

# INNO-MOB

## Unlocking the potential of Mobility Innovation Ecosystems and Networks

### D1.1 Quality Assurance Plan and Risk Management Plan

(Version 1.0)

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**Contents**

Contents..... 4

List of Tables..... 4

Abbreviations ..... 4

Executive Summary ..... 5

1 Introduction ..... 6

2 Quality Assurance Plan ..... 7

    2.1 Purpose & scope..... 7

    2.2 Responsibilities for Quality Assurance ..... 7

    2.3 Quality Criteria ..... 7

    2.4 Review procedure ..... 8

    2.5 Deliverable quality control process..... 9

    2.6 Internal reporting ..... 9

    2.7 Corrective Actions .....10

3 Risk Management Plan .....10

References.....12

Annex I – Deliverable Template.....13

**List of Tables**

Table 1: Critical Implementation risks and mitigation actions .....11

**Abbreviations**

- EC           European Commission
- HE           Horizon Europe EU Research and Innovation Program
- WP           Work Package

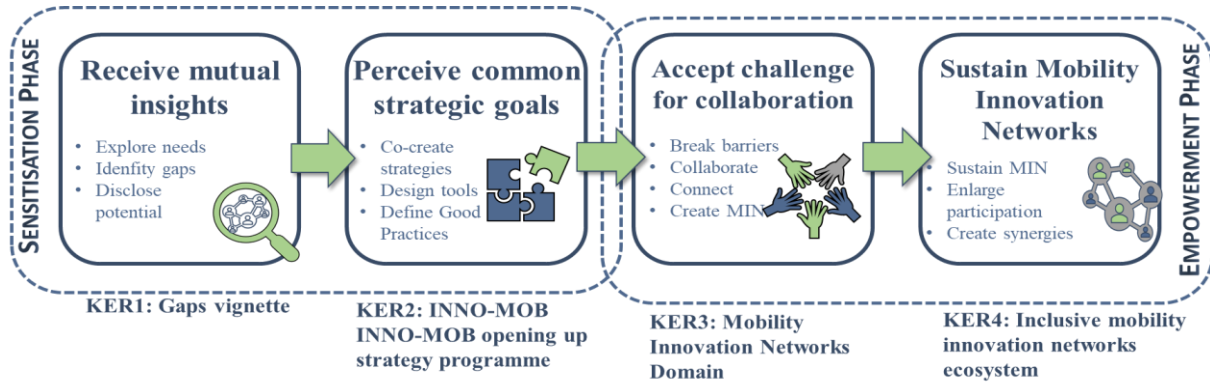
## **Executive Summary**

It is of imperative importance to ensure that the deliverables are submitted on a timely manner but most importantly, to the required quality level. This document establishes the Quality Assurance Plan and Risk Management Plan for the INNO-MOB project. It has been implemented by Coventry University Services Project Coordination Team with the review from INNO-MOB Work Package Leaders and it will be used as an implementation guide from all INNO-MOB team members.

The document is divided in two parts. The Quality Assurance Plan describes the processes employed to control the quality of the project activities, particularly the internal procedure of deliverables quality assurance. The Risk Management Plan presents the possible risks the project may incur and the strategies to adopt in order to minimize the possibility of these risks.

# 1 Introduction

The overall objective of INNO-MOB is to reduce the innovation divide between strong and moderate innovators in European territories by increasing the inclusiveness of the existing networks and initiatives. INNO-MOB will base its operating principles on four main blocks of activities: i) exploring the needs of the key innovation stakeholders ii) design, development and implementation of new schemes and collaborations iii) Connect & learn iv) sustain



During this process, the quality of the deliverables and the minimization of risks is of imperative importance. The Quality Assurance Plan and Risk Management Plan is expected to be produced as a deliverable in WP1. This is intended to ensure the smooth progression of the project, the compliance of all parties with the project procedures and, ultimately, the fulfilment of the project objectives.

## 2 Quality Assurance Plan

### 2.1 Purpose & scope

The purpose of the Quality Assurance Plan (QAP) is to ensure that the quality requirements are planned appropriately. It will focus on procedures to control the project activities, particularly the internal procedure of preparation of the deliverables. It will define quality objectives, working method, review process, templates and responsibilities that will be applied on the project.

