia), the Vice-Directors for research (P. Duhamel, R. Verdone), Hikmet Sari (SUPELEC), nominated by the Scientific Director with the function of liaison with external companies, and two more members elected by the General Assembly during the Kick-Off meeting in the persons of Hanna Bogucka (PUT) and Pawel Kryszkiewicz(PUT), the latter as a representative of Early-Stage Researchers in the Network for year 1.

#### 3.2.4 Advisory Board

The Advisory Board (AB) is formed by the two NEWCOM# Directors plus 4 representatives of the Wireless communications international research community, with emphasis on industry participations. The AB will be chaired by Prof. Sergio Benedetto, Professor Emeritus at the Politecnico di Torino. The AB provides evaluation of the JPA, of the annual activity reports and of the main scientific deliverables. The AB will meet twice during the lifetime of the pro-
ject, for instance in occasion of the NEWCOM# Annual Conference. A fundamental role of this AB will be played by major representatives of the wireless communication industry such as those taking part in this NoE as Associate Partners (see Section 3.3). The reason for this is that the academic world is already well represented in NEWCOM# through its partnership.

3.2.5 NEWCOM# Office
Under the leadership of the A&M Director, the NEWCOM# Office in the persons of Simona Moschini from CNIT and Rosa Martinez from CTTC, supports all partners in their A&M tasks and oversees implementation of the Joint Programme of Activities. In particular, this body takes care of:

- The maintenance of the infrastructure (development of auditing mechanisms, circulation of guidelines and provision of training) for the administration of the project;
- The coordination of (but not scientific input into) the technical activities of the network;
- The support of the Joint Programme of Activities, ensuring that milestones are accomplished and troubleshooting potential problems;
- The overall legal, contractual, ethical (if any), financial and administrative management of the network;
- The timely and accurate reporting on network activities to the European Commission;
- The management and updating of the Consortium Agreement between the partners;
- The provision of project management support to each individual NEWCOM# Work Package and partner;
- The provision of administrative and project management support to the Executive Board, the Advisory Board, and the NEWCOM# Directors;
- The support of the meetings of the project’s bodies (preparation, agenda, support during the meeting, circulation of minutes, presentations and proceedings);
- The organisation of (physical and virtual) conferences and seminars on NEWCOM# topics of interest, open to the wider public;
- The support and development of the project’s Internet presence;
- The coordination at network level of the exchange of researchers and doctoral students within the network;
- The coordination at network level of knowledge management and other innovation-related activities;
- The promotion of gender equality in the network.
3.3 GENERAL ORGANIZATION

The overall organization of activities in NEWCOM# is shown in Figure 1 above. The Joint Program of Activity (JPA) is articulated into four tracks: Theoretical Research (Track 1); European Lab of Wireless Communications for the Future Internet - EuWin (Track 2); Training Dissemination and Human Capital (Track 3), and Management (Track 4), as shown in Fig. 1. Tracks 1 and 2 will host the so-called set of Integrated Core Research Activities. By this we mean that research activities themselves will be instrumental in what concerns the actual integration of project partners. This was one of the main lessons learnt in NEWCOM++: the development of common libraries, databases, etc. is helpful but, doubtless, a carefully selected set of research activities which are i) relevant from a scientific and technological point of view; and ii) matched to partners’ skills and interests is the main ingredient towards research integration. Therefore, particular emphasis will be paid to integration through research activities, that is, the one under Tracks 1 and 2. Track 3 is mostly devoted to Spread of Excellence activities and, to some limited extent, non-research based Integration tools (since, as explained above, priority is given in general to integration-through-research). Finally, the three management Work Packages in Track 4 (WP 4.1-3) will ensure the interaction and proper functioning of the network in terms of guaranteeing scientific excellence and proper management (including one task devoted to promoting the results of the network and its sustainability).

The consortium bodies of NEWCOM# and the flow of information/decision through them as governed by the relevant NEWCOM# procedures described in the sections above are shown in Fig. 2.
4

4.1 OVERALL PROJECT BUDGET

Table I shows the EC contribution per partner and the total EC contribution, as well as the split into RTD, Management, Other cost categories.

As shown in Table I, the overall budget of the project is Euro 5,550,980.
4.2 PAYMENTS

The total grant for the project is 2,845,999 €. The first pre-financing calculated by the EC amounts to 1,517,866 € according to the FP7 Financial Guidelines (c.f. “160% of the average EU funding per period”). The first reporting period covers 1/3 of the project, so the due pre-financing is equal to roughly 160% · 0.33 = 53.3%.

The amount of 5% of the total grant (142,299€) has been retained from the pre-financing, and has been allocated to the Guarantee Fund by the EC (see Grant Agreement), but it has to be considered as available to the project.
Therefore the First payment made by the EC to the coordinator amounts to 1,375,567 € (1,517,866 - 142,299). This payment stands for 48.3% of the total grant. The fraction of 15% of this amount (206,335 €) shall be retained by the project coordinator as a security margin to be paid to the consortium at the end of the 1st year. Therefore, a total amount of 1,169,232 € (1,375,567 - 206,335) will be paid to partners as shown in Table II.

At the end of each reporting period (year), a cost statement (as resulting from all partners’ forms C) is submitted to the EC. If the cost is accepted, an interim payment of the same amount is done by the EC. The total amount to be paid is anyway checked against the so-called 90% ceiling: if the payment to be done raises the total received amount to more than 90% of the requested EC contribution as in Table I, then such payment will be “capped” in order to reach exactly that 90% maximum. This applies to any payment at the end of each reporting period. The remaining 10% is possibly paid after the project is finished and the costs are all accepted. At the end of the project, the 5% guarantee fund (already spent and claimed by the project) is also recovered (irrespective of the final accepted costs).

The Handbook will be updated at the end of each reporting period with the status of expenditures and payments for each partner.

