



Project no. 691735  
REPLICATE PROJECT  
Renaissance of Places with Innovative  
Citizenship And Technology



## REPLICATE PROJECT

### REnaissance of PLaces with Innovative Citizenship And Technology

Project no. 691735

H2020-SCC-2015 Smart Cities and Communities – Innovation Action (IA)

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### D1.3 Project Management Plan (v.3)

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Due date of deliverable: 30/09/2018

Actual submission date: 30/09/2018

Start date of project: 01/02/2016

Duration: 60 months

Organisation name of lead contractor for this deliverable: Fomento de San Sebastián

Status (*Draft/Proposal/Accepted/Submitted*): Submitted

Project co-funded by the European Commission within the 7 <sup>th</sup> Framework Programme		
Dissemination Level		
PU	Public	x
PP	Restricted to other programme participants (including the Commission Services)	
RE	Restricted to a group specified by the consortium (including the Commission Services)	
CO	Confidential, only for members of the consortium (including the Commission Services)	

Editor/Lead beneficiary (name/partner):	FSS
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Project no. 691735  
**REPLICATE PROJECT**  
Renaissance of Places with Innovative  
Citizenship And Technology



## INDEX OF CONTENTS

---

<b>1. EXECUTIVE SUMMARY .....</b>	<b>6</b>
<b>2. REPLICATE .....</b>	<b>6</b>
<b>3. INTRODUCTION.....</b>	<b>8</b>
3.1    PURPOSE.....	8
3.2    STRUCTURE OF THE DOCUMENT.....	8
3.3    RELATION TO OTHER PROJECT DOCUMENTS .....	9
3.4    REFERENCE DOCUMENTS .....	9
3.5    ABBREVIATIONS LIST .....	11
<b>4. PROJECT BASIS .....</b>	<b>12</b>
4.1    PROJECT DURATION .....	12
4.2    PARTICIPANTS .....	12
4.3    CONTRACT DOCUMENTS.....	14
4.3.1    Grant Agreement.....	14
4.3.2    Consortium Agreement .....	15
4.4    AMENDMENTS .....	15
4.5    BUDGET .....	17
4.5.1    Total eligible costs .....	17
4.5.2    Maximum EU contribution.....	17
4.6    REPORTING PERIODS.....	17
4.7    DELIVERABLES .....	18
<b>5. ROLES AND RESPONSABILITIES.....</b>	<b>19</b>
5.1    PROJECT MANAGEMENT STRUCTURE .....	19
5.2    MANAGEMENT ORGANISATION.....	20



Project no. 691735  
**REPLICATE PROJECT**  
Renaissance of Places with Innovative  
Citizenship And Technology



5.2.1	Project Coordinator (PC) .....	20
5.2.2	General Assembly (GAs) .....	21
5.2.3	Executive Board (EB) .....	23
5.2.4	WP leaders (WPL) .....	24
5.2.5	Pilot Leader (PL).....	25
5.2.6	Management Team.....	26
5.2.7	Quality Manager .....	27
5.2.8	Partner representative .....	27
5.2.9	Advisory Board (AB):.....	28
<b>6.</b>	<b>PROJECT EXECUTION PROCEDURES.....</b>	<b>30</b>
6.1	PROCEDURES FOR THE PROJECT DEVELOPMENT .....	30
6.1.1	EC/PO Level.....	30
6.1.2	Project Level .....	30
6.1.3	WP Level .....	31
6.2	MEETINGS PROCEDURES .....	32
6.3	CHANGES REQUESTS (AMENDMENTS) PROCEDURES .....	35
6.4	SUBMISSION OF DELIVERABLES.....	37
6.5	PROGRESS REPORT PROCEDURES .....	39
6.5.1	Work to be done during the year ahead.....	39
6.5.2	6-monthly reports /12 monthly reports.....	39
6.5.3	Periodic Reports .....	40
6.6	PAYMENTS PROCEDURES .....	44
6.6.1	EC financial contribution .....	44
6.6.2	Partners “bank details” .....	45
6.6.3	Payment modalities .....	45
6.6.4	Pre-financing .....	45
6.6.4.1	Interim payment.....	46
6.6.4.2	Final payment.....	47



6.6.5	Notification of payments and charges .....	47
6.6.6	Report on the distribution of the Financial contribution of the Union between beneficiaries. ....	47
6.6.7	Conversion rate .....	47
6.6.8	Exchange loses .....	47
6.7	<b>QUALITY ASSURANCE .....</b>	<b>48</b>
6.7.1	Internal peer-review.....	49
6.7.2	Contract Monitoring .....	49
6.7.3	EC reviews.....	50
6.7.4	Conflicts resolution .....	50
<b>7.</b>	<b>INFORMATION SHARING AND COMMUNICATION.....</b>	<b>51</b>
7.1	<b>INTERNAL COMMUNICATION .....</b>	<b>51</b>
7.1.1	Procedure for Communication inside and outside the Project .....	51
7.1.2	Collaborative platform .....	52
7.1.3	Registered Documents .....	52
7.1.4	Language .....	53
7.1.5	Publication of information.....	53
7.1.6	Documents and files naming.....	54
7.1.7	Emails´ subject naming .....	54
7.1.8	Deliverables numbering system: .....	55
7.1.9	Invitation to meetings and minutes of meetings .....	55
7.1.10	Contacts list .....	55
7.2	<b>EXTERNAL COMMUNICATION .....</b>	<b>56</b>
7.2.1	General External Communication .....	56
7.2.2	Communication Plan .....	57
7.2.3	Publications.....	58
7.3	<b>EUROPEAN COMMISSION .....</b>	<b>58</b>
<b>8.</b>	<b>GENERAL FINANCIAL PROVISIONS.....</b>	<b>59</b>
8.1	<b>GENERAL RULES FOR JUSTIFICATION.....</b>	<b>59</b>



Project no. 691735  
**REPLICATE PROJECT**  
Renaissance of Places with Innovative  
Citizenship And Technology



8.1.1	Elegible costs .....	59
8.1.2	Non-Elegible costs .....	59
8.2	CATEGORIES OF ELIGIBLE COSTS.....	60
8.2.1	Direct costs .....	60
8.3	DOCUMENTATION OF COSTS.....	60
8.4	FINANCIAL STATEMENT (FORM C).....	61
8.4.1	General Instructions .....	61
8.4.2	Electronic Signature of the Financial Statement .....	62
8.5	CERTIFICATE ON FINANCIAL STATEMENTS (CFS).....	65
<b>9.</b>	<b>IMPORTANT EU GUIDANCE DOCUMENTS .....</b>	<b>67</b>
9.1	PARTICIPANT PORTAL.....	67
9.2	VALIDATION OF ROLES IN PARTICIPANT PORTAL .....	69
9.3	H2020 GUIDELINES .....	70
<b>10.</b>	<b>ANNEXES .....</b>	<b>71</b>
	<b>ANNEX 0 – UPDATED LIST OF DELIVERABLES AND DISSEMINATION STATUS.....</b>	<b>71</b>
	<b>ANNEX 1 – TEMPLATE “INVITATION TO THE MEETINGS–AGENDA” .....</b>	<b>77</b>
	<b>ANNEX 2 – TEMPLATE “MINUTES OF A MEETING” .....</b>	<b>78</b>
	<b>ANNEX 3 – “FINANCIAL INFORMATION FOR PAYMENTS” FORM.....</b>	<b>79</b>
	<b>ANNEX 4 – DELIVERABLES TEMPLATE (WORD).....</b>	<b>80</b>
	<b>ANNEX 5 –POWER POINT PRESENTATIONS TEMPLATE (PPT) .....</b>	<b>81</b>
	<b>ANNEX 6 –SIX-MONTHLY REPORT TEMPLATE.....</b>	<b>82</b>
	<b>ANNEX 7 – COST STATEMENT (EXPENSES PATTERN) TEMPLATE.....</b>	<b>84</b>
	<b>ANNEX 8 –FINANCIAL STATEMENT TEMPLATE.....</b>	<b>85</b>
	<b>ANNEX 9 –DELIVERABLES QUALITY REVIEW.....</b>	<b>87</b>

	<p>Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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## 1. EXECUTIVE SUMMARY

The present document is the deliverable D1.3 Project Management Plan of REPLICATE project version 3 which describes the management and quality procedures set up in the project in order to ensure the project successfully achieves its objectives and sub-objectives, including the project progress follow up procedures and the success criteria and KPIs that will be periodically monitored.

The aim of the document is to become the reference manual for the project participants to understand the main cooperation and management procedures of the project. Therefore, the document includes the description of the internal communication mechanisms as well as the project deliverables quality control procedures.

The deliverable explains also the technical and financial reporting procedures and amendment request procedures.

Whenever the project participants agree on updates to the procedures contained in this document or additional procedures are needed, the document will be updated accordingly and distributed to all project participants.

## 2. REPLICATE

The REPLICATE (Renaissance of Places with Innovative Citizenship and Technology) Project aims to develop and validate a sustainable city business model in the lighthouse cities (pilot) of San Sebastian (Spain), Florence (Italy) and Bristol (United Kingdom), to improve the transition process towards a SmartCity in the fields of energy efficiency, sustainable mobility and ICTs/Infrastructures, accelerating the deployment of innovative technologies, increasing the quality of life of the citizens, and influencing the replication process. The life quality of citizens throughout Europe will be increased through the project, showing the impact of the innovative technologies used to co-create Smart City services for citizens, and test the optimum process to replicate the successes in cities and through cities.



Prior to REPLICATE project, San Sebastian, Florence and Bristol have already collaborated together in the STEEP project (Systems Thinking for Comprehensive City Efficient Energy Planning) which have allowed to the cities generate Smart City Plans in an integrated strategy. This project defined a collaborative and participatory methodology to reach the objective of defining an Action Plan for particular districts of each city, The districts where the implementations are being carried out in the REPLICATE project are; Urumea Riverside (San Sebastián), Novoli (Florence) and Ashely, Easton and Lawrence Hill Neighbourhood (Bristol).

REPLICATE project is a a demonstration project and has as the main concept REPLICABILITY: it is necessary that the project results can be applicable throughout the lighthouse cities and in other cities, which want to evolve towards the ‘smart city’ concept, and design scalability plans accordingly. In the lighthouse districts specific studies will be necessary for each of the demonstrated solutions to ensure that they are scalable and can be replicated to assure the large scale deployment of innovative technologies.

The Business Models that are being tested through large scale demonstrators at the three cities, features the replicability of the solutions and their scale up in the lighthouse cities and in the three fellow/follower cities of REPLICATE project (Essen – Germany, Lausanne – Switzerland and Nilüfer – Turkey) that share knowhow and results through a city-to-city learning approach.

	<p>Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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## 3. INTRODUCTION

### 3.1 PURPOSE

The Management Plan (MP) is a guide to the Partners of the REPLICATE project, which gives a quick and short overview of the most relevant project information, formal procedures, roles, responsibilities, contact points, tools, user guides, and quality procedures, etc. within the consortium and externally towards the EC. The aim of this deliverable is to successfully achieve the project objectives in time and budget specified in the Grant Agreement (GA), and to become the reference manual to aid the project participants in understanding the mechanisms for effective collaboration and management in the project.

Furthermore, the annexes include contacts and templates information relevant for the project development.

The document will be kept up-to-date to reflect updates to the procedures or additional procedures that the partners may agree upon. Whenever modifications are needed, the document will be updated accordingly and distributes to all participants..

The current version of this deliverable is an update in order to incorporate the necessary modifications as a consequence of the approval by the European Commission

### 3.2 STRUCTURE OF THE DOCUMENT

This document is estructured as follow:

- *Section 1* provides an introduction to this deliverable, the purpose, the structure, the reference and interrelationship with other documents, and the abbreviations list.
- *Section 2* advances a brief introduction of the REPLICATE project and summarizes the participants of the consortia, contract documents, amendments, the budget, and the reporting periods for one side, and for the other side, this section introduces the main objectives, work packages structure, milestones and deliverables of the project, together with the project timing and deadlines.

	<p><b>Project no. 691735</b>  <b>REPLICATE PROJECT</b>  <b>Renaissance of Places with Innovative  Citizenship And Technology</b></p>	
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- *Section 3* collects all the organisational responsibilities, structure and management procedures of the project, including the project progress and quality management follow up procedures and the success criteria that will be periodically monitored.
- *Section 4* explains the project execution procedures, meeting procedures, the way of managing change requests, amendments & reportings, together with payment rule, conflict resolutions and quality assurance management.
- *Section 5* summarizes the internal communication and information sharing procedures of the project for an effective collaboration.
- *Section 6* describes the general financial rules and rules for the justifications.
- *Section 7* enclosed the EU official supporting documents on the participant portal and the H2020 guidelines.
- The last Section of this Deliverable attached the Annexes to the Project Management Plan.

### 3.3 RELATION TO OTHER PROJECT DOCUMENTS

This Management Plan completes and extends the REPLICATE Consortium Agreement (CA).

In the event of discrepancy between documents, this Management Plan is overruled by the contract with the EU (Grant Agreement) including its Annexes, and by the Consortium Agreement.

### 3.4 REFERENCE DOCUMENTS

This document is based in the following reference documents:

Ref.	Title	Description
Replicate Grant Agreement signed 240713.pdf	Grant Agreement	Grant Agreement no. 691735
DoA REPLICATE (691735)	REPLICATE Annex 1 – DoA to the GA	Description of the Action

	<p align="center"> <b>Project no. 691735</b>  <b>REPLICATE PROJECT</b>  <b>Renaissance of Places with Innovative  Citizenship And Technology</b> </p>	
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Replicate Consortium agreement signed December 2015 (7 <sup>th</sup> December version)	Consortium Agreement	REPLICATE project – Consortium Agreement
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### 3.5 ABBREVIATIONS LIST

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EC	European Commission
H2020	Horizon 2020
Agency	Innovation & Networks Executive Agency (INEA)
GA	Grant Agreement
CA	Consortium Agreement
DoA	Annex I–Description of the Action
PO	Project Officer
PC	Project Coordinator
GAs	General Assembly
EB	Executive Board
WP	Work Package
WPL	Work Package leader
PL	Pilot leader
PR	Periodic Report
PFR	Project Final Report
KOM	Kick–Off Meeting
OJEU	Official Journal of the European Union
Form C	Financial Statement form
CFS	Certificate on Financial Statement
ECAS	European Commission Authentication Service
PP	Participant Portal
SyGMA	Grant Management System



## 4. PROJECT BASIS

### 4.1 PROJECT DURATION

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The effective start date of the project is 01/02/2016, and the duration of the project shall be 60 months (5 years) from that date (until 31/01/2021)

### 4.2 PARTICIPANTS

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The REPLICATE project is a Innovation Action (IA) under the H2020-SCC-2015 Smart Cities and Communities call.

The consortium is composed by 36 partners and 3 third parties:

- Ayuntamiento de San Sebastian: CIM
- Comune di Florence: Silfi, Casa

N <sup>a</sup>	Partner Name	Short Name	Country
1	Ayuntamiento de Donostia - San Sebastian	ADS	Spain
2	Fomento de San Sebastian S.A.	FSS	Spain
3	Comune di Firenze	Firenze	Italy
4	Bristol City Council	Bristol City	United Kingdom
5	Stadt Essen	Stadt Essen	Germany
6	Bursa Nilufer Belediyesi Hesap Isleri Mudurlugu	Nilufer	Turkey
7	Administration Communale de la Ville de Lausanne	Lausanne	Switzerland
10	Eurohelp Consulting S.L.	Eurohelp	Spain



Project no. 691735  
**REPLICATE PROJECT**  
 Renaissance of Places with Innovative  
 Citizenship And Technology



11	Leycolan S.A.L.	Leycolan	Spain
12	Fundación Tecnalía Research & Innovation	Tecnalía	Spain
13	Euskaltel S.A.	Euskaltel	Spain
14	Compañía del Tranvía de San Sebastian S.A. – CTSS	CTSS	Spain
15	Consiglio Nazionale delle Ricerche	CNR	Italy
16	Enel Distribuzione S.P.A.	Enel	Italy
17	Mathema S.R.L.	Mathema	Italy
18	Spes Consulting	Spes	Italy
19	Telecom Italia S.P.A.	Telecom Italia	Italy
20	Università Degli Studi di Firenze	UNIFI	Italy
21	Thales Italia S.P.A.	THALIT	Italy
22	Zabala Innovation Consulting S.A.	Zabala	Spain
23	Technomar GMBH	Technomar	Germany
24	University of Bristol	UNIVBRIS	United Kingdom
25	The Chancellor, Masters and Scholars of the University of Oxford	UOXF	United Kingdom
26	Bristol is Open Limited	BristolisOpen	United Kingdom
27	Zeetta Networks Limited	Zeetta	United Kingdom
28	Knowle West Media Centre LBG – KWMC	KWMC	United Kingdom
29	Toshiba Research Europe Limited	TREL	United Kingdom
30	Route Monkey LTD	Route Monkey	United Kingdom
31	Esoterix System LTD	Esoterix	United Kingdom
33	Co-Wheels Car Club Community Interest Company	Co-Wheels	United Kingdom
34	University of the West of England, Bristol	UWE Bristol	United Kingdom



Project no. 691735  
**REPLICATE PROJECT**  
 Renaissance of Places with Innovative  
 Citizenship And Technology



35	Fundación Esade	Esade	Spain
36	Sistelec Soluciones de Telecomunicación S.L.	Sistelec	Spain
37	Giroa S.A.	Giroa	Spain
38	IKUSI S.L.	IKUSI	Spain
39	DE SURDURULEBILIR ENERJI VE INSAAT SANAYI TICARET LIMITED SIRKETI	DEM	Turkey
40	University of Exeter	Unexe	United Kingdom
41	NEC Laboratories Europe GMBH	NECLE	United Kingdom

### 4.3 CONTRACT DOCUMENTS

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#### 4.3.1 Grant Agreement

The REPLICATE Consortium have signed Grant Agreement (GA) 691735 with the Innovation and Networks Executive Agency (INEA) under the power delegated by the European Commission committing them to carry out, evaluate and disseminate results of this project in accordance with the Grant Agreement's Annex I – Description of the Action.

This contract with EU includes the Terms and Conditions and the following annexes that form an integral part of the GA:

- Annex 1 – Description of the Action ( DoA)
- Annex 2 – Estimated Budget for the action
- Annex 3 – Accession Forms
- Annex 4 – Model for the Financial Statements
- Annex 5 – Model for the Certificate on the Financial Statements
- Annex 6 – Model for the Certificate on the Methodology

All the partners have an electronic copy of the complete signed version of this contract and all its annexes.

