

STI – Semantic Technology Institute Innsbruck

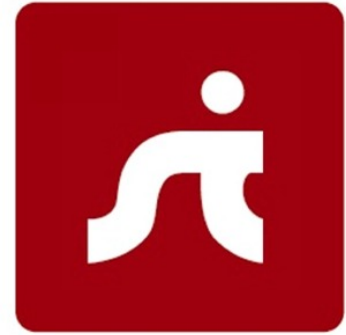
# Management Plan for STI Innsbruck

V2.0.1

Edited by:

Federico Michele Facca

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**STI Innsbruck**  
University of Innsbruck  
Technologiepark, Technikerstraße 21  
6020 Innsbruck  
Austria  
<http://www.sti-innsbruck.at/>

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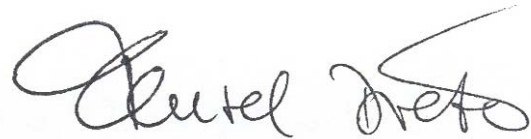
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## 1. Introduction

A research institute requires significant management support and appropriate structuring if it should function properly. This is especially true if the institute is based mostly on external funding given all the management requirements that are attached with this funding.

In Section 2, we define the overall leadership structure of STI Innsbruck. Section 3 details the different roles of the scientific staff in research and research units. In Section 4 and 5 we outline the core functions of the teaching unit and the management structure respectively. Section 6 finalizes the document with regulations and workflows that have been defined to optimize the quality of internal processes. The Management Plan contains also several appendixes: Authoritative Responsibilities and Institute Advisory Council definitions from the “Organisationplan” and “Instituteberat” of University of Innsbruck; groups and committees composition, Web site responsibilities, Financial Management Tasks, Project Management Tasks, Projects Leadership details, Human Resource Management tasks, Institute Management tasks, Secretarial Support tasks, and Technical Management tasks.

We would like to take the opportunity to thank the University of Innsbruck for its support of all these activities. Especially we would like to mention the financial department, the human resources department and the Project Service Büro. Until now, I have worked at four different Universities in four different countries. However, I have never found such a level of service and devotion of the teams involved as I have had the pleasure to meet and work with here in Innsbruck.

A handwritten signature in black ink, appearing to read 'Dieter Fensel', written in a cursive style.

Univ.-Prof. Dr. Dieter Fensel

## 2. Leadership at the Level of the Institute

In this section the various layers of leadership within the institute are described.

### 2.1. Director

The tasks of an institute leader are defined in § 8 of the "Organisationsplan" of the University Innsbruck:

§ 8. (1) The Director of an institute is primarily held fully responsible for the institute in accordance to § 27 Abs. 1 UG 2002: (§ 27 UG 2002 please see Appendix 1. In addition, the Director maintains the following responsibilities in order to align with the relevant guidelines and directives defined in agreement with the Dean:

1. Lead daily business activities of the institute.
2. Organization of administrative and operational activities of the institute.
3. Establish conclusive directives defined in agreement with the Dean, as well as considering the input from institute members.
4. Directly oversee the academic and administrative personnel of the organization, in so far that these supervisory responsibilities are delegated to the Director from the Dean. As long as no relevant order was issued, the serving and specialized supervision are to be exercised over the entire assigned personnel.
5. Manage assigned budget and allocated resources in accordance to relevant guidelines.
6. Realize the achievement goals agreed upon with the Dean.
7. Progress towards achieving agreed upon goals, with the assistance of the institute members.
8. Serve as the constituent advisor of the institute.
9. Ensure that acceptable standards of financial responsibility, economic thriftiness, and commendable expedience in bookkeeping and accounting are maintained by appropriately utilizing assigned resources, as well as the current written (electronic) report system, in accordance to the UG 2002, the relevant guidelines and directives defined in agreement with the Dean.
10. Assume responsibility for the quality assurance and relevance of research results, as well as the administrative and operational activities of the organization.

11. Coordinate adjustments and amendments of development plans of the organization, maintaining alignment with the relevant guidelines and directives defined in agreement with the Dean.

12. Hold regular consultations with the institute advisors.

(2) The appointment of the Director of an institute, the appointed term, the dismissal, and the re-appointment are defined in § 6 Abs. 3 (with the exception of "Hearings"), Abs. 4, Abs. 5 (whereby the advice from the Institute is heeded over the advice from the Faculty) as well as Abs. 6 to 8, in a general manner, where the appointed term of the Dean comes to an end. The Rectorate then handles the appointment and dismissal of the Director.

## **2.2. Vice-Director**

The Vice-Director provides support to the Institute Director in leading, coordinating and supervising the full range of activities which are part of the institute daily business. The Director and the Vice-Director work closely together and jointly decide upon the distribution of responsibilities and the resolution of scientific, administrative and operational issues within the institute.

## **2.3. Steering Committee**

STI Innsbruck does not have an "Institutsbeirat" as allowed by § 11 of the Mitteilungsblatt of the University of Innsbruck (see APPENDIX 1) instead it has a steering committee. The STI Innsbruck steering committee is responsible for defining and supervising the overall progress of STI Innsbruck. It is consulted on all major issues of the institute and meets on a monthly basis. It consists of the Director, the Vice-Director (chair), the heads of units, and the chair of the technical task force. In addition, the Director can adopt additional members for a limited period of time. The difference of a steering committee and an Institutsbeirat is that the STI Innsbruck steering committee goes beyond the advisory capacity of an Institutsbeirat making concrete decisions regarding the direction of the institute. In addition, it has a different composition.

## **2.4. Technical Task Force**

The mission of the Technical Task Force is to oversee the implementation efforts within each of the STI objectives to ensure that the different prototypes are interoperable. The Technical Task Force aims at improving communication between the different objectives to ensure transparency and understanding of current development efforts. This will be achieved by identifying dependencies between working groups, sharing the requirements one working group has on another and aiding a working group on prioritizing certain implementation efforts based upon the needs of other groups. The Technical Task Force meets on a monthly basis to discuss the current status of the implementation efforts across the objectives and devise plans to bring these prototypes into a coherent architecture.

Each of the objective task force leaders is responsible for coordinating the research in his/her objective and reporting the status of the research to the chair of the Technical Task Force on a monthly basis. Requests for research in a given direction or development of a given prototype will be communicated to the research objective through the leader. While the research objective leader may not actual perform this research or development he/she is responsible to ensure that any deadlines committed to are met in a timely fashion.

Chairs of the individual task forces are automatically members of the Technical Task Force and expected to attend the monthly meetings (or to send an adequate representative). Membership in the Technical Task Force is not limited to chairs, in fact the Technical Task Force encourages participation from all those who are contributing to the overall STI technological objectives, with individual implementations.

The chair of the Technical Task Force is responsible for driving the task force forward, ensuring progress is made and architectural decisions are taken in the best interest of the overall STI technological objectives.

The STI Technical Task Force objectives and composition are reported in 0: Each researcher of STI is expected to actively participate in one or several objectives.

## **2.5.Working Groups**

Working groups aim at providing cross-project and cross-objective cooperation of researchers beyond the boundaries of STI Innsbruck. Every researcher is expected to take an active role on one or several of the main working groups where STI Innsbruck participate into. The updated list of working groups and involved person is reported in A3.2.

## **3. Research Units**

This section describes the different research units and their structure.

### **3.1. Research Unit**

A research unit at STI Innsbruck is a *group of researchers* within STI Innsbruck with common research interests and goals, headed by a senior scientist or a senior researcher. Furthermore, a STI Innsbruck research unit also groups *projects (i.e., external funding)* that are in the interest area of the research unit and one or more *research objectives* as defined in the Research Plan (for an updated version check the STI Innsbruck Portal: <https://portal.sti2.at>). Current research units are reported in A3.3.

### **3.2. Head of a Research Unit**

The head of a research unit is responsible for guiding the research of each research unit member, taking care of the fulfillment of the research objectives in the research unit, and ensuring proper engagement in research projects. The head of research units make sure that projects that are assigned to the research unit are properly financially and scientifically managed and that researchers are assigned to projects in which they have a research interest. STI Innsbruck research unit heads have to ensure the sustainability of the unit, its achievements and the funding of the members.

### **3.3. Members of a Research Unit**

Researchers belong to a research unit of STI Innsbruck. We can distinguish between 2 main different types of members: researchers and scientists. Researchers are involved only in research and activities supporting research. In addition, scientists are also involved in the education track.

#### **3.3.1. Scientists**

##### **3.3.1.1. Senior Scientist**

A senior scientist is a STI Innsbruck research unit member with a PhD degree. Senior scientists should take on the task of guiding junior researchers in the areas of:

1. PhD work: senior scientists should help define the PhD topic of the research and make sure that the topic is aligned with the general STI vision. They should guide PhD students during the course of her/his PhD. In particular:
  - Progress monitoring: the senior scientist should constantly control the progress toward the thesis of PhD students assigned to him. This should be implemented through regular meetings (once a month at least). Every 6 months (June and December) the supervisor has to provide a progress report.
  - Workload monitoring to the Chair Graduate Studies Supervisor and Teaching member: the senior scientist should ensure that PhD students have enough time to dedicate to their PhD research. To ensure this, supervisors should ensure that PhD students work on projects related to their topic.
  - Accessibility: the senior scientist should be accessible to the student at other appropriate times when advice may be needed;
  - Advice on work scheduling: the senior scientist should give detailed advice on necessary completion dates for successive states of work so that the thesis may be submitted within the scheduled period;
  - Comment on publications and reports: the senior scientist should request written work as appropriate and return such work with constructive criticism in a timely manner;
  - Talks: the senior scientist should ensure that the PhD student arranges talks to present her/his work to other students and staff and to have practice in oral examinations (this is supported by Research Seminars);
  - Evaluation: the senior scientist should ensure that the student is made aware of any inadequacy in progress or of failure to reach an acceptable standard.
2. Publications: A senior scientist should guide and advise junior scientist in the process of preparing publications (e.g., which conferences and journals should be targeted). A senior scientist should provide support in the paper writing process in various forms, mainly by contributing to formalize and discuss junior researcher ideas and to revise and comment their works. The final purpose is to make the junior scientist as much independent as possible in the process of publishing (i.e., the more the junior scientist is maturing, the less the senior researcher needs to contribute to the publication process).
3. Projects: Senior scientists should make sure that junior scientists and researchers are properly guided during the project work. Project work is

important for STI and as such must satisfy high standards. Senior scientists are responsible for ensuring this quality.

Furthermore, senior scientists should make sure that the research objectives as mentioned in the research plan are the main focus of research in STI Innsbruck.

### 3.3.1.2. Junior Scientist

A junior scientist is a researcher who works towards her/his PhD. Furthermore, junior scientists work on projects that are in the research unit they are members of. Ideally, the work in projects should coincide with the PhD topic of the researcher. Junior scientists are thus expected to work on their PhD and to contribute to the scientific community by publishing quality papers and providing advance state-of-the-art research performed in projects. Furthermore, they should strive for accomplishing the research objectives as mentioned in the research plan, guided by the senior scientist in charge of their supervision. There are different contract options for PhD students at STI Innsbruck.

Newly hired junior scientists start with the Option 1 for a trial period during which they have to show the capability and commitment to achieve their PhD degree. After the evaluation period junior scientists get the standard contract represented by Option 2. Junior scientists outperforming their objectives may be offered a contract Option 3. Option 1 may apply also for junior scientist that during the yearly appraisal did not reach the agreed objectives.

| <b>Contract option</b> | <b>Description</b>   |
|------------------------|--|
| Option 1               | Project worker (28 hours per week).  |
| Option 2               | Project worker (40 hours per week) in the entrance level getting the current FWF "Personalkostenersatz". |
| Option 3               | Project worker (40 hours per week) with above average performance.                                       |

### 3.3.1.3. Student Scientist

A student scientist is an undergraduate student who has a position with STI Innsbruck at the University of Innsbruck. A student scientist should work on topics that are aligned with the general STI vision. The performed work does not need to be related to their Bachelor/Master thesis.

## **3.3.2. Researchers**

### 3.3.2.1. Senior Researcher

A senior researcher performs research or support task (e.g. programming) to research in order to achieve STI research goals. She/he closely works together with scientists. In general, a senior researcher works on the tasks of STI Innsbruck without the goal of achieving a formalized educational degree.

Senior researchers coordinate the work of junior researches in order to ensure the fulfillment of their goals.