<table>
<thead>
<tr>
<th>Partner</th>
<th>Total Grant</th>
<th>First Payment</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. CNIT</td>
<td>732,116</td>
<td>300,777.84</td>
</tr>
<tr>
<td>2. AAU</td>
<td>120,602</td>
<td>49,547.35</td>
</tr>
<tr>
<td>3. Bilkent</td>
<td>122,497</td>
<td>50,325.88</td>
</tr>
<tr>
<td>4. CNRS</td>
<td>470,632</td>
<td>193,351.43</td>
</tr>
<tr>
<td>5. CTTC</td>
<td>358,167</td>
<td>147,147.03</td>
</tr>
<tr>
<td>6. IASA</td>
<td>118,669</td>
<td>48,753.21</td>
</tr>
<tr>
<td>7. INOV</td>
<td>113,281</td>
<td>46,539.64</td>
</tr>
<tr>
<td>8. PUT</td>
<td>112,025</td>
<td>46,023.63</td>
</tr>
<tr>
<td>9. Technion</td>
<td>104,312</td>
<td>42,854.87</td>
</tr>
<tr>
<td>10. TUD</td>
<td>113,272</td>
<td>46,535.94</td>
</tr>
<tr>
<td>11. UCAM</td>
<td>104,055</td>
<td>42,749.29</td>
</tr>
<tr>
<td>12. UCL</td>
<td>118,481</td>
<td>48,675.97</td>
</tr>
<tr>
<td>13. UOUULU</td>
<td>124,485</td>
<td>51,142.62</td>
</tr>
<tr>
<td>14. VUT</td>
<td>133,405</td>
<td>54,807.25</td>
</tr>
<tr>
<td>TOTAL</td>
<td>2,845,999.00</td>
<td>1,169,231.95</td>
</tr>
</tbody>
</table>

Table II: Allocation of first payment to partners

5

5.1 Main Procedures

5.1.1 Preparation and approval of the annual Joint Program of Activities (JPA)

The Joint Program of Activities (JPA) included in the proposal will provide the framework for all NEWCOM# activities for the whole duration of the project. However, in order to allow for a dynamic planning of activities, the JPA will be revised and further specified in its objectives on an annual basis, if required. To be specific, the WP leaders, with the help of the Vice-
Directors for research and the Head of Training, Dissemination and Human Capital will prepare, by the end of each year and on occasion of the project Annual Review, a revised draft JPA, together with a revised budget. All these draft proposals will be collected by the NEWCOM# Office and presented to the General Assembly for approval. The resulting approved JPA will be made public to all partners on the NEWCOM# portal.

5.1.2 Revision of the JPA

As stated above, the updating of the Joint Program of Activities is foreseen on an annual basis. In the unlikely event of a modification to the JPA being necessary above and beyond this timetable, the relevant Vice-Director for Research will submit a change notice to the NEWCOM# Directors, who will consult with the Executive Board for approval. The same procedure will apply to changes for the Training, Dissemination and Human Capital activities and, also, Management activities, and to any new activities not foreseen at the beginning of the year.

5.1.3 Inclusion of a new partner

In case that the evolution of activities requires the addition of new partners not already present in the Consortium, there will be an invitation to these specific Institutions possessing the proper needed skills. This invitation is to be approved by the General Assembly internally to the Consortium, following a proposal by the Executive Board. Any increase in the number of members of the NoE will not involve an increase in funding from the European Commission. It will have to be accommodated within the agreed budget.

5.1.4 Inclusion of a new associate partner

Once an informal request to join as an associate partner from an external Institution is received by any N# member, such Institution will be requested to select between the roles of research or dissemination, and to issue a formal request to the Project Office (form available on the N# portal). All requests will be examined by the EB which is to decide whether the prospective member can contribute to, as well as benefit from, the research objectives of the Project.

Formal requests for the inclusion of new Type I APs (dissemination) will be directly approved, if appropriate, by the EB. Formal requests for the inclusion of new Type II APs (research) will be submitted, if appropriate, to the General Assembly for possible approval.

5.2 Communication procedures

The primary means of communication between all partners is e-mail. Information may be exchanged within the Project in any way that is appropriate for the type of information and the time available. Fax is used only in case of e-mail problems, and phone calls are typically used to discuss practical details (as in the organization of meetings and workshops), in case of urgency/emergency, or in case of email failure. Videoconferencing will also be used as a tool for remote management and research meetings.

The communication "protocol" is the following:

1. Acknowledgement of receipt (AOR) of any message is due immediately upon receipt, independently of actual reply. In case of missing AOR the message will be re-sent, and if necessary repeated by fax.
2. When a document of general interest is discussed, questions and modifications shall be copied to the WP Leader.
3. In case of objection to a proposal, document, etc., the objection has to be positive: i.e. it is valid only if it includes a proposal for a suggested change of the item.
Any official request to the relevant services of the European Commission should go through
the Project Coordinator. Each Partner shall inform the Project Coordinator of relevant com-
munications it receives from third parties in relation to the NoE.

5.2.1 Common communication standards - Word, Excel etc

All information that is electronically exchanged within the Project should be in a format that
can be read by any mainstream computer operating system (DOS/Windows, Linux, MacOS,
iOS). Large files should be compressed. All electronic data should be exchanged using either
e-mail, FTP or any other permanent support.

The information management plan is based on the following rules:

- Documents should be written using Microsoft Word, LaTeX or a similar package. If a
document requires the input of more than one partner, care should be taken to en-
sure compatibility of document formats between the partners involved.
- Work documents or anticipation of formal documents will be exchanged using
e-mail, preferably, the download section of the portal. The latter is divided into a
public area (used to make available to all members and to external users material of
general interest) and reserved areas protected by a user name and a password as-
signed to each N# researcher.
- Management documents to be submitted to the Coordinator should be submitted as
Word, PDF, or excel files.
- Published documents will be available on the portal in portable document format
(.pdf), PowerPoint (.ppt) or PostScript (.ps)
- Each document shall be verified before making it available via the information system
- Formal documents shall have an unambiguous identification code
- Documents shall be stored in a manner that protects restricted information against
foreseeable hazards

5.2.2 Communications related to technical activities

Communications related to technical activities shall be addressed to the WP Leader of those
activities. Any problems encountered in the execution of the project should be reported at the
earliest opportunity to the Scientific Director, Marco Luise (marco.luise@iet.unipi.it) or to the
A&M Director, Carles Anton-Haro (carles.anton@cttc.es). They, if necessary, will forward it to
the European Commission’s Project Officer. The WP Leader will receive a copy of the Euro-
pean Commission answer as soon as it is received by the Director(s), and the WP Leader
will possibly forward the answer to the relevant partners.