	<p>Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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#### 4.3.2 Consortium Agreement

The beneficiaries have accepted and signed a Consortium Agreement governing issues in relation to internal organisation of the REPLICATE project that will or may arise during the project´s implementation.

This document must be consistent with the GA and is “deemed to exist” at signature time of the GA. REPLICATE current CA was agreed to be signed on the 7<sup>TH</sup> December 2015. All the partners have an original copy of the complete signed version of this document.

#### 4.4 AMENDMENTS

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An amendment to the GA is defined as “a legal act modifying the commitments initially accepted by the parties and which may create new rights or impose new obligations on them, or modifying significant parts of the GA. It allows the parties to modify the GA during its lifetime”.

An amendment is necessary whenever there is a need to change the GA (i.e. its ‘Terms and Conditions’ and/or the Annexes).

Grant Agreement has had during the first reporting period ( 1<sup>st</sup> February 2016 –31<sup>st</sup> July 2017) 2 amendments:

Amendment 1: Approved on date 24 January 2017

Including:

- Inclusion of a new partner: Giroa , replacing the partner Endesa , who has not signed the Grant Agreement of Replicate project.
- Changes in the partner ‘Angel Iglesias’ moving the staff working in the Replicate project to another company of the same business group ‘Ikusi’

	<p align="center"><b>Project no. 691735</b>  <b>REPLICATE PROJECT</b>  <b>Renaissance of Places with Innovative  Citizenship And Technology</b></p>	
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Amendment 2: Approved on data 3 August 2017

Including:

- Inclusion of 2 new partners:
  - University of Exeter: moving activities and budget from University of Bristol to University of Exeter
  - Demir Enerji: moving activities and budget from the city of Nilufer to Demir Enerji

-Change in the dissemination status of some deliverables:

The dissemination status from all the deliverables have been reviewed and there has been a need of change some of them taking into account the sensitive information from some data from the cities.

- Reduction in the number of deliverables of WP4 related to the Firenze Pilot.

In order to make a more rational analysis of the follow up of the interventions in the pilot area and to be more in line with the other two lighthouses reporting activities deliverables under WP4 have been reviewed and have been reducing ( enlarging the periods for the revisions) from 38 deliverables to 10 deliverables.

Grant Agreement has had during the second reporting period ( 1<sup>st</sup> August 2017 – 31<sup>st</sup> July 2018) 3 amendments

Amendment 3: Approved on data 21 March 2018

Including:

- Partner NEC Europe Ltd, partial takeover to NEC Laboratories Europe GmbH (NECLE) since the 1<sup>st</sup> January 2018.

Amendment 4: Wating to be approved by beginning October 2018

Including:

- Changes in the duration of WP6 (from M36 to M55) and WP7 (from M36 to M48).
- Changes in due date submission dates of some deliverables
- Changes in Bristol pilot District Heating

	<p align="center">Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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- Delays en Bristol pilot retrofitng
- Delays in San Sebastian pilot retrofitting
- Changes in the number of PM of partners: Bristol, Leycolan, Mathema, Toshiba, KWMC, Co Wheels, Nilüfer.
- Changes in the dissemination status of delierables D7.2,D7.4, D5.7

Amendment 5, including changes in Florence pilot has been opened and is being worked at the momento of sending this deliverable D1.3

Rules governing the GA amendments process are gathered in articles 55 (pate 83) of the REPLICATE GA and also in the “Annotated Model Grant Agreement and in the H2020 Online Manual :

[http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm)

## 4.5 BUDGET

### **4.5.1 Total eligible costs**

The total eligible costs of the project amounts to 29,250,563.53 euros

### **4.5.2 Maximum EU contribution**

The total initial maximum EU contribution of the project amounts to 24,965,263.09 euros. This actual financial contribution of the European Commission shall be calculated in accordance with the provisions if the GA in force.

Maximum financial contribution of the European Commission cannot be exceeded and no additional funding is possible. However, still actual costs must be always declared.

## 4.6 REPORTING PERIODS

The REPLICATE project is divided into four reporting periods:



Project no. 691735  
**REPLICATE PROJECT**  
 Renaissance of Places with Innovative  
 Citizenship And Technology



- PR1 – Reporting period 1 – 18 months – from month 1 to month 18  
 ( 01/02/2016 – 31/07/2017)
- PR2 – Reporting period 2 – 12 months – from month 19 to month 30  
 ( 01/08/2017 – 31/07/2018)
- PR3 – Reporting period 3 – 12 months – from month 31 to month 42  
 (01/08/2018 – 31/07/2019)
- PR4 – Reporting period 4 – 18 months – from month 43 to month 60  
 ( 01/08/2019 – 31/01/2021)

#### 4.7 DELIVERABLES

The overall plan of the project follows the description of the action, time and budget as laid down in the Work Programme (Annex I) in force. The guiding point of all work and planning will be the **Deliverables**, as described under each Work Package.

The list of Workpackages for the 60 months of the project is included below.

Work-package No	Work Package Title	Lead Participant
<b>WP1</b>	PROJECT MANAGEMENT	FSS
<b>WP2</b>	STRATEGIC PLANNING AND BUSINESS MODELS	UNIVERSITY OF EXETER
<b>WP3</b>	SAN SEBASTIAN PILOT	FSS
<b>WP4</b>	FLORENCE PILOT	FIRENZE
<b>WP5</b>	BRISTOL PILOT	BRISTOL
<b>WP6</b>	INTEGRATED INFRASTRUCTURES- ICT PLATFORM	TECNALIA
<b>WP7</b>	CROSS CUTTING ACTIVITIES ANALYSIS AND SCALE UP STUDY IN THE THREE CITIES	SPES
<b>WP8</b>	REPLICATION	UOXF
<b>WP9</b>	EXPLOITATION OF RESULTS - INDUSTRIAL BUSINESS PLANS	ESADE
<b>WP10</b>	MONITORING	TECNALIA
<b>WP11</b>	COMMUNICATION AND DISSEMINATION	TECHNOMAR



The list of deliverables for the 60 months of the project is included in Annex 0: List of Deliverables

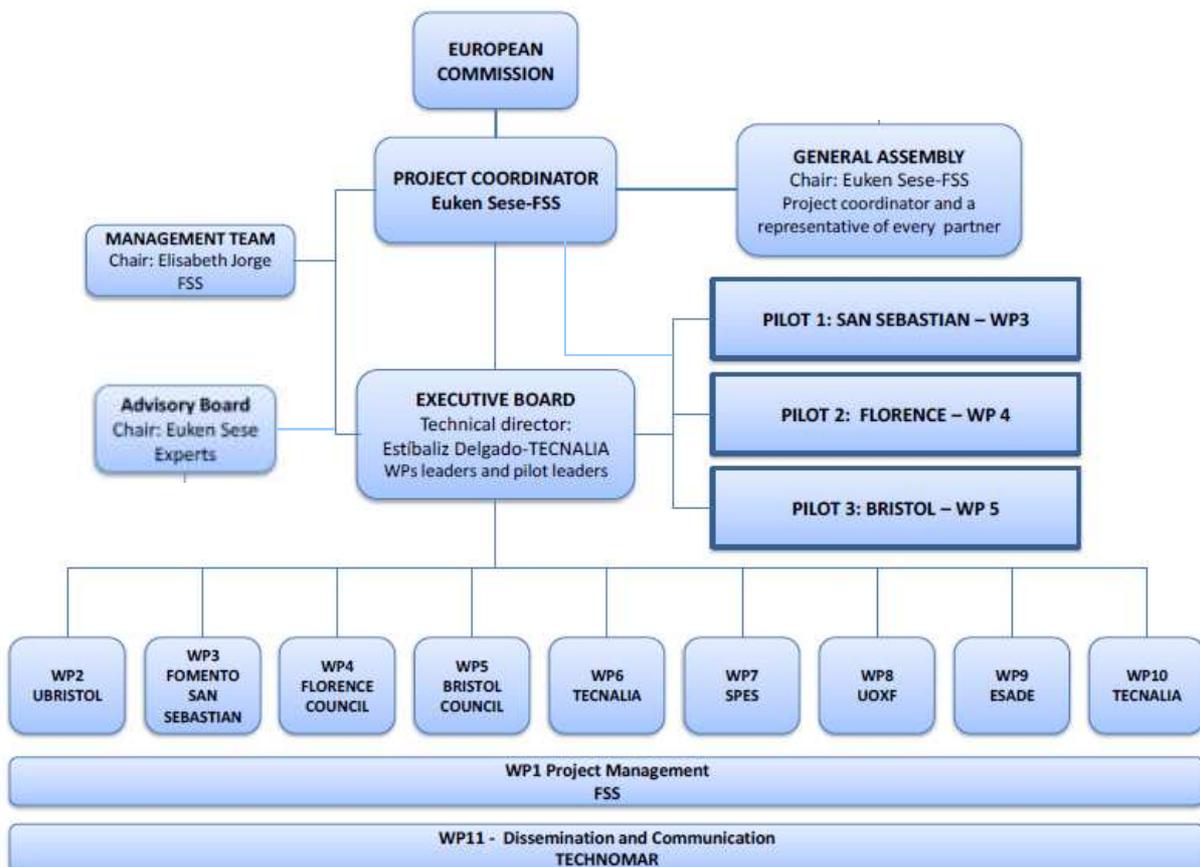
## 5. ROLES AND RESPONSABILITIES

The roles and responsibilities in REPLICATE are defined in the GA and its Annex 1 – Description of the Action (point 3.2 – page 97 / 237) and in the CA (section 6 –).

In the below sections, an overview of roles and responsibilities is given.

### 5.1 PROJECT MANAGEMENT STRUCTURE

The practical managerial framework, organizational structure and decision-making mechanisms, have been tailored to the size and complexity of the project. The general structure of the project management is shown in the following figure:



	<p align="center">Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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## 5.2 MANAGEMENT ORGANISATION

### **5.2.1 Project Coordinator (PC)**

SANSEBASTIAN will act as project co-ordinator and assume overall responsibility for liaison between the partners and the Commission and coordination of activities. It will be supported by the chairman of the project committee and assisted by FSS, which will also act as the European Project Office for the city of SAN SEBASTIAN.

The main tasks of the co-ordinator are as follows:

The main tasks of the co-ordinator are as follows:

- Communication:
  - The coordinator is responsible for all communications with the Commission
  - General assembly and project meetings; administration, minutes;
  - Preparing and communicating the yearly project progress reporting to the General Assembly
- Global Monitoring:
  - Follow-up and adaptation of the project planning;
  - Organising, steering, checking and assuring the reporting in time towards the CE;
  - Overall monitoring of progress on all work packages and setting in place procedures for ensuring more detailed progress monitoring in consultation with the subgroups;
  - Monitoring of the expenses and allocation of the budget; assistance towards the participants concerning administrative aspects of the project;
  - Coordinating the payments to the partners;
- Reporting:
  - Deliverables, progress reports, yearly management reports. Sending paper documentation to European Commission and in management format



### **5.2.2 General Assembly (GAs)**

Chaired by Mr. Eukén Sese (SANSEBASTIAN), each partner will appoint one representative as member of the Steering Committee. These members have to be empowered for the decision making process.

The General Assembly is responsible for the “Major Decisions” affecting the implementation and success of the project. The kind of decisions that need the intervention of the GA are listed in point 3.2.1.1 of the Description of the Action (Annex 1) of the GA and in article 6.3 of the CA. Such decisions require the prior consent of the GAs by a majority of two-thirds (2/3) of the votes (one vote per member).

The GAs will meet every 12 months in face to face meetings during the project, coinciding with the regular consortium meetings (M1, M12, M24, M36, M48, M60 ) and at any moment if necessary. Video/call conference or e-meetings might be used whenever possible to reduce travel expenses.



Project no. 691735  
**REPLICATE PROJECT**  
 Renaissance of Places with Innovative  
 Citizenship And Technology



**GENERAL ASSEMBLY:**

<b>PARTNER</b>	<b>PARTNER NAME</b>	<b>HORT NAME</b>	<b>appointed representative</b>
1	Ayuntamiento de Donostia - San Sebastian)	ADS	Euken Sesé
2	Fomento de San Sebastian	FSS	Elizabeth Jorge Nora Mendoza
3	Comune de Firenze	Firenze	Alessandra Barbieri
4	Bristol City Council	Bristol City	Luke Loveridge
5	Stadt Essen	Stadt Essen	Kai Lipsius
6	Bursa Nilüfer Belediyesi HESAP Isleri Mudurlugu)	Nilüfer	Bekir Sargin
7	Administration communales de la Ville de Lausanne)	Lausanne	Georges Ohana Ricardo del Corte Leire Bardaji
10	Eurohelp Consulting SL	Eurohelp	Juan Bautista Genus Eduardo Miera
11	Leycolan SAL	Leycolan	Estibalia Delgado
12	Fundación Tecnalia Research & Innovation	Tecnalia	Rafael Bañales
13	Euskaltel S.A.	Euskaltel	Javier Vallejo Marco Conti
14	Compañía del Tranvia de San Sebastian SA)	CTSS	Andrea Passarella
15	Consiglio Nazionale delle Ricerche	CNR	Federica Fratini Jon Stromsater Mattia Campioli
16	eDistribuzione	ENEL	Enamuele Bellini Stefano Cuomo
17	Mathema SRL	Mathema	Chiara Tavella
18	Spes Consulting	SPES	Roberto Gavazzi
19	Telecom Italia SPA	Telecom Italia	Paolo Nesi
20	Universitat Dgli Studi di Firenze	UNIFI	Roberto Rossi
21	Thales Italia SPA	THALIT	Camino Correia
22	Zabala Innovation Consulting SA)	Zabala	Zsolt Kremer Rebecca di Corpo Theo Tryfonas
23	Technomar GMBH	Technomar	Igor Calçada
24	University of Bristol	UNIVBRIS	Kelston Shiner
25	University of Oxford	UOXF	Vassilis Seferidis
26	Bristol is Open Limited	Bristol is Open	Carolyn Hassan
27	Zeetta Networks Limited	Zeetta	Mahesh Sooriyabandara
28	Knowle West Media Centre	KWMC	Kate Armitage
29	Toshiba Research Europe Limited	TREL	David Stewart
30	Route Monkey LTD	Route Monkey	Anett Schülke
31	Esoterix System LTD	Esoterix	Toby Collis
32	NEC Europe LTD	NEC	Graham Parkhurst
33	Co -Wheels Car club Community Interest Company	Co-Wheels	Jordi Vinaixa
34	University of the West England	UWE Bristol	Francisco Javier Perez
35	Fundación Esade	Esade	Haritz Mendizabal
36	Sistelec Soluciones de Telecomunicación SL	Sistelec	Pedro Sanchez
37	Giroa SAU	Giroa	Baha Bukan
38	Ikusi	Ikusi	Mike Yearworth
39	De Sürdürülebilir Enerji Ve Insaat Sanayi Ticaret Limited Sirke	DEM	
40	University of Exeter	UNEXE	

	<p align="center">Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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### 5.2.3 Executive Board (EB)

The role of the EB is to make decisions concerning any important technical issues arising. This function is chaired by the Technical Coordinator (TC) and will include the Project Coordinator, the Technical Coordinator and the WP Leaders (San Sebastian, BRISTOL, Florence, SPES, Tecnia, University of Bristol, University of Oxford, Esade and Technomar), pilot leaders and Follower Cities. The main responsibility of the EB is to manage all the technical activities outlined in the project's work plan and is responsible for the day-to-day liaison between consortium partners to consolidate inputs into project planning, progress monitoring and technical milestone reporting (via EB reported to the GA). The EB of REPLICATE will be chaired by Tecnia.

The Executive Board is responsible for the day-to-day technical work and will be convened every 6 months in consortium meetings (kick off meeting –M1– and months 6, 12, 18, 24, 30, 36, 42, 48, 54 and 60). Calendar has been modified for the conjunction of the General Assembly meeting with the Review Meeting: M1, M6, M12, M20, M21, M27, M33, M39, M45, M51, M57, M60

This Board will be set up and directly connected to the General Assembly to assist them in the technical, financial and administrative aspects of the project.

The main tasks of this Board are as follows:

- responsible for coordinating, monitoring and controlling the progress of the work at the intra-Work packages level as well as the interdependencies among the different work packages.
- will have supervisory responsibility for monitoring technical progress and ensuring that corrective actions necessary to achieve schedule and technical targets are properly determined and implemented;
- will coordinate the activities of the Advisory Board and will monitor the tasks to be performed by its members, ensuring their contributions in the key documents extracted from the project and in the consortium meetings in which they will participate.



- A six-month internal Project Report will be presented by the Executive Board to the General Assembly ( detailing PM expended, achievements made in terms of results and progress, meetings, plan... for each WP)

#### **5.2.4 WP leaders (WPL)**

This position is covered by the partner indicated in the relevant tables who is responsible for the work package and involves co-ordinating and ensuring suitable progress of technical activities involved in a particular WP group. Responsibilities include co-ordination of WP and task meetings and activities, planning and control. Work package and task meetings will be organised in line with the needs of specific technical activities. Task Leaders (TL) will be nominated. Progress will be reported in periodical technical meetings (to be held every 2 months by phone/on line conference) co-ordinated by the Technical Coordinator who will also ensure communication with the General Assembly

These WP leaders are responsible for

- Coordinating partners interactions within the work packages and tasks.
- Ensuring the quality control of the stakeholder contributions.
- Assuring the preparation and the quality of the work package deliverables.
- Calling for technical meetings if required.
- Proposing changes in the work plan, if needed, to the Executive Board.
- Reporting to the Executive Board

The WP Leaders refer to the Project Coordinator.

Some partners have been appointed to lead the work within individual Work Packages (WPs) defined in the Annex 1 –DoA:

<b>WP number</b>	<b>Lead beneficiary number</b>	<b>Lead beneficiary short name</b>
1	2	FSS
2	24	UNIVERSITY OF EXETER
3	2	FSS
4	3	FIRENZE



5	4	BRISTOL
6	12	TECNALIA
7	18	SPES
8	25	UNIVERSITY OF OXFORD
9	35	ESADE
10	12	TECNALIA
11	23	TECHNOMAR

Follower Cities are a part of the Executive Board attending its meetings due to their relevant role in the project and for an appropriate follow up of the activities developed in the Lighthouse cities.

#### **5.2.5 Pilot Leader (PL)**

The project co-ordination will further be strengthened by at local Pilot Leader for each district (SAN SEBASTIAN, FLORENCE, BRISTOL)

In the case of the city pilots a specific management structure should also be considered in order to guarantee the follow up and governance of each pilot. Due to their importance for a correct management of the project these structures are necessary and should be included in each pilot’s project management plan.