Therefore, the QAP describes the measures required to ensure the implementation of a quality system, the compliance of deliverables with the grant agreement and a common understanding of roles and responsibilities. The principles at the base of the quality control activities are the 'peer review' of deliverables and the review of processes against quality criteria.

### 2.2 Responsibilities for Quality Assurance

All Consortia Partners have to refer to the QAP when preparing or amending project deliverables, reviewing project deliverables and overseeing the work of third parties.

Overall responsibility for quality lies with the Project Coordinator. It is their role to formulate and agree the QAP, to ensure that the required quality criteria and templates are applied and that appropriate quality reviews of Work Package and deliverable progress are carried out.

The Project Coordinator has the day-to-day responsibility to ensure quality criteria and processes are applied at all parts of the project; has the authority to request progress update on quality; identify any non-conformity and recommend action to Work Package Leaders or any other party; verify and monitor the implementation of any solution; carry out checks or preventative action where a potential deviation is likely to occur.

Work Package Leaders are responsible for the quality of deliverables and milestones. They are responsible for the completion of the tasks in due time and the convening of a peer review to assess compliance against quality criteria. Within WPs, they can request updates on quality and take preventative actions in case of potential deviation from specification.

### 2.3 Quality Criteria

The below set of Quality Criteria are to be applied to all deliverables:

- **Completeness:** reports must correspond with the objectives of the deliverables and demonstrate that the output corresponds with the agreed methodology and scope of the deliverable.
- **Data sufficiency:** statements contained within a report should be supported by appropriate depth of data to be considered a significant and a reliable representation of reality. Consideration should be given to the sampling of sources, interviewees, data sets, etc.

- **Reliability:** statements made within a report should describe the degree to which a set of relationships can, with confidence, be considered to have a casual or other link. Statement should be sufficiently supported by data.
- **Format and accuracy:** a report must correspond with the prescribed format for deliverables and the content should be clear, accurate, comprehensive and grammatically correct.
- **Timing & Sign-off:** a deliverable must be recommended to the Project Coordinator within specified timescales or the author must obtained permission for an extension of the deadline. A deliverable also needs to receive feedback from other contributors and pass through peer review within agreed timescales to have reasonable time for comment/alteration.

The principle responsibility for ensuring a deliverable meets criteria lies with the author(s). However, the WP Leader is responsible for ensuring the principles of the criteria are applied and for reviewing the deliverable before it is recommended for sign-off to the Project Coordinator.

## 2.4 Review procedure

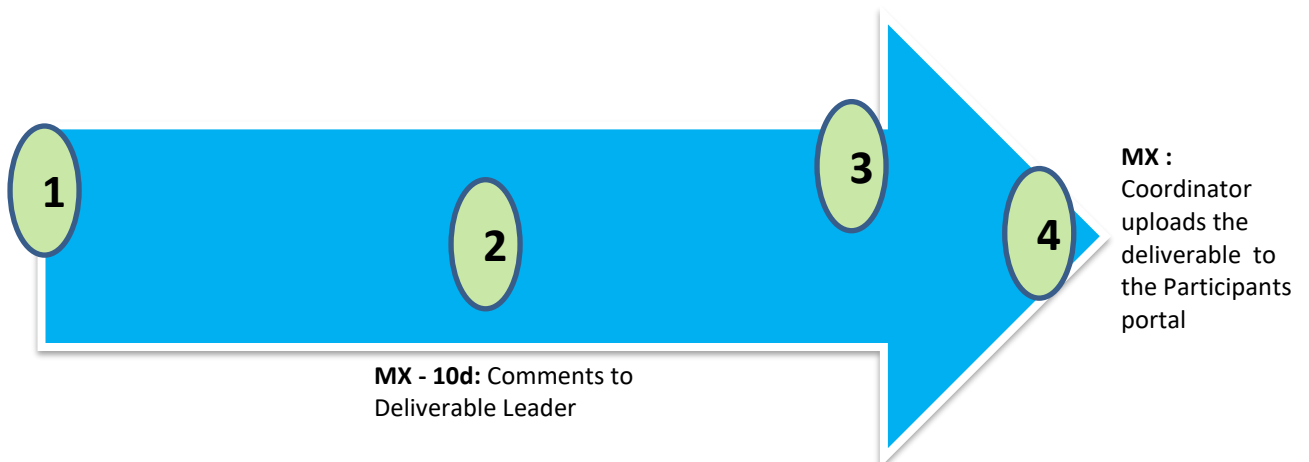
Reports authors should use the above criteria as an ongoing quality guide for the project. Where Partners are concerned about risks to fulfilment of the Quality Criteria, they should escalate the issue to the relevant Task or Work Package Leader. Where there is a concern which relates timing and sign off, this should also be escalated to the Project Coordinator.