5.2.3 Mailing lists

The following mailing lists have been created for their use by project partners:

- project_office@newcom-project.eu
- executive_board@newcom-project.eu
- sci_contacts@newcom-project.eu
- admin_contacts@newcom-project.eu
- all_newcom@newcom-project.eu
- wpXY@newcom-project.eu (e.g., wp12@newcom-project.eu)
- wpleaders@newcom-project.eu
- associate_partners@newcom-project.eu

The recipients in each mailing list can be easily inferred from its name.

5.2.4 NEWCOM# Portal

The NEWCOM# website is being developed by the CTTC. The site is organized according to
the project structure (work packages, activities and partners involved) in order to allow part-
ners to be constantly updated on the progress of activities. It is accessible at the link URL http://www.newcom-project.eu and is organized in the form of a portal. The portal acts as the online reference point for daily researchers' activities and interests, in particular:

1. allowing members to stay updated with events and news from the scientific, academic and industrial research world;
2. hosting information and services for other NoE’s activities (Open Positions);
3. allowing the upload, search and retrieval of documents, materials and products coming from the NoE and its members,
4. facilitating the test of other tools to be implemented later in the NoE (e.g. the video-conference tool)

The portal also fulfils other ‘traditional’ requirements for a NoE website:

1. allowing members to exchange restricted documents, data and materials within the NoE;
2. showcasing the NoE, its activities and public results to the external scientific community;
3. serving as an interface towards the EC, for the delivery of due reports and documentation, and for the provision of indicators of the attained level of integration.

The Project Coordinator will set up a management section on the portal to deal with all management, administrative and reporting issues. Any information or need concerning the NoE portal has to be addressed to the WP3.6 leader, Riccardo Cappone (riccardo.cappone@cnit.it).

Once online, the maintenance will be carried out by the Coordinator, and the Project Office will help all researchers in NoE in relation with material contributions.

5.2.5 Use of Logo (NEWCOM#, FP7)

The NEWCOM logo should be used in all publications, internal and external documents, and public presentations directly related to, or resulting from, the project. The “Framework 7 Program” logo must also appear in all publications, and all publications must also acknowledge the support of the European Commission with the following sentence: “This work was supported by the European Commission in the framework of the FP7 Network of Excellence in Wireless COMmunications NEWCOM# (contract n.318306)”

5.3 MEETINGS

5.3.1 Formal Reviews with the Commission

Project reviews will be organized by the Commission, normally at the end of each year, to assess the work carried out during the relevant reporting period. The venue may be in Brussels, or in other locations according to circumstances, and will normally take one or two days. The review meeting is attended by the Project Coordinator and by some selected partners responsible for the work-packages progress. The review may be carried out by the Commission services alone, or, as is often the case, by the Commission services with the support of external experts appointed by the Commission. If external experts are used in the process, their names will be communicated to the consortium beforehand, with the right to make (well-founded) objection to any particular individual proposed on grounds of confidentiality.

The outcome of the review will be communicated in written form to the Project Coordinator. This may include technical and/or management recommendations to be taken into account in the project’s planning for the work of the next period.
5.3.2 Concertation and Cluster Meetings

In order to ensure coherence of the work within the specific FP7 program and its relevance in worldwide developments, the partners might be required to participate in periodic cross-dissemination meetings together with other related projects.

Jossy Sayir with the cooperation of all N# partners participates in the activities organized in the framework of the “Radio Access and Spectrum Management” (RAS) FP7 cluster with the role of co-chair. If required a specific area on the N# portal can be maintained for the peruse of the RAS cluster. The cluster offers advice and guidance and receives information relating to the “Network of the Future” program implementation, standards, policy and regulatory activities, national or international initiatives, etc.

The project participants also commit to support the organization of an annual conference (e.g. Future Networks and mobile Summit) if requested by the EC, by providing papers, participating in the technical program committee, chairing sessions, etc.

5.3.3 Project Meetings

In order to better identify the scope of the meetings, the following items should be indicated:

- Date: planned or actual date of the meeting
- Place: meeting venue
- Status:
  - INTERNAL for (some or all) project partners only (the EC may be invited);
  - CLOSED for (some or all) project partners and Commission only;
  - OPEN to external participants;
  - CONCERTATION for various representatives from different Sectors or from other projects;
  - MANAGEMENT for Consortium Bodies meetings (the EC may be invited).
- Description: summary of the purpose of the meeting

The periodicity of meetings is indicated in Section 3.2. WP meetings are under the responsibility of WP leaders. Videoconference meetings can be organized whenever relevant management or technical issues appears in the progress of the project. These meetings may involve only a part of the consortium and will be carried out with the specific tool SCOPIA.

The chairperson of a Consortium Body shall give notice in writing of a meeting to each Member of that Consortium Body as soon as possible and no later than the minimum number of days preceding the meeting as specified in Table III.

<table>
<thead>
<tr>
<th>Consortium Body</th>
<th>Ordinary meeting</th>
<th>Extraordinary meeting</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Assembly</td>
<td>30 calendar days</td>
<td>15 calendar days</td>
</tr>
<tr>
<td>Advisory Board (AB)</td>
<td>14 calendar days</td>
<td>7 calendar days</td>
</tr>
<tr>
<td>Executive Board (EB)</td>
<td>14 calendar days</td>
<td>7 calendar days</td>
</tr>
</tbody>
</table>

Table III – Preliminary notice time for meetings

5.3.4 Agenda

The chairperson of a Consortium Body shall prepare and send each Member of that Consortium Body a written (original) agenda no later than the minimum number of days preceding the meeting as indicated below. Further details in the Consortium Agreement.

<table>
<thead>
<tr>
<th>Consortium Body</th>
<th>Ordinary meeting</th>
<th>Extraordinary meeting</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Assembly</td>
<td>21 calendar days</td>
<td>10 calendar days</td>
</tr>
<tr>
<td>Advisory Board (AB)</td>
<td>7 calendar days</td>
<td>3 calendar days</td>
</tr>
<tr>
<td>Executive Board (EB)</td>
<td>7 calendar days</td>
<td>3 calendar days</td>
</tr>
</tbody>
</table>

Table IV – Circulation of meeting agendas.

1 EC decision pending.
5.3.5 Voting rules and quorum

Each Consortium Body shall not deliberate and decide validly unless a quorum two-thirds (2/3) of its members are present or represented (quorum).

Each member of a Consortium Body present or represented in the meeting shall have one vote. Defaulting Party members may not vote.

Decisions shall be taken by a majority of two-thirds (2/3) of the votes, except for decision regarding termination of contract of a Defaulting Party, or budget reallocation within the Project, that shall be taken by a majority of three-fourths (3/4) of the votes.

A Member which can show that its own work, time for performance, costs, liabilities, intellectual property rights or other legitimate interests would be severely affected by a decision of a Consortium Body may exercise a veto with respect to the corresponding decision or relevant part of the decision (within 15 calendar days after receipt of the minutes of the relevant Consortium Body).

In case of exercise of veto, the Members of the related Consortium Body shall make every effort to resolve the matter which occasioned the veto to the general satisfaction of all its Members.

5.3.6 Minutes of meeting

The Chairperson of a Consortium Body shall produce written minutes of each meeting which shall be the formal record of all decisions taken. He/she shall send the draft to all members of the Body within 10 calendar days of the meeting. The minutes shall be considered as accepted if, within 15 calendar days from sending, no member has objected in written form to the chairperson with respect to the accuracy of the draft of the Minutes. After the approval the minutes will be uploaded on the project portal. Further details on rules for meetings are included in the Consortium Agreement.
5.4 Monitoring Partner Activity (MPA)

At the overall NoE level, the Network Performance in the scientific activities (research WPs, Track 1 and Track 2) will be ensured by the Scientific Director with the help of the Vice-Directors of Research (Pierre Duhamel, CNRS, Roberto Verdone, CNIT) and the Advisory Board. On the other, the effectiveness of Training, Dissemination and Human Capital WPs (Track 3) will be monitored by the Executive Board under the coordination of the corresponding Track Leader (Luis Correia, INOV).

Instrumental to such continuous monitoring will be the reports and documentation produced on a quarterly basis and the deliverables produced by the various Work Packages (see Section 6.1 ahead, for details). Complementarily, the Monitoring Partner Activity (MPA) procedure will facilitate the assessment of individual partners’ performance and, in particular their progress towards integration and their scientific excellence.

The MPA procedure is based on the periodic collection of a number of both quantitative and qualitative. A non-exhaustive list of quantitative performance indicators encompasses:

- Number of joint publications: in books, journals, or conference proceedings.
- Number of PhD students attending NEWCOM# PhD courses and summer/winter schools
- Number of hosted researchers and duration of the stays
- Number of jointly supervised PhD students
- Number of NEWCOM#-originated special issues on international journals
- Number of NEWCOM#-organized special sessions at major international conferences
- Number of summer/winter schools

The keyperson in the EB for MPA issues, R. Verdone, with the cooperation of WP leaders, will also use specific procedures at the end of each reporting period based on quantitative and qualitative performance indicators to come to an evaluation of the adequacy of the declared effort of each partner to the attained objectives, and its conformity to the planned JPA.

5.5 Emergency Procedure

Any event which shall put in danger the overall completion date of the project should be reported immediately to the Project Coordinator. The Project Coordinator will endeavor to resolve the issue. If this is not possible, the Project Coordinator will call an Executive Board Meeting.

Any issue that endangers the success of the Project shall be notified to the EC Project Officer as a Red Flag.

6

6.1 Progress Monitoring and Reporting

Progress monitoring of network activities will be conducted at three different time scales: every three months, six months, and yearly. More specifically,

1) Every three months:

- Each Partner, including Third Parties, prepares a Cost Statement outlining its own expenditure related to the work which has been performed. Cost statements will be cumulative for each Reporting Period (year). This means that the report for the cur-

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2 At the time of producing this deliverable (January 2013) the set of Key Performance Indicators is still under discussion.
rent 3-month period is added to the same document produced for the previous 3-month period. This facilitates the preparation of the Quarterly Management Report (see below) and the overall Project Annual Report to be submitted to the EC services for review.

- **Work Package Leaders only** prepare a very short WP Activity Report which outlines the technical progress within the respective Work Package
- From the content of the Activity Reports and Cost Statements, the Coordinator prepares the Quarterly Management Report (QMR). QMRs will normally be delivered to the EC services (Project Officer) within four weeks after the end of the three-month period.

<table>
<thead>
<tr>
<th>Period</th>
<th>Period covered</th>
<th>Internal deadline for the preparation of QMRs</th>
<th>Delivery of QMRs to EC services</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1 Nov 2012 – 31 Jan 2013</td>
<td>21 Feb 2013</td>
<td>28 Feb 2013</td>
</tr>
<tr>
<td>2</td>
<td>1 Feb – 30 April 2013</td>
<td>21 May 2013</td>
<td>31 May 2013</td>
</tr>
<tr>
<td>6</td>
<td>1 Feb – 30 April 2014</td>
<td>21 May 2014</td>
<td>31 May 2014</td>
</tr>
</tbody>
</table>

Conformance with this timetable of regular monitoring and reporting is essential to ensure that potential issues/problems within the diverse activities of the NoE can be identified and resolved.

2) **Every six months:**

- All partners, including Third Parties, prepare an Activity Report which includes the technical progress towards objectives per WP. Activity Reports will be cumulative for each Reporting Period (year).
- Each partner delivers the MPA-related information (3rd parties included) to the Project Office. Again, MPA-related information will also be cumulative for each Reporting Period (year)

3) **In addition, on a yearly basis:**

- A NEWCOM# Annual Activity Report and an Annual Management Report are issued, with the aim of presenting the major NoE achievements to the EC annual Audit (review) meeting
- The Monitoring Partner Activity (MPA) procedure described below these lines will be run. The goal is to assess the performance of individual partners, their continued excellence in the various technical activities, their contributions towards the overall NEWCOM#'s objectives and, in particular, towards integration. The MPA procedure will be the tool allowing budget reallocation to partners.

In all cases, the Project Office will timely inform Partners about the need to submit the required documentation. The submission deadline will normally be the end of the current period (3-month, 6-month, or 12-month). Reporting templates are available on the Project portal and are attached to the Handbook as Annex I.
6.2 Reports to Commission Services

Project Reports (QMR, annual reports) are delivered to the Commission by the Coordinator from the start of the Contract. Their format and content are dictated by the EC in specific reporting guidelines available on the N# portal. Project reports substantiate the cost statements, which they accompany and which cover exactly the same period. These allow the Project Officer at the Commission in the first instance to confirm that the claimed effort is in line with the work carried out, and that the other costs (meetings, equipment, etc.) are conformant to the claimed effort and with the JPA. Project reports should also contain sufficient information on deliverables produced to monitor the results of the project during the reporting period. The report should include an assessment of technical options and a rationale for those selected, plus information on dissemination, concertation, etc. Where significant milestones have been reached a narrative should be included. Project Reports will be made available to all partners through the project portal.