Two main functions will depend on them:

- ❖ Technical coordination at pilot level
- ❖ Administrative and financial coordination at pilot level

The role of the PL will be to coordinate all the interventions under development in the pilot. This means to take care of meeting project’s requirements as well as implementation of solutions to reach targets compromised in the project. The PL will coordinate with local partners the actions and how to achieve milestones, prepare deliverables , etc. and will be responsible for the total management at pilot level, including the representation of the whole local consortium at the General Assembly and Executive Committee and any other governance structure of the project.

With this position, a single information point is established in each city for any flux of information, not only for the local consortium but also for the rest of the partnership.

	<p align="center"><b>Project no. 691735</b>  <b>REPLICATE PROJECT</b>  <b>Renaissance of Places with Innovative  Citizenship And Technology</b></p>	
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Other contacts may be activated in parallel but PL will always be in copy to follow up the work that is being developed.

Pilot Partners will report to the Pilot Leader and Pilot Leader will report to the WP leader ( in case of being a different person)

Some activities to be developed by the PL:

- Local coordination and establishment of communication with the pilot partners
- Specific progress control of resources and utilisation with respect to the work plan.
- Preparation of information related to contractual agreements and communication with the pilot partners
- Definition of appropriate corrective actions to be taken in the case of progress problems or conflicts.
- Project Risks detected .
- Any other issue concerning the pilot

### **5.2.6 Management Team**

The Management Team will work to support the coordinator also in all the activities that need representation within the European Commission. Nevertheless, the most important work of this office will be the tasks related to technical office. Functions of this team include:

- Perform the pursuit of progress work involved with technical-administrative aspects.
- Assistance and coaching at administrative level. Gathering of information to record findings to fulfil obligations of the call and the concession as well as hold responsibility in advising each one of the partners in all administrative aspects for legal consulting (including support in the elaboration of public tendering processes, etc.), anticipated changes, modifications in the partner data, incorporation of third parties, concepts to justify, etc.
- All changes accepted by the General Assembly that are going to be generated and to be endorsed will be presented to the European Commission and same

	<p style="text-align: center;"><b>Project no. 691735</b>  <b>REPLICATE PROJECT</b>  <b>Renaissance of Places with Innovative  Citizenship And Technology</b></p>	
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process is repeated to generate modifications of contracts and agreements. Management team will be responsible for implementation of changes and contributes all of the necessary documentation.

- Quality Management report. This report gathers the methodology of management for the project, models to collect information, people in charge of its delivery, terms of delivery, revision of the deliverables of the project, etc.

The Management Team will be in charge regarding the execution of the part of the project that corresponds to each District and will inform timely about the important incidents to the leader, and will prepare information for the direction committee; revision of the reports at technical level, collection of the draft of economic justification, revision and final information to the coordinator, including audits if it was necessary. This activity ensures the writing of the reports and its presentation is in accordance with the programme rules and deadlines, which is going to be crucial for complete reception of financial grant.

### **5.2.7 Quality Manager**

FSS is the Quality Manager and will be responsible for the quality assurance of the overall project. It will report to the Executive Board and:

- Assists the project manager in defining the reporting structure and the relative reporting procedures;
- Monitors the proper production of quality records by individual WPL;
- Reports regularly to the project co-ordinator and to the Executive Board on the quality aspects of the project;
- Keeps direct control on Quality management;
- Elaborates the Project Management Plan (current document) summarizing all the information required for an optimum management of the project.

### **5.2.8 Partner representative**

Every partner will appoint at least one Representative for both technical and administrative issues. This representative will also act as “main contact” for communication purposes.

	<p align="center"><b>Project no. 691735</b>  <b>REPLICATE PROJECT</b>  <b>Renaissance of Places with Innovative  Citizenship And Technology</b></p>	
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Alternatively, there is the possibility to appoint a second representative intended for exclusively dealing with administrative and financial issues. This representative will also act as “financial contact” for communication purposes. The task and responsibilities of administrative and financial representatives will be as follows:

- ✓ Act as management contact on contractual issues to be forwarded to the Project Coordinator.
- ✓ On principal matters such as contractual and legal issues or proposition of major changes this representative must refer to the Project Coordinator.
- ✓ Manage/carry out the activities and tasks belonging to his/her organisation as described in the Annex 1 of the GA.
- ✓ Inform the Project Coordinators on a six monthly basis about the progress of activities and tasks belonging to his/her organisation as described in the Annex 1 of the GA
- ✓ Provide the project coordinator on a yearly basis one economic report covering the referred year, with the signed Form C.
- ✓ Provide Certificate on Financial Statement (CFS) if needed.

#### **5.2.9 Advisory Board (AB):**

The Advisory Board will be the organ through which external expert people recruited from other related projects in the field of SMART CITIES will give their advice and feedback on the main arising issues of the REPLICATE project. The Advisory Board will play a key advisory and consultative role in the project.

The external support of an Advisory Board (AB) will be crucial to ensure that the project results have high quality and are practical to be disseminated and implemented in other similar European cities. The collaboration between the Advisory Board and the WP leaders will be very important to ensure good project results. Thus, the board will focus on the areas to be decided by the Executive Board and the General Assembly

The Executive Board will coordinate the activities of the Advisory Board and will monitor the tasks to be performed by the members of the Advisory Board, ensuring their contributions in the key documents extracted from the project and in the consortium meetings in which they will participate.

The external support of an Advisory Board (AB) will be crucial to ensure that the project results have high quality and are practical to be disseminated and implemented in



other similar European cities. The collaboration between the Advisory Board and the WP leaders will be very important to ensure good project results. Thus, the board will focus on :the areas to be decided by the Executive Board and the General Assembly

The main goals of this board will be the following:

- Providing requirements and feedback to the project objectives
- Monitoring the main milestones of the project, updating their feedback, and providing the necessary inputs for guiding the project towards the achievement of main objectives.
- Providing final feedback on results evaluation and expectations for future evolution.

	<p align="center">Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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## 6. PROJECT EXECUTION PROCEDURES

### 6.1 PROCEDURES FOR THE PROJECT DEVELOPMENT

#### **6.1.1 EC/PO Level**

At this level, several types of reports should be sent by the coordinator to the EC Project Officer (PO): Project Deliverables, Periodic Reports (PR) and Final Report (FR).

#### **6.1.2 Project Level**

At Project Level, the following items are envisaged:

- ◆ KOM: to confirm the selection of the General Assembly, to review and confirm the workplan and timing and to launch the project administration and financial matters.
- ◆ WP reports: to update the Executive Board C with the WP progress. The WPLs will send to the PC before the project meetings (each 6 months approx.), a report with the work progress overview, any important results obtained, any potential red flags and possible deviations from the work schedule and recommendations for corrective action (where necessary).
- ◆ Interim Cost Statements on month 12 and on month 54 (within 15 days after the end of M12 and M54 have to be submitted to the Project Coordinator for financial monitoring.
- ◆ Cost Statements are to be submitted by every partner to the Project Coordinator within 15 days after M18, M30, M42, and M60, with the official costs (and costs description) for the whole reporting period in question (PR1, PR2, PR3 or PR4 respectively) in order for the Project Coordinator to review them and include them in the Periodic Reports to the EC. A Cost Statement template will be provided to the partners in M5 together with “activity&financial 6monthly report” template. (see Annex 7).

Initially the Executive Board Meetings will take place every 6 months, whilst Consortium meetings are held every 12 months.

	<p>Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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However, the calendar for the General Assemblies have been updated.

After the second General Assembly taken place after 12 month of the kick off meeting as planned, the calendar was changed in order to coordinate the General Assembly meetings with the review meetings

#### GENERAL ASSEMBLY Meetings

– Schedule: M1 (KoM), M12, M21, M33, M45, M60 (final meeting)

#### PROJECT EXECUTIVE BOARD MEETINGS

– Attendees: Project Coordinator, Technical Coordinator, Pilot Leaders, WP leaders

– Scheduled: Every 6 months. M1, M6, M12, M20, M21, M27, M33, M39, M45, M51, M57, M60

### 6.1.3 WP Level

At WP Level, the following items are expected:

- KOM: to review and confirm the workplan and timing and to launch the project administration and financial matters
- Task 6-monthly report. This is technical reporting to the WP leader and should be 6-monthly from each task leader to the WP leader. These reports must contain current status against plan, progress made since last report, problems and plans for next period. Reports submission timing will be according to the WP leader instructions. If necessary for the correct monitoring and/or implementation of the tasks, the WP leader can ask for tasks reports on a more regular basis (e.g. 2-monthly or monthly).
- Task Completion report, to update the WP leader with task completion.

	<p style="text-align: center;">Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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## 6.2 MEETINGS PROCEDURES

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Face-to-face meetings are an integral part of the communication strategy. Efforts will be made to reduce travel costs (choosing cost-effective locations, fixing dates well in advance) without compromising the integrity of the communication strategy. Additional phone conferences and net meetings will be called if and when useful, as a suitable way to reduce travel costs and to exchange information about the progress within single tasks.

In case of doubt/discrepancy, the rules governing the representation and preparation and organisation of the meetings as well as the voting rules are the ones gathered in article 6.2 of the CA.

All Parties should be **present or represented** at any meeting (any Party may appoint a substitute or a proxy to attend and vote at any meeting). The Parties should participate in a collaborative manner during the meetings.

As soon as a meeting is known to be arranged, the chairperson of the meeting and/or the PC shall give **notice** to the other interested parties about the place and date(s). Invitation with the **agenda** shall be sent by the PC within at least 14 calendar days prior to the 6 monthly ordinary consortium meetings for the Executive Board and 45 days for the General Assembly and at least 15 days prior to an extraordinary meeting for the General Assembly and 7 days for the Executive Board. The Agenda has to be send 15 days prior to the date for the General Assembly (10 days ofr an extaordinary meeting and 7 days for the Executive Board

Any **agenda item** requiring a decision by the Parties must be identified as such on the agenda. Any Party may **add an item** to the agenda by written notification to all of the other Parties within at least 10 calendar days preceding an ordinary meeting and 7 days preceding an extraordinary meeting for the General Assembly , and 2 calendar days for the Executive Board .

During a meeting of the General Assembly as far as all Parties are present or represented, they can unanimously agree to add a new item to the agenda.

In addition to consortium regular project meetings and the possibility of voting during them, the General Assembly meetings can also be held by teleconference or other telecommunication means. When specific decisions must be taken in the short term, extraordinary meetings may be held by e-mail, including management aspects that may have as consequence the request of an amendment to the Grant Agreement; in this case, the voting shall be held via e-mail.

	<p>Project no. 691735</p> <p><b>REPLICATE PROJECT</b></p> <p>Renaissance of Places with Innovative Citizenship And Technology</p>	
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The Coordinator shall produce written **Minutes** of each meeting which shall be the formal record of all decisions taken. He shall send the draft to all of its members within 15 calendar days of the meeting. The Minutes shall be considered as accepted if, within 15 calendar days from sending, no Party has objected in writing to the Coordinator with respect to the accuracy of the draft of the Minutes. Final accepted version will be sent to all members of the consortium.

Finally, final version of partners´ **presentations** (if any change) shall be transmitted to the Project Coordinator by the Parties within a week after the meeting. Presentations shall be uploaded to the project collaboration platform (not accessible to the general public).

**Project meeting plan:**

<b>Meeting</b>	<b>When</b>	<b>Who</b>	<b>What</b>
Project Kick-off	Project start-up (face-to-face)	All project member managers	To discuss the work plan, the structure of the project organisation, the flows of information and to promote creativity and co-operation
General Assembly	12 monthsy (face-to-face), initially, in conjunction with Executive Board meetings, and after the first year in conjunction with the Review meetings.	All Partners	To focus the work within WPs; a status report is generated for partners and distributed to all participants
Executive Board	Every 6 months (face-to-face) and every 2 months by teleconference	Project Coordinator, Technical coordinator, WP leaders, Pilot leader and Follower Cities.	To co-ordinate and monitor the work of different WPs, discussing the project work progress and co-ordination,



Project no. 691735  
**REPLICATE PROJECT**  
 Renaissance of Places with Innovative  
 Citizenship And Technology



			outstanding actions, and ad hoc issues. Minutes will be recorded by the Technical Coordinator and distributed to all participants
Pilot Leaders	Every month by teleconference	Project coordinator, technical coordinator and pilots leaders	To co-ordinate and monitor the work of the different pilots discussing the project work progress and co-ordination, outstanding actions, and ad hoc issues. Minutes will be recorded by the Pilot Coordinator and distributed to all participants
City Pilots meetings	Each pilot every 3 months (face to face)	Pilot leader and pilot partners	To co-ordinate and monitor the work of different pilots discussing the project work progress and co-ordination, outstanding actions, and ad hoc issues. Minutes will be recorded by the Pilot Leader and distributed to all participants

	<p>Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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### Voting rights and quorum

The General Assembly shall not deliverate and decide validly unless a quorum two-thirds (2/3) of the Voting Parties are represent or represented. Decision shall be taken by a minimum quorum of two-thirds (2/3) of the Parties is required Only the Member representatives have voting rights at the General Assembly.

- Each member of the consortium has one **vote** and decisions will be taken by a majority of two-thirds (2/3) of the votes.
- Defaulting Parties shall not vote.

### Veto rights

A Party 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 the GA or EB may exercise a veto with respect to the corresponding decision or relevant part of the decision.

When the decision is foreseen on the original agenda, a Party may veto such a decision during the meeting or within 15 days after the minutes of the meeting are sent. In any case the party has to inform before the meeting to the Project Coordinator in order to find a solution.

When a decision has been taken on a new item added to the agenda before or during the meeting, a member may veto such decision during the meeting and within 15 days after the minutes of the meeting are sent.

In case of exercise of veto, the Parties shall make every effort to resolve the matter which occasioned the veto to the general satisfaction of all of the Parties.

A Party may not veto decisions relating to its identification as a Defaulting Party. The Defaulting Party may not veto decisions relating to its participation and termination in the Consortium or the consequences of them.

## 6.3 CHANGES REQUESTS (AMENDMENTS) PROCEDURES

The basic principle of the project is that budget, tasks, activities and time schedule as described in the Annex 1 (Work Programme) of the GA must be followed closely. In case that changing conditions within a Partner require a change in the Contract (GA) and/or in the Consortium Agreement (CA), the procedure follows the EU regulation and will require an Amendment to the contract.

	<p align="center">Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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Change Requests are due whenever the core part of the content of the project or the way of execution has to be modified. Significant project changes and deviations must be dealt with **in writing** and are subject to approval of the consortium.

The amendment process will be carried out according to the **rules** for amendments mainly gathered in articles 55 of the GA.

Amendment can be requested before the end of the project and its necessary when one of the following changes applies:

- ✓ Changes involving beneficiaries and linked third parties
- ✓ Changes involving the coordinator and principal beneficiary
- ✓ Changes affecting the project or its implementation
- ✓ Changes involving the financial aspects of the grant

It will follow the WP→PC→Consortium flow and will have the following main **steps**:

- It can be initiated by the PO after reached agreement through an internal decision making process, as set out in the CA.
- The CA sign & submit the amendment on behalf of the Consortium
- Preparation of the Amendment: The request for and amendment includes 2 documents: the letter requesting an amendment (providing justification for the request) and the amendment (legal document containing the amendments to the GA)
- Consult the PO while drawing up the request who can review the request informally
- Sign and submit the request for the amendment
- The Commission must accept or reject the request within 45 days and send the PC a formal notification through the Participant Portal

Minor changes such as insignificant deviations from time schedule will be dealt with in the periodic progress reporting and should not be documented.

**NOTICE:** Partners shall never send Change Requests/Amendments directly to the PO.

	<p>Project no. 691735</p> <p><b>REPLICATE PROJECT</b></p> <p>Renaissance of Places with Innovative Citizenship And Technology</p>	
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In addition to consortium regular project meetings and the possibility of voting during them, meetings of the consortium can also be held by teleconference or other telecommunication means. When specific decisions must be taken in the short term, extraordinary meetings may be held by e-mail, including management aspects that may have as consequence the request of an amendment to the Grant Agreement; in this case, the voting shall be held via e-mail.

Any decision may also be taken without a meeting by circulating to all partners a written document which is then signed by the defined majority of the partners. Subsequently, the PC sends it to the PO for approval by EC. Finally the PC takes care that the workplan and/or Annex I is updated. A change becomes effective after approval has been received by the PC from the PO or the EC.

By the time of the preparation of the current document the session for the amendment no.1 to the GA has been opened and its content will be defined during the next weeks.

#### 6.4 SUBMISSION OF DELIVERABLES

All the deliverables and reports must be sent to the Commission according to the timetable specified in the deliverables list.

The following **quality measures** should be passed for the deliverables produced by REPLICATE partners:

- ◆ One month in advance to the planned delivery date for each contractual deliverable, the lead partner in charge of such deliverable will contact the WPL (if different from the former) and the PC in order to check whether it will be submitted as planned or whether there is any unexpected raised problem that may cause a substantial delay.

In case of expected delay, the Co-ordinator will agree with the WPL and the lead partner in charge of the deliverable on how to address the problem and on a new date for submission of the deliverable as soon as possible. If this happens, the coordinator will immediately inform the EC Project Officer. Each WP leader will be responsible for the supervision and technical quality of the deliverables.



- ◆ The delay or risk of delay in the submission of the deliverables , detected by the WP’s Leaders has to be communicated by the WP Leader to the Project Coordinator 2 months in advanced to date planned deliveray date. The PC if necessary will communicate the delay to the European Commission

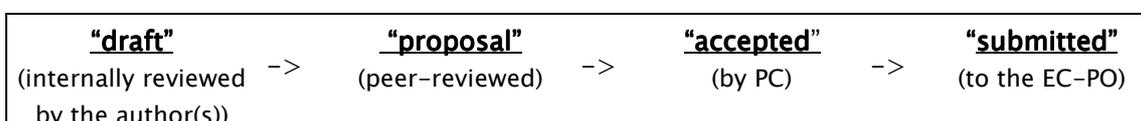
- ◆ To achieve status “draft” (starting with version v01) the deliverable should be firstly internally reviewed by the author(s) of the document (lead partner in charge).

- ◆ To achieve status “proposal” it needs to be internally peer-reviewed by a member of the consortium other that the author(s) of the document. With this objective, each lead partner in charge of a deliverable will send the draft version of this deliverable to the appointed quality peer-reviewer (WPL and PC in copy) two weeks in advance to the planned delivery date.

Reviewers shall identify if something is missing, if there is an inconsistency between sentences, if something is superfluous (not useful or not appropriate in the deliverable) or if something is wrong. Other partners could be consulted for feedback and eventual improvements. The deadline for the review is one week at maximum for the quality reviewer. In any case, the final responsible for the deliverable will be WPL.