Work Package Leaders should convene a 'peer review' to recommend a deliverable to the Project Coordinator. The peer review has the aim to assess the content, quality, structure and layout of the deliverable and when necessary to provide feedback and comments; it should include all the partners involved in the relevant task. The Work Package Leaders have the responsibility to control the deliverable under two different levels: the control of document referencing and the control of the overall quality. The Project Coordinator ultimately has the responsibility for ensuring that all deliverables are controlled effectively.

The diagram below presents the deliverables' review process and deadlines

**MX - 15d:** Deliverable submitted for review to all partners  
Deliverable leader

**MX - 5d:** Final deliverable sent to the coordinator





## 2.5 Deliverable quality control process

A deliverable report in a project aims to provide information concerning the work, its progress and results. Each deliverable report should then carefully include rich content, a clear structure and a professional presentation.

All the deliverables will be produced following a common template provided by the Project Coordinator and agreed among all partners (see Annex 1). The template will be based on MS Word format and uploaded into the on-line repository of INNO-MOB. This template will include a specific cover page with the INNO-MOB logo and key project information. Furthermore, it should include the following:

- a table of contents
- a list of figures and tables
- a list of acronyms
- an executive summary
- the detailed technical progress performed in the task concerned
- a conclusions section
- the annexes (if any)
- a references section

As regards the reference section, at the end of each deliverable there should be a list of all the publications or internet details cited in the document. Both in-text citations and list of references should follow the **Harvard Reference Style** as per below:

- In-text citation of the source in the main body of the document should give the author's surname or the corporate author, the year of publication, and page number if you quote, paraphrase or summarise information on a specific page of the source, e. g. Shah, 2004.
- The List of References at the end of the document should give all the publication or internet details of the sources cited in the correct format, e. g. Shah, P. (2004) *Elisabeth I in the Midlands*. London: Routledge

The font to be used in the deliverable is **Arial 11**. All the deliverables elaborated within the INNO-MOB project should follow a general naming convention for file names, **INNO-MOB Dx.y Title\_vz.w**, where:

- Dx.y – represents the deliverable number ('x' represents the WP number and 'y' the deliverable number within that WP)
- Title – corresponds to the deliverable title
- 'z.w' – corresponds to the version number of the deliverable, starting at 0.1 and the first delivery to EC being 1.0.

## 2.6 Internal reporting

The Project Coordinator will use automated planning and reporting tools to collect information from partner representatives, ensuring project information is always up-to-date and can be reported in a timely and consistent manner. The structure of the project in terms of reporting is set out by the European Commission in the Grant Agreement.

In addition to the EC reporting requirements, each partner has to deliver a 6-month progress short unofficial report to the Project Coordinator. The progress report will specify activity progress and a reference to all deliverables for the reporting period, adding administrative elements and linking up other relevant data to task execution. It will also include some basic information on spending. This informal internal interim progress report is introduced in order to enable the coordinator to identify any major deviations from the initial plan.

### **2.7 Corrective Actions**

Any partner can raise issues related to the general performance and the quality of the work outcome of another partner or an external subcontractor. In this case, an analysis of reports and records needs to be completed in order to determine areas for corrective actions.

The Project Coordinator is responsible for resolving matters of complaint, within their own areas of responsibility. All complaints are to be investigated and corrective action agreed. The Project Coordinator informs all involved for the complaints and the actions being taken. The Project Coordinator is responsible for implementing and recording changes in procedures resulting from corrective actions.

## **3 Risk Management Plan**

Risk is defined as an event that has a probability of occurring and could have either a positive or negative impact on a project should that risk occur. A risk may have one or more causes and, if it occurs, one or more impacts. All projects assume some element of risk and through risk management it is possible to monitor and track those events that have the potential to impact the outcome of the project.

At this point, it is foreseen that the INNO-MOB project will safely realise its expected results. This is also supported by a preliminary risk analysis that identifies the main risks for the project and how they can be mitigated. However, it will be a task of each WP Leader to monitor and update this risk analysis, ensuring that new and emerging risks are identified and planned. The potential risks within the project have been identified as follows:

- Identification of a risk – WP Leader documents and describes the risk
- Determination of the probability of the risk – WP Leader assesses the probability of the risk to occur
- Analysis of the risk – WP Leader and/or Project Coordinator assess how and to which level it may affect the Consortium's capacity to complete the project
- Suggestion of risk mitigation measure – WP Leader and/or Project Coordinator suggest measures to resolve or moderate possible issues resulting from that risk.

The following table represents the possible general risks, their probability and action to be taken in their occurrence:

Description of risk	WP	Proposed risk-mitigation measures
<b>Operational Risks</b>		
Unforeseen external conditions (eg COVID) that may hamper the implementation of the project and the visits (high/low)	ALL	The external conditions will be monitored and additional hybrid & online meetings will be carried out
Failure to recruit a wide network of stakeholders and ecosystems (low/high)	ALL	The consortium will mobilise further the network organisations that is key member of (such as IASP, EBN) which already count thousands of members. All the partners will increase their communication activities. Partners will utilize the EEN too (most of the partners are coordinators of the EEN national networks)
Inconsistent outputs or low quality that will hinder the development and impact of the project (medium/high)	ALL	Protocol development workshop will be held at the Kick Off meeting to agree and implement approaches and procedures that result in consistent and comparable outputs, and foster interaction between the stakeholders. A quality review process will be also established at a very early stage too. Reviews of the protocols will also take place and if needed, also technical meetings
<b>Scientific Risks</b>		
Not enough data from the interviews/survey	WP2	Further interviews and surveys will be carried out. If the response rate is still low, the partners will use dissemination channels and the EEN network to obtain more responses.
Not enough collaborations, investments, interactions made	WP3	The consortium will recruit further members for the MIN through the EEN and other contacts
Not enough members and interactions at the MIN (medium/high)	WP4	The partners will launch a recruitment campaign. All their intermediary organisations will be contacted along with EEN, EBN, IASP members
Low participation at the final event (low/low)	WP5	If needed all the umbrella organisations will be utilized. Also, there will be a heavy dissemination campaign

Table 1: Critical Implementation risks and mitigation actions

## References

Deane, M. (2006) *The Coventry University Guide to Referencing in Harvard Style*. Unpublished booklet. Coventry: Coventry University

## Annex I – Deliverable Template



# INNO-MOB

## Unlocking the potential of Mobility Innovation Ecosystems and Networks

**DX.X title**

(Version X.X)

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AUTHOR(S): Eleni Anoyrkati



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## **Contents**

List of figures

List of Tables

Abbreviations

List of terms

Executive Summary

### 1. Introduction

1.1. The deliverable in the frame of INNO-MOB work structure

1.1.1 The INNO-MOB work structure

1.1.2 Task XX

1.1.3 Interrelations of Task XX with other tasks of the project

### 2. Section 2

2.1 Section 2.1

2.1.1 Section 2.1.1

2.3 Section 2.3

References

Annexes

“Funded by the European Union. Views and opinions expressed are however those of the author(s) only and do not necessarily reflect those of the European Union or the European Innovation Council and SMEs Executive Agency (EISMEA). Neither the European Union nor the granting authority can be held responsible for them.”