6.3 Deliverables

Each deliverable is prepared by a WP under the responsibility of an Editor appointed by the WP leader, and must undergo an internal, formal Deliverable Review. The Deliverable Review may be performed as:

- a single review by one person of the document to check contents, layout, and general quality
- a serial or parallel review by individuals, each assigned particular aspects of one or more documents
- a result of a meeting attended by designated individuals.

Each deliverable will be evaluated by:

- the work package leader, then
- the N# A&M Director (if administrative, Track 4), the N# Scientific Director (if technical, Tracks 1, 2 and 3), or the Executive and/or Advisory Board (where appropriate)

The selection of individuals to participate in a Deliverable Review is based upon:

- possession of the skills necessary to undertake the identified role
- impartiality (e.g. not the author of the deliverable)
- availability
- geographical location (for meetings)

Where the deliverable is a scientific/technical document (Tracks 1, 2 3), the final draft of the deliverable will be provided to the N# Directors and the N# Officer 15 days before the due date of the deliverable in order for the comments of relevant Executive Board and Advisory Board members to be taken into account in the final deliverable submission. The cycle of internal review is left to the responsible Editor and the WP leader the deliverable refers to. Some fundamental research deliverables will have to be checked by the Advisory Board. For such documents the draft submission deadline will be possibly anticipated wrt the 15 days advance as above.

6.4 Document Management

6.4.1 Document Numbering

Each version of a document shall be given an issue number, in the form of ‘n.m’, where ‘n’ and ‘m’ are integers. The first formal version of a document shall be issue 1.0, however drafts for comments may be described as issue 0.1, 0.2, 1.1 etc. Formal re-issues of the
same document shall increment the value of ‘n’ by 1 and set the value of ‘m’ to 0, for example draft issue 1.3 shall become formal issue 2.0 and so on. Draft versions between formal re-issues should increment the value of ‘m’ by one, leaving the value of ‘n’ unchanged, for example formal issue 2.0 shall become draft issue 2.1 and so on.

Every issue number for a given document shall be unique. All amended documents shall be re-issued in full.

**6.4.2 Document Cover Sheet**

A standard cover sheet for deliverables is available on the Project portal embedded into the corresponding deliverable template. All document cover sheets shall contain at least the following information:

### Document Information

<table>
<thead>
<tr>
<th>Document ID:</th>
<th>DXY.Z</th>
</tr>
</thead>
<tbody>
<tr>
<td>Version Date:</td>
<td>February 12, 2013</td>
</tr>
<tr>
<td>Total Number of Pages:</td>
<td>42</td>
</tr>
</tbody>
</table>

**Abstract**

<Insert abstract here. A short text (10–15 lines) summarizing the nature and content of the document. It may contain several paragraphs.>

**Keywords**

<Insert keywords here which could be used by automatic tools (e.g. Web Search Engines) to provide a summary of the document.>

### Authors

**IMPORTANT:** The information in the following two tables will be directly used for the MPA (Monitoring Partner Activity) procedure. Upon finalisation of the deliverable, please, ensure it is accurate. Use multiple pages if needed. Besides, please, adhere to the following rules:

- **Beneficiary/Organisation:** For multi-party beneficiaries (CNIT) and beneficiaries with Third Parties (CNRS and CTTC), please, indicate beneficiary and organisation (e.g., CNIT/Pisa, CNRS/Supelec).
- **Role:** Please, specify: Overall Editor / Section Editor / Contributor.

<table>
<thead>
<tr>
<th>Full Name</th>
<th>Beneficiary / Organisation</th>
<th>e-mail</th>
<th>Role</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Reviewers

<table>
<thead>
<tr>
<th>Full Name</th>
<th>Beneficiary / Organisation</th>
<th>e-mail</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
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<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
6.4.3 Document History

Each document, whenever issued more than once, shall include a table describing the document history. There shall be one entry per issue. In each new issue, this table shall list all previous issues of the document, the date they were issued, and a comment about the new issue, as in the following example entry for issue 3.0 of a document:

<table>
<thead>
<tr>
<th>Issue</th>
<th>Date of Issue</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

In the case of a document being withdrawn, the document history table shall contain an entry for the withdrawn issue, including details of why the document was withdrawn. The issue number in the table shall be followed by a ‘W’ character to signify ‘Withdrawn’. If the contents of the document have been included in another document, the new document reference shall be included in the document history table, so that the document can be traced.

6.4.4 Deliverable Definition and Template

In general, formal written deliverables for the Project shall be produced using a common structure defined by the Executive Board for ease of reference and consistency across the project. Templates are available on the N# portal and are attached to this Handbook as Annex II.

6.4.5 Publications check

Partners wishing to make a publication of results under the project will state that the publication is a result of the project as in Section 5.2.5. A copy of the abstract or publication manuscript will be provided to the Webmaster to be posted on the portal at least 30 days before submission. Other partners can comment on the content and conclusions, and may ask for proprietary confidential information to be removed. These comments must be provided as soon as possible and at the latest before the planned date of publication. In particular, this subject is regulated by Art. 8.3.1 of the Consortium Agreement: “Dissemination activities including but not restricted to publications and presentations shall be governed by Article II.30 of the Grant Agreement. A Party may object to the publication within twenty (20) days from receipt of the data. The Party objecting a publication has to show that its legitimate interests in relation to its Foreground or Background will suffer disproportionately great harm and shall include a request for necessary modifications. The Parties agree that no publication should be delayed unreasonably.

Project partners or the Commission may object to the publication if they consider that the protection of their Knowledge would be adversely affected. This objection must be provided within 30 days of the document appearing on the portal.

7

7.1 Report type

Two types of financial reporting are required to all partners:

Annual Cost Claims

At the end of each reporting period (12 months) each partner is required to fill in the Form C (Financial Statement). The EC format for form C will be available on the project portal.
Quarterly Cost Statements
In order to closely monitor each partner’s activity and to run MPA procedures as in 6.4, every three months each partner is required to provide the N# Office with the details of effort and costs related to the relevant period. To this purpose, an internal financial report template (see Annex I) is available on the N# portal to be filled in by each partner. In these tables, the partners indicate the effort spent and the expenses incurred during the relevant reporting period, by cost item and by WP.

7.2 General Principles of Financial Reporting

7.2.1 Eligible Costs

An eligible cost is a cost that is:
- Actual (real cost, no estimates, averages etc)
  - NB - A partner may opt to declare average personnel costs if consistent with the management principles and usual accounting practices and if based on a certified methodology approved by the Commission
- incurred by the partner
- incurred during the duration of the project
- in accordance with the usual accounting practices of the partner
  - NB - Although the participants have the freedom to use their usual accounting principles, it does not mean that they have the freedom to create specific accounting principles for FP7.
- used for the sole purpose of achieving the objectives of the project and its expected results, according to the principles of economy, efficiency and effectiveness (best value for money in terms of the objectives achieved)
- recorded in the accounts of the partner
- indicated in the estimated overall budget in Annex I

The following costs shall be considered as non-eligible and may not be charged to the project:
- identifiable indirect taxes including VAT
- duties
- interest owed
- provisions for possible future losses or charges
- exchange losses, cost related to return on capital
- costs declared or incurred, or reimbursed in respect of another EC project
- debt and debt service charges, excessive or reckless expenditure

7.2.2 Upper Funding Limits

In NEWCOM#, only three types of activities can be claimed:
- RTD activities
- Other activities
- Management activities

RTD activities will be funded up to (according to the cost model adopted)
- 50% of the total eligible costs
- 75% for non-profit public bodies, secondary and higher education establishments, research organizations and SMEs

For Other and Management activities the EC contribution may reach a maximum of 100% of the total eligible costs.
7.2.3 Direct Costs and Indirect Costs (Overheads)

Eligible costs may be:
- Direct costs: costs which can be attributed directly to the project
- Indirect costs: costs which cannot be identified as being directly attributed to the project, but that are in direct relationship with the direct costs attributed to the project.

Indirect costs, also called Overheads, include costs connected with infrastructures and the general operation of the organization such as hiring or depreciation of buildings and plant, water/gas/electricity, maintenance, insurance, supplies and petty office equipment, communication and connection costs, postage, etc., as well as costs connected with horizontal services such as administrative and financial management, human resources, training, legal advice, documentation, etc.

NB - Although the participants have the freedom to use their usual accounting principles, it does not mean that they have the freedom to create specific accounting principles for FP7 projects. If, in their usual accounting principles, a particular cost is always considered as an indirect cost they have to consider it as an indirect cost also in the FP7 project reporting.

Indirect costs can be calculated using different methods.
- Actual indirect costs
- Simplified method
- Standard flat rate: 20% of total eligible costs excluding subcontracting
- Special transitional flat rate: 60% of total eligible costs excluding subcontracting

The choices of the N# Partners are the following:

<table>
<thead>
<tr>
<th>Partners</th>
<th>Method of calculation of indirect costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. CNIT</td>
<td>Special transitional flat rate: 60%</td>
</tr>
<tr>
<td>2. AAU</td>
<td>Special transitional flat rate: 60%</td>
</tr>
<tr>
<td>3. Bilkent</td>
<td>Special transitional flat rate: 60%</td>
</tr>
<tr>
<td>4. CNRS</td>
<td>Special transitional flat rate: 60%</td>
</tr>
<tr>
<td>5. CTTC</td>
<td>Actual indirect costs</td>
</tr>
<tr>
<td>6. IASA</td>
<td>Special transitional flat rate: 60%</td>
</tr>
<tr>
<td>7. INOV</td>
<td>Actual indirect costs</td>
</tr>
<tr>
<td>8. PUT</td>
<td>Special transitional flat rate: 60%</td>
</tr>
<tr>
<td>9. Technion</td>
<td>Special transitional flat rate: 60%</td>
</tr>
<tr>
<td>10. TUD</td>
<td>Special transitional flat rate: 60%</td>
</tr>
<tr>
<td>11. UCAM</td>
<td>Special transitional flat rate: 60%</td>
</tr>
<tr>
<td>12. UCL</td>
<td>Special transitional flat rate: 60%</td>
</tr>
<tr>
<td>13. UOULU</td>
<td>Special transitional flat rate: 60%</td>
</tr>
<tr>
<td>14. VUT</td>
<td>Special transitional flat rate: 60%</td>
</tr>
</tbody>
</table>

7.3 Specific Cost Items

7.3.1 Personnel Costs

To be eligible, personnel must:
- be directly hired by the partner according to its national legislation (temporary and/or permanent staff)
- work under the supervision of the partner
- be remunerated in accordance with the normal practices of the partner
Only the costs of the actual hours worked by the persons directly carrying out work under the project may be charged. Working time should be recorded using timesheets.

NB - As regards to the person-month, please note that a month is considered to be composed by 17.5 working days (according to the general EC indication of 210 days per year).

7.3.2 Travel and Subsistence Costs

The rules to be followed in the definition of the actual travel and subsistence costs are the usual partner’s internal rules. Each partner has to collect concrete proofs and quantifiable results in order to justify the expenditure.

Eligible Costs are:
- Travel to project management meetings and WP coordination meetings
- Travel for the implementation of specific tasks related to the WP activities
- Travel to dissemination meetings and conferences, as identified by the Coordinator
- Subsistence Allowance (“per diem”)

The “per diem” is an eligible cost only where it replaces totally or partially the expenses incurred by the staff member (e.g. hotel, restaurants) in performing the mission.

NB – Extra-EU travel must be communicated and authorized by the Coordinator. Required proofs are:
- Short justification for the travel (ad hoc for the project)
- Paper presented at conferences
- Agenda and Minutes of any meeting
- Tickets (economy class) and boarding passes;
- Receipts of accommodation and meals

7.3.3 Equipment

Only equipment used for the purposes of carrying out the project activities can be charged as direct costs. Cost for equipment can include all those expenses necessary for the asset to be in working condition (e.g., site preparation, delivery and handling, installation). Only the portion of the equipment used on the project may be charged. The amount of use (percentage used and time) must be auditable.

7.3.4 Depreciation

Depreciation
- is charged in each relevant periodic report (the full value of the depreciated costs of equipment over the life of the project cannot be charged as a single amount in one period).
- must be calculated according to the partner internal rules
- can be calculated also on equipment which has been purchased before the starting date of the Grant Agreement, and which is going to be used in the project

NB - Depreciated costs of equipment can never exceed the purchase price of the equipment.

7.3.5 Leasing

- Financial leasing with option to buy: complying with the principle of sound financial management, the cost claimed for durable equipment that is leased with option to buy cannot exceed the costs that would have been incurred if the equipment had been purchased and depreciated under normal practices.
- Operational leasing (renting): in this case, there is no possibility to buy the equipment. There is no depreciation involved (as the item is still the property of the leasing firm)
but the costs are eligible if this follows the beneficiary’s normal practices and does not exceed the costs of purchase of the equipment.

NB - Interest costs which are part of the leasing agreement are, by definition, not an eligible cost.

### 7.3.6 Consumables

Any consumables necessary for the implementation of the project may be considered as direct eligible costs. Consumables usually relate to the purchase, fabrication, repair or use of any materials, goods or equipment and software which:

- are not placed in the inventory of durable equipment of the partner
- are not treated as capital expenditure in accordance with the accounting conventions and policies of the contractor
- have a short life expectancy, certainly not greater than the duration of the work under the project

### 7.3.7 Subcontracts

- A subcontractor is a legal entity which is not a partner of the consortium and is not a signatory to it.
- A subcontractor is a third party which has entered into an agreement on business conditions in order to carry out part of the work of the project (excluded those listed under Special Clause 10)
- Subcontracts may only cover the execution of a limited part of the project, that is, not core activities.
- Tasks to be subcontracted need to be identified in Annex I Description of Work to GA.
- Only minor tasks can be subcontracted without the prior EC authorization, e.g.
  - Conferences and Meetings organization
  - Audit Certificate (direct eligible cost under the “Management” category)

Please note that the rules for the sub-contracts are very strict. As they are allowed only for minor services, it is always advisable to previously ask the advice of the Project Office.

**Examples:**

- Conference and Meeting Organization
  The organization of a conference or meeting given to an organization which is not a project partner is considered as a subcontract. Concerning catering costs, the EC project officers seem to be very strict on this issue: where these costs are part of a working meeting (such as coffees and buffet sandwiches), it is easy to demonstrate that they are necessary for the project; the question of whether the dinner costs are necessary for carrying out the meeting activities is more difficult. The safest approach would probably be to ask the participants to pay individually, and then their individual institution will claim the costs of travel and subsistence, in the normal way.

- Certificate on Financial Statements
  A Certificate on Financial Statement (CFS) shall be submitted whenever the amount of the EC contribution requested is equal to or superior to €375,000, when cumulated with all previous payments for which a certificate on the financial statements has not been submitted. That is, until the total amount of payment received by the EC is lower than €375,000, no certificate is needed. As soon as this threshold is crossed, issue of the certificate is mandatory. At the end of the project, the certificate (Form D) is needed, irrespective of the grant received.

Certificates on financial statements shall be prepared and certified by an external auditor, who must be independent from the partner and qualified to carry out audits. Public bodies, secondary and higher education establishments and research organizations may opt for a
competent public officer. The CFS price (excluding VAT) is a direct eligible cost under the Management activities. If the audit certificate has been provided by an external auditor or a competent public officer from an organization other than the partner, it is also considered as a subcontract.

7.3.8 Receipts (revenues)

The EC-funded projects are not allowed to generate profit. Receipts of the project may arise from:

- Resources made available by third parties:
  - shall be considered a receipt of the project if they have been contributed by the third party specifically to be used on the project
  - shall not be considered a receipt of the project if their use is at the discretion of the beneficiary's management
- Income generated by the project:
  - shall be considered a receipt when generated by actions undertaken in carrying out the project and from the sale of assets purchased under the grant agreement
  - shall not be considered a receipt for the beneficiary when generated from the use of foreground resulting from the project

7.4 Conversion rate

Costs incurred in currencies other than the Euro shall be reported in EUR on the basis of the exchange rate that would have applied either:

- on the date that the actual costs were incurred or
- on the basis of the rate applicable on the first day of the month following the end of the reporting period.

For both options, the daily exchange rates are fixed by the European Central Bank (ECB) and may be obtained at the following internet address: http://www.ecb.int/stats/eurofxref or, for the rate of the first day of the month following the reporting period, in the relevant OJ of the European Union. For the days where no daily exchange rates have been published, (for instance Saturday, Sunday and New Year’s Day) the rate on the next day of publication should be used.

The use of other sources for exchange rates (other than the ECB) is admissible only where no other solution is possible (i.e. when ECB does not include the daily exchange rates for a particular currency).

7.5 Partners’ financial records

All the records and the relevant proofs of expenditure must be kept by the partner for a period of five years after the end of the Grant Agreement. They MUST NOT be sent to the Coordinator. The Coordinator is interested solely in the amount of person-months spent on individual WPs and the total costs incurred for carrying out the WP activities.

8

8.1 Modification to the JPA

8.1.1 Changing person month allocations

If a partner wishes to move a portion of their person months between Work Packages, it may do so in agreement with the Leaders of the affected Work Packages and/or with the relevant Vice-Directors for research WPs or Heads for Training Dissemination and Human Capital
WPs. Applications for cancellation or increase in the person months with respect to the planning in the current version of the JPA have to be duly motivated and sent to the A&M Director. They are subject to the approval of the EB, with the clause that no partner is permitted to completely withdraw its commitment to Training Dissemination and Human Capital, or Management activities as these are essential elements of the “Network of Excellence” concept. A copy of the communications requesting and approving any change should be sent to the N# Office. Applications requiring the approval of the European Commission will be processed in batches.

8.1.2 Changing Researcher and PhD student names

Modifications to the names of Researchers and PhD students are possible and should be communicated by email to the Work Package leader of the WP affected. Where a partner wishes to change the involvement of a senior staff member (i.e. one whose CV is outlined in the original proposal), this action requires the approval of the European Commission and should be communicated through the Project Coordinator.

8.1.3 Modification to the N# Handbook

Any request of modification to this Handbook shall be formulated in a written proposal of amendment to be submitted to the N# Office. The Project Coordinator will evaluate its adequacy and will consult the Parties on the proposed modification. In case of agreement, the Handbook will be amended accordingly. The amended version of the handbook will be posted on the portal and an information email will be sent to all partners, stating the date of taking effect of the new handbook.