- ◆ Once the quality review procedure is closed, and to receive status “accepted”, the PC will verify the quality of the final version of the deliverable. It needs to be ensured that the review comments have been taken into account to the satisfaction of the reviewers.

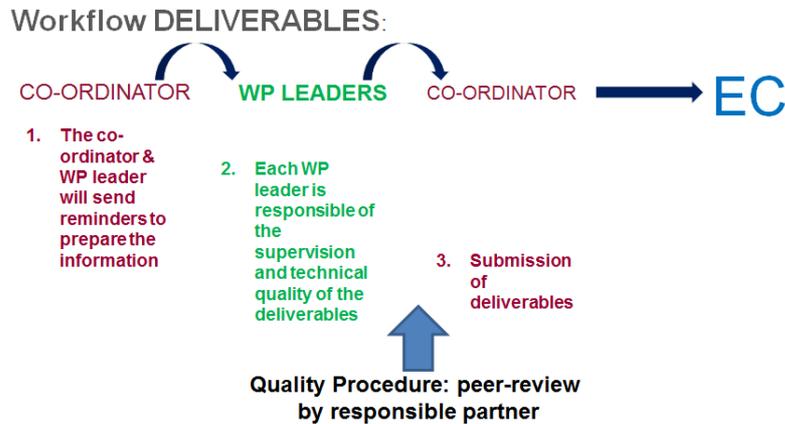
- ◆ Once the deliverable is accepted, it will be “submitted” (version DEF) by the PC to the EC project officer.



Future interactions of the document will generate new versions that will follow the same review process.

The project members will use preferably electronic versions of documents in Microsoft Office (word, excel, PowerPoint) or Adobe PDF. Official documents sent to the EC will be generated in PDF format.

The following figure shows the **workflow for deliverables** elaboration and submission:



## 6.5 PROGRESS REPORT PROCEDURES

### 6.5.1 Work to be done during the year ahead

The PC will present during the twelve –monthly consortium meetings, a summary of the workplan for each active WP during the semester ahead and also a description of the main tasks and outputs to be produced and deadlines will be reviewed.

Work Package leaders will have the opportunity to settle on specific actions with the WP´s task leaders and partners involved.

These presentations will be prepared by the PC as a guide to facilitate to all partners involved the definition of the work to be performed during each semester. In case of doubt and/or discrepancy, the DoA will always be the main reference.

### 6.5.2 6–montly reports /12 monthly reports

Each partner will report project progress to the WP leader and Pilot Leader (when applicable) and each Wp leader and Pilot Leader (when applicable) will report to the project Coordinator on a six–monthly basis. Interim technical report will have to be prepared and submitted to the Coordinator within maximum 15 calendar days after the end of each semester

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On months 12 and month 54 a financial report has to be delivered by each partner to the PC.

This “activity & financial reports” will cover financial technical progress, results, deliverables and compliance with the WP schedule, as well as the monitoring and updating the identified risks. Progress of the tasks will be reported in terms of percentage of completion and estimated time to completion, deviations from agreed time scales and corrective actions.

The coordinator will summarise overall project progress, updating planning charts and manpower records and all this information will be translated to the partners and to the Commission in the annual periodic reports.

As agreed during the project, the Coordinator will provide to the consortium a work plan and a template for “activity and the financial monthly report”. A tentative content of this template can be consulted in Annex 6.

### 6.5.3 Periodic Reports

Periodic reporting to EC is compulsory and the project continuity depends on the reports. The PR provides a comprehensive account of the progress made by the project during the reporting period.

The report should also address issues and problems affecting the progress of the project and co-operation inside the consortium, with the Commission or with other projects. The submission of a PR is normally synchronized with the official Financial Statements (Form Cs) for the same period.

REPLICATE project is divided into 4 reporting periods:

- ◆ Periodic report 1 (PR1), for the costs effectively paid from 01/02/2016 (M1) and until the 31/07/2017 (M18), and will report the activities and deliverables submitted during the first 18 months. All this information will be presented in the first periodic report that will have to be submitted to the EC until the 30/09/2017.



Project no. 691735  
**REPLICATE PROJECT**  
 Renaissance of Places with Innovative  
 Citizenship And Technology



- ◆ Periodic report 2 (PR2), for the costs effectively paid from 01/08/2017 (M19) and until the 31/07/2018 (M30) and will report the activities and deliverables submitted during the next 12 months. All this information will be presented in the second periodic report that will have to be submitted to the EC until the 30/09/2018.
- ◆ Periodic report 3 (PR3), for the costs effectively paid from 01/08/2018 (M31) and until the 31/07/2019 (M42) and will report the activities and deliverables submitted during the next 12 month . All this information will be presented in the third periodic report that will have to be submitted to the EC until the 30/09/2019
- ◆ Periodic report 4 (PR4), for the costs effectively paid from 01/08/2019 (M43) and until the 31/01/2021 (M60) and will report the activities and deliverables submitted during the last 18 months . All this information will be presented in the fourth and final periodic report that will have to be submitted to the EC until the 31/03/2021

The Project Coordinator will collect the required material from the partners in order to prepare the Periodic Reports to be submitted to the EC . As a consequence, each partner will have to send to the PC within a maximum of 15 calendar days after the end of the PR (M19, M31,M43, M61), all the necessary information and documents to be included in this annual PR

PR	Period covered by annual PR	Deadline for submission to PC
1	M1 to M18	15 <sup>th</sup> August 2017 for all partners 1 <sup>st</sup> September 2017 for Pilot Leaders ( to compile information from the Pilot)
2	M19 to M30	15 <sup>th</sup> August 2018 for all partners 1 <sup>st</sup> September 2018for Pilot Leaders ( to compile information from the Pilot)
3	M31 to M42	15 <sup>th</sup> August 2019 for all partners 1 <sup>st</sup> September 2019 for Pilot Leaders ( to compile information from the Pilot)
4	M43 to M60	15 <sup>th</sup> February 2021 for all partners 28 <sup>th</sup> February 2021 for Pilot Leaders ( to compile information from the Pilot)

	<p><b>Project no. 691735</b></p> <p><b>REPLICATE PROJECT</b></p> <p><b>Renaissance of Places with Innovative Citizenship And Technology</b></p>	
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The PR will contain the following information:

- Description of the project objectives for the period
- A detailed account (WP by WP) of the of work progress and obtained achievements
- Deviations from the work schedule – where necessary
- Planned modifications to the work schedule for the next reporting period – where necessary.
- A summary of the management of the consortium activities
- Explanation of the use of resources employed by each partner
- Financial statements (Form C) for each partner
- Audit Certificates (CFS), if required at the end of the project

In any case, the report will follow the structure provided by the official template for periodic reporting provided by the European Commission:

[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/amga/h2020-amga\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf)

As the periodic report must include information about the resources and costs incurred during the period and this information has to match the official Financial Statements (Form Cs; see Annex 8) to be submitted by the beneficiaries, within 15 days after the end of months 18–30–42 and 60, Cost Statements are to be provided by every partner to the Project Coordinator with the official costs (and costs description) for the whole reporting period in question (PR1, PR2, PR3 and PR4 respectively) in order for the Project Coordinator to review them and include them in the Periodic Reports to the EC.

This spreadsheet tool (electronic version) will be available for calculations and will help the PC to do preliminary checks prior to the delivery to the EC of the reporting period report. The PC will monitor financial information provided by each beneficiary for each twelve-month period to ensure resources usage does not significantly deviate from the budgeted schedule. If necessary the PC will ask the beneficiaries to justify deviations. The Project Co-ordinator will monitor tasks progress for every beneficiary in terms of:

- Actual against planned Person-Month use
- Financial resources use against overall project budget



- Work progress against resources used.

The Partners must present their financial claims in accordance with the EC requirements. For more detail:

[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/amga/h2020-amga\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf)

The Coordinator will provide to the consortium (together with the template for “activity&financial 6/12monthly report”) a Cost Statement (expenses pattern) template (see Annex 7).

In general, the **time limits for the reporting process** are as follows:

Submission of Reports	Approval of Reports	Total
60 days	90 days	150 days (5 months)

- The Coordinator shall submit the periodic reports no later than 60 days after the end of the respective period
- The Commission shall evaluate the required project reports and deliverables (including Form Cs) and disburse the corresponding payments within 90 days of their receipt (unless suspension due to needed clarifications). The evaluation workflow in the EC is as follows:

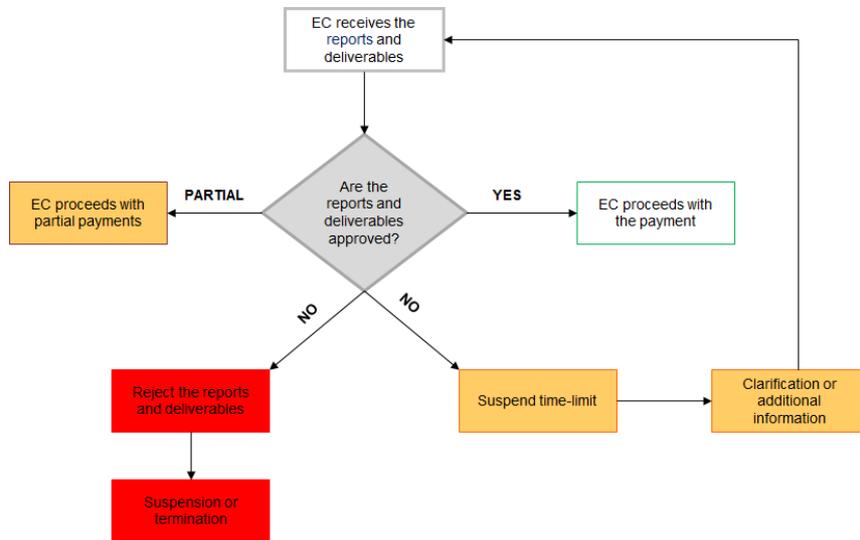


Figure: EC evaluation process

- The payment process may take up to 5 months since the finalization of the period

## 6.6 PAYMENTS PROCEDURES

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Payments from the EC will be received by the Project Co-ordinator, and transferred directly in Euros to the beneficiaries through their nominated account. Payments will be made to beneficiaries in accordance with the amounts received from the Commission following their processing of cost statements, and on the payment instructions of the Commission.

### 6.6.1 EC financial contribution

The maximum financial contribution of the Union as currently stated in the Grant Agreement (24,965,263.09 €) cannot be exceeded and no additional funding is possible.

	<p>Project no. 691735</p> <p><b>REPLICATE PROJECT</b></p> <p>Renaissance of Places with Innovative Citizenship And Technology</p>	
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### 6.6.2 Partners “bank details”

Before the Coordinator can do the first transfer to every partner, partners have to fill in and submit to the Coordinator, a dated and signed version of the “financial information for payments” form (see Annex 3).

If a change in the Financial Information is necessary, it is compulsory that partners inform the Coordinator immediately in order to update it.

Any costs and bank fees (at the moment of a payment by the Coord.) due to incorrect or invalid Financial Information will be borne by the Beneficiary.

### 6.6.3 Payment modalities

EU contribution for REPLICATE project includes: a Pre-financing, 3Interim and a Final payment.

### 6.6.4 Pre-financing

In accordance with article 21 of the GA, the Coordinator the prefinancing amount from the EC is the 32.5% of the maximum financial EC contribution. A 5% of this maximum financial EC contribution is going to be retained by the Executive Agency (INEA) from the prefinancing payment and transferred into the Guarantee Fund.

So, first payment received from the EC by the PC is 27.5% of the maximum financial EC contribution

According to the article 7.3 of the CA, the payment schedule for the prefinancing is as follows:

- Initial pre – financing instalment: 80% of prefinancing received from the EU (excluding 10% of retention as Guarantee Fund) :  $80\% * 27.5\%$  of the total grant
- Further pre-financing instalments (if needed) : 20% of prefinancing received from the EU :  $20\% * 27.5\%$  of the total grant, after approval by the PC and the TC and WPL of the technical and financial progress report (activity done and budget expended)
- Interim payments: according the costs reported and accepted by the EC , with a maximum of 90% of the total grant
- Final payment: Difference between the amount already paid as pre-financing and interim payments and the total eligible costs , including the 10% retention of the Guarantee Fund



Project no. 691735  
**REPLICATE PROJECT**  
 Renaissance of Places with Innovative  
 Citizenship And Technology



	Total costs	Requested Grant	Guarantee Fund	Prefinancing	Prefinancing payment schedule		Total	Pending
	(budgeted)	(budgeted)	5.00%	27.50%	1st payment 80% of 27.50% M1	2nd payment 20% of 27.50% M12 or M18*	Estimated Payments prefinancing (B)	expected payments after prefinancing (A)-(B)
	(A)							
1 SANSEBAST	1.676.625,00	1.676.625,00	83.831,25	461.071,88	368.857,50	92.214,38	461.071,88	1.215.553,13
2 FSS	2.415.080,00	2.415.080,00	120.754,00	664.147,00	531.317,60	132.829,40	664.147,00	1.750.933,00
3 FLORENCE	4.998.771,00	4.784.462,10	239.223,11	1.315.727,08	1.052.581,66	263.145,42	1.315.727,08	3.468.735,02
4 BRISTOL	3.376.450,00	3.376.450,00	168.822,50	928.523,75	742.819,00	185.704,75	928.523,75	2.447.926,25
5 ESSEN	249.000,00	174.300,00	8.715,00	47.932,50	38.346,00	9.586,50	47.932,50	126.367,50
6 NILUFER	75.317,86	52.722,50	2.636,13	14.498,69	11.598,95	2.899,74	14.498,69	38.223,81
7 LAUSANNE	249.000,00	0,00	0,00	0,00	0,00	0,00	0,00	0,00
8 EUROHELP	469.400,00	328.590,00	16.429,00	90.359,50	72.287,60	18.071,90	90.359,50	238.220,50
11 LEYCOLAN	384.915,00	269.440,50	13.472,03	74.096,14	59.276,91	14.819,23	74.096,14	195.344,36
12 TECNALIA	935.000,00	935.000,00	46.750,00	257.125,00	205.700,00	51.425,00	257.125,00	677.875,00
13 EUSKALTEL	328.562,50	229.993,75	11.499,69	63.248,28	50.598,63	12.649,66	63.248,28	166.745,47
14 DBUS	1.551.375,00	1.085.962,50	54.298,13	298.639,69	238.911,75	59.727,94	298.639,69	787.322,81
15 CNR	231.668,75	231.668,75	11.583,44	63.708,91	50.967,13	12.741,78	63.708,91	167.959,84
16 ENEL	1.353.750,00	947.625,00	47.381,25	260.596,88	208.477,50	52.119,38	260.596,88	687.028,13
17 MATHEMA	170.000,00	119.000,00	5.950,00	32.725,00	26.180,00	6.545,00	32.725,00	86.275,00
18 SPES	571.250,00	399.875,00	19.993,75	109.965,63	87.972,50	21.993,13	109.965,63	289.909,38
19 TELECOM	355.000,00	248.500,00	12.425,00	68.337,50	54.670,00	13.667,50	68.337,50	180.162,50
20 UNIFI	673.000,00	673.000,00	33.650,00	185.075,00	148.060,00	37.015,00	185.075,00	487.925,00
21 THALES	482.500,00	337.750,00	16.887,50	92.881,25	74.305,00	18.576,25	92.881,25	244.868,75
22 ZABALA	188.750,00	132.125,00	6.606,25	36.334,38	29.067,50	7.266,88	36.334,38	95.790,63
23 TECHNOMAR	388.250,00	250.775,00	12.538,75	68.963,13	55.170,50	13.792,63	68.963,13	181.811,88
24 UOB	588.556,25	588.556,25	29.427,81	161.852,97	129.482,38	32.370,59	161.852,97	426.703,28
25 UOXF	262.636,25	262.636,25	13.131,81	72.224,97	57.779,98	14.444,99	72.224,97	190.411,28
26 BIO	256.246,25	179.372,38	8.968,62	49.327,40	39.461,92	9.865,48	49.327,40	130.044,98
27 ZEETTA	452.131,25	297.591,88	14.879,59	81.837,77	65.470,21	16.367,55	81.837,77	215.754,11
28 KWMC	371.250,00	371.250,00	18.562,50	102.093,75	81.675,00	20.418,75	102.093,75	269.156,25
29 TREL	113.721,25	79.604,88	3.980,24	21.891,34	17.513,07	4.378,27	21.891,34	57.713,54
30 ROUTE MONI	382.500,00	267.750,00	13.387,50	73.631,25	58.905,00	14.726,25	73.631,25	194.118,75
31 ESOTERIX	452.500,00	316.750,00	15.837,50	87.106,25	69.685,00	17.421,25	87.106,25	229.643,75
32 NEC	612.247,50	428.572,25	21.428,61	117.857,37	94.285,90	23.571,47	117.857,37	310.714,88
33 CO-WHEELS	596.000,00	417.200,00	20.860,00	114.730,00	91.784,00	22.946,00	114.730,00	302.470,00
34 UVE	239.487,50	239.487,50	11.974,38	65.959,06	52.687,25	13.171,81	65.959,06	173.628,44
35 ESADE	299.000,00	299.000,00	14.950,00	82.225,00	65.780,00	16.445,00	82.225,00	216.775,00
36 SISTELEC	409.640,00	286.748,00	14.337,40	78.855,70	63.084,56	15.771,14	78.855,70	207.892,30
37 GIROA	2.337.063,78	1.635.163,60	81.758,18	449.669,99	359.735,99	89.934,00	449.669,99	1.185.493,61
38 IKUSI	440.562,50	308.393,75	15.419,69	84.808,28	67.846,63	16.961,66	84.808,28	223.585,47
39 DEM	173.682,14	121.577,50	6.078,88	33.433,81	26.747,05	6.686,76	33.433,81	88.143,69
40 UNEXE	196.673,75	196.673,75	9.833,69	54.085,28	43.268,23	10.817,06	54.085,28	142.588,47
	<b>29.277.563,53</b>	<b>24.965.263,09</b>	<b>1.248.263,15</b>	<b>6.865.447,35</b>	<b>5.492.357,88</b>	<b>1.373.089,47</b>	<b>6.865.447,35</b>	<b>18.099.815,74</b>

Figure: Pre-financing payment schedule

### 6.6.4.1 Interim payment

For projects with more than one reporting period, the EC shall make interim payments of the financial contribution of the Union corresponding to the amount accepted for each reporting period. The amount of the interim payment will depend on the costs accepted for the 1st reporting period and only in that moment will be confirmed if an interim payment would be made. Interim payment is always subject to a Financial restriction:

$$(\text{interim Payment PR1} + \text{PR2} + \text{PR3} + \text{Pre-financing} \leq 90\% \text{ Maximum EU Contribution}).$$

	<p><b>Project no. 691735</b></p> <p><b>REPLICATE PROJECT</b></p> <p><b>Renaissance of Places with Innovative Citizenship And Technology</b></p>	
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#### **6.6.4.2 Final payment**

The EC shall make a final payment of the financial contribution of the Union corresponding to the amount accepted for the last reporting period plus any adjustment needed. In the case the whole budget has been executed by the beneficiary, the final payment would be the remaining contribution (10%) plus the Guarantee Fund (5%).

#### **6.6.5 Notification of payments and charges**

Once the Coordinator has received funds from the EC to be distributed among partners, he/she shall notify the partner concerned promptly of the date and composition of the amount to be transferred to its bank account, giving the relevant references.

In the same way, partners have to inform the Coordinator as soon as the payment is credited in their bank accounts.

#### **6.6.6 Report on the distribution of the Financial contribution of the Union between beneficiaries.**

The Coordinator shall submit this report to the Commission after the end of the project and not later than 30 days after receipt of final payment .

#### **6.6.7 Conversion rate**

Payments by the Commission shall be made in Euro, and Partners shall report costs also in Euro. Therefore, beneficiaries with accounts in currencies other than the Euro (e.g. for REPLICATE UK partners), shall report costs by using, either the conversion rate published by the European Central Bank that would have applied on the date that the actual costs were incurred, or its rate applicable on the first day of the month following the end of the reporting period (OJEU).

#### **6.6.8 Exchange losses**

Transfers of money, claims, returning money in case of one partner living the project or not spending of the money received... will be made in Euro. In case of partners not belonging to the Euro zone, the losses or benefits due to the exchange rate will be assumed by the partner. The coordinator and the European Commission will transfer or receive the amount in Euro, not assuming the losses or benefits due to the exchange rate.

	<p align="center">Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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## 6.7 QUALITY ASSURANCE

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A very important activity within the Project Management tasks will be Quality assurance Management. This includes the processes required to ensure that the project will satisfy the requirements and motivation for which it was undertaken.

In this context, everyone working on the REPLICATE project is responsible for contributing to ensure quality in the work. In order to do so it is important that:

- Tasks are clearly defined (both in relation to own work and sub contracts)
- Staff is sufficient and with the necessary qualifications to solve the task
- Staff is informed of the context of the tasks, deliverables, schedules and resources

The person responsible of preparing a deliverable shall:

- Take action to seek the information necessary to fully understand the scope and interfaces of the work
- Comply with requirements defined by the REPLICATE project and/or the EC
- Communicate purpose, methods and results clearly and adequately so it cannot be misunderstood

The person responsible of checking a deliverable shall:

- ✓ Check the results against the scope of the work
- ✓ Check the scientific quality of the work (methodologies, inputs and outputs, conclusions)
- ✓ Check the lingual quality of the work

The person responsible of reviewing and approving a deliverable shall:

- ✓ Verify that the interfaces to other parts of the REPLICATE project are dealt with in an appropriate manner
- ✓ Verify that conclusions and assessments are well formulated and well-founded
- ✓ Verify that the deliverable meets the requirements and fulfils its purpose

	<p>Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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The following quality assurance tools can be identified in REPLICATE project

### **6.7.1 Internal peer-review**

In addition to the external peer review process by the Advisory Board, the project will have an internal peer-reviewing procedure to assure the quality of processes and results.

Each deliverable will be peer-reviewed by some members of the consortium

The project will apply this internal reviewing procedure to guarantee the quality of its results. Each WP leader will be responsible for the quality of the results, especially the deliverables, which will be subject to a peer review by the internal expert nominated by the General Assembly.

A table including quality reviewers will be provided. After the approval by the Executive Board (month 6 meeting ) will be incorporated as annex 9: Deliverables Quality Review

### **6.7.2 Contract Monitoring**

WPL monitor the progress of all activities at WP level. WPL will be responsible for ensuring that all tasks within the WP are carried out on schedule and that targets are being met and shall report back to the PC on this at least every six months. In case they observe variations or a need for variations to the contract they report to the PC.

The Project Co-ordinator assisted by the Technical coordinator will also monitor WP progress, to ensure submission of technical deliverables according to time-scale.

Variations to the contract are defined as any one, or combination, of the following:

- ◆ Changes to the financial contribution of any beneficiary
- ◆ A significant change in the number of person months work to be carried out by any beneficiary
- ◆ Significant changes to project cost or time schedules
- ◆ Transfer of costs/resources between beneficiaries
- ◆ Withdrawal of current contractors or acceptance of new contractors
- ◆ Termination of the EC contract

	<p>Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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### 6.7.3 EC reviews

The Project Co-ordinator will be responsible for monitoring overall project progress based on WPL inputs. However, according to the EC GA, the EC will also monitor progress by reviewing annual Progress Reports and deliverables provided by the Co-ordinators. Estimated dates for the REPLICATE reviews are in M19, M31, M43 and M60.

In any case, the Commission may initiate a technical audit or review at any time during the implementation of the project and up to up to five years after the end of the project. For the evaluation of reports and deliverables the EC may be assisted by external experts. The objective is to verify that the *project follows* the Description of the Action(Annex 1), evaluating the *project* reports and deliverables, the proper use of resources in particular with respect to efficiency and effectiveness, the management of the *project* and the expected impact.

### 6.7.4 Conflicts resolution

Conflicts will be solved at the lowest level possible; those which cannot be solved will be taken through a “principled negotiation”.

If an agreement cannot be reached at WP level, then the Project Coordinator will mediate. If that is not satisfactory, then the General Assembly will make a decision, and if necessary will ask for the authorisation of the EC for further actions. Procedures will be settled and signed in the Consortium Agreement before the start of the project. The CA (handbook for governance of the project) will formalise the rights, obligations, relationships and procedures within the consortium..

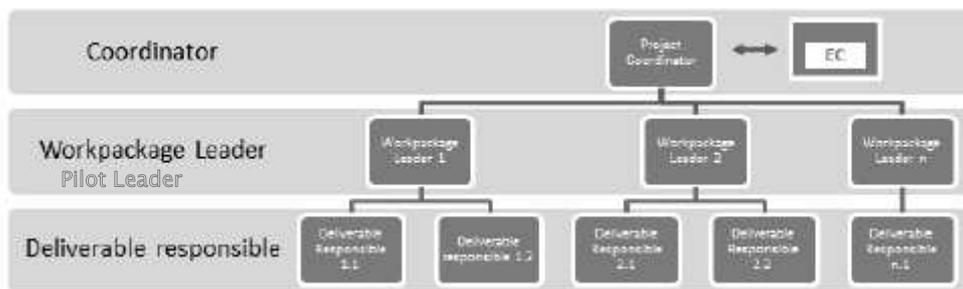
## 7. INFORMATION SHARING AND COMMUNICATION

### 7.1 INTERNAL COMMUNICATION

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#### 7.1.1 Procedure for Communication inside and outside the Project

The illustration below provides a representation of validation mechanisms for any technical, administrative or financial communication to be addressed to the European Commission.



The first level of validation is made by the WPL in relation to the deliverable for which is responsible. The pilot leader also will guarantee communication within the pilot. The last level of validation is made by the project coordinator in relation to the WPL. Only the Coordinator informs the EC services about the documents / deliverables / milestones / reports, being the focal contact point with the Project Officer.

Internal communication: will be maintained using all standard methods (face to face meetings, e-mail, mail, phone, fax, audio conference) and, particularly, though an on-line platform for sharing documentation, reports in-progress and deliverables, namely: All partners are required to actively use such platform in order to foster and ease cooperation.

FSS will perform regular back-up copies in order to prevent potential loss of information.

	<p align="center">Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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### 7.1.2 Collaborative platform

- A collaboration platform solution, specifically selected for the internal communication and management of the REPLICATE project is going to be adopted.
- All relevant papers (documents, templates, guidelines, minutes, contact lists, actions list, etc) of the project will be stored in this site. This collaboration platform accepts commonly used WWW document formats including PDF, HTML and Microsoft Office (Word, PowerPoint and Excel) formats.
- An electronic library can be offered, containing all documents relevant to the project (administrative, legal and technical).
- The collaborative platform will be used for the exchange of files and to enable the beneficiaries to work on the same documents.
- The information stored in this file server is only accessible for Partners/consortium members.

### 7.1.3 Registered Documents

The term “Registered Documents” refers to all documents which will be archived in the project collaboration platform. This includes:

- a) All deliverables;
- b) All “internal deliverables and templates” as, e.g.,
  - Minutes from the project meetings.
  - Task reports, etc.;
  - Others agreed by the PC (e.g. “Cost Statement” template) or by the respective WPL.
- c) All other major documents and reports as:
  - Requested by the PO or the EC (e.g., project brochures, material, Periodic reports, Final Report);
  - Other documents suggested and approved by WPLs;
  - Other documents requested by the consortium;
  - Other documents requested by the SC;
  - Publications, technical reports...

	<p align="center">Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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#### 7.1.4 Language

The overall project language is English.

Minutes of project meetings, project deliverables and periodic progress reports must be prepared in English.

Meetings with attendance from abroad must be in English.

#### 7.1.5 Publication of information

Publication means “any information or result disseminated to third parties including”:

- ✓ Papers at conferences or seminars;
- ✓ Manuscripts & abstracts for magazines, professional journals and proceedings as far as they are not under Non Disclosure Agreement.
- ✓ Web pages accessible outside the consortium;
- ✓ Press releases;
- ✓ Presentations and demonstrations to visitors other than the consortium members;
- ✓ Information and results shared during workshops that are open to third parties/stakeholders.

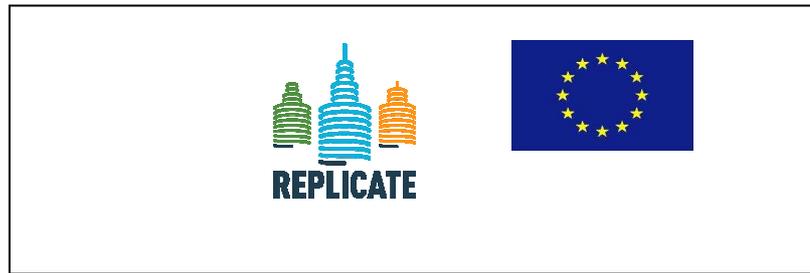
The following actions are not seen as publication:

- ✓ Written deliverables to the PO or the Commission Services;
- ✓ Information and documents posted on the internal collaboration platform;
- ✓ Information and results shared during project meetings or workshops;

**NOTICE:** All publications about REPLICATE project, or any other dissemination relating to foreground, shall include the following suggested statement to indicate that said publication was generated with the assistance of financial support from the European Commission:

**“This activity has been developed under the REPLICATE project which is funded by the HORIZON 2020 Programme”**

It is also very much recommended to include logos of the project and of the European Commission in these publications.



### 7.1.6 Documents and files naming

All partners will collaborate so that all files sent to other members of the project adhere to the following naming conventions:

REPLICATE\_<WPX>\_<D/TYY>\_<Description>\_<Version>\_<Date>.<ext>

Where:

- <WPX> Work Package identifier, as for example: “WP7”, “WP1”, if applicable.
- <D/TYY> Deliverable, as D7.2, or Task, as “T7.1”, if applicable.
- <Description> Document description (e.g. “Contacts details”).
- <Version> Two digits version identifier, as ‘v01’, ‘v13’..
- <Date> Date in “daymonthyear” format (ddmmyy)
- <Ext> Extension of the file name according to edition tool (e.g. \*.doc, \*.xls, \*.ppt, \*.pdf,..)

**NOTICE:** lowercase and uppercase characters are allowed, and separate the words preferably with ('\_'). Don't use slash ('/').

For example: “REPLICATE\_WP1\_D 1.1\_doc x rev\_v01 201113.pdf”

### 7.1.7 Emails' subject naming

All partners will collaborate so that all emails sent to other members of the project have “subjects” that clearly indentify the REPLICATE project.

**NOTICE:** in order to facilitate filtering and/or anti-span measures and also the categorization of the email by the addressees, the subject line should indicate the term “REPLICATE /” followed by a short explanation sentence or few keywords about the message.

For example: “REPLICATE / submission final version\_KOM agenda”

	<p>Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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#### **7.1.8 Deliverables numbering system:**

Deliverables shall include in the cover page the following information: project and UE logos, Project Acronym, Grant Agreement Number, Project Title, Deliverable Reference number and title, Due date and Submission date (dd/mm/yyyy), Author, Status and Dissemination level.

The deliverable numbering will follow the Deliverables list numbering included in Annex 1–DoA

The delivery number shall be used as a code on the front page of all deliverables. Furthermore, a revision numbering shall be included.

The title of the document/deliverable must follow the titles included in the work programme.

#### **7.1.9 Invitation to meetings and minutes of meetings**

Meetings agenda will be prepared and distributed to the partners within at least 14 days preceding an ordinary meeting.

Written minutes of a meeting will be produced by the PC and distributed among partners for revision within 15 calendar days of the meeting.

“Invitation to the meeting” and “Minutes of a Meeting” templates, with their suggested associated contents, are provided in Annexes 1 and 2.

#### **7.1.10 Contacts list**

With the collaboration of all partners, Fomento de San Sebastián will update on a regular basis (and also after demand from any partner) the contact list (emails) prepared for communication purposes.

Each partner will appoint in this list the person acting as “**main contact**” (only 1 main contact per partner). This person will be the main contact point for all issues (technical and financial/management) and will be always included in the communications sent by the Coordinator to the partner for the tasks and/or issues to be solved/clarified, and also the one who will internally coordinate the different issues with the rest of the contacts in his/her organization.

	<p>Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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As an exception, and taking into account that in some organisations, financial issues are managed by a different department, each partner could optionally also include a **"financial contact"**.

Once all contributions for "contacts list" have been received, this update will be distributed among partners and uploaded to the collaboration platform.

Any change in the contact list provided by a singular partner will have to be informed as soon as possible to the Coordinator and Fomento.PE

To avoid unnecessary emailing messages, senders will carefully select the recipients to the narrowest audience possible.

Attention will be devoted by partners to the emails' subject naming as beforehand explained.

## 7.2 EXTERNAL COMMUNICATION

The external communication will consist on :

- ❖ Dissemination plan, communication, the project web sites, cooperation platforms (wiki, project repository, mailing lists), and other communication mechanisms.

### 7.2.1 General External Communication

External communication: in order to spread REPLICATES' outputs, a dissemination strategy will be defined and deployed (further details in: D11.1 Communication Plan it will describe promotional actions such as:

- ❖ Web site: [www.....eu](http://www.....eu)
- ❖ Project brochure
- ❖ Newsletters
- ❖ Project social network profiles
- ❖ Articles

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Visibility of EU funding – Obligation and right to use the EU emblem:

According to the Grant Agreement Article 29.4, unless the Commission requests or agrees otherwise or unless it is impossible, any dissemination of results (in any form, including electronic) must:



❖ display the EU emblem and

include the following text: “This project has received funding from the European Union’s Horizon 2020 grant agreement No 691735”.

When displayed together with another logo, the EU emblem must have appropriate prominence.

For the purposes of their obligations under this Article, the beneficiaries may use the EU emblem without first obtaining approval from the Commission.

This does not however give them the right to exclusive use.

Moreover, they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other mean

### **7.2.2 Communication Plan**

Main external communication and disseminations activities are included in WP11 and they will be defined in detail in the Communication Plan which first version is due for M6 (D11.1). Goal of the communication plan is to structure and coordinate activities concerning definition of target groups, content and communication as well as dissemination channels. The plan will be adjusted to the progress of the project to reach the adequate audience with the most interesting information. The communication plan will also help to create a tool to involve stakeholders into the project if it is appropriate. All Partners will actively contribute to the publication policy, both at own initiative and upon request of other Partners, WPLs and PC.



### **7.2.3 Publications**

The Executive Board will be informed about the publications related to the REPLICATE.

All the partners have to send the publications intended to be published to the Executive Board for its approval. Only after its approval information related to the project can be published.

## **7.3 EUROPEAN COMMISSION**

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All official communications with the PO or the EC Services related to the REPLICATE project will be provided through the Project Coordinator. Project Coordinator will accordingly inform Executive Board and General Assembly members.

	<p>Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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## 8. GENERAL FINANCIAL PROVISIONS

### 8.1 GENERAL RULES FOR JUSTIFICATION

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#### 8.1.1 Eligible costs

To be considered as eligible, costs must (art 6.1 of the GA):

- be actual, necessary and incurred by the beneficiary during the duration of the project
- be determined in accordance with the usual accounting principles of the partner
- be used for the sole purpose of achieving the objectives of the project
- be recorded in the accounts of the beneficiary
- be indicated in the estimated overall budget in Annex 1.

For unit costs:

- they must be calculated as follows: amounts per unit set out in Annex 2 or calculated by the beneficiary in accordance with its usual cost accounting practices, multiplied by the number of actual units

Flat rate cost:

- – Must be calculated by applying the flat rate set out in Annex 2 (25%)

#### 8.1.2 Non-Eligible costs

The following costs shall be considered as non-eligible and may not be charged to the project:

- cost related to return on capital
- debt and debt service charges
- provisions for future losses or debts

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- interest owed
- doubtful debts
- currency exchange losses
- bank costs charged by the beneficiary's bank for transfers from the Agency
- excessive or reckless expenditure
- deductible VAT
- costs incurred during suspension of the implementation of the action

## 8.2 CATEGORIES OF ELIGIBLE COSTS

### **8.2.1 Direct costs**

The Grant Agreement foresees the following **categories** of direct costs (art.II.15.1):

- ❑ Direct personnel costs
- ❑ Direct cost of subcontracting
- ❑ Other direct costs
  - Travel costs and subsistence
  - Depreciation costs of equipment , infrastructure or other assets
  - Other goods and services
- ❑ Indirect costs
- ❑ Costs for energy efficiency measures in buildings

## 8.3 DOCUMENTATION OF COSTS

Partners shall keep the original of all documents relating to the REPLICATE GA for a period of 5 years after the payment of the balance. . They have to be available for potential request in the context of checks, reviews, audits or investigations.

	<p align="center"><b>Project no. 691735</b>  <b>REPLICATE PROJECT</b>  <b>Renaissance of Places with Innovative  Citizenship And Technology</b></p>	
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All invoices must be systematically filed in by the partners in their respective financial archives for the project and marked with the name of the project (REPLICATE – H2020).

In general, it is necessary to document the expenses (with invoices+ payment justification) and to to define the personnel and their precise activities in a pattern.

These archives should include:

- Copies of all cost statements
- Copies of all timesheets related to REPLICATE, to be used when completing cost statements
- Employment contracts, records showing rates used by employees who have worked on REPLICATE, and proof of payment of salary (including charges to salary)
- Itemized travel claims for each trip made, including details of the employee(s) involved, dates, exchange rates if relevant, and all costs (including and excluding VAT)
- Receipts for all travel claims made, including boarding passes and flight tickets and other travel, hotel and subsistence receipts.
- Receipts and/or credit card bills for consumables items claimed, including date of purchase and cost including and excluding VAT
- Invoices for all external assistance claimed (subcontracting), plus a note justifying expenditure and original deliverables from the subcontractors.
- Overhead costs for each cost statement period and a breakdown of how they are derived

## 8.4 FINANCIAL STATEMENT (FORM C)

### **8.4.1 General Instructions**

- ❑ Each beneficiary shall provide to the Coordinator the Cost Statement of the period duly completed in order to check and verify costs to be claimed. Once the cost statement (template to be provided) would be reviewed, costs shall be completed in in SyGMA, creating Individual Financial Statements per beneficiary. The tool will create automatically the Financial Statements in accordance with Annex 4 of the Grant Agreement.

	<p align="center"><b>Project no. 691735</b>  <b>REPLICATE PROJECT</b>  <b>Renaissance of Places with Innovative  Citizenship And Technology</b></p>	
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All persons with the following roles within one organisation:

- Participant Contacts: PaCo
- Coordinator Contact: CoCo

Have access to complete the explanation of the use of the resources in SyGMA and complete the Financial Statement.

When all the Financial Statements reviewed by the Project Coordinator and Pilot Leader, each partner will sign electronically to the SigMa by the authorised person(s). Once all the documents signed by all the partners the PC will submit the financial information to the PO

- Individual Financial Statements of each beneficiary shall be signed electronically by the corresponding Project Financial Signatories (PFSIGN) appointed by each organization.

**8.4.2 Electronic Signature of the Financial Statement**

All beneficiaries shall appoint a Project Financial Signatory (PFSIGN) in order to submit a Financial Statement and the request for reimbursement to the Commission. Each PFSIGN will have to sign in SyGMA using her/his ECAS account.

PFSIGNs appointed in REPLICATE are available also in the contact list of participants uploaded in the repository. See label “PFSIGN”.If any beneficiary wishes to change the PFSIGN in REPLICATE you should send an e-mail to Laura Ezcurra and she will help you in the process.

**Instructions for the electronic signature of a PFSIGN:**

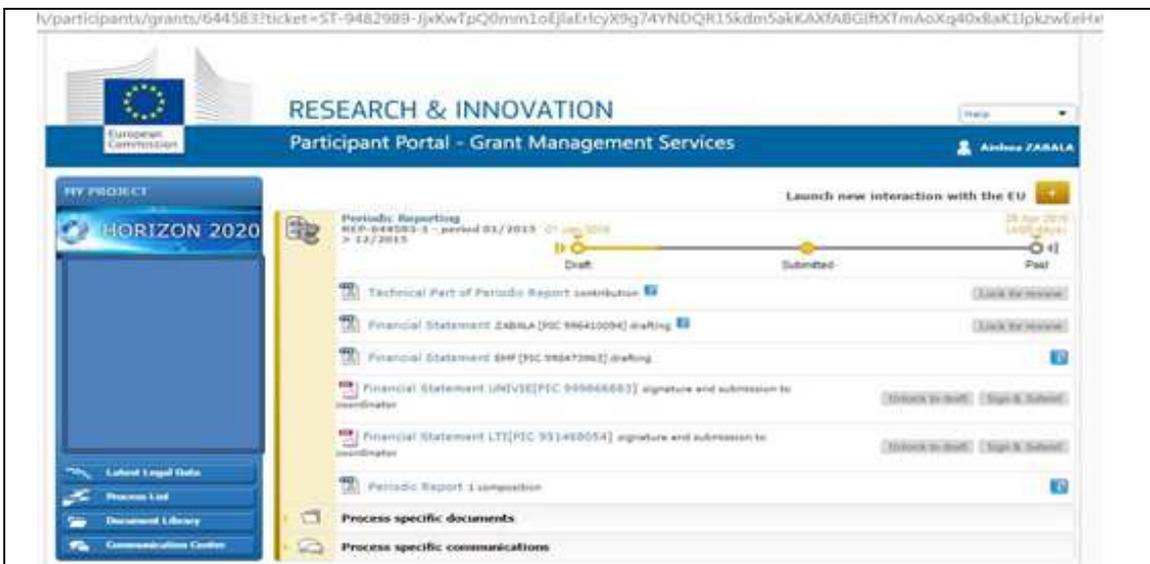
1. The Project Financial signatory (PFSIGN) shall log in the Participant Portal with your ECAS account at the following link:  
  
<http://ec.europa.eu/research/participants/portal/desktop/en/home.html>
2. Once you are logged in, please go to “My project” tab and click “MP” Manage project button of REPLICATE:



	H2020	644583	Active	  
	H2020	652683	Active	   <a href="#">Manage Project</a>

**Figure 1: Participant Portal**

The following screen will be showed:



**Figure 2: Participant Portal**

- The PFSIGN will have in the beneficiary’s Financial Statement the option “Sign and Submit” Available. Please check that everything is correct and click “Sign and Submit”.

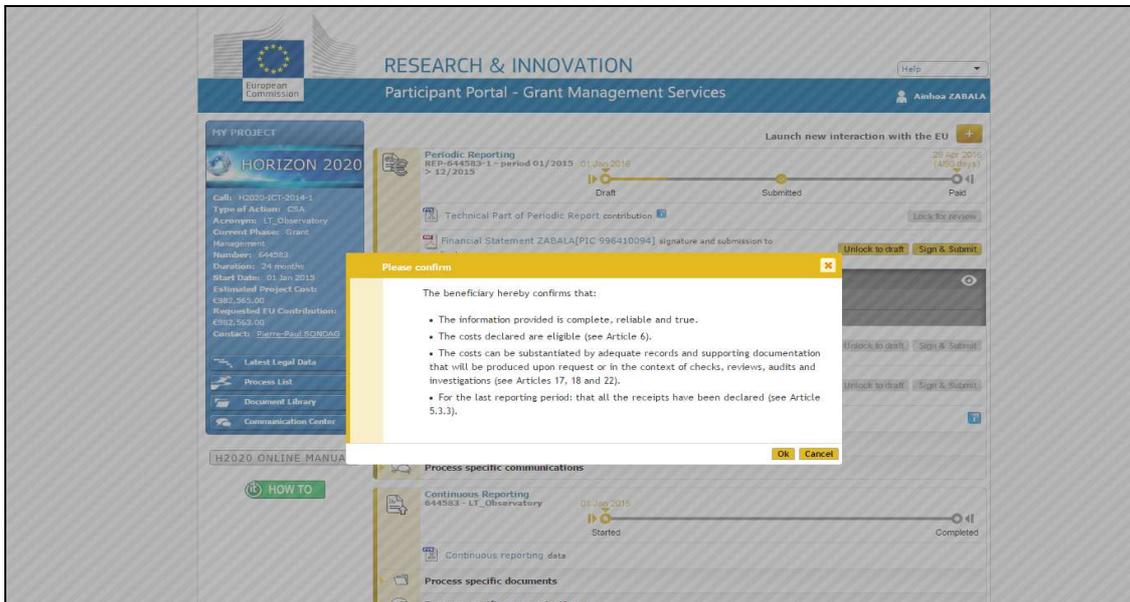
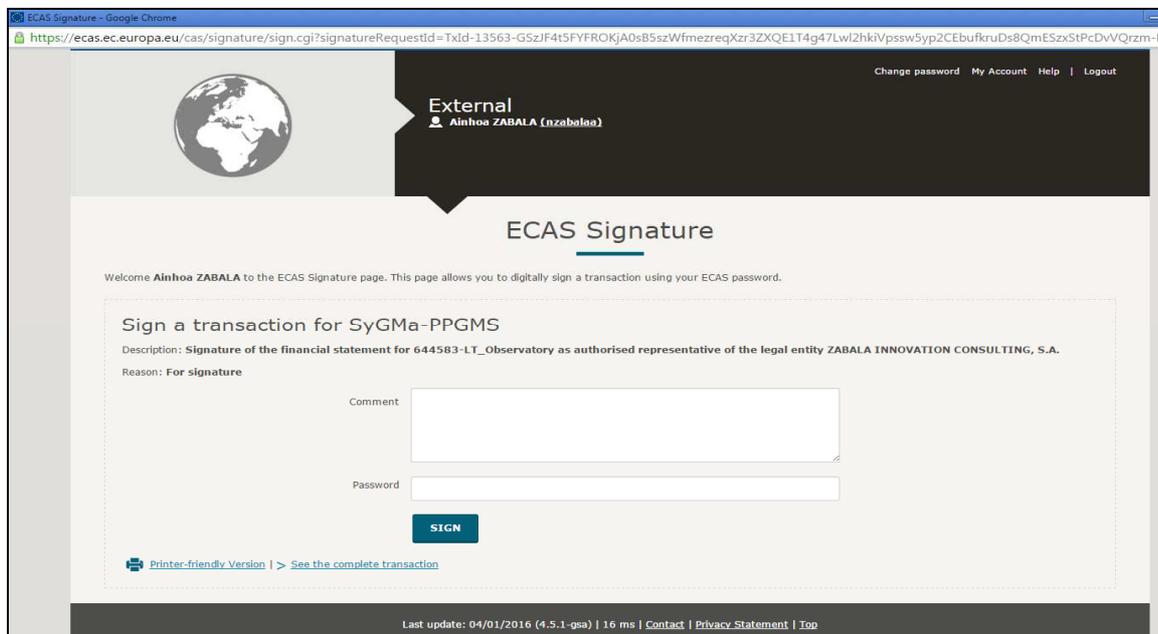


Figure 3: Participant Portal

4. The tool will ask you to enter again the PFSIGN's ECAS password in order to sign electronically.



- 5.

Figure 4: Participant Portal

	<p align="center"><b>Project no. 691735</b>  <b>REPLICATE PROJECT</b>  <b>Renaissance of Places with Innovative  Citizenship And Technology</b></p>	
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Once the PFSIGN introduces his/her password and clicks “SIGN” the process will be completed and the Financial Statement signed electronically.

## 8.5 CERTIFICATE ON FINANCIAL STATEMENTS (CFS)

According to article 20.4 of the GA “a certificate on the financial statements shall be submitted with the final report when the amount of the financial contribution of the European Commission claimed by a beneficiary under the form of reimbursement of costs is equal to or superior to EUR 325.000, as reimbursement of actual costs and unit costs calculated on the basis of its usual cost accounting practices.

The certificate on financial statements will certify that the costs claimed in the financial statements and the receipt declared meet the conditions required by the Grant Agreement.

They shall be prepared and certified by an external auditor in accordance with the terms of reference attached in Annex VII to the Grant Agreement.

CFS must be hand–signed by an authorised person of the auditing entity on paper and the beneficiary shall keep the originals according to Article II.22.3 of the GA. A scanned copy of the certificates shall be transmitted through the electronic exchange system together with the Form C.

The certificate must be issued by an external auditor, using the template in Annex 5 of the GA.

Within 60 days of the end of the last reporting period the PC must submit a final report including a CFS for each beneficiary and each linked third party that requested the contribution indicated above. If a certificate is required, it must cover all costs declared as actual costs or average personnel costs. Incomplete certificates will be returned for correction.

Without prejudice to the paragraph above, the Commission may request, on the basis of an analysis of risks, the submission of a certificate on financial statements from any beneficiary at any time until the agreement completion date.



Public bodies and international organisations referred to in Article 43 of Commission Regulation (EC, Euratom) No 2342/2002 of 23 December 2002 laying down detailed rules for the implementation of Council Regulation (EC, Euratom) No 1605/2002 on the Financial Regulation applicable to the general budget of the European Communities are not required to provide certificate on financial statements, unless the Commission requests the submission of such certificate on financial statements on the basis of an analysis of risks.

	<p>Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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## 9. IMPORTANT EU GUIDANCE DOCUMENTS

The EU guidance documents provide further information on rules that apply in relation to the GA (and its Annexes) of H2020 projects (guide to financial issues, certification of financial statements, project reporting guidelines...).

### 9.1 PARTICIPANT PORTAL

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The Participant Portal was established as an Internet portal for the stakeholders of the EU research and innovation programmes. It provides you a set of services to facilitate your participation in the programmes and related interactions with the Commission.

You can access to this site from the following link:

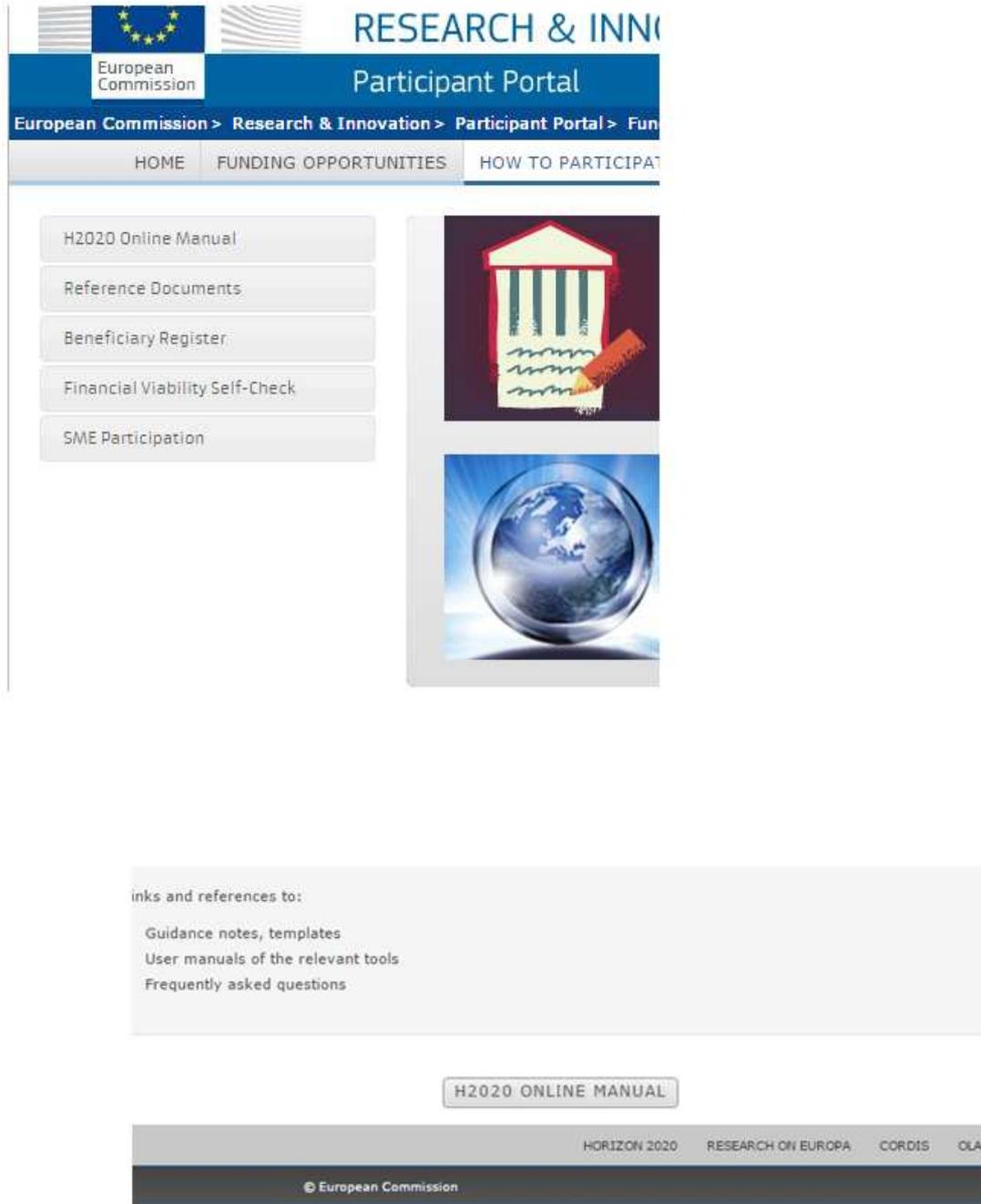
[http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index\\_en.htm](http://ec.europa.eu/research/participants/docs/h2020-funding-guide/index_en.htm)

You can access also through the Participant Portal . > **HOW TO PARTICIPATE**



	<p align="center"><b>Project no. 691735</b>  <b>REPLICATE PROJECT</b>  <b>Renaissance of Places with Innovative  Citizenship And Technology</b></p>	
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> **H2020 Online Manual**



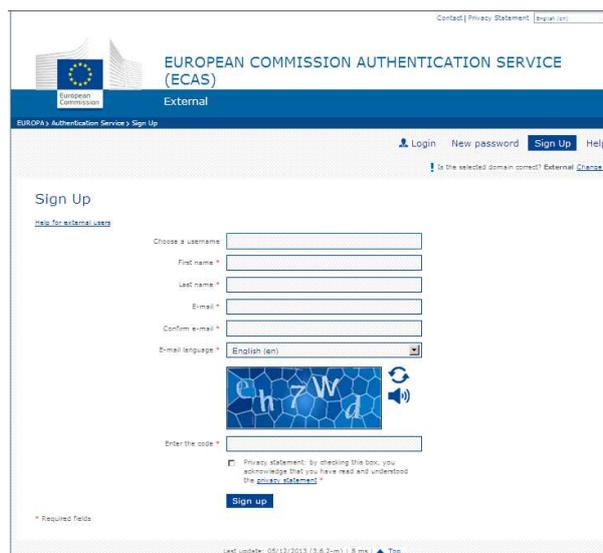


## 9.2 VALIDATION OF ROLES IN PARTICIPANT PORTAL

For each partner there can be several Participant Contacts (up to 5) and other roles in the Participant Portal. At least one Participant Contact has to be confirmed for REPLICATE project in the Participant Portal by each organisation and, at the first stage of the REPLICATE project, partners will have to update the selected Participant Contact(s) (and/or other roles) name(s) and email address(es) for their organisations (PC should be informed about updates).

A very important task to be performed by each partner is to fill in and submit to the Coordinator the Form C (official financial report) of its organisation after each Reporting Period. The rules governing the roles in the Participant Portal have been established (after January 2013) the possibility to assign a new role, the Financial Statement Authorised Signatory (FSIGN), as the person authorised to sign Forms C for their organisation.

The roles ("Participant Contact" is one of them) in the Participant Portal are associated to an email address. This email address has to be associated to an ECAS (European Commission Authentication Service) account (registration in ECAS is very easy at: <https://webgate.ec.europa.eu/cas/eim/external/register.cgi>)





### 9.3 H2020 GUIDELINES

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The document of reference is the Annotated Model Grant Agreement

[http://ec.europa.eu/research/participants/data/ref/h2020/grants\\_manual/amga/h2020-amga\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf)



Project no. 691735  
**REPLICATE PROJECT**  
 Renaissance of Places with Innovative  
 Citizenship And Technology



## 10. ANNEXES

### ANNEX 0 – UPDATED LIST OF DELIVERABLES AND DISSEMINATION STATUS

Deliv. number	Deliverable title	WP	Lead Beneficiary	Due Date (in months)	Dissemination Status
D1.1	Project Management Plan v1	WP1	2 –FSS	3	Public
D1.2	Project Management Plan v2	WP1	2 –FSS	20	Public
D1.3	Project Management Plan v3	WP1	2 –FSS	32	Public
D1.4	District Management Plan San Sebastian	WP1	2 –FSS	6	Confidential
D1.5	District Management Plan Florence	WP1	3 – FIRENZE	6	Confidential
D1.6	District Management Plan Bristol	WP1	4 – BRISTOL CITY	6	Confidential
D1.7	Data Management Plan	WP1	12 – TECNALIA	6	Confidential
D1.8	Annual Quality Assurance report. San Sebastian v1.Reporting period 1	WP1	2 –FSS	20	Confidential
D1.9	Annual Quality Assurance report. San Sebastian v2.Reporting period 2	WP1	2 –FSS	32	Confidential
D1.10	Annual Quality Assurance report. San Sebastian v3.Reporting period 3	WP1	2 –FSS	44	Confidential
D1.11	Annual Quality Assurance report. San Sebastian v1.Reporting period 1	WP1	2 –FSS	60	Confidential
D1.12	Annual Quality Assurance report. Florence v1.Reporting period 1	WP1	3 – FIRENZE	20	Confidential
D1.13	Annual Quality Assurance report. Florence v2.Reporting period 2	WP1	3 – FIRENZE	32	Confidential
D1.14	Annual Quality Assurance report. Florence v3.Reporting period 3	WP1	3 – FIRENZE	44	Confidential
D1.15	Annual Quality Assurance report. Florence v4.Reporting period 4	WP1	3 – FIRENZE	60	Confidential
D1.16	Annual Quality Assurance report. Bristol v1.Reporting period 1	WP1	4 – BRISTOL CITY	20	Confidential
D1.17	Annual Quality Assurance report. Bristol v2.Reporting period 2	WP1	4 – BRISTOL CITY	32	Confidential
D1.18	Annual Quality Assurance report. Bristol v3.Reporting WP1period 3	WP1	4 – BRISTOL CITY	44	Confidential



**Project no. 691735**  
**REPLICATE PROJECT**  
**Renaissance of Places with Innovative**  
**Citizenship And Technology**



D1.19	Annual Quality Assurance report. Bristol v4.Reporting period 4	WP1	4 – BRISTOL CITY	60	Confidential
D1.20	Progress Reports v1	WP1	2 –FSS	20	Confidential
D1.21	Progress Reports v2	WP1	2 –FSS	32	Confidential
D1.22	Progress Reports v3	WP1	2 –FSS	44	Confidential
D1.23	Progress Reports v4	WP1	2 –FSS	60	Confidential
D1.24	Report of the Advisory Board	WP1	2 –FSS	30	Confidential
D2.1	Report on delivery of the three workshops	WP2	24 –UNIVBRIS	12	Confidential
D2.2	Report on the Business Models of Lighthouse Cities	WP2	35 –ESADE	12	Public
D2.3	Internal report on findings	WP2	24 –UNIVBRIS	42	Confidential
D2.4	Report on replication potential of City Business Models	WP2	24 –UNIVBRIS	48	Public
D3.1	Buildings retrofitted	WP3	9 – GIROA	36	Public
D3.2	Study of Biomass resources in Ametzagaina Park	WP3	2 –FSS	12	Confidential
D3.3	Report on DH construction including the maintenance program	WP3	2 –FSS	36	Confidential
D3.4	Demand side platform	WP3	12- TECNALIA	42	Public
D3.5	Report on the use of Electric Bus in Line 26	WP3	14 – CTSS	24	Confidential
D3.6	Report on the deployment of Evs in the city	WP3	1 – ADS	36	Public
D3.7	Report on the deployment of charging infrastructure in the city of San Sebastian	WP3	1 – ADS	36	Public
D3.8	Report on the use of the ITS	WP3	8 –IKUSI	36	Public
D3.9	Use of Big Data for mobility services	WP3	13 – EUSKALTEL	36	Public
D3.10	Report on High speed mobile network based on post WIMAX technology	WP3	36 – SISTELEC	24	Public
D3.11	Report on public lightning system	WP3	11 –LEYCOLAN	24	Public
D4.1	Pilot Action progress report year 1	WP4	3 –FIRENZE	12	Confidential
D4.2	Pilot action measures advancement sheets	WP4	18 – SPES	18	Confidential
D4.3	Pilot Action progress report year 2	WP4	3 –FIRENZE	24	Confidential
D4.4	Pilot action measures advancement sheets	WP4	18 – SPES	30	Confidential



**Project no. 691735**  
**REPLICATE PROJECT**  
**Renaissance of Places with Innovative**  
**Citizenship And Technology**



D4.5	Pilot action progress report year 3	WP4	3 – FIRENZE	36	Confidential
D4.6	Pilot action monitoring report v1	WP4	18 – SPES	48	Confidential
D4.7	Pilot action monitoring report v2	WP4	18 – SPES	60	Confidential
D4.8	Publishable report: the work and the impact of the project in the pilot area	WP4	3 – FIRENZE	60	Public
D5.1	Two hundred and forty ( 20.400m2) residential homes, retrofitted in the Neighbourhood Partnership area of Ashley, Easton and Lawrence Hill	WP5	4 – BRISTOL CITY	42	Public
D5.2	Connection of a 13 block (700 flats) district heating network to a gas CHP energy centre.	WP5	4 – BRISTOL CITY	40	Public
D5.3	Energy demand platform deployed to monitor energy generation and demand . It controls energy demand for SM-as enabled for homes , intelligent lighting and electric vehicles in the Ashley, Easton and Lawrence Hill	WP5	4 – BRISTOL CITY	36	Public
D5.4	Thirty two e-bikes deployed in a corporate scheme	WP5	33 – CO-WHEELS	36	Public
D5.5	Car club expanded with six electric vehicles	WP5	33 – CO-WHEELS	36	Public
D5.6	To on –demand EV minibuses (Buxi's) deployed	WP5	31 – ESOTERIX	36	Public
D5.7	Transport Infrastructure adaptation including 22EV charge point installation WP5	WP5	4 – BRISTOL CITY	35	Confidential
D5.8	Travel West journey planner upgraded to offer a personalised mobility service for citizens	WP5	30 – ROUTE MONKEY	22	Public
D5.9	Development of ICT Smart City Platform concept and of integration of demonstration IT Systems within this	WP5	27 – ZEETTA	36	Public
D6.1	Integrated ICT architectures and services requirements specification	WP6	12 –TECNALIA	12	Confidential
D6.2	Roadmap of Digital services catalogue from the 3 cities ( existing, forthcoming, FIWARE enablers)	WP6	12 –TECNALIA	24	Confidential
D6.3	Integrated ICT architecture design, and interoperability path from 3 cities towards Fiware	WP6	12 –TECNALIA	24	Confidential
D6.4	Integrated architecture and services	WP6	12 –TECNALIA	18	Confidential



	catalogue for the Community Ecosystem – v1				
D6.5	Integrated architecture and services catalogue for the Community Ecosystem – v2	WP6	12 –TECNALIA	38	Confidential
D6.6	Integrated ICT Platform Testing results & impact analysis	WP6	12 –TECNALIA	50	Confidential
D6.7	Mobile network for Smart Cities, based on PostWIMAX infrastructure	WP6	36 – SISTELEC	36	Confidential
D6.8	Standardisation and synergies between intelligent lightning systems and ICT Smart City platform	WP6	12 –TECNALIA	36	Public
D7.1	Report on peer-reveiw methodology including templates and supporting materials	WP7	18 –SPES	18	Confidential
D7.2	Report on technical solutions v1	WP7	18 –SPES	24	Confidential
D7.3	Report on technical solutions v2	WP7	18 –SPES	36	Public
D7.4	Report on management models v1	WP7	18 –SPES	24	Confidential
D7.5	Report on management models v2	WP7	18 –SPES	36	Public
D7.6	Lighthouse cities' replication plans	WP7	18 –SPES	48	Public
D8.1	Essen:Critical factors	WP8	5 – STADT ESSEN	12	Confidential
D8.2	Nilufer: Critical factors	WP8	6 – NILUFER	12	Confidential
D8.3	Lausanne:Critical factors	WP8	7 – LAUSANNE	12	Confidential
D8.4	Report on conclusions of the interviews and the focus groups	WP8	25 –UOXF	36	Public
D8.5	Open data platform to share the outcomes integrated in the common ICT platform	WP8	25 –UOXF	48	Public
D8.6	Essen:Replication and Adaptability Plan	WP8	5 – STADT ESSEN	60	Confidential
D8.7	Nilufer:Replication and Adaptability Plan	WP8	6 – NILUFER	60	Confidential
D8.8	Lausanne:Replication and Adaptability Plan	WP8	7 – LAUSANNE	60	Confidential
D9.1	Baseline definition and integration and results analysis from WPs 3,4,5,8 and 11	WP9	35 – ESADE	12	Confidential
D9.2	Methodology review and methodological framework definition	WP9	35 – ESADE	12	Public



**Project no. 691735**  
**REPLICATE PROJECT**  
**Renaissance of Places with Innovative**  
**Citizenship And Technology**



D9.3	Sectorial Business analysis / exploitation potential in the field of low energy, ICT, sustainable mobility and other remaining sectors included in Replicate	WP9	35 – ESADE	24	Public
D9.4	Business opportunities report validation	WP9	35 – ESADE	54	Public
D10.1	Report on indicators for monitoring at project level	WP10	12 –TECNALIA	12	Public
D10.2	Report on indicators for monitoring at city level	WP10	12 –TECNALIA	12	Public
D10.3	Baseline analysis of city level indicators for follower cities and benchmarking with lighthouses cities	WP10	12 –TECNALIA	12	Confidential
D10.4	Monitoring programme for San Sebastian	WP10	2 - FSS	24	Confidential
D10.5	Monitoring programme for Florence	WP10	3 - FIRENZE	24	Confidential
D10.6	Monitoring programme for Bristol	WP10	4 – BRISTOL CITY	24	Public
D10.7	Report for monitoring business models-energy/mobility /ICT	WP10	12 -TECNALIA	24	Confidential
D10.8	Protocol for integrating monitoring data into the ICT platform	WP10	12 -TECNALIA	24	Confidential
D10.9	Operational Dashboard and onlinevisualization tool for key performance indicators	WP10	12 -TECNALIA	24	Confidential
D10.10	Yearly reports monitoring city level indicators for the three lighthouse cities v1	WP10	12 -TECNALIA	36	Confidential
D10.11	Yearly reports monitoring city level indicators for the three lighthouse cities v2	WP10	12 -TECNALIA	48	Confidential
D10.12	Yearly reports monitoring city level indicators for the three lighthouse cities v3	WP10	12 -TECNALIA	60	Confidential
D10.13	Guidelines for exante impact evaluation of replication scenarios	WP10	12 –TECNALIA	60	Public
D11.1	Communication Plan	WP11	23 – TECHNOMAR	6	Public
D11.2	Calendar of local events	WP11	23 – TECHNOMAR	54	Public
D11.3	Calendar of EU workshops	WP11	23 – TECHNOMAR	54	Public
D11.4	Project web page	WP11	23 – TECHNOMAR	9	Public
D11.5	Communication material	WP11	23 – TECHNOMAR	9	Public



**Project no. 691735**  
**REPLICATE PROJECT**  
**Renaissance of Places with Innovative  
 Citizenship And Technology**



D11.6	Local workshops on energy awareness	WP11	23 – TECHNOMAR	60	Public
D11.7	ECE/SEE workshops	WP11	23 - TECHNOMAR	36	Public
D11.8	Innovation spaces	WP11	23 - TECHNOMAR	30	Public
D11.9	Final executive summary report for publication	WP11	23 - TECHNOMAR	60	Public



## ANNEX 1 – TEMPLATE “INVITATION TO THE MEETINGS–AGENDA”

Invitation to meetings will be done through the sending to the consortium of a tentative **agenda** including at least the following **contents**:

- Title of the meeting
- Place and Date
- Key objectives of the meeting
- Key issues of the meeting (technical, economic, management, deviations..)
- Called/expected Participants
- Key reference material for the meeting
- Practical information for travel plans (e.g. meeting venue, suggested hotel(s), how to get there, etc.
- Next meeting plan
- Miscellaneous

The rules of the meetings are indicated in the “Meeting Procedures” section of this document.



## **ANNEX 2 – TEMPLATE “MINUTES OF A MEETING”**

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The minutes of a meeting will include at least the following **contents**:

- Title of the meeting
- Place and Date
- Agreed Agenda, including revision of previous related Action Items.
- Participants / Apologies.
- Key reference material used.
- Brief descriptions of the agenda items.
- List of Decisions.
- List of Action Items/Tasks by WP.
- Next meeting dates and place.



Project no. 691735  
**REPLICATE PROJECT**  
 Renaissance of Places with Innovative  
 Citizenship And Technology



### ANNEX 3 – “FINANCIAL INFORMATION FOR PAYMENTS” FORM

Proposal / Contract Number	691735	Proposal/Contract Acronym (Name)	REPLICATE
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#### Financial Information for payments

- ☞ Please ensure that the following information is correct, otherwise the payment may be rejected.
- ☞ Complete the form on your PC and not by hand, since unreadable information might cause delays.
- ☞ If a change of this Financial Information is necessary please inform the Coordinator immediately! Any costs and bank fees due to incorrect or invalid Financial Information will be borne by the Contractor.

#### Account holder

Name of Account holder (as registered with the bank)		XX.	
Full address of account holder (as registered with the bank)			
Street name and number		XX	
Postal Code	XX	Town/City	XX
Country	XX	VAT number	XX
Contact person of the account holder regarding the payments			
Name	XX	First name(s)	X
Phone	+XX XXX XX XX XX	Fax	+XX XXX XX XX XX
e-mail	XX@XX.XX		

#### Bank-Information

Bank name	XX.		
Branch address (full address – PO box not accepted)			
Street name and number		XX	
Postal Code	XX	Town/City	XX
Country	XX		
Account no	XX		
Bank sorting code			
International Bank Account Number (IBAN) <small>The IBAN is mandatory for all European Partners. Where no IBAN is provided increased bank fees are charged to the partners. See also <a href="http://www.ecbs.org/iban.htm">http://www.ecbs.org/iban.htm</a></small>	XX		
BIC/SWIFT	XX		

#### Requested reason for payment (if other than EU-project-name or -no.) / Remarks

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We certify that above information declared is complete and true.

BANK STAMP + SIGNATURE OF BANK REPRESENTATIVE (Both obligatory)*	DATE, STAMP + SIGNATURE OF ACCOUNT HOLDER (Obligatory) place, on day <sup>th</sup> month 20 16  name of the signatory position name of the partner
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Please note that the bank statement has to provide all the information listed above under 'ACCOUNT NAME' and 'BANK' (IBAN and the BIC/SWIFT have to be clearly identified).

(\* It is preferable to attach a copy of recent bank statement. In this case, the stamp of the bank and the signature of the bank's representative are not required. The signature of the account-holder is obligatory in all cases



## ANNEX 4 – DELIVERABLES TEMPLATE (WORD)

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Word template is to be used for written deliverables. The template includes design elements of REPLICATE and standard document formatting giving a common identity to REPLICATE deliverables.

The rules for “Deliverables numbering” and “deliverables “files naming” are indicated in the “Information sharing and Communication procedures” section.

–Cover page:



### REPLICATE PROJECT

#### REnaissance of PLaces with Innovative Citizenship And Technology

Project no. 691735

H2020-SCC-2015 Smart Cities and Communities  
Innovation Action (IA)

#### **Dx.x ‘name of the deliverable’**

Due date of deliverable: xx/xx/xxxx Actual submission date: xx/xx/xxxx

Start date of project: 01/02/2016

Duration: 60 months

Organisation name of lead contractor for this deliverable:

‘name of the partner’

Status (*Draft/Proposal/Accepted/Submitted*):

xxx

Project funded by the European Commission with the 7 <sup>th</sup> Framework Programme	
Dissemination Level	
PU	Public
PP	Restricted to other programme participants (including the Commission Services)
RE	Restricted to a group specified by the consortium (including the Commission Services)
CO	Confidential, only for members of the consortium (including the Commission Services)

D1.1 Management Plan

1

## **ANNEX 5 –POWER POINT PRESENTATIONS TEMPLATE (PPT)**

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A PowerPoint template for presentations has been developed at Project level. It is recommended that this template is used whenever PowerPoint presentations of the work and results of REPLICATE is given.



	<p>Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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## **ANNEX 6 –SIX–MONTHLY REPORT TEMPLATE**

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The six-monthly report template will include at least the following **contents**:

- 1./Name of the partner
- 2./Period covered by the six-monthly report
- 3./WP number (there will be a single sheet for every active WP during the reference period)
- 4./ Work progress and achievements during the period for each WP.
  - Summary of the main specific objectives for the relevant period
  - Activities developed (for each task) –progress made since last report–
  - Task x.1
  - Task x.2
  - ..... etc
  - Main outcomes of the period
  - Problems detected and corrective actions (also detail detected potential risks and planned corrective actions)
  - Deviations from the project workprogramme (current status against plan)
  - Explanation of the reasons for failing to achieve critical objectives and/or not being on schedule and impact on other tasks
  - Plan for the following 6 months (problems and plans for next period).
  - Situation of the different deliverables
  - Dissemination Activities (if there was any kind of dissemination or communication activity specifically concerning to this WP.)

In the case of **WP11**, and in order to have the complete information about each partner´s dissemination and communication activities, beneficiaries will fill in the tables included in the Communication Plan (D 11.1) and gathering the different “communication and dissemination activities” for the period.



The information for **WP1** (Project Management), will be mainly processed by the PC. However, partners will have to provide at least brief information about:

-activities developed (e.g. contributions to annual periodic report, other management activities..)

-attended consortium meetings (including at least person attending, date, place, kind of meeting and reason/subject).