### 3.3.2.2. Junior Researcher

A junior researcher performs research or support task (e.g. programming) to research in order to achieve STI research goals coordinated by a senior researcher or a senior scientist. In general, a researcher works on the tasks of STI Innsbruck without the goal of achieving a formalized educational degree.

## **4. Teaching Unit**

STI Innsbruck provides undergraduate and graduate education which will be briefly described here. In addition, we define the structure of the teaching unit.

### **4.1. Bachelor and Master Education**

STI is incorporated in the faculty of Mathematics, Computer Science and Physics (MIP) as the counterpart of the Institute of Computer Science (IFI) since January 2006. According to the organizational structure of the University of Innsbruck, STI is a Research Institute which implies a shift of the trichotomy of research, teaching and administration of a regular institute towards a focus on research.

However, STI commits itself to contribute to teaching for several reasons, including the fact that only a substantiated education will lead to qualified researchers in the future. Furthermore, teaching is a first class opportunity to effectively transfer the knowledge gained in academic research into the companies eventually hiring students when they reached their degrees, which is exactly the objective of the support programs of the “Tiroler Zukunftstiftung” and TransIT.

STI employees have teaching duties according to their contract who contribute on all levels of teaching (Bachelor Program, Master Program, PhD Program). The teaching unit membership is reported in A3.4.

In the following we describe the services offered by STI Innsbruck for Bachelor education in computer science, for master education in computer science, and for master education in Information Systems.

#### **4.1.1. Bachelor education (Computer Science)**

The Bachelor course in computer science at the University of Innsbruck offers a solid basic training in the core areas of computer science, equally training in practical project planning as well as in the application of acquired knowledge when it comes to concrete problems in the application subjects. In the bachelor program, students have to complete mandatory modules amounting to 165 ECTS points and two chosen modules amounting to 15 ECTS points. The program is completed by the submission of one bachelor thesis.

STI offers numerous lectures and seminars for bachelor students providing introductions to its core research topics, such as Web technology, Semantic Web, Semantic Web Services, Semantically-enabled Service-oriented Architectures (a complete list can be found at [www.sti-innsbruck.at/teaching](http://www.sti-innsbruck.at/teaching)).

Furthermore, many researchers at STI offer supervision for interesting bachelor theses. A list of completed theses can be found at <http://www.sti-innsbruck.at/teaching/theses/completed/>.

#### **4.1.2. Master education (Computer Science)**

In the master program, students deepen their abilities and knowledge in computer science. The program conveys their ability to work on scientific problems autonomously and prepares students for the PhD program. Furthermore, it enables students to specialize on an application area of computer science.

Students have to complete three mandatory modules amounting to 20 ECTS points and five chosen modules amounting to 70 ECTS points.

STI offers numerous lectures and seminars for master students (a complete list can be found at [www.sti-innsbruck.at/teaching](http://www.sti-innsbruck.at/teaching)).

Master students complete the master program by writing a master thesis. STI's researchers offer supervision for numerous interesting topics. A list of completed master thesis can be found at <http://www.sti-innsbruck.at/teaching/theses/completed/>.

#### **4.1.3. Master education (Information Systems)**

The master program "Information Systems" offered by the Innsbruck University School of Management enables students with an educational background in business and social sciences to further focus on scientific work in the area of computer science. STI offers the chosen module Semantic Web and Semantic Systems. Additionally, STI offers a mandatory lecture, namely "introduction to modeling".

## 4.2. PhD education

High-quality PhD research is widely recognized as one of the key success factors in every academic institution. While doing a PhD necessarily implies a high amount of individual research work, the role of supervision is essential for the systematic operation of the process and its successful finalization

**PhD Process:** The process can be roughly divided into three phases:

**Phase I: Find and formulate the research problem**

**Phase II: Elaborate and evaluate the solution**

**Phase III: Write up the thesis**

Ideally the process should be finalized within a period of 3 years.

**Supervision:** Every PhD student has one main supervisor at STI Innsbruck who is either a PostDoc or professor. Ideally, this would be the unit or research group leader of the student. PhD students are furthermore encouraged to seek additional external supervision from experts in the field.

**Monitoring progress:** In order to monitor the progress and to enable effective guidance and supervision of PhD students, there should be regular meetings between the PhD students and the supervisors. It is up to the supervisor and the student to agree on the frequency of these meetings. Besides the regular meetings between students and supervisors, there will be a biannual research seminar mandatory for all PhD students. Furthermore, PhD students are encouraged to give trial presentations for the papers which are presented at workshops and conferences.

**Research reports:** According to the schema introduced above students should document their PhD work in two research reports concluded by the dissertation thesis.

More details can be found in the STI Innsbruck Research Plan.

### 4.3. Structure of the Teaching Unit

The teaching unit is structured in four major components. Solid bachelor education constitutes the basis on which the master education for computer scientists builds. Additionally, STI co-operates with the Innsbruck Management School and offers some courses for their business information systems program. However, STI is neither involved in business information systems bachelor education nor in business information PhD education.

| <b>Computer Science</b>      | <b>School of Management</b>   |
|------------------------------|-------------------------------|
| PhD education                |                               |
| Master in Computer Science   | Master in Information Systems |
| Bachelor in Computer Science |                               |

On top of bachelor and master education, PhD education constitutes the top level. All courses are organized in coordination with the Institute of Computer Science<sup>1</sup> at the University Innsbruck, where Prof. Dr. Aart Middeldorp is the head for teaching. In preparation for each term, several teaching committee meetings take place where each research group will send a representative.

The chair of this unit takes care for the PhD education and his / her deputy for the master and bachelor education streams.

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<sup>1</sup> <http://informatik.uibk.ac.at>

## 5. Management Structure

We can differentiate between the following types of activities, which are performed within aspects:

1. Financial Management
2. Human Resources Management
3. Institute Management
4. Project Management
5. Secretarial Support
6. Technical Management

These aspects are clustered in:

1. Financial Management, that reports directly to the Director and includes:
2. Central Institute Management, that reports directly to the Vice-Director and includes:
  - (1) Human Resources Management
  - (2) Institute Management
  - (3) Technical Management
  - (4) Secretarial Support
3. Project Management, which is part of SOS research unit and reports directly to the SOS unit leader.

## **5.1. Financial Management**

The motivation behind the STI financial team is, on one hand, the provision of a daily efficient management of the existing funding which enables the well functioning of the research activities and, on the other hand, the support in new funding/projects acquisition to ensure the continuity of the research activities of STI on the long run. These two goals are achieved through cooperation with internal financial departments of the University as well as external agencies, like the EC (<http://cordis.europa.eu>), FFG (<http://rp7.ffg.at>) and BMBWK (<http://www.bmbwk.gv.at/>). Efficient, successful daily financial management ensures a continued incoming cash flow through the generation of cost statement against payment from the various funding agencies. The other key to a strong financial management is the successful cooperation with our project partners across Europe, especially in those projects where STI coordinates and represents the Consortium towards the EC.

### **5.1.1. Main tasks**

In the following section the Main tasks of the Financial Management are described.

#### **Bookkeeping**

- The bookkeeping support keeps an accurate accounting record of all activities of the institute. This includes:
  - Processing of invoices: writing Refunds of Expenses before the original receipts are sent to the various University departments (Quästur, Personalabteilung, etc.) for payment
  - Writing invoices to external companies
  - Administration of petty cash
  - Processing of travel costs of STI members in accordance to the University travel guidelines
  - Keeping track of VIS-online payments and aligning this information with our records
  - Handling of incoming payment reminders
- Procedures and workflows have been designed and implemented in order to collect the necessary accounting information, like supervisors' signatures

approval and designation of funding sources (project name, project category) in a timely manner.

- These procedures ensure that the financial guidelines from the university are applied like the RGV guidelines for travel refunds or the depreciation rules for durable equipment.

Due to the large number of projects (currently 25) and employees (currently 60), the bookkeeping area requires an effort of 1 employee.

In order to ensure accurate actual costs in STI cost statements sent to the EC, the Bookkeeping support also provides the following 2 services:

- Reconciliation of STI Innsbruck costs records with the University central administration SAP system.
- Calculation and deduction of the VAT which cannot be charged to the EC. The lost Austrian VAT can then be recovered through a “Zusatzfinanzierung” application to the BMBWK.

These 2 specific tasks require an effort of 0.5 employees.

### **Budgeting/Controlling**

The second area of the financial management includes effective budgeting, forecasting, and recommending appropriate action to deal with variances. Timely and accurate provision of reports including reporting on the cost structure and comparisons between planned and actual spending is also required. A master document called “monthly budget summary” is generated on a monthly basis and discussed with the Director of the institute and senior staff to ensure effective financial planning.

### **Project Acquisition Support**

Another important task of the financial management is the provision and negotiation of budget plans in new projects. At the proposal stage of a project the financial management is responsible for generating and negotiating the various budget plans within a project Consortium. At this phase of a project, the financial management is also responsible for preparing “Anbahnungsfinanzierungen” applications to the BMBWK <http://www.bmbwk.gv.at/> in order to recover the costs spent at the proposal stage of a project but not reimbursed by the European Commission.

## Reporting

Once projects have been accepted and are running, the most important area of the financial management is the provision of financial reporting to the European Commission (EC) and the Austrian Bundesministerium für Bildung, Wissenschaft und Kultur (BMBWK) for FFG projects. This financial reporting to the EC, FFG and BMBWK includes the following activities:

- Generation of annual (EC) and half-year (FFG) cost statements
- Leading and supporting auditing activities for all EC projects, coordination with Auditor and Project Service Büro for the generation of audit certificates for all European projects.
- Preparation of BMBWK “Zusatzfinanzierungen” in order to recover the Austrian VAT amount which cannot be charged to the EC as well as the durable equipment costs which cannot be charged to the EC due to the depreciation rule.
- Collecting of timesheets on a regular basis, checking them regarding the guidelines of the European Commission, preparing them for the unit leaders to sign and file them accordingly
- Submission of requested financial reporting data to project coordinators at the various reporting periods of a project.
- For EC and Austrian projects in which STI is coordinator, the financial management is responsible for collecting data from the entire Consortium (all partners) in order to carry out the following tasks:
  - Liaison with the EC on behalf of the Consortium
  - Generation of the yearly management report
  - Generation of the EC summary financial report
  - Generation of the EC Budgeted vs. Actual costs report
  - Generation of the Community Contribution Distribution
  - Collection of all partners cost statements (FORM C) and audit certificates
  - after EC results, distribution of the EC Financial Analysis to project partners and collection of requested additional items for the EC from project partners
  - Preparation of the bank transfers of the EC contribution/funding to project partners

The budgeting, project acquisition and reporting services require a minimum effort of 1.5 employees.

### **5.1.2. Effort and Cooperation Partners at the University**

The financial management team mainly cooperates with the 3 following University departments: Quästur, Personalabteilung, and Projekt Service Büro

| <b>Estimation of effort</b> |     |
|-----------------------------|-----|
| Persons                     | 3.5 |

## **5.2. Human Resources Management**

The Human Resources Management is very important for the planning, realization and controlling of processes which provide the necessary human capital within any organization.

### **5.2.1. Main Tasks**

The major tasks of the Human Resources Management of STI Innsbruck are:

- Maintenance of the personal information files and records on current contractual issues of the assigned personnel of the institute
- File management of personal folders: collection of information of each employee such as personal data, CV, certificates, job description, holiday requests, record of meetings, reports of sickness, changes of address, status, etc.
- Support in provision of existing and new working contracts and forwarding these data base with the “Personaldatenblatt” to the HR department of the University.
- Informing the University of changes of any contract regarding salary, projects, working hours, duration ...
- Organisation of open position announcements in various newspapers or internet platforms. Add job ads to the STI website.
- First contact point for job applicants. Keep track of applications, schedule and announce interviews.
- Provision of service/advice to the staff of the institute, related to general Human Resources issues
- Welcoming of new comers
- Providing administrative support to new employees:
  - Support in visa issues
  - Advice on finding accommodation in Innsbruck
  - Provision of keycard, keys and inbox
  - Take photo and add it on the website
  - Provision of a seating plan – desk availability including door signs, telephone codes, technical equipment ...
  - Welcome procedure ...

- Handling of “Krankmeldung”, “Dienstantrittsmeldungen” and collecting of doctor’s confirmations and sending them to the HR department of the University. Maintenance of man-month table
- Coordination of holidays application procedure and remaining holidays of leaving employees
- VIS-online (Verwaltungsinformationssystem online):
  - Job posting of positions funded by the university
  - Entering holidays
  - “Forschungsleistungsdokumentation”

### **5.2.2. Effort and Cooperation Partners at the University**

The Human Resources Management supports the coordination of the working contracts of the assigned personnel of the institute with the Human Resources department of the University of Innsbruck. Therefore there is a very close cooperation with the Human Resources department of the University and its employees in order to keep both sides informed and up to date of all future and current employments with its changes of contract duration and changes of projects. For this at least 1.0 person is needed in order to fulfill these tasks properly.

| <b>Estimation of effort</b> |     |
|-----------------------------|-----|
| Persons                     | 1.0 |

### **5.3. Institute Management**

The Institute Management takes care of the daily management of the institute in close collaboration with the directors and according to their decisions. The Institute Management provides support to the administrative tasks related to the teaching duties of the institute, inventory of items, library maintenance, university reporting, Web site control and event organization. The Institute Management is also in charge of keeping all related STI documentation, including the Management Plan (this document) and the Research Plan up-to-date.

#### **5.3.1. Main Tasks**

The major tasks of the Institute Management of STI Innsbruck are:

- Administration of the STI Innsbruck library in cooperation with the library of the university
- Preparation of documents and documentation common to the daily activities of STI Innsbruck office environment
- Management of all institute facilities (offices, provision of additional office space and equipment) and other physical assets
- Updating of STI internal forms in the institute share point at: <https://portal.sti-innsbruck.at/STI%20All/default.aspx>
- Ordering of consumer goods
- Administration of office supply
- File management
- Reporting to the University of Innsbruck
- Coordination for social gatherings and public events (monthly lunch, Xmas party, off-site, etc.)
- Event management (general assemblies, workshops, invited talks)
- Web site content management coordination and checking
- Informing institute members of the availability of new updates to the management plan
- Provision of administrative support concerning teaching issues

- VIS-online (Verwaltungsinformationssystem online):
  - “Forschungsleistungsdokumentation”
  - Inventory of items
  - Ordering goods and equipment
  - Entering grades
  - Administration of courses and lectures

### **5.3.2. Effort and Cooperation Partners at the University**

Because of this broad field of responsibilities the Institute Management has to cooperate and work together with nearly all partners at the University of Innsbruck, such as the Quästur concerning financial issues, the Personalabteilung concerning Human Resources related issues, the Prüfungsreferat concerning teaching issues. To guarantee a proper fulfillment of all tasks of the Institute Management at least one full-time and one half-time employee are needed.

| <b>Estimation of effort</b> |     |
|-----------------------------|-----|
| Persons                     | 1.5 |

## **5.4. Project Management**

STI Innsbruck is currently involved in roughly 20 EU and Austrian funded projects. To ensure successful contribution to and efficient cooperation within this vast amount of projects, a well-organized project management is of vital importance. Project Management is part of SOS unit.

Project Management tasks are shared across the Project Manager and the various project leaders.

### **5.4.1. Main Tasks**

The major tasks of the project management are:

- Providing project coordination for projects in which STI is coordinator
- Providing administrative support upon request for senior scientists responsible of projects
- Providing support for proposal management and funds acquisition

The tasks are detailed in the following.

#### **STI as project coordinator**

The STI Project Manager is responsible for the communication with the EC on behalf of the project consortium. He/she must fulfill all reporting requirements elaborated by the EC, e.g. compiling and submitting management reports, deliverables, requests for amendments, legal issues to the PO and conducting any necessary follow-up action. The STI Project Manager must stay up-to-date with changing EC regulations and revised guidelines as well as with the work plan and the corresponding time schedule defined in the legal documents of the project (Description of Work and annexes). She/he must provide guidance to project partners upon request regarding EC regulations.

The STI Project Manager must create tools which allow for the monitoring of the progress of the project in terms of efforts of all partners of the project. He/she must raise the attention of the consortium to any deviation from the work plan. The STI Project Manager is also responsible for creating and adhering to all measurements necessary to the project which will assure a smooth execution of the project, e.g. Quality Assurance Procedure, Risk Management Analysis, etc.

The STI Project Manager is responsible for organizing and participating consortium board meetings (f2f, telecon, videoconference, etc.), taking notes and providing the minutes to the appropriate partners. He/she is the administrator/moderator of project management mailing lists. He/she is also responsible for organizing and ensuring the smooth execution of (on site) General Assembly meetings as well as annual review meetings.

The STI Project Manager must closely collaborate with all partners and work packages which are involved in the administrative management of the project and fulfill all duties and responsibilities of the work packages he/she is member of.

### **STI as project partner**

To projects of which STI Innsbruck is a partner management support is given upon request. The need for support might arise when project-specific administrative information is needed which the Project Manager has on file. During the execution of the project this might happen at the end of a reporting period when the scientific project responsible has to report to the project coordinator or during the review period when information for EC representatives and external reviewers is needed.

### **Proposal Management**

STI Innsbruck depends heavily on external funding; only a small fraction of the finances needed are provided by the University of Innsbruck. To successfully compete for external funding is an important issue as it ensures the continued existence of the institute and the provision of employment for his members. The main tasks of the proposal management for future STI Innsbruck coordinated projects include but are not limited to the following activities:

- Organization of preparation meetings, telephone conferences, etc.,
- Setting up and moderating mailing lists for discussion between partners,
- Coordinating input from partners for the draft proposal,
- Registering EU proposals on EPSS <https://www.epss-fp7.org/epss/>
- Providing administrative information for the draft proposal (e.g. info for EPSS Grand Preparation Forms, CVs of key personnel, etc.),
- Communication with support institutions (Project Service Büro),
- Coordinating receipt of legal documents from partners,
- Submission to receiving institution according to the deadlines,

- Communication with receiving institution, e.g. request for further information, documents, and conducting any necessary follow-up action.
- Filing of all relevant documentation, e.g. signed originals, etc.
- Analysis and submission to the University Legal Department of the Consortium Agreement.

The main tasks of the Proposal Management for future projects in which STI Innsbruck is a consortium partner include but are not limited to the following activities:

- Organization of preparation meetings, telephone conferences, etc.,
- Providing administrative information for the draft proposal (e.g. info for EPSS Grand Preparation Forms, CVs of key personnel, input regarding management procedures, etc.),
- Providing all necessary legal documentation of STI Innsbruck to proposal coordinator,
- Filing of all relevant documentation, e.g. signed originals, etc.

### **Project Responsible Management**

Each project acquired by STI Innsbruck has a designated project responsible. This is either the leader of the unit in which the project is placed or any other scientist nominated by senior management. The project responsible has to comply with all regulations/guidelines and fulfill all assigned scientific tasks as set forth by the coordinator of the project and the legally binding documents of the project.

The main tasks of a project responsible regarding work package/deliverable management (assuming WP leadership) include but are not limited to the following activities:

- Comply with all project-specific regulations as set forth by the project coordinator, e.g.
  - WP internal task/deliverable distribution,
  - WP internal effort distribution of all partners active in the WP per task/per deliverable,
  - Administrate/moderate WP internal mailing list,
- Report any deviation from WP planning to STI Innsbruck Senior Management

Additionally, the project responsible is in charge of STI Innsbruck internal project administration management. This includes the following tasks:

- Upload all relevant project documentation to STI Innsbruck SharePoint <https://portal.deri.at/C3/Projects/default.aspx>, such as contract, CA, DOW, deliverables, Management Reports, PR material (flyer, presentations, logo, poster),
- Upload a short project description, project website link, contact person to STI Innsbruck website <http://www.sti-innsbruck.at/research/projects/>,
- Upload all project partners to STI Innsbruck website <http://www.sti-innsbruck.at/about/partners/> using TYPO3<sup>2</sup>,
- Continuous maintenance of the items above.

It is the obligation of the STI Project Manager to frequently check whether the project responsible fulfill their STI Innsbruck internal project administration management obligations.

#### 5.4.2. Effort and Cooperation Partners at the University

The Project Management has the Projekt Service Büro as main cooperating partner at the University. The needed effort for administrative support of the coordinator projects of STI Innsbruck and for proposal management at STI Innsbruck justifies a full time position. Tasks for project leaders are considered part of normal senior scientists and senior researchers duties, hence are not considered in the estimation.

| Estimation of effort |     |
|----------------------|-----|
| Persons              | 1.0 |

---

2

- 1) Log in with your username and password on <http://www.sti-innsbruck.at/typo3/>
- 2) In the left column, click on "List", then, in the second column on "Partners"
- 3) In the partners list, that now pops up, click on "New Record"
- 4) Enter the "Name" of the business partner, a short "Description" and the "Website" URL (make sure the box in front of Website is checked)
- 5) Pick a "Logo" which you must have on your local hard disk in JPEG or GIF format by clicking the "Browse" button, and picking the image file from your disk. Please make sure that the logo's width does NOT exceed 200px and that it is placed on a white background.
- 6) Simply hit "Save" or "Save and Close" to save the entry.
- 7) Check if your entry looks good on <http://www.sti-innsbruck.at/about/partners/>

## 5.5. Secretarial Support

The secretary assists the directors of STI Innsbruck in a wide variety of tasks.

### 5.5.1. Main Tasks

The major tasks to support the Director and Vice-Director of STI Innsbruck are:

- Handling tasks from day to day which are in support of the Director's tasks: phone calls, correspondence, arrangements, appointments, queries
- Become and remain informed of all business appointments and meetings of the Director so as to be able to be proactive in offering assistance
- Screen correspondence, calls and appointments that do not necessarily need the Director's immediate attention
- Communicate regularly (daily, if possible) with the Director to give an updated status report
- Complete travel planning and changing on short notice. Scheduling of the Director's business trips
- Reporting of the Director's expenses
- First contact point for business partners and other "customers"
- Taking minutes of meetings for purposes of record keeping

### 5.5.2. Effort and Cooperation Partners at the University

The secretary of the directors of the institute has to cooperate with all partners at the University of Innsbruck, such as Quästur, Personalabteilung, Rektorat, Zentraler Informatik Dienst, and Projekt Service Büro. To enable high quality service and support a full time employment is needed.

| Estimation of effort |     |
|----------------------|-----|
| Persons              | 1.0 |

## **5.6. Technical Management**

The motivation of the technical support team is to provide the technical infrastructure and support services which are needed to researchers and management team. The main tasks of the technical support team are grouped into three aspects which are described in the following.

### **5.6.1. Main tasks**

#### **Client support**

- 1<sup>st</sup> and 2<sup>nd</sup> level support: operating systems WindowsXP, Windows2003 Server and Linux (Ubuntu, Debian, Fedora), Office2003, Office 2007, Adobe and Macromedia Products) for all employees of STI Innsbruck.
- Provide researchers with the technical equipment for their projects: e.g., install a physical or virtual server with the software they need for their work.
- The technical support team provides hardware and software support during conferences, meetings and workshops and helps participants/visitors to use the internet connection, beamers, video conference unit.
- The STI Innsbruck IT team additionally provides technical services to international project groups. These services include: hosting websites on the STI Innsbruck web server, hosting e-mail lists, support video conferences between the STI groups, administration of the sti2.at and sti-innsbruck.at domains.
- Technical repair of broken hardware.

#### **Infrastructure**

- The STI Innsbruck IT team is responsible for planning, evaluating, testing and ordering new hardware and software products.
- The STI Innsbruck IT team provides and supports the technical infrastructure (hardware and network) and software services for the STI Innsbruck group and to all STI Innsbruck projects.
- The STI Innsbruck IT team maintains the technical equipment including STI servers, workstations, notebooks, network infrastructure (wireless LAN and cable connections), printers and the copy machine.

- The STI Innsbruck IT team manages, updates and administrates the STI infrastructure servers (MS-SQL Server, VMWare ESX servers, web server, SharePoint Portal 2003 server, Netscreen Firewall, ISA 2004 server, DHCP server, printer server, RADIUS, WSUS, Domain controllers and Active Directory Management (User administration, password management, ...))
- Security, Software and System updates on the clients and servers.
- The STI Innsbruck IT team manages the backup services with the university backup system (Tivoli Backup Solution)

**Administrative work**

- Provision of necessary support regarding telephone, telephone codes, e-mail addresses (STI mail address and university mail address), ...
- Budget planning for hardware and software products,
- Technical planning and support during conferences
- Collaboration with external support companies in warranty cases (ACP, HP, ...)

**5.6.2. Effort and Cooperation Partners at the University**

ZID of the University of Innsbruck is the main cooperation partner of the STI Innsbruck IT team. For high quality IT support two full-time employees are necessary.

| Estimation of effort |     |
|----------------------|-----|
| Persons              | 2.0 |

## 5.7. Reporting

| Reporting                  |                 |
|----------------------------|-----------------|
| Area                       | Report to       |
| Financial Management       | Director        |
| Human Resources Management | Vice-Director   |
| Institute Management       | Vice-Director   |
| Project Management         | SOS Unit Leader |
| Secretarial Support        | Vice-Director   |
| Technical Support          | Vice-Director   |

## 5.8. Summary Table

| Estimation of effort       |           |
|----------------------------|-----------|
| Area                       | Persons   |
| Financial Management       | 3.5       |
| Human Resources Management | 1.0       |
| Institute Management       | 1.5       |
| Project Management         | 1.0       |
| Secretarial Support        | 1.0       |
| Technical Support          | 2.0       |
| <b>TOTAL</b>               | <b>10</b> |

## 6. Guidelines and Workflows

In this section guidelines and workflows are provided.

### 6.1. Guidelines

The guidelines have to be observed by all STI members to ensure appropriate work processes and prevent misunderstanding.

#### 6.1.1. STI Travel Guidelines and Rules

The latest version of this document can be found at:

<https://portal.sti-innsbruck.at/STI%20All/default.aspx?RootFolder=%2fSTI%20All%2fDERI%20Documents%2fInformation&View=%7b768EBE5B%2d34F3%2d4A07%2dB1BD%2dE8BA53F59FC3%7d>

##### 6.1.1.1. Rules for attending meetings

As the assessment of travel expenses and their necessity and appropriateness is a complex issue, there are no general rules but only guidelines. Each single trip is subject to approval.

As guidance for your decision making in the preparation of trips, please see the following directives.

- Traveling to necessary project meetings will be usually approved
- Traveling to scientific workshops can be approved for one author (preferably the main author) of an accepted paper, if the workshop is of sufficient quality and the location of the event is in appropriate relation to its quality. Each employer should ask to his/her unit leader for guidance prior to submitting a paper
- Traveling to scientific conferences will likely be approved for one author (preferably the main author) of an accepted paper, if the conference is of sufficient quality and the location of the event is in appropriate relation to its quality. Ask your unit leader for guidance prior to submitting a paper
- For the guidelines regarding the attendance of summer schools, please see Section 6.1.1.6

- Traveling for any other business (e.g. visa-related travel) will be decided on case-to-case basis

#### 6.1.1.2. Meeting Application Form

For each trip which involves absence from Innsbruck as part of the employment, eMAR needs to be filled by every STI Innsbruck member and approved by the appropriate unit leader/Vice-Director/Director prior to beginning the trip. The eMAR must include a proper estimate of the total costs caused by this trip. Please make sure you do not forget any relevant cost category.

Please make sure you use the latest eMAR, available from:

<https://portal.sti-innsbruck.at/STI%20All/default.aspx?RootFolder=%2fSTI%20All%2fDERI%20Documents%2fSTI%20Forms&View=%7b768EBE5B%2d34F3%2d4A07%2dB1BD%2dE8BA53F59FC3%7d>

| <b>Employee role</b> | <b>Responsible for approval</b> |
|----------------------|---------------------------------|
| Unit Member          | Unit Leader                     |
| Unit Leader          | Vice-Director                   |
| Vice-Director        | Director                        |

#### 6.1.1.3. Travel Costs

The cost of the travel should be kept within reasonable limits.

- Mode of transportation

For trips within Austria, Switzerland, Germany and Northern Italy, a second class train ticket will usually be the appropriate means of transportation. Flights are appropriate if the cost incurred by taking the plane is lower than or close to the cost incurred when taking the train.

If there is a party of two or more, using a private car at €0.367 per kilometer (official rate) might be cheaper. Please compare the two options. Parking tickets are not refunded.

- Traveling by plane

In cases where traveling by plane is regarded as appropriate, it is necessary to take proper action to keep the airfare at a minimum.

As short-term bookings are in general way more expensive than early bookings, tickets should be ordered at least four weeks in advance. Rare exceptions need a clear justification.

Take into account departing from Innsbruck, Munich, or Salzburg.

Only economy class tickets or charter fares are acceptable. Use your own judgment and be flexible in order to get a reasonable prices fare. As an example, flights to the US East coast usually cost around €600 if booked cleverly and flights to Asian destinations are usually around or below €1000.

- Shuttle service to Munich airport

Senior researchers and scientists are allowed to use the exclusive service of Four Seasons on their own. The special offer for the exclusive service is €360, to obtain it you need to specify that you work for STI. The remaining STI staff may use this service only in groups of two or more. If the employee is traveling on his/her own, he/she should use train transportation or the comfort service of Four Seasons.

- Local transportation

Local transportation costs will be reimbursed as long as they are reasonable. This means that whenever possible, public transportation should be used. Taxis will only be reimbursed when the use can be justified (e.g., no availability of public transportation).

- Cost of the accommodation

The cost of the accommodation should be reasonable (in general, under €80 per night, depending on the location).

- Internet

If an Internet connection is strictly necessary and this necessity can be justified, the connection fee will be reimbursed.

- Registration fees

The registration fees for conferences, workshops, tutorials and summer schools will be reimbursed if approved. For guidelines on attendance of workshops, conferences and summer schools, see Section 6.1.1.1.

- Railway rebate card

The cost for railway rebate cards (Bahncard etc.) can be reimbursed if you can prove that the expenses have been justified by the cost saved for past official business trips. In other words, it is recommended that you buy such a rebate card, and you will get it reimbursed as soon as you provide evidence that past savings have exceeded the cost of the card.

The abovementioned costs are the only costs which are eligible for reimbursement. No other costs will be reimbursed, unless they can be demonstrated to be strictly necessary for your work.

You will receive a daily allowance for the days of your business trip. The daily allowance is dictated by University regulations and its rate depends on your destination. The daily allowance should be seen as a compensation for the slightly higher costs of food and drinks when travelling. If breakfast, lunch, or dinner is included in either the accommodation or the fee for the event (e.g. conference fee), then the daily rate will be adjusted by the University administration

For your own convenience and safety, we highly recommend that you buy an international travel health insurance. This only costs about 20 EUR per year and provides a lot of benefits in case you need medical treatment abroad. This expense can unfortunately not be reimbursed by STI Innsbruck.

#### 6.1.1.4. Personal Benefit

All travel by any employees and PhD student of STI Innsbruck on business must be for the benefit of STI and any personal benefit thereby accrued must be solely incidental to the official purpose of the travel. It is the obligation of both the individual employee who is travelling and his/her supervisors to ensure that all travels comply with this regulation.

In case the combination of business travel with private travel increases the travel costs, this increase is to be paid by the employee.

#### 6.1.1.5. Travel arrangements

The arrangements from STI Innsbruck to the location of your meeting (and back to STI Innsbruck) must be done by the employee. This includes the means of transport (plane, train, bus) as well as your accommodation.

You are expected to exercise restraint in incurring travel expenses. You are obliged to select the option that is most economical to STI Innsbruck.

#### 6.1.1.6. Summer schools

We recommend and encourage the attendance of summer schools. This does not mean that any PhD student is forced to attend a Summer School or all should attend this year.

The general regulation is as follows:

- STI Innsbruck offers the opportunity by supporting ONE summer school per student during your PhD studies: This means: Travel, accommodation and registration fees will be covered if it is an interesting summer school with benefit for your PhD and also summer schools which widen the scope of STI Innsbruck are encouraged. It is up to you to choose an interesting summer school which helps you with your PhD topic or for general orientation. Contact your unit leader if you plan to apply for a particular summer school (obviously, we will not fund completely unrelated summer schools).
- STI Innsbruck will not provide a daily allowance for the attendance of a summer school. A daily allowance will only be provided on the travel days.
- You are still encouraged to apply for external funding by applying for grants, etc. E.g. the Austrian Computer Society (OCG), the Austrian Society for Artificial Intelligence (OEGAI), and often the organizers of summer schools either partly refund expenses for a summer school or give full grants.
- If you get your attendance funded externally, the benefit is that you are allowed to attend additional summer schools!
- Any further attendances of summer schools are free of course if you take vacation for it, but STI Innsbruck will not cover the costs.
- If there is the possibility for poster or short paper presentations in the summer schools, we expect you to make use of it.

- After attendance of a summer school, the course material or a copy of it has to be made available in printed form in the library.
- You have to provide a report and short presentation in the course of the research seminar or the plenary after attendance highlighting the pearls of the summer school!

### **6.1.2. Invited Talks**

Invited Talks are events organized in order to promote circulation of research results inside STI and to create and reinforce research partnerships. Occasionally invited talks have the scope of evaluating researchers applying for a position at STI.

Thus, the participation of STI members to Invited Talks is considered part of their employee tasks. Every member is requested to attend invited talks with the following exceptions:

- The researcher is excused if he/she is on approved traveling.
- The researcher is excused if he/she is on approved holidays.
- The researcher is sick.
- The researcher has an acceptance notification for an exception from the Unit Leader or the Vice-Director.

### **6.1.3. Appraisal Interview**

The appraisal interview is held once a year in order to discuss and improve the working environment of the respective STI member. The internal communication is a very important factor for further development and a successful cooperation within any organization. The appraisal interview is a challenge and furthermore particular and strategic objective can be communicated which should be combined with the talent and the needs of each STI member. The appraisal interview is an important and highly appreciated instrument of Human Resources management and Human Resources development. Furthermore it is an excellent criterion for a professional personnel management. The following issues should be discussed:

- Efforts of the past year (tasks, working conditions and cooperation)
- To clarify misunderstandings and solve problems
- To criticize and to appreciate skillfully

- To take up steps for advancement and further education
- To arrange for long term goals and to set major tasks for the future

In order to have a successful appraisal interview both parties have to be prepared. It always concerns the STI employee and the directly responsible unit leader.

| <b>Employee role</b> | <b>Responsible for interview</b> |
|----------------------|----------------------------------|
| Unit Member          | Unit Leader                      |
| Unit Leader          | Vice-Director                    |
| Vice-Director        | Director                         |

#### **6.1.4. Meeting PhD - Supervisor**

Every other 4 weeks there must be a meeting between the PhD and his/her supervisor regarding the PhD work. Twice a year the Supervisor should provide a report of the PhD student progress to the Vice-Director.

#### **6.1.5. Absence due to illness**

If the employee is prevented from performing his/her work due to illness or misadventure or other important reasons concerning his person, he/she is obliged to immediately notify the Human Resources Management team by sending the notifying email to: [admins@sti2.at](mailto:admins@sti2.at)

If an incapacity for work caused by illness or misadventure lasts three days or more, the employee has to immediately submit a doctor's certification to the employer. The certification has to be issued by a doctor who is under contract by one of the public health insurance systems and it has to state duration of the incapacity for work. The employer has the right to ask for such a certification after less than three days and also to demand another recent certification after an appropriate period of time.

Therefore all STI members are bound to report their sickness on the first day. (F: 0512 507 - 6485 or 6488). A so called „Krankmeldung" (i.e., sickness certificate) from the doctor is required if a STI member is sick more than three days in a row.

The Human Resources Management team is responsible to forward this “Krankmeldung” to the Human Resources Department of the University (i.e., Personalabteilung). The Human Resources Management team fills the two specified forms and sends them to the University department (the sickness certificate from the doctor has to be attached). The

Human Resources Management team copies the forms and the certificate before sending them and puts the copies in the personnel folder of the related STI member.

### 6.1.6. Employee Obligations

All STI employees involved in research activities must read the "Zen and the Art of Motorcycle Maintenance: An Inquiry into Values" and, in case they did not attend any logics course in their studies, they must attend one of the logics course offered by the University of Innsbruck.

### 6.1.7. Presence rules

#### 6.1.7.1. General rules

The following rules and guidelines apply to all STI Innsbruck personnel:

- Core office hours<sup>3</sup> for all standard employees (28-40 contractual hours): 11:00 to 15:00;
- Core office hours for all part-time employees (less than 28 contractual hours): employee must be present during at least 2 core hours of the working day;
- Employee must inform the Human Resources Management team if unable to be in the office during core hours ([hr@sti2.at](mailto:hr@sti2.at)) and their unit leader;
- Employee not in the office are justified only in case of:
  - approved eMAR;
  - approved Holiday application;
  - approved working for home (only for Senior Scientists and Researchers);
  - sick leave notice.

#### 6.1.7.2. Specific rules

The following additional rules and guidelines only apply to specific groups of STI Innsbruck personnel.

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<sup>3</sup> "Core hours" define those hours of each work day during which you are **required** to be present in the office. The core hours for STI Innsbruck scientific personnel are defined from 11:00 to 15:00 and hence you are **obliged** to be present in the office during these times. "Core hours" may not be interpreted as the **only** times during which you are requested to be in the office. The times before (from 07:00 to 11:00) and after (16:00 to 18:00) the core hours may be called "flexible hours" and they define those hours during which you may choose your times of arrival to and departure from the work site consistent with the duties and requirements of the position. However, you **should** be present onsite from 10:00 to 16:00 unless there are comprehensible reasons for deviation.

### *Student scientists*

- Student *scientists* must agree on their office presence times on a semester basis with their Unit Leader that in turn should communicate the reached agreement to the Human Resources Management team.

### *Senior Scientists and Researchers*

With approval from Institute Director or Vice-Director, *senior personnel* may work from home for a modest and sensible amount of time.

- The following must be ensured during absence from office:
  - consistent PhD supervision, unit leadership, project management;
  - participation in on-site meetings (pre- or ad hoc-scheduled).
- When working from home, *senior personnel* must be reachable by phone/email/Skype
- *Senior personnel* must inform Human Resources team of their absence from the office by sending an email to the following mailing list: [hr@sti2.at](mailto:hr@sti2.at)

#### **6.1.8. Timesheet**

An effective time-recording system (**a system which certifies the reality of the hours worked**) is a **requisite** from the EC for the eligibility of the costs STI is declaring in its costs statements. It is also a fundamental tool for budgeting and reporting. STI employees have to record their time on a daily basis using the STI timesheet template. Only the costs of the actual hours worked by the persons directly carrying out work under the project may be charged. Working time to be charged must be recorded throughout the duration of the project.

Only the **contractual working hours** maybe filled out in the timesheet, **no overtime hour shall be reported**. If hours actually spent in project productive tasks exceed the standard productive hours, these can be reported in a separate template.

Working time is the total number of hours worked, excluding holidays, personal time, sick leave, or other allowances. That is to say that if a full-time employee with a 40 hours/week contract is **not absent because of vacation, public holidays or illness reasons**, his/her timesheet must charge 40 hours/week.

Absences like, vacation, public holidays and illness days cannot be reported as project working hours. The timesheet template provides a separate section for the reporting of those days.

The employee can charge 8 hours for each 5 days or choose non-linear figures, as long as the weekly average total reaches 40 hours.

Employees do NOT need to reach the weekly average total of 40 hours, **if he/she was absent because of vacation, public holidays or illness reasons**. This hourly shortage is foreseen in every Austrian employment contract by law. Employees do **NOT** have to recover that shortage.

If an employee works on several projects during the same period, his/her timesheet should enable reconciliation of total hours to be charged to each project.

If an employment contract foresees the contribution to several projects with an explicit percentage breakdown, the working hours reported on the timesheet **MUST** follow that same percentage distribution.

Travelling days related to the project can only be charged with an 8 hours average/day.

## **6.2. Workflows**

The following Workflows make the work process within STI more transparent to its members.

### **6.2.1. Hiring Process**

The hiring process is very complex and this should help to hire the people STI needs and those people should fit into the unit. The well-defined hiring process at STI is:

1. The incoming applications to [hr@sti2.at](mailto:hr@sti2.at) are collected by the Human Resource Management team that passes them to the Vice-Director for a first filtering.
2. Then the Vice-Director forwards them to the proper unit leader.
3. The respective unit leader will have a telephone interview with the candidate and then the unit leader is able to evaluate the applicant.
4. If the unit leader wants this application to be processed further the unit leader gives an introduction of the applicant to the Institute Director.

5. If the Institute Director decides in favor for the candidate, he/she will be invited to the institute where he/she will have to give a talk and will have a face to face interview with the Director.
6. The Director of the institute will decide whether to hire or dismiss the applicant.

### **6.2.2. Contract of Employment**

Before any new contract of employment or any contract extension is made the Director of the institute has to be informed with the contract information sheet.

The sheet is filled in by the Human Resources Management team and contains the name of the new employee as well as a short justification why this person should be hired respectively why this contract should be extended. Furthermore the name of the unit, in which this employee will work, is mentioned. This sheet has to be signed by the Unit Leader (as the salary is paid by this budget) and the Vice-Director of the institute (she acknowledges and approves the employment).

### **6.2.3. Employee Project Reassignment Process**

Every time a Unit Leader expresses the need to reassign an employee from a project to another, a meeting is required to discuss and decide about the reassignment. The meeting should involve:

- A representative from Finance Management team;
- A representative from Human Resources Management team;
- The Unit Leader of the reassigned person.

The output of the meeting is a written document signed by all the three parties that contains the final agreed decision about the reassignment. The document is archived by the Human Resource Management team.

### **6.2.4. Holiday Application**

The STI members willing to apply for holidays must send an email to:

- The responsible unit leader for unit members
- The Vice-Director for unit leaders
- The Director for Vice-Director

with the subject: "Request: Applicant's Name" and cc: [holiday@sti2.at](mailto:holiday@sti2.at).

The E-mail should contain the following information:

- Start and end date of holiday
- Deputy
- Remaining holidays (please check at the VIS-online University system)

The Unit Leader/Vice-Director/Director has to check, whether holidays will be possible on the requested dates. In case of approval, the unit leader will return the email with the subject: "Approval: Applicant's Name" to the applicant and cc: [holiday@sti2.at](mailto:holiday@sti2.at).

The Human Resources Management team keeps the records of holidays and enters them into the University system on the regular basis. The procedure has to be handed in at least 6 days before the start of the holidays.

#### **6.2.5. Cost Order Approval**

For all general expenses which will incur a Cost Order Approval Form (COA) has to be filled in before the expenses are made. General expenses are for example books or technical equipment. In the form the name of applicant, the description of the item(s) which is (are) going to be ordered and the expected costs have to be filled in. For the approval, the entire Excel file needs to be sent to:

- The responsible unit leader for unit members
- The Vice-Director for unit leaders
- The Director for Vice-Director

with the subject: REQUEST-Name-Item and in cc: [coa@sti2.at](mailto:coa@sti2.at).

In case the item is not paid by the unit, the other unit leader, the Director or his representative (in case of institute's budget) has to co-approve the COA.

The unit leader/Vice-Director/Director will check the costs, the need to buy the item, select a paying project and approve/reject the COA application. In case of approval, she/he will return the entire work book to the applicant and to [coa@sti2.at](mailto:coa@sti2.at) with the subject: APPROVAL-Name-Item.

The same procedure has to be applied to buy books: in this case the approved COA has to be provided to the Institute Management team ([admins@sti2.at](mailto:admins@sti2.at)) that will take care of ordering and registering the book in the library. Once registered the book is first available to the person who requested the COA.

### **6.2.6. Refund of Expenses**

The Refund of Expenses form (ROE) (available at the SharePoint at: <https://portal.sti-innsbruck.at>) has to be filled in if a STI member wants general costs to be refunded. The original bills have to be glued on a sheet of paper and deposited in the specified box together with the approved Cost Order Approval form (COA) and the Refund of Expenses form (ROE).

### **6.2.7. Meeting Application**

For each trip which involves absence from Innsbruck as part of the employment, a Meeting Application Form (eMAR) (available at the SharePoint at: <https://portal.sti-innsbruck.at>) needs to be filled by the applicant. For the approval, the filled DataEntry of eMAR file needs to be sent by email prior to the beginning of the trip to:

- The responsible unit leader for unit members
- The Vice-Director for unit leaders
- The Director for Vice-Director

with the subject: REQUEST: Name-Date of travel and in cc: [emar@sti2.at](mailto:emar@sti2.at)

In case the trip is not paid by the unit, the other unit leader, the Director or his representative (in case of institute's budget) has to co-approve the eMAR.

The eMAR must include a proper estimate of the total costs caused by this trip.

The trip has to be planned as early as possible in order to reduce air fares and allow for time to process the form. In case the exact cost of the flight or the accommodation is not yet known, estimation is sufficient.

The meeting application form has the purpose to ensure that the Human Resources Management is aware of the absence and to ensure that unit leaders check for the necessity and appropriateness of the travel and its costs.

The unit leader/Vice-Director/Director will check the STI Innsbruck travel guidelines, select a paying project and approve/reject travel application. In case of approval, she/he will return the entire work book to you and to [emar@sti2.at](mailto:emar@sti2.at) with the Subject APPROVAL Name-Date of travel. If the trip should be paid out of a project managed by a different unit or from the institute's budget, the unit leader should forward the eMAR for a second approval to the responsible unit leader or Director/Vice Director.

### **6.2.8. Travel Refund**

To receive the refund of the expenses incurred in connection with business travels, the applicant needs to fill out the Travel Refund part of eMAR workbook (available at the SharePoint at: <https://portal.sti-innsbruck.at>) and next send the entire eMAR to [emar@sti2.at](mailto:emar@sti2.at). The printed version including the "Calculation Table" needs to be submitted together with the travel original receipts into the Travel Refund inbox. If necessary credit card statements and justifications for taxis have to be submitted as well. Once the travel applicant has submitted the refund documents, this information is typed in to the VIS Online system by the management team. The VIS Online system generates a second refund form, which needs to be SIGNED by the travel applicant prior to being sent to the HR department of the university. Unsigned forms, or forms accompanied by confirmation emails sent by the applicant, are unfortunately not accepted by the university administration.

The Travel Refund form and the receipts are checked by the Financial Management and if accepted the refund is next processed by the Financial Officer and the University. If not accepted, the refund is returned to the applicant's inbox.

To avoid unnecessary delays in the process travel applicants will be informed by the management team once the VIS Online refund forms are ready to be signed.

### **6.2.9. Timesheets collecting**

STI employee fills out timesheet on a daily basis. At the end of the month, he/she prints, dates, signs and hands it over to his/her Unit Leader or superior for authorization. Every three months the Unit Leader checks the correctness of Timesheets with respect to amount of weekly hours and accounting projects. Once approved, the Unit Leader dates, signs and hands the timesheets over to the Finance Management team. Finally, the Finance Management team checks for accordance with project reporting. In case of incorrectness, the timesheet is returned to the employee and the workflow restarts.

### **6.2.10. Generation of monthly Budget Summary Report**

The monthly Budget Summary reports is generated in an Excel format file in which the monthly figures are keyed in manually and are issued from individual project costs monthly tables. The workflow is detailed as follows:

1. The university central financial department ('Quaestur') provides STI financial department with the monthly list of salaries. STI financial department filters/sorts the list by employee and project. This monthly personnel costs list is then added to the other monthly costs, like travel, durable equipment, consumables, etc. This monthly costs list is the basis of the Budget Summary Report.

2. The Excel monthly cost list is sorted by project / cost category / activity and is then used to generate the individual project costs monthly tables. The project costs monthly tables give an overview of the costs incurred in each project on a monthly basis and provide accumulative cost figures since the start of the project. Each cost shows:

- gross amount
- VAT amount: AT VAT incurred in Austria and other VAT incurred abroad
- Net amount

3. The accumulative figures of the project costs monthly tables are keyed in the Monthly Budget Summary Report. The Monthly Budget Summary Report includes 5 main Excel worksheets:

- monthly project accumulative figures sheet (1)
- cash flow sheet (2)
- incoming payments sheet (3)
- annual budget sheet (4)
- 5-years budget / costs overview sheet (5)

The monthly project figures are keyed in sheets (1) and (4). The budget/costs overview sheet (5) is linked and takes over the figures from the annual budget sheet (4) automatically.

All incoming payments from funding institutions (EU, FFG) are keyed in the incoming payments sheet (3). The cash flow sheet (2) is linked and takes over the figures from the incoming payment sheet (3).

4. An electronic version of the Monthly Budget Summary Report is emailed to the Institute Director and Vice-Director for their review and budget decisions

5. The Institute Director communicates the budget/costs changes to the Financial Officer in a monthly financial meeting.

#### **6.2.11. Invited Talks Organization**

To organize an Invited Talk each unit member needs the approval of his unit leader and of the Vice-Director, also for the foreseen expenses (e.g., lunches, hotels ...) with a draft estimation of them. To request the approval, a draft of the talk organization has to be sent by email to the unit leader, including: profile of the guest, title of the talk, abstract, motivation for the talk (possible hiring, relevance of the topic for STI researcher, possible cooperations).

The unit leader evaluates the talk proposal and decides to approve or reject it. In case she/he accepts it, she/he forwards the talk proposal (by email with cc the original host) to the Vice-Director who takes the final decision on the organization of the talk.

The unit leader or the inviting unit member will be the official host of the Invited Talk. He will have to organize the talk considering his own availability and ensuring that the period select will allow most of STI members to participate.

The presence of the host during the Invited Talk is compulsory, if the host cannot be present during the Invited Talk, the talk cannot be organized. The host will act as chair during the Invited Talk, taking care that everything is settled for the presentation and introducing the talk to the audience. The host will take care of the guest and support him during his stay at STI.

Once obtained the approval of the Vice-Director, the host has to inform by email the Institute Management team that will organize the reservation for the room for the talk and will inform all the STI members regarding the date/time/abstract/information about the person who gives the talk.

#### **6.2.12. STI Library**

The STI Library contains books, journals and proceedings that can be checked out by STI employees. To be able to manage the library publications, the users and the borrowing and checking out of publications, we use the STI Library System.

The system is managed by one or more administrators who add and change publications to/in the library database. Each STI member is a user in the library system and can use it to search for books, borrow them out and return them.

By default a publication can be checked out for 28 days; after this period a reminder email (with a reminder to bring the publication back to the library) is sent to the user. This default behavior can be changed by the administrator.

The well-defined process of checking out a library book at STI is:

2. The user searches for a publication in one of two search modes: a simple search or an (advanced) expert search.
3. By clicking on an item in the list of search results, the user gets detailed information about this item.
  - If the publication is available in the library, it can be borrowed from this mask. After having borrowed the book in the system, the user can check it out from the library.
  - If the publication is not available in the library, the user sees who has currently borrowed the book, and when it is due to be returned.
4. After 28 days (this time span can be extended by need) the user gets an email that reminds him to bring the book back to the library.
5. When the user brings a book back to the library, he needs to afterwards return it in the library system.

### **6.2.13. Welcome procedure**

It is of vital importance to properly welcome any new employer and visiting researcher student in order to immediately make him/her feel part of the STI Innsbruck team. The persons in charge for the welcome are first of all the Institute Management team and the unit leader of the receiving research unit.

The Institute Management and Human Resource Management team are responsible to provide administrative and informative support to the newcomers, before their arrival and at their arrival.

In particular:

- Preparation of any required document (e.g., invitation letters, documents for visa requests, ...)

- Assistance in finding an accommodation:
  - providing adequate contacts for students, junior researcher, junior scientists and visiting scientists and researchers
- Assistance to open a bank account (if needed)
- Assign him/her a desk
- Assistance for Austrian permits
- Providing the new comer with the Management Plan and the Research Plan
- Explaining him/her, STI Innsbruck organization chart, procedures and providing him/her with data sources for the above mentioned information.
- Organization of a meeting of the new comers with the Director of the Institute or Unit Leader or Vice-Director
- Organization of a welcoming event, to allow the new comer to friendly familiarize with the other members of STI Innsbruck
- Put him/her in contact with the Technical Management team for:
  - Providing work instruments
  - Registration in the STI domain to access secured resources
  - Providing him a typo3 account for filling STI web site pages

The unit leader is responsible to welcome the new member within his/her research unit.

In particular:

- Explaining him/her the unit organization and objectives
- Discuss with him about his/her tasks within the research unit
- Providing him a “buddy” responsible to take care of him/her for the first period of his/her stay in order to ensure that he feels comfortable within the workplace and in general in Innsbruck
- Organizing a research unit welcoming event to give the chance to the new comer to socialize with all the unit members
- Ensure that new comer does the task assigned to him

#### **6.2.14. Web Site Review Process**

Every month the Institute Management is in charge of checking contents and links of the STI Innsbruck Web Site to ensure that everything is working correctly and that the contents are up-to-date. The output of the review is a document structured in sections reflecting the Web site structure. The document is submitted for approval and discussion

to the directors. Once the directors' review of the document is done, the document is forwarded to people responsible to update the Web site. Technical flows are reported to the Webmaster of STI Innsbruck, while contents flows are reported to the person in charge as defined in APPENDIX 5.

### **6.2.15. Technical Report Review Process**

The responsible of the review process for STI Innsbruck internal technical reports (TR) is the Vice-Director. The objective of the review process is to assess the quality of the published material in order to maintain a high profile in STI scientific achievements.

1. When a STI Innsbruck member wants to prepare a new technical report, first he has to send an abstract to the Vice-Director. The Vice-Director evaluates the appropriateness of the abstract in terms of STI Innsbruck objectives and possible impacts on the current state-of-the-art. In case the Vice-Director is not comfortable with the TR topic, she can rely on other members of the STI Innsbruck team to evaluate it.
2. If the Vice-Director approves the abstract, the author can proceed with the preparation of the deliverable.
3. When the TR is completed, the author submits it to the Vice-Director, which performs a first evaluation of the quality of the technical report. If his initial evaluation is positive, the Vice-Director nominates 2 reviewers with expertise on the area of the TR.
4. Reviewers complete the evaluation of the submitted TR according to the review template and decide whether the TR is compliant with STI quality requirements. In case not, the TR is definitively refused, the author cannot resubmit it before than 6 months and changing it in more than 60% of its content.
5. In case the TR is approved, the author should apply the changes requested by the reviewers.
6. Reviewers and Vice-Director give the final approval to the TR ensuring that changes requested have been applied.
7. Extended versions of publication accepted in high profile international conferences (WWW, ISWC, ESWC) and journals (ACM and IEEE Transactions) can be automatically approved as TR.

Templates for the TR and for the review are available on sharepoint (<http://portal.sti-innsbruck.at>).

## **APPENDIX 1. Authoritative Responsibility**

### § 27. Authoritative Responsibility

Paragraph 1, Paragraph 2, Paragraph 3, Paragraph 4, Paragraph 5,

(1) Every Director of an organization is authorized - in the name of the University, and associated with the University - to the following duties and responsibilities:

1. Gratuitous acquirement in accord to legal public rights.
2. Reception of promotions from other legal entities.
3. Establishment of contracts pertaining to the completion of scientific or artistic work, as well as other relevant investigations or discoveries, as long as they contribute to scientific research (i.e. the development and establishment of the particular art or scientific field).
4. Accomplishment of nationally authorized technical and consultant tests and activities, as long as the University recognizes the national authorization organization and/or title.
5. The acquisition of fortunes and rights, which are acquired via legal transactions in accordance with Sections 1-4, and fulfill the overall goals and purposes of the organization.

If these authorizations are abused, they can be revoked by the Rectorate.

(2) Everyone affiliated with the University (including those contracted in accordance with Paragraph 1 Z 3) and entrusted with responsibility (project chief or project manager) has to be authorized to conduct the necessary legal and financial transactions in the context of the budget from the present contract. These authorizations are to be disclosed in the declaration of the university.

(3) Reimbursement of university personnel and materials required by third parties (Paragraph 1 Z 3, and 4) is to be carried out to the university. The Rectorate will decide how these reimbursements will take place.

(4) Those receiving official third-party funds, due to of activities compliant with Paragraph 1, are, if no purposeful dedication is declared, to use said funds for purposes of the organization of the university the authorized employee is assigned to. The fulfillment of obligations of the university, as defined as legal transactions in accordance with

Paragraph 1, is the primary means to be consulted. These obligations serve in fundamental defining the dedicated purpose of the concerned organization.

(5) In accordance with Paragraph 1, entitled, or in accordance with Paragraph 2, authorized university members have informed the Rectorate about the execution of any legal transactions realized by them.

## **APPENDIX 2. Institute Advisory Council**

§ 11. (1) The Director of the institute can in a similar way - as in case of the election of faculty councils (§ 10) – setup an Institute Advisory Council with the size, composition and term of office mentioned in §10. The purpose of the Institute Advisory Council is to advise the Director of the institute. Additionally, the Director is obliged to call the Institute Advisory Council regularly (at least once in each term) into consultations. If there is only one University professor employed in the institute, each group listed in § 10 exp. 1 is represented by one member in the Institute Advisory Council; the University professor disposes of two votes.

(2) If there is no Institute Advisory Council established these tasks are administered by the Institute Assembly. The Institute Assembly consists of all the members of the institute (with exception of the Director); The Students Union of the University Innsbruck may delegate representatives to the Institute Assembly (according to the regulations of the Students Union law 1998) from at least one representative up to a third of the number of the institute scientific personnel (§ 94 exp. 2 UG 2002). If there is no elected chairman the Institute's Assembly is called and lead by the senior University professor. If there is no University professor in the Institute Assembly this task is due to the senior scientific staff member.

(3) The Director of the institute cannot be a member of the Institute Advisory Council or the Institute Assembly.

## APPENDIX 3. Steering Committee, Working Groups and Units Composition

### A3.1 Steering Committee

| Member         | Role                       |
|----------------|----------------------------|
| Dieter Fensel  | Director                   |
| Elena Simperl  | Vice-Director (Chair)      |
| Barry Bishop   | IRIS unit leader           |
| Martin Hepp    | SEBIS unit leader          |
| Federico Facca | SEE unit leader            |
| Thomas Strang  | UbiServ unit leader        |
| Mick Kerrigan  | Technical Task Force Chair |
| Jacek Kopecky  | Invited member             |

### A3.2 Working Groups

| Working Group                              | Website  | Working Group Participant (Leader) |
|--|--|------------------------------------|
| Conceptual Models for Services (CMS)       | <a href="http://cms-wg.sti2.org/home/">http://cms-wg.sti2.org/home/</a>  | Tomas Vitvar (L)                   |
| Semantic Execution Environment (OASIS SEE) | <a href="http://oasis-open.org/committees/tc_home.php?wg_abbrev=semantic-ex">oasis-open.org/committees/tc_home.php?wg_abbrev=semantic-ex</a> | Michal Zaremba (L)                 |
| Web Service Modeling Language (WSML)       | <a href="http://www.wsmo.org/wsml/">http://www.wsmo.org/wsml/</a>  | Nathalie Steinmetz (L)             |
| Rule Interchange Format Working Group      | <a href="http://www.w3.org/2005/rules/wiki/RIF_Working_Group">http://www.w3.org/2005/rules/wiki/RIF_Working_Group</a>                        | Barry Bishop<br>Holger Lausen      |

### A3.3 Research Units

| Research Unit                                       | Leader         | Website   |
|---|----------------|---|
| Intelligent Reasoning for Integrated Systems (IRIS) | Barry Bishop   | <a href="http://iris.deri.at/">http://iris.deri.at/</a>                     |
| Business Information Systems (SEBIS)                | Martin Hepp    | <a href="http://sebis.sti-innsbruck.at/">http://sebis.sti-innsbruck.at/</a> |
| Semantic Execution Environment (SEE)                | Federico Facca | <a href="http://see.sti-innsbruck.at/">http://see.sti-innsbruck.at/</a>     |
| Science of Semantics (SOS)                          | Elena Simperl  | <a href="http://sos.sti-innsbruck.at/">http://sos.sti-innsbruck.at/</a>     |
| Ubiquitous Services (UbiServ)                       | Thomas Strang  |   |

### A3.4 Teaching Unit

| Person             | University Position | Role  |
|--------------------|---------------------|---|
| Elena Simperl      | K1                  | Chair<br>Graduate Studies<br>Supervisor and Teaching member |
| Katharina Siorpaes | -                   | Deputy<br>Undergraduate Studies<br>Supervisor               |
| Dieter Fensel      | Professor           | Teaching member   |
| Martin Hepp        | Professor           | Teaching member   |
| Thomas Strang      | Professor           | Teaching member   |
| Federico M. Facca  | K1                  | Teaching member   |
| Reto Krummenacher  | K2                  | Teaching member   |
| Dumitru Roman      | K2                  | Teaching member   |
| Francois Scharffe  | K2                  | Teaching member   |
| Ioan Toma          | K2                  | Teaching member   |

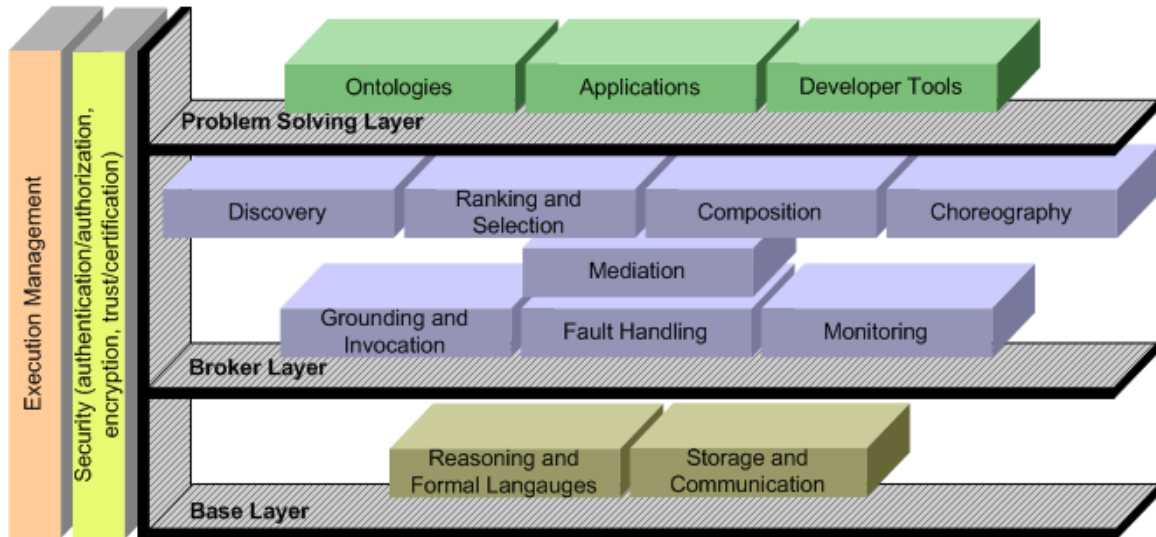
### A3.5 Teaching Responsibilities

| Person              | Course                                     |
|---------------------|--|
| Elena Simperl       | SS Research Seminar<br>WS Research Seminar |
| Federico M. Facca   | Semantic Web Services                      |
| K1 (to be assigned) | Semantic Web<br>Web Engineering            |
| K2 (to be assigned) | Semantic Web Services                      |
| K2 (to be assigned) | SS Master Seminar                          |
| K2 (to be assigned) | WS Master Seminar                          |
| K2 (to be assigned) | Bachelor Seminar                           |

## APPENDIX 4. Technical Task Force Objectives and Composition

### A4.1 Technical Task Force Objectives

Current Technical Task Force objectives are defined around the WSMX prototype. The following picture summarizes them.



### A4.2 Technical Task Force Composition

| Task Force               | Leader             | Unit |
|--------------------------|--------------------|------|
| Task Force Chair         | Mick Kerrigan      | SOS  |
| Ontologies               | Katharina Siorpaes | SOS  |
| Applications             | Michal Zaremba     | SEE  |
| Developer tools          | Mick Kerrigan      | SOS  |
| Discovery                | Nathalie Steinmetz | IRIS |
| Ranking and Selection    | Ioan Toma          | IRIS |
| Composition              | James Scicluna     | SEE  |
| Choreography             | Dumitru Roman      | IRIS |
| Mediation                | Francois Scharffe  | IRIS |
| Grounding and Invocation | Jacek Kopecky      | SEE  |

|                                |                   |      |
|--------------------------------|-------------------|------|
| Reasoning and Formal Languages | Barry Bishop      | IRIS |
| Storage and Communication      | Reto Kruppenacher | SOS  |
| Execution Management           | Federico M. Facca | SEE  |
| Monitoring                     | Srdjan Komazec    | SEE  |

## APPENDIX 5. Web Site Responsibilities

| Web Page  | Responsible        |
|---|--------------------|
| About   | Dieter Fensel      |
| About/Team  | Birgit Leiter      |
| About/Team/Archive                                    | Dieter Fensel      |
| About/Cooperation Partners                            | Alice Carpentier   |
| About/Cooperation Partners/all subpages               | Alice Carpentier   |
| About/Sponsors  | Alice Carpentier   |
| About/Contact   | Birgit Leiter      |
| About/Contact/all subpages                            | Birgit Leiter      |
| About/Jobs  | Birgit Leiter      |
| About/Information for Incomings                       | Birgit Leiter      |
| About/Mailinglists                                    | David Peer         |
| Research  | Dieter Fensel      |
| Research/Research Units                               | Elena Simperl      |
| Research/Research Units/Archive                       | Elena Simperl      |
| Research/Projects                                     | Alice Carpentier   |
| Research/Projects/Archive                             | Alice Carpentier   |
| Research/Working Groups                               | Ilona Zaremba      |
| Research/Working Groups/Archive                       | Ilona Zaremba      |
| Research/Events                                       | Ilona Zaremba      |
| Research/Events/Archive                               | Ilona Zaremba      |
| Teaching  | Katharina Siorpaes |
| Teaching/all subpages                                 | Katharina Siorpaes |
| Results   | Dieter Fensel      |
| Results/Publications                                  | Ilona Zaremba      |
| Results/Publications/all subpages except Deliverables | Ilona Zaremba      |
| Results/Publications/Deliverables                     | Alice Carpentier   |
| Results/Tools   | Mick Kerrigan      |
| Results/Tools/all subpages except Ontologies          | Mick Kerrigan      |
| Results/Tools/Ontologies                              | Katharina Siorpaes |
| Results/Press   | Carmen Brenner     |

|                             |                |
|-----------------------------|----------------|
| Results/Press/ all subpages | Carmen Brenner |
| Results/SpinOff             | Michal Zaremba |

## APPENDIX 6. Financial Management Tasks

| Tasks   | Responsible                        |
|---|------------------------------------|
| <b>Bookkeeping</b>  | Responsible:<br>Brigitte Atzlinger |
| Processing and keeping records of invoices  |                                    |
| Writing Invoices to external companies  |                                    |
| Administration of petty cash  |                                    |
| Keeping track of VIS-online payments and aligning information with STI records  |                                    |
| Handling of incoming payment reminders  |                                    |
| Collecting of signatures and funding sources information (project name, project costs category)   |                                    |
| Reconciliation of STI costs records with the university central SAP system  |                                    |
| Calculation and deduction of VAT non-eligible to the EC   |                                    |
| <b>Budgeting/Controlling</b>  |                                    |
| Provision of the monthly internal budget report 'Monthly Budget Summary' to the Institute Director  |                                    |
| Provision of the monthly cash flow report to the Institute Director   |                                    |
| Provision of the annual costs projection vs. Budget report to the Institute Director on a monthly basis   |                                    |
| Provision of a 5-years budget overview report to the Institute Director   |                                    |
| Provision of monthly internal budget reports to STI Unit Leaders  |                                    |
| Implementation of the Institute Director budget decisions regarding resources allocation to projects, coordinating changes with the Human Resources Department. |                                    |
| Implementation of the Unit Leaders budget decisions regarding resources allocation to projects, coordinating changes with the Human Resources Department        |                                    |

|  |                                      |
|--|--------------------------------------|
| <b>Project Acquisition support</b>   | Responsible:<br>Leonarda Haid-Garcia |
| Generating and negotiating budget plans in new projects within the project Consortium  |                                      |
| Providing financial administrative support to the Consortium for the draft proposal of EU and Austrian projects  |                                      |
| Upload of the budget forms of EU proposals on EPSS   |                                      |
| <b>Project Reporting</b>   | Responsible:<br>Leonarda Haid-Garcia |
| <b>EU projects</b>   |                                      |
| Providing project effort spending information to project leaders   |                                      |
| Generation, collection and submission of annual cost statements to the EU  |                                      |
| Leading and supporting auditing activities of EU projects, coordination with Auditor and Projekt Service Buero for the generation of audit certificates  |                                      |
| Generation of EU project yearly management report  |                                      |
| Generation of EU Summary Financial Report  |                                      |
| Generation of EU Budgeted vs. Actual costs report  |                                      |
| Generation of the Community Contribution Distribution report   |                                      |
| Liaison with the EU on behalf of the project Consortium:<br><ul style="list-style-type: none"> <li>(1) distribution of EU financial analysis to project Consortium</li> <li>(2) collection of EU requested additional items</li> </ul> |                                      |
| Preparation of bank transfers of EU pre-financing, annual and final payments to the project Consortium   |                                      |

|   |                                      |
|---|--------------------------------------|
| <b>Austrian projects</b>  | Responsible:<br>Leonarda Haid-Garcia |
| Generation, collection and submission of 6-months 'Zwischenabrechnung' to FFG on behalf of the project Consortium   |                                      |
| Provision of financial input for the 6-months FFG 'Zwischenbericht'   |                                      |
| Preparation of bank transfers of FFG pre-financing and 'Zwischenzahlungen' annual and final payments to the project Consortium<br>Generation of EU Summary Financial Report |                                      |
| Generation of EU Budgeted vs. Actual costs report   |                                      |
| Generation of the Community Contribution Distribution report  |                                      |
| Liaison with the EU on behalf of the project Consortium:<br>(3) distribution of EU financial analysis to project Consortium<br>collection of EU requested additional items  |                                      |
| Preparation of bank transfers of EU pre-financing, annual and final payments to the project Consortium  |                                      |
| Generation of 'Zusatzfinanzierung' application and 'Abrechnung' to recover VAT and durable equipment depreciation costs not chargeable to the EU.                           |                                      |
| Generation of 'Anbahnungsfinanzierung' application and 'Abrechnung' to recover costs spent at the proposal stage of EU project, but not funded by the EU.                   | Responsible:<br>Sabrina Scheiber     |

## APPENDIX 7. Project Management

### A7.1 Project Management Tasks

| Function                                 | Task  | Responsible                      |
|--|---|----------------------------------|
| Project coordination                     | Communication with EC   | Responsible:<br>Alice Carpentier |
| Project coordination                     | Submission of contractual documents   |                                  |
| Project coordination                     | Monitoring of effort spending<br>(person*months)  |                                  |
| Project coordination                     | Maintenance of Quality Assurance<br>Procedure (if applicable)                                 |                                  |
| Project coordination                     | Maintenance of Risk Management<br>Analysis (if applicable)                                    |                                  |
| Project coordination                     | Organization of board meetings,<br>participation, minute taking                               |                                  |
| Project coordination                     | Administrative management according to<br>WP requirements                                     |                                  |
| Project coordination                     | Administration/moderation of<br>management mailing lists                                      |                                  |
| Project partner/<br>Project coordination | Drittmitteldatenbank: filling project<br>information in the university database               |                                  |
| Project partner                          | Provision of project-specific<br>administrative information at the end of<br>reporting period |                                  |
| Proposal<br>Management                   | Organization of preparation meetings,<br>telephone conferences, etc.                          |                                  |
| Proposal<br>Management                   | Setting up and moderating mailing lists<br>for discussion between partners                    |                                  |
| Proposal<br>Management                   | Registering EU proposals on EPSS  |                                  |

|                                |  |   |
|--------------------------------|--|---|
| Proposal Management            | Coordinating input from partners for the draft proposal  |   |
| Proposal Management            | Providing administrative information for the draft proposal  |   |
| Proposal Management            | Communication with support institutions  |   |
| Proposal Management            | Coordinating receipt of legal documents from partners  |   |
| Proposal Management            | Submission to receiving institution according to the deadlines   |   |
| Proposal Management            | Communication with receiving institution, e.g. request for further information, documents, and conducting any necessary follow-up action |   |
| Proposal Management            | Filing of all relevant documentation, e.g. signed originals, etc.  |   |
| Proposal Management            | Review and submission of Consortium Agreement to the Legal Department of the University  |   |
| Project Responsible Management | Upload all relevant project documentation to STI Innsbruck SharePoint  | Responsible:<br>Project Responsible<br>(see A7.2) |
| Project Responsible Management | Upload a short project description, project website link, contact person to STI Innsbruck website  |   |
| Project Responsible Management | Upload all project partners to STI Innsbruck website   |   |
| Project Responsible Management | Continuous maintenance of the items above.   |   |
| Project Responsible Management | Check compliance of Project Responsible with internal obligations.   | Responsible:<br>Alice Carpentier                  |

## A7.2 Project Leaderships

| Project                 | Website   | Project Leader    | Unit  |
|-------------------------|---|-------------------|-------|
| LarKC                   | <a href="http://www.larkc.eu/">http://www.larkc.eu/</a>                       | Federico Facca    | IRIS  |
| MUSING                  | <a href="http://www.musing-project.eu/">http://www.musing-project.eu/</a>     | Christian Leibold |       |
| SOA4ALL <sub>IRIS</sub> | <a href="http://www.soa4all.org/">http://www.soa4all.org/</a>                 | Elena Simperl     |       |
| SUPER <sub>IRIS</sub>   | <a href="http://ip-super.org/">http://ip-super.org/</a>                       | Michal Zaremba    |       |
| myOntology              | <a href="http://www.myontology.org/">http://www.myontology.org/</a>           | Martin Hepp       | SEBIS |
| COIN                    | <a href="http://www.coin-ip.eu/">http://www.coin-ip.eu/</a>                   | Federico Facca    | SEE   |
| SemanticGov             | <a href="http://www.semantic-gov.org/">http://www.semantic-gov.org/</a>       | Federico Facca    |       |
| SHAPE                   | <a href="http://www.shape-project.eu/">http://www.shape-project.eu/</a>       | Federico Facca    |       |
| SUPER <sub>SEE</sub>    | <a href="http://ip-super.org/">http://ip-super.org/</a>                       | Michal Zaremba    |       |
| SWING                   | <a href="http://www.swing-project.org/">http://www.swing-project.org/</a>     | Dumitru Roman     |       |
| ACTIVE                  | <a href="http://www.active-project.eu/">http://www.active-project.eu/</a>     | Elena Simperl     | SOS   |
| Insemtives              | <a href="http://insemtives.org/">http://insemtives.org/</a>                   | Elena Simperl     |       |
| SALERO                  | <a href="http://www.salero.info/">http://www.salero.info/</a>                 | Elena Simperl     |       |
| SARID                   | <a href="http://sarid.sti2.org/">http://sarid.sti2.org/</a>                   | Elena Simperl     |       |
| SARIT                   | <a href="http://sarit.sti2.org/">http://sarit.sti2.org/</a>                   | Elena Simperl     |       |
| Service Web 3.0         | <a href="http://www.serviceweb30.eu/cms/">http://www.serviceweb30.eu/cms/</a> | Elena Simperl     |       |
| TripCom                 | <a href="http://www.tripcom.org/">http://www.tripcom.org/</a>                 | Elena Simperl     |       |

## APPENDIX 8. Human Resources Management Tasks

| Task   | Responsible                                    |
|--|--|
| <b>General Tasks</b>   |  |
| Support in visa issues   | Responsible:<br>Birgit Leiter<br>Manuela Resch |
| Advice on finding accommodation in Innsbruck   |  |
| Provision of keycard, keys, inbox  |  |
| Provision of a seating plan – desk availability including door signs, telephone codes, technical equipment etc.  |  |
| Take photo and add it on website   |  |
| Keep track of student hours  |  |
| Up-date of holiday & meeting list, birthday list, telephone list which are available on the STI sharepoint   |  |
| <b>Contracts</b>   |  |
| Support in provision of existing and new working contracts and forwarding these data base with the “Personaldatenblatt” to the HR department of the University                                   | Responsible:<br>Birgit Leiter<br>Manuela Resch |
| Informing the University of changes of any contract regarding salaries, projects, working hours, duration etc.   |  |
| Provision of support regarding “Nebentätigkeiten” and forwarding the information to the HR department of the University  |  |
| <b>Personal Folders</b>  |  |
| Keeping personal folders up-to-date by collecting and filing of all necessary information and documents such as copies of contracts, CV, job description, holiday requests, sickness notes, etc. | Responsible:<br>Birgit Leiter<br>Manuela Resch |

|   |  |
|---|--|
| <b>Recruitment</b>  |  |
| Send job ads to various mailing lists   | Responsible:<br>Birgit Leiter<br>Manuela Resch |
| Organisation of open position announcements in various newspapers or internet platforms |  |
| Add job ads to the STI website  |  |
| Keep track of applications (print & store)  |  |
| Send rejections   |  |
| Send invitations to give an interview in Innsbruck                                      |  |
| Announce the interview (+ reminder)   |  |
| Book room for job interview   |  |
| Support applicant (Welcome Procedure)   |  |
| <b>Man-per-month list</b>   |  |
| Update and control mpm list regarding projects  | Responsible:<br>Birgit Leiter<br>Manuela Resch |
| Update and control mpm list regarding salary  |  |
| Enter new employees and contract changes in mpm list                                    |  |
| <b>Holidays</b>   |  |
| Entering approved requests in the University system (VIS online)                        | Responsible:<br>Birgit Leiter<br>Manuela Resch |
| Entering in STI holiday & meeting table   |  |
| Print out of request and filing it accordingly  |  |
| Inform people on remaining vacation days  |  |
| Keep track of remaining holidays and remind employees to take holidays                  |  |

|  |  |
|--|--|
| <b>Sick Notes</b>  |  |
| Writing Krankmeldung and forward it to HR department of the University                               | Responsible:<br>Birgit Leiter<br>Manuela Resch |
| Writing Dienstantrittsmeldung and forward it to HR department of the University                      |  |
| Collecting doctor's confirmations and sending it to the HR department of the University              |  |
| <b>Other Issues</b>  |  |
| Preparing of welcome and good-bye presents   | Responsible:<br>Birgit Leiter<br>Manuela Resch |
| In case an employee quits, all timetables must be handed in, the remaining holidays must be consumed |  |
| Return of technical equipment, key card, keys  |  |

## APPENDIX 9. Institute Management Tasks

| Task  | Responsible  |
|---|--|
| <b>Teaching</b>   |  |
| Enter grades in the University System (VIS online)                  | Responsible:<br>Sabrina Scheiber<br>Deputy:<br>Manuela Resch                 |
| Clarify questions regarding exam rules (Prüfungsreferat)            |  |
| Administration of courses and lectures                              |  |
| Printing of exams   |  |
| Reservation of rooms – check availability of rooms (VIS online)     |  |
| <b>Events &amp; Invited Talks</b>                                   |  |
| Organizing catering or reservation of restaurants                   | Responsible:<br>Carina Dengg<br>Birgit Leiter                                |
| Booking rooms   |  |
| Coordination with technical staff                                   |  |
| Support of guest(s)   |  |
| <b>Mail</b>   |  |
| Picking up and distributing of mail                                 | Responsible:<br>Carina Dengg<br>Birgit Leiter<br>Manuela Resch               |
| Bringing mail to the University post office or Austrian post office |  |
| Ordering UPS service  |  |
| <b>Inventory</b>  |  |
| Keep track of location of every single item (furniture)             | Responsible:<br>Carina Dengg<br>Sabrina Scheiber<br>Deputy:<br>Manuela Resch |
| Removal of goods from the inventory list (VIS online)               |  |

|  |  |   |
|--|--|---|
| <b>Library</b>   |  |   |
| Ordering books   | Responsible:<br>Manuela Resch<br>Deputy:<br>Sabrina Scheiber   |   |
| Keeping track of borrowed books from the University library  |  |   |
| Keeping STI library up to date (entering new books, keeping track of borrowed books)   |  |   |
| <b>Ordering goods and monitoring equipment</b>   |  |   |
| Checking equipment (such as office supply, coffee, water and other catering equipment, paper) on a regular basis and order goods accordingly (VIS online)            | Responsible:<br>Carina Dengg<br>Birgit Leiter<br>Manuela Resch |   |
| Ordering technical equipment on behalf of technical department (VIS online)  |  |   |
| Ordering furniture on demand (VIS online)  |  |   |
| Care of coffee machine   |  |   |
| In case of broken equipment -> contact responsible person (technical staff, caretaker of ICT building, Department of Buildings and Infrastructure of the University) |  |   |
| <b>Forschungsleistungsdokumentation</b>  |  |   |
| Collecting of information from each STI member regarding his/her publications  |  | Responsible:<br>Manuela Resch<br>Sabrina Scheiber |
| Entering of all publications into the University database (FLD – VIS online)   |  |   |

| <b>File Management</b>  |  |
|---|--|
| Management Plan: collecting all necessary information on a day-to-day basis and keeping this document up-to-date (latest version on the STI sharepoint) | Responsible:<br>Carina Dengg<br>Birgit Leiter<br>Manuela Resch<br>Brigitte Atzlinger |
| Research Plan: collecting all necessary information on a day-to-day basis and keeping this document up-to-date (latest version on the STI sharepoint)   |  |
| Update of all STI forms available on the STI sharepoint as well as of any other STI document which is on the sharepoint                                 |  |
| File monthly telephone costs and keep track accordingly   |  |
| Update of holiday & meeting table on a regular basis  |  |

## APPENDIX 10. Secretarial Support Tasks

| Task  | Responsible                                    |
|---|--|
| <b>Administration – support to Institute Director</b>   |  |
| Handling tasks from day to day which are in support of the Director’s tasks: phone calls, correspondence, arrangements, appointments, queries, print outs   | Responsible:<br>Birgit Leiter<br>Manuela Resch |
| Become and remain informed of all business appointments and meetings of the Director so as to be able to be proactive in offering assistance, and reminding the Director of duties and dates when necessary |  |
| Screen correspondence, calls and appointments that do not necessarily need the Director’s direct attention  |  |
| Communicate regularly (daily, if possible) with the Director to give an updated status report   |  |
| Complete travel planning and changing on short notice. Scheduling of the directors business trips   |  |
| Reporting of the Director’s expenses and keep track according to his account  |  |
| First contact point for business partners and other “customers”   |  |
| Taking minutes of meetings of the Director for purposes of record keeping   |  |
| Keeping his publications up-to-date on the STI website  |  |
| Telephone duty: needed in case of emergencies: weekdays from 8:00 am until 6:00 pm  |  |
| Archive all the documents signed by the Director in both hard copy and soft copy so that they can be accessed anytime in case of need.  |  |

|   |                              |
|---|------------------------------|
| <b>Administration – support to Institute Vice-Director</b>  |                              |
| Print outs, copying   | Responsible:<br>Carina Dengg |
| Update of publications on the STI website   |                              |
| Organizing travel arrangements  |                              |
| Filling of refunds, cost order approvals, meeting application forms, ordering books to the University library |                              |
| Handling of teaching issues   |                              |
| Organizing meetings and appointments  |                              |
|   |                              |

## APPENDIX 11. Technical Management Tasks

| Task   | Responsible                                   |
|--|---|
| <b>Technical Management</b>  |   |
| 1st and 2nd level support operating systems on windows   | Responsible:<br>David Peer                    |
| Technical repair of broken hardware  |   |
| Managing and updating the infrastructure on windows  |   |
| Administrative work (university forms, collaboration with external companies in warranty cases, budget planning, documentation, ...) |   |
| 1st and 2nd level support operating systems on Linux   | Responsible:<br>Florian Lechner               |
| Managing and updating the infrastructure on Linux  |   |
| Provide researchers with the technical equipment for their projects  | Responsible:<br>David Peer<br>Florian Lechner |
| Support during conferences, meeting, workshops   |   |
| Technical service for project stuff (websites, accounts ...)   |   |
| Planning, evaluating, testing and ordering hardware and software   |   |
| Provide and support the technical infrastructure   |   |
| Backups  |   |

## **APPENDIX 12. Log of Changes**

- 16/09/2008 Added new travel regulation for shuttle service usage (see Section 6.1.1.3)
- 16/09/2008 Added workflow for Invited Talks organization (see Section 6.2.11)
- 16/09/2008 Added web site review process (see Section 6.2.14)
- 16/09/2008 Added technical reports review process (see Section 6.2.15)
- 01/12/2008 Revised timesheet workflow (see Section 6.2.9)
- 10/12/2008 Book order procedure added in COA (see Section 6.2.5)
- 10/12/2008 Employee obligations added (see Section 6.1.6)