If minor procedural modifications (i.e. in relation to the communication protocol) are necessary to increase the effectiveness of the management, the project coordinator may prepare a procedural note to be sent to all parties describing the new methodology proposed. If no refusal is received by the partners within one week of receipt, the new procedure is considered to be adopted and will be incorporated into the handbook.

8.2 Changes in consortium structure (Art. 6.3.1.2 of the N# Consortium Agreement)

The following changes in the Consortium require the approval of the General Assembly:

- Entry of a new Party to the Consortium and approval of the settlement on the modalities and conditions of the accession of such a new Party
- Withdrawal of a Party from the Consortium and the approval of the settlement on the modalities and conditions of the withdrawal
- Declaration of a Party to be a Defaulting Party
- Corrective measures to be required from a Defaulting Party
- Termination of a Defaulting Party’s participation in the Consortium and measures relating thereto
- Proposal to the European Commission for a change of the Coordinator
- Suspension of all or part of the Project
- Termination of the Project and/or the Consortium Agreement

9

The risk associated with the implementation of the JPA of an NoE are relatively low in general, and are particularly low for NEWCOM# considering the already mentioned very high level of integration borne by the partners, and by the procedure that was adopted to identify the roles and the topics of activity of each of them. The reciprocal previous knowledge and the already attained attitude towards cooperation generated a high consensus on what was being done, that will indicate a high degree of commitment towards the proper and on-time
The main areas where some low-level risks can be identified nonetheless is that of Track 2, which is a relatively new activity for the partners and involves a kind of experimental research that may be a bit less established at some institutions in the NoE. During a brainstorming at the plenary proposal preparation meeting, the following risks were identified:

- Budgetary needs were underestimated
- Commitment by hosting partners is not enough
- Partners are more interested in theoretical research and are not interested to send researchers to the sites of EuWIn
- Integration with Track 1 is not achieved
- EuWIn will not reach a critical mass in terms of work and research results to attain autonomy
- EuWIn will fail to attain permanent status after N# is over
ANNEX I – Reporting Templates
# Template for Cost Statements

## NEWCOM# Cost Statement

<table>
<thead>
<tr>
<th>Period</th>
<th></th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Expenditure</th>
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</tr>
</thead>
</table>

### ELIGIBLE EXPENDITURE

<table>
<thead>
<tr>
<th>Workpackage</th>
<th>Researcher</th>
<th>PhD Student</th>
<th>Other Staff</th>
<th>Total</th>
<th>Other Costs</th>
<th>Subcontracts</th>
<th>Indirect costs</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total No.</th>
<th>Total</th>
<th></th>
</tr>
</thead>
</table>

*Please insert one of the following cost models:*

- **COST MODEL**
- **Flat rate**

<table>
<thead>
<tr>
<th>Parent</th>
<th>TOTAL ELIGIBLE COSTS</th>
<th></th>
</tr>
</thead>
</table>

*Please insert your OR rate (%) for this reporting period:*

## Working Months

### PERSON MONTHS

<table>
<thead>
<tr>
<th>Workpackage</th>
<th>Researcher</th>
<th>PhD Student</th>
<th>Other Staff</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
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<td></td>
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</tbody>
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<table>
<thead>
<tr>
<th>Total</th>
<th>Researcher</th>
<th>PhD Student</th>
<th>Other Staff</th>
<th>Total</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Total</th>
<th></th>
</tr>
</thead>
</table>

## Cost per Activity type

### TOTAL COSTS

<table>
<thead>
<tr>
<th>Category</th>
<th>PhD</th>
<th>Mod</th>
<th>Other</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research</td>
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<td>0</td>
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<tr>
<td>Travel</td>
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</tr>
<tr>
<td>Other</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total</th>
<th></th>
</tr>
</thead>
</table>

<p>| |</p>
<table>
<thead>
<tr>
<th></th>
</tr>
</thead>
</table>
Template for WP Activity Reports

Workpackage Quarterly Report

WP X.1 – WP Title


1. A summary of progress towards a function
   Text goes here

2. Highlight the most significant results
   Text goes here

3. Describe a few (at least one) “success” stories in your WP
   Text goes here

4. Describe any other recent activities, especially re results
   Text goes here

5. Deviations from Annex 2 (Descriptions of Work) task deliverable and proposed deliverables

Template for Quarterly Management Report (QMR)

Quarterly Management Report


1. Financial resources (1 page)
   Text goes here

2. Human resources (1 page)
   Text goes here

3. Main achievements and key outcomes of the reporting period (1 page)
   Text goes here

3.1 Project status; technical progress and achievements of the project
   Text goes here

3.2 Milestones

<table>
<thead>
<tr>
<th>Issue no.</th>
<th>Issue name</th>
<th>Report package no.</th>
<th>Lead coordinator</th>
<th>Status: Implementation acknowledged &amp; approved</th>
<th>Actual: Date of successful completion</th>
<th>Actual: Date of successful delivery</th>
<th>Actual: Date of successful integration</th>
</tr>
</thead>
</table>

3.3 Status of deliverables:

<table>
<thead>
<tr>
<th>Item no.</th>
<th>Item name</th>
<th>WP no.</th>
<th>LMP no.</th>
<th>Actual: Date of successful delivery</th>
</tr>
</thead>
</table>

Text goes here
## Partner’s Cumulative Activity Report

**Beneficiary Organization**

**Reporting Period:** November 1st, 2012 – April 30th, 2013

### 1. Technical Description

In this section, please describe in detail the activities performed within each WP in the reporting period. This part will be read and acknowledged by WP leaders.

<table>
<thead>
<tr>
<th>WP</th>
<th>WP Title</th>
<th>Name of People Involved</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>WP1</td>
<td>WP Title</td>
<td>Name of People Involved</td>
<td>Description</td>
</tr>
<tr>
<td>WP2</td>
<td>WP Title</td>
<td>Name of People Involved</td>
<td>Description</td>
</tr>
<tr>
<td>WP3</td>
<td>WP Title</td>
<td>Name of People Involved</td>
<td>Description</td>
</tr>
</tbody>
</table>
ANNEX II –Template for Deliverables
Comments and suggestions for the improvement of this document are most welcome and should be sent to:

project_office@newcom-project.eu

http://www.newcom.project.eu