- Pilot meetings
- Meeting with the pilot partners
- WP meetings with other partners

	<p>Project no. 691735  <b>REPLICATE PROJECT</b>  Renaissance of Places with Innovative  Citizenship And Technology</p>	
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## **ANNEX 7 – COST STATEMENT (EXPENSES PATTERN) TEMPLATE**

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The Coordinator will provide to the consortium during M5 (together with the template for “activity&financial 6monthly report”) a Cost Statement (expenses pattern) template.

This document will include at least the following **contents**:

1./Cover page including a summary of the total costs claimed by the partner for the reference period (broken down by budget line and by type of activity) and also the requested “maximum EU contribution”.

2./One particular sheet for each cost category in REPLICATE project and gathering basic information for each expense:

–Personnel costs including information about each WP about the name of the employee of whom costs are claimed, job position, hours worked in the project during the period, person–month consumed, hourly cost, claimed total amount...

–Travel & subsistence: for each invoice under this budget line, number and date of the invoice, date of payment, brief description/explanation of the trip (e.g.name of the employee, destination, purposes of travel, date, place..), supplier, amount invoiced – including VAT–, amount claimed –without VAT–, WP in which in which the expense has been done.

–Subcontracting: for each invoice under this budget line, number and date of the invoice, date of payment, brief description/explanation of the service/product the partner has paid, supplier, amount invoiced –including VAT–, amount claimed –without VAT–, WP in which in which the expense has been done.

–Equipments: for each invoice under this budget line, number and date of the invoice, date of payment, brief description/explanation of the equipment and explanation about its depreciation supplier, amount invoiced –including VAT–, amount claimed – without VAT–, WP in which in which the expense has been done.

–Other goods and services (: for each invoice under this budget line, number and date of the invoice, date of payment, brief description/explanation of the expense(e.g.supplier, amount invoiced –including VAT–, amount claimed –without VAT– , WP in which in which the expense has been done.

–Overheads: the indirect costs that will be claimed by each partner, will be automatically calculated as a Flat Rate: 25% of direct costs , not including subcontracting.



## **ANNEX 8 -FINANCIAL STATEMENT TEMPLATE**

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Project no. 691735  
**REPLICATE PROJECT**  
 Renaissance of Places with Innovative  
 Citizenship And Technology



① print format A4 landscape

MODEL ANNEX 4 FOR H2020 GENERAL MGA — MULTI

FINANCIAL STATEMENT FOR [BENEFICIARY [name]/ LINKED THIRD PARTY [name]] FOR REPORTING PERIOD [reporting period]

Eligible <sup>1</sup> costs (per budget category)												Receipts		EU contribution			Additional information	
A. Direct personnel costs				B. Direct costs of subcontracting	[C. Direct costs of fin. support]	D. Other direct costs		E. Indirect costs <sup>2</sup>		[F. Costs of ...]		Total costs	Receipts	Reimbursement rate %	Maximum EU contribution <sup>3</sup>	Requested EU contribution	Information for indirect costs:	
A.1. Employees (or equivalent)		A.4. SME owners without salary				D.1. Travel	[D.4. Costs of large research infrastructure]			[F.1. Costs of ...]	[F.1. Costs of ...]		Receipts of the action, to be reported in the last reporting period, according to Article 5.3.3				Costs of in-kind contributions not used on premises	
A.2. Natural persons under direct contract		A.5. Beneficiaries that are natural persons without salary				D.2. Equipment												
A.3. Seconded persons						D.3. Other goods and services												
[A.6. Personnel for providing access to research infrastructure]								Flat-rate <sup>5</sup>		Unit	Unit							
Forms of costs <sup>4</sup>		Actual	Unit	Unit	Actual	Actual	Actual	Actual	25%									
		a	Total b	No hours	Total c	d	[e]	f	[g]	No units	Total [h]	Total [i]	j +	k	l	m	n	o
									hw/25 x [a+b+ c+h+[g]+ [h]- [i)] <sup>6</sup> - a]				[j + a+b+c+d+[e]+ [f]+ g]+h+[i]-[j]					
[short name beneficiary/linked third party]																		

The beneficiary/linked third party hereby confirms that:  
 The information provided is complete, reliable and true.  
 The costs declared are eligible (see Article 6).  
 The costs can be substantiated by adequate records and supporting documentation that will be produced upon request or in the context of checks, reviews, audits and investigations (see Articles 17, 18 and 22).  
 For the last reporting period: that all the receipts have been declared (see Article 5.3.3).

## ANNEX 9 –DELIVERABLES QUALITY REVIEW

Updated list of the deliverables including the reviewers for each one of the documents.

<b>Deliv. number</b>	<b>Deliverable tittle</b>	<b>WP</b>	<b>Lead Beneficiary</b>	<b>Due Date (in months)</b>	<b>Reviewer</b>	<b>Disseminati on Status</b>
D1.1	Project Management Plan v1	WP1	2 –FSS	3	ZABALA	Public
D1.2	Project Management Plan v2	WP1	2 –FSS	20	ZABALA	Public
D1.3	Project Management Plan v3	WP1	2 –FSS	38	ZABALA	Public
D1.4	District Management Plan San Sebastian	WP1	2 –FSS	6	FIRENZE, BRISTOL	Confidential
D1.5	District Management Plan Florence	WP1	3 – FIRENZE	6	SAN SEBASTIAN, BRISTOL	Confidential
D1.6	District Management Plan Bristol	WP1	4 – BRISTOL CITY	6	SAN SEBASTIAN, FIRENZE	Confidential
D1.7	Data Management Plan	WP1	12 – TECNALIA	6	SPES	Confidential
D1.8	Annual Quality Assurance report. San Sebastian v1.Reporting period 1	WP1	2 –FSS	20	FIRENZE	Confidential
D1.9	Annual Quality Assurance report. San Sebastian v2.Reporting period 2	WP1	2 –FSS	38	BRISTOL	Confidential
D1.10	Annual Quality Assurance report. San Sebastian v3.Reporting period 3	WP1	2 –FSS	38	FIRENZE	Confidential
D1.11	Annual Quality Assurance report. San Sebastian v1.Reporting period 1	WP1	2 –FSS	60	BRISTOL	Confidential
D1.12	Annual Quality Assurance report. Florence v1.Reporting period 1	WP1	3 – FIRENZE	20	SAN SEBASTIAN	Confidential
D1.13	Annual Quality Assurance report. Florence v2.Reporting period 2	WP1	3 – FIRENZE	38	SAN SEBASTIAN	Confidential
D1.14	Annual Quality Assurance report. Florence v3.Reporting period 3	WP1	3 – FIRENZE	56	BRISTOL	Confidential
D1.15	Annual Quality Assurance report. Florence v4.Reporting period 4	WP1	3 – FIRENZE	60	BRISTOL	Confidential



D1.16	Annual Quality Assurance report. Bristol v1.Reporting period 1	WP1	4 – BRISTOL CITY	20	SAN SEBASTIAN	Confidential
D1.17	Annual Quality Assurance report. Bristol v2.Reporting period 2	WP1	4 – BRISTOL CITY	38	FIRENZE	Confidential
D1.18	Annual Quality Assurance report. Bristol v3.Reporting WP1period 3	WP1	4 – BRISTOL CITY	56	FIRENZE	Confidential
D1.19	Annual Quality Assurance report. Bristol v4.Reporting period 4	WP1	4 – BRISTOL CITY	60	SAN SEBASTIAN	Confidential
D1.20	Progress Reports v1	WP1	2 –FSS	20	BRISTOL, FIRENZE, SS	Confidential
D1.21	Progress Reports v2	WP1	2 –FSS	38	BRISTOL, FIRENZE, SS	Confidential
D1.22	Progress Reports v3	WP1	2 –FSS	56	BRISTOL, FIRENZE, SS	Confidential
D1.23	Progress Reports v4	WP1	2 –FSS	60	BRISTOL, FIRENZE, SS	Confidential
D1.24	Report of the Advisory Board	WP1	2 –FSS	30	BRISTOL	Confidential
D2.1	Report on delivery of the three workshops	WP2	24 –UNIVBRIS	12	ESADE	Confidential
D2.2	Report on the Business Models of Lighthouse Cities	WP2	35 –ESADE	12	UNIVERSITY OF EXETER	Public
D2.3	Internal report on findings	WP2	24 –UNIVBRIS	42	ESADE	Confidential
D2.4	Report on replication potential of City Business Models	WP2	24 –UNIVBRIS	48	ESADE	Public
D3.1	Buildings retrofitted	WP3	9 – GIROA	36	SPES	Public
D3.2	Study of Biomass resources in Ametzagaina Park	WP3	2 –FSS	12	TECNALIA	Confidential
D3.3	Report on DH construction including the maintenance program	WP3	2 –FSS	36	GIROA	Confidential
D3.4	Demand side platform	WP3	12- TECNALIA	36	NEC	Public
D3.5	Report on the use of Electric Bus in Line 26	WP3	14 – CTSS	24	ESOTERIX	Confidential
D3.6	Report on the deployment of Evs in the city	WP3	1 – ADS	36	FIRENZE (SPES +CNR)	Public
D3.7	Report on the deployment of charging infrastructure in the city of San Sebastian	WP3	1 – ADS	36	FIRENZE (SPES + ENEL)	Public
D3.8	Report on the use of the ITS	WP3	8 –IKUSI	36	ROUTE MONKEY	Public
D3.9	Use of Big Data for mobility	WP3	13 – EUSKALTEL	36	UNIFI	Public



	services					
D3.10	Report on High speed mobile network based on post WIMAX technology	WP3	36 – SISTELEC	24	SAN SEBASTIAN	Public
D3.11	Report on public lightning system	WP3	11 –LEYCOLAN	24	FIRENZE (SILFI)	Public
D4.1	Pilot Action progress report year 1	WP4	3 –FIRENZE	12	BRISTOL	Confidential
D4.2	Pilot action measures advancement sheets	WP4	18 – SPES	18	TECNALIA	Confidential
D4.3	Pilot Action progress report year 2	WP4	3 –FIRENZE	24	SAN SEBASTIAN	Confidential
D4.4	Pilot action measures advancement sheets	WP4	18 – SPES	30	TECNALIA	Confidential
D4.5	Pilota action proress report year 3	WP4	3 –FIRENZE	36	BRISTOL	Confidential
D4.6	Pilot action monitoring report v1	WP4	18 – SPES	48	TECNALIA	Confidential
D4.7	Pilot action monitoring report v2	WP4	18 – SPES	60	TECNALIA	Confidential
D4.8	Publishable report: the work and the impact of the project in the pilot area	WP4	3 –FIRENZE	60	BRISTOL	Public
D5.1	Two hundred and forty ( 20.400m2) residential homes, retrofitted in the Neighbourhood Partnership area of Ashley, Easton and Lawrence Hill	WP5	4 – BRISTOL CITY	36	GIROA	Public
D5.2	Biomass Boiler procured for district heating network in Easton connecting a leisure centre, school, and six social housing blocks	WP5	4 – BRISTOL CITY	36	TECNALIA (+FSS)	Public
D5.3	Energy demand platform deployed to monitor energy generation and demand . It controls energy demand for SM-as enabled for homes , intelligent lighting and electric vehicles in the Ashley, Easton and Lawrence Hill	WP5	4 – BRISTOL CITY	36	SPES ( +ENEL +UNIFI)	Public
D5.4	Thirty two e-biles deployed in a corporate scheme	WP5	33 – CO-WHEELS	36	SAN SEBASTIAN (MOBILITY)	Public
D5.5	Car club expanded with six electric vehicles	WP5	33 – CO-WHEELS	36	ROUTE MONKEY	Public
D5.6	To on –demand EV minibuses (Buxi's) deployed	WP5	31 – ESOTERIX	36	DBUS	Public



Project no. 691735  
**REPLICATE PROJECT**  
 Renaissance of Places with Innovative  
 Citizenship And Tehcnology



D5.7	Transport Infrastructure adaptation including 22EV charge point installation WP5	WP5 4 – BRISTOL CITY	30	TOSHIBA	Public
D5.8	Travel West journey planner upgraded to offer a personalised mobility service for citizens	WP5 30 – ROUTE MONKEY	22	TECNALIA	Public
D5.9	Development of ICT Smart City Platform concept and of integration of demonstration IT Systems within this	WP5 27 –ZEETTA	36	TECNALIA	Public
D6.1	Integrated ICT architectures and services requirements specification	WP6 12 –TECNALIA	12	FIRENZE ( + UNIFI + SPES)	Confidential
D6.2	Roadmap of Digital services catalogue from the 3 cities ( existing, forthcoming, FIWARE enablers)	WP6 12 –TECNALIA	24	UNIVERSITY OF EXETER	Confidential
D6.3	Integrated ICT architecture design, and interoperability path from 3 cities towards Fiware	WP6 12 –TECNALIA	24	SPES	Confidential
D6.4	Integrated architecture and services catalogue for the Community Ecosystem – v1	WP6 12 –TECNALIA	18	UNIFI	Confidential
D6.5	Integrated architecture and services catalogue for the Community Ecosystem – v2	WP6 12 –TECNALIA	30	ZEETA	Confidential
D6.6	Integrated ICT Platform Testing results & impact analysis	WP6 12 –TECNALIA	36	UNIFI	Confidential
D6.7	Mobile network for Smart Cities, based on PostWIMAX infrastructure	WP6 36 – SISTELEC	36	FIRENZE (+TELECOM)	Confidential
D6.8	Standardisation and synergies between intelligent lightning systems and ICT Smart City platform	WP6 12 –TECNALIA	36	EUROHELP	Public
D7.1	Report on peer-reveiw methodology including templates and supporting materials	WP7 18 –SPES	18	UNIVERSITY WEST ENGLAND	Confidential
D7.2	Report on technical solutions v1	WP7 18 –SPES	24	THALES	Public
D7.3	Report on technical solutions v2	WP7 18 –SPES	36	TECNALIA	Public
D7.4	Report on management models v1	WP7 18 –SPES	24	SAN SEBASTIAN	Public



D7.5	Report on management models v2	WP7	18 –SPES	36	ENEL	Public
D7.6	Lighthouse cities' replication plans	WP7	18 –SPES	36	UoX	Public
D8.1	Essen:Critical factors	WP8	5 – STADT ESSEN	12	UoX	Confidential
D8.2	Nilufer: Critical factors	WP8	6 – NILUFER	12	UoX	Confidential
D8.3	Lausanne:Critical factors	WP8	7 – LAUSANNE	12	UoX	Confidential
D8.4	Report on conclusions of the interviews and the focus groups	WP8	25 –UOXF	36	ESADE	Public
D8.5	Open data platform to share the outcomes integrated in the common ICT platform	WP8	25 –UOXF	48	SPES	Public
D8.6	Essen:Replication and Adaptability Plan	WP8	5 – STADT ESSEN	60	UoX	Confidential
D8.7	Nilufer:Replication and Adaptability Plan	WP8	6 – NILUFER	60	UoX	Confidential
D8.8	Lausanne:Replication and Adaptability Plan	WP8	7 – LAUSANNE	60	UoX	Confidential
D9.1	Baseline definition and integration and results analysis from WPs 3,4,5,8 and 11	WP9	35 – ESADE	12	SPES	Confidential
D9.2	Methodology review and methodological framework definition	WP9	35 – ESADE	12	UNIVERSITY OF EXETER	Public
D9.3	Sectorial Business analysis / exploitation potential in the field of low energy, ICT, sustainable mobility and other remaining sectors included in Replicate	WP9	35 – ESADE	24	FIRENZE (SPES+CNR+ENEL+THALES+TELECOM)	Public
D9.4	Business opportunities report validation	WP9	35 – ESADE	54	UNIVERSITY OF EXETER	Public
D10.1	Report on indicators for monitoring at project level	WP10	12 –TECNALIA	12	SPES	Public
D10.2	Report on indicators for monitoring at city level	WP10	12 –TECNALIA	12	ESADE	Public
D10.3	Baseline analysis of city level indicators for follower cities and benchmarking with lighthouses cities	WP10	12 –TECNALIA	12	FLORENCE / FSS	Confidential
D10.4	Monitoring programme for San Sebastian	WP10	2 - FSS	24	TECNALIA	Confidential
D10.5	Monitoring programme for Florence	WP10	3 - FIRENZE	24	TECNALIA	Confidential



**Project no. 691735**  
**REPLICATE PROJECT**  
**Renaissance of Places with Innovative**  
**Citizenship And Tehcnology**



D10.6	Monitoring programme for Bristol	WP1 0	4 – BRISTOL CITY	24	TECNALIA	Public
D10.7	Report for monitoring business models-energy/mobility /ICT	WP1 0	12 -TECNALIA	24	UNIVERSITY OF EXETER	Confidential
D10.8	Protocol for integrating monitoring data into the ICT platform	WP1 0	12 -TECNALIA	24	FIRENZE (SPES +UNIFI)	Confidential
D10.9	Operational Dashboard and onlinevisualization tool for key performance indicators	WP1 0	12 -TECNALIA	24	SPES (FI + UNIFI)	Confidential
D10.10	Yearly reports monitoring city level indicators for the three lighthouse cities v1	WP1 0	12 -TECNALIA	34	SPES	Confidential
D10.11	Yearly reports monitoring city level indicators for the three lighthouse cities v2	WP1 0	12 -TECNALIA	48	SPES	Confidential
D10.12	Yearly reports monitoring city level indicators for the three lighthouse cities v3	WP1 0	12 -TECNALIA	60	SPES	Confidential
D10.13	Guidelines for exante impact evaluation of replication scenarios	WP1 0	12 –TECNALIA	60	SAN SEBASTIAN	Public
D11.1	Communication Plan	WP1 1	23 – TECHNOMAR	6	SAN SEBASTIAN	Public
D11.2	Calendar of local events	WP1 1	23 – TECHNOMAR	54	SAN SEBASTIAN	Public
D11.3	Calendar of EU workshops	WP1 1	23 – TECHNOMAR	54	SAN SEBASTIAN	Public
D11.4	Project web page	WP1 1	23 – TECHNOMAR	9	SAN SEBASTIAN	Public
D11.5	Communication material	WP1 1	23 – TECHNOMAR	9	SAN SEBASTIAN	Public
D11.6	Local workshops on energy awareness	WP1 1	23 – TECHNOMAR	60	SAN SEBASTIAN	Public
D11.7	ECE/SEE workshops	WP1 1	23 - TECHNOMAR	36	SAN SEBASTIAN	Public
D11.8	Innovation spaces	WP1 1	23 - TECHNOMAR	30	SAN SEBASTIAN	Public
D11.9	Final executive summary report for publication	WP1 1	23 - TECHNOMAR	60	ZABALA	Public