

# VISION

**Value and Impact through Synergy, Interaction and  
coOperation of Networks of AI Excellence Centres**

GRANT AGREEMENT NUMBER: 952070

**Deliverable D1.2**

**Quality and Risk Management Plan**

|   |   |
|---|---|
| <b>Project title</b>                          | VISION - Value and Impact through Synergy, Interaction and coOperation of Networks of AI Excellence Centres |
| <b>Grant Agreement number</b>                 | 952070  |
| <b>Funding scheme</b>                         | Horizon 2020  |
| <b>Start date of the project and duration</b> | 1 September 2020, 36 months   |
| <b>Project coordinator name</b>               | ULEI - UNIVERSITEIT LEIDEN  |
| <b>Deliverable number</b>                     | D1.2  |
| <b>Title of the deliverable</b>               | Quality and Risk Management Plan  |
| <b>WP contributing to the deliverable</b>     | WP1 - Project Management  |
| <b>Deliverable type</b>                       | R - Report  |
| <b>Dissemination level</b>                    | Confidential, only for members of the consortium (including the Commission Services)                        |
| <b>Due submission date</b>                    | 31 October 2020   |
| <b>Actual submission date</b>                 | 30 October 2020   |
| <b>Partner(s)/Author(s)</b>                   | PwC, ULEI, other  |
| <b>Internal reviewers</b>                     | ULEI  |

### Disclaimer

This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 952070. This document has been prepared for the European Commission, however, it reflects the views only of the authors, and the Commission cannot be held responsible for any use which may be made of the information contained therein

| History of changes |              |  |   |
|--------------------|--------------|--|---|
| Date               | Version name | Authors  | Comments                                      |
| 6 Oct 2020         | v0.1         | PwC - Giancarlo Senatore, David Brunelleschi, Giovanna Galasso                 | Quality and Risk Management template provided |
| 12 Oct 2020        | v0.2         | ULEI - Wendy Aarsen  | First input on project management section     |
| 21 Oct 2020        | v0.3         | PwC - Alessandro La Rosa, Giovanna Galasso, Costanza Bersani, Serena Vivarelli | First complete draft version                  |
| 26 Oct 2020        | v0.4         | WP Leaders   | Revision and input                            |
| 28 October 2020    | v0.5         | PwC - Giancarlo Senatore, Costanza Bersani, Serena Vivarelli                   | Fine tuning                                   |
| 02 November 2020   | v1.0         |  | Approval of the Executive Board and delivery  |

| Confidentiality   |  |
|---|--|
| Does this report contain <b>confidential</b> information? | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  |
| Is the report <b>restricted</b> to a specific group?      | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/><br><i>If yes, please precise the list of authorised recipients:</i><br>members of the consortium and the Commission Services |

## Table of contents

|   |    |
|---|----|
| Executive summary   | 6  |
| 1 Introduction  | 7  |
| 1.1 Purpose and structure of the document                 | 7  |
| 2 Project management                                      | 8  |
| 2.1 Legal Framework                                       | 8  |
| 2.2 Management structure, roles and responsibilities      | 9  |
| 2.2.1 Governance structure                                | 9  |
| Roles   | 10 |
| 2.2.2 Work Package structure                              | 11 |
| Work Package leaders                                      | 13 |
| 2.3 Management procedures                                 | 13 |
| 2.3.1 Voting  | 13 |
| 2.3.2 Veto rights   | 14 |
| 2.3.3 Conflict resolution                                 | 14 |
| Confidential Information                                  | 14 |
| Misconduct and Fraud                                      | 14 |
| 2.3.4 Internal communication flows, tools and instruments | 15 |
| 2.4 Progress and financial management                     | 15 |
| 3 Quality management                                      | 16 |
| 3.1 Quality Planning                                      | 16 |
| 3.1.1 Meetings  | 16 |
| Steering Committee and Executive Board meetings           | 16 |
| Periodical coordination meetings                          | 17 |
| WP meetings   | 18 |
| 3.1.2 Deliverables  | 18 |
| 3.1.3 Milestones  | 23 |
| 3.1.4 KPIs  | 24 |
| 3.1.5 Communication                                       | 26 |
| Emails  | 26 |
| Shared folder   | 26 |
| Website   | 26 |

## D1.2 Quality and Risk Management Plan

|  |    |
|--|----|
| Social media                               | 27 |
| Dissemination                              | 27 |
| 3.2 Quality Control and Monitoring         | 27 |
| 3.2.1 Review of deliverables               | 27 |
| 3.2.2 Monitoring of milestones             | 29 |
| 3.2.3 Monitoring of KPIs                   | 30 |
| 3.2.4 Communication flows monitoring       | 31 |
| 3.2.5 Project periodic reporting           | 32 |
| 3.2.6 Project reviews                      | 32 |
| 3.2.7 Internal progress reporting          | 33 |
| 4 Risk management                          | 35 |
| 4.1 Risk identification                    | 36 |
| 4.2 Risk analysis                          | 37 |
| 4.3 Response planning and implementation   | 38 |
| 4.4 Monitoring and reporting               | 38 |
| 4.4.1 Risk management register             | 38 |
| 5 Conclusion                               | 43 |
| 6 Annex                                    | 44 |
| a. Internal reporting templates            | 44 |
| WP progress                                | 44 |
| Dissemination and communication activities | 45 |
| Effort consumption                         | 45 |
| Effort consumption - overview              | 47 |
| Cost consumption - Other costs             | 47 |

## Executive summary

This document sets detailed rules to ensure effective quality assurance and risk management throughout the Horizon 2020 VISION project, showing how quality aspects are taken into account in all processes and activities and how risk is foreseen and managed along the project duration. The aim of this deliverable is to provide the consortium with both effective procedures and defined responsibilities to ensure a high-quality delivery of the project outputs and to face risks which could affect the project quality, timing, costs and scope. The Risk Management Register - in its version updated at the time of writing this deliverable, i.e. Month 2 of the project - is an integral part of this document.

In addition, the document reports some key project management elements (e.g. the management structure, management procedures, etc.), which have been set in the project's Grant and Consortium Agreements, to provide a complete overview of the management of the project.

# 1 Introduction

VISION -Value and Impact through Synergy, Interaction and coOperation of Networks of AI Excellence Centres - is a coordination and support action (CSA) financed by the European Commission through the Horizon 2020 programme under the call for proposal H2020-ICT-48-2020. It has been proposed by a consortium of nine organisations coordinated by the University of Leiden (ULEI) and has been lasting 36 months from September 2020.

The aim of the VISION project is to reinforce, interconnect and mobilise Europe's AI community and to orchestrate and accelerate Europe's transition to a world-leading position in the research, development and deployment of AI technologies.

Overall, VISION will reach this objective through the following activities:

- Theme Development Workshops: At least two Theme Development Workshops cutting across multiple NoEs, bringing together researchers, industry representatives and other stakeholders to identify industrial trends and needs, and match these to AI capabilities in Europe.
- European AI Trend Radar: The main results of the Theme Development Workshops as well as from similar events of the four NoEs will be summarised, and complemented by a market analysis and trend foresights to provide a comprehensive overview of AI capabilities and challenges in Europe.
- New European Award for Top Young AI Talent: Creation of a Young AI Talents Award to recognise and celebrate the next generation of AI researchers in Europe.
- Human-Centric AI Education Programme: Development of standardised AI curricula to support current European educational offerings and to support educators in strengthening the digital and human centric skills of their students.
- Community-Shared Best Practices in AI: Sharing of best practices, such as the FSTP Vademecum, standardised AI curricula module for AI non-professionals, a template for Theme Development Workshops to help NoEs to organise such events most effectively, mechanisms for industrial innovation and transfer of AI technologies.
- Integrated Roadmapping: Joint working groups for tackling challenges that span multiple NoEs, including a group on road-mapping and strategy development continuously updating each other on the strategic steps planned by the NoEs and working towards a common high-level alignment of objectives.

## 1.1 Purpose and structure of the document

This document, "Quality and Risk Management Plan (D1.2)", is a deliverable of the Work Package 1 "Project management", Task 1.2 "Quality Assurance and Risk Assessment". It sets detailed rules to ensure effective quality assurance and risk management throughout the VISION project. The aim of this deliverable is to provide the consortium with simple but effective procedures to ensure a high-quality delivery of the project outputs and to face risks which could affect the project

quality, timing, costs and scope. In addition, it reports the key project management elements (section 2), which have been set in the project’s Grant and Consortium Agreements, to provide a complete overview of the management of the project and allow cross-references for the quality and risk management chapters (section 3 and 4).

The document is structured as follows:

- Chapter 2 describes the key project management elements set out in the Grant and Consortium Agreements. These include the relevant legal framework regulating the VISION project; the management structure, roles and responsibilities; the management procedures, such as voting rules and conflict resolution; the progress and financial management.
- Chapter 3 outlines the quality management approach, which consists of two main phases, i.e. Quality Planning and Quality Control and Monitoring. The approach is applied to all relevant aspects of the project, including, for example, the internal and external communication, the submission of official deliverables and the internal progress management.
- Chapter 4 outlines the risk management procedure, which describes how uncertainties will be identified, assessed, addressed and monitored during the project. The Risk Management Register - in its version updated at the time of writing this deliverable, i.e. Month 2 of the project - is an integral part of this section.

## 2 Project management

### 2.1 Legal Framework

Both the Grant Agreement (signed between the European Commission, the Project Coordinator, and the other beneficiaries) and the Consortium Agreement (signed between the consortium beneficiaries) are legally binding documents.

Next to the main contract, the Grant Agreement contains the following:

|         |   |
|---------|---|
| Annex 1 | Description of the Action                             |
| Annex 2 | Estimated budget for the action                       |
|         | 2a Additional information on the estimated budget     |
| Annex 3 | Accession Forms                                       |
| Annex 4 | Model for the financial statements                    |
| Annex 5 | Model for the certificate on the financial statements |
| Annex 6 | Model for the certificate on the methodology          |

Figure 1 – VISION legal framework



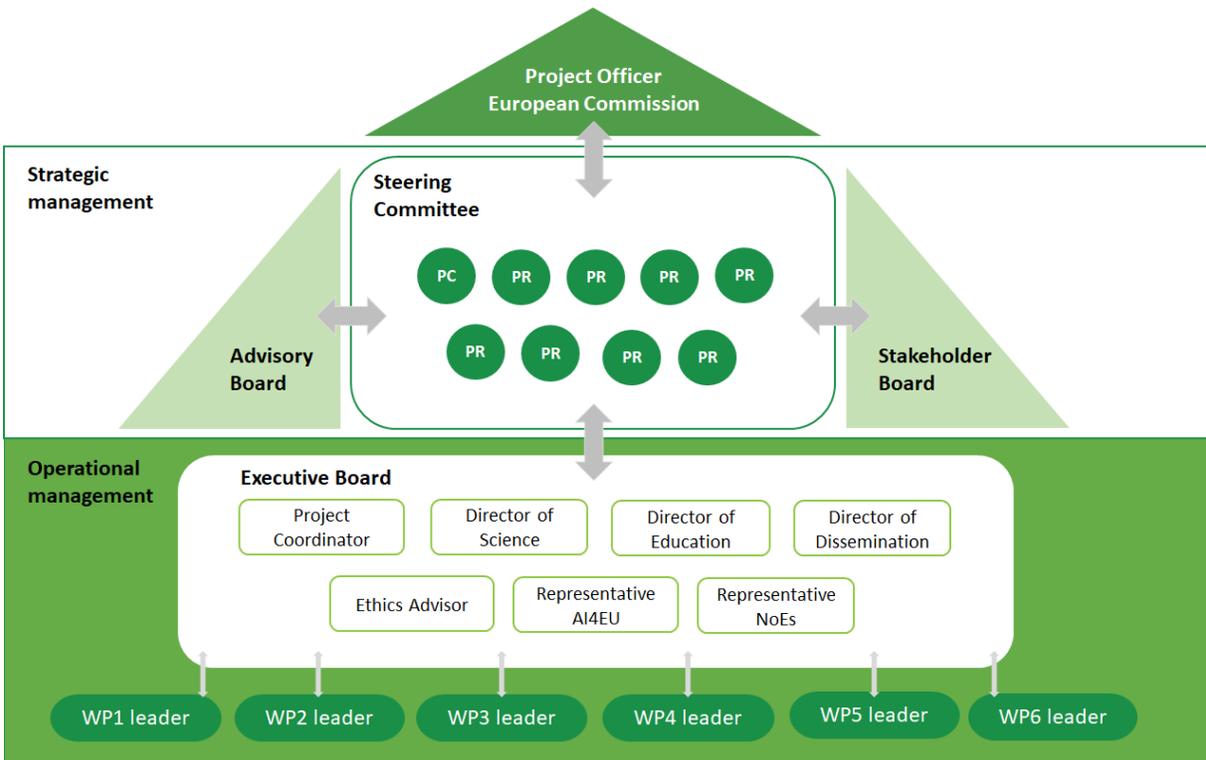
Other guidelines and tools to implement the Description of the Action are not legally binding and are provided by the EC or the consortium to support project management.

## 2.2 Management structure, roles and responsibilities

### 2.2.1 Governance structure

The project management structure focuses on the coordination of resources and mechanisms to ensure efficient progress of all technical, administrative, and financial matters and to achieve milestones and expected outcomes. The overall goal of the project management within the project is therefore to provide a focused, narrow but effective framework to support the whole Consortium in achieving the objectives of the project. The VISION project will be managed by a two-stage management structure: strategic and operational (see figure below).

Figure 2 - VISION governance structure



## Roles

**The Steering Committee (SC)** is the highest decision body in the VISION consortium. The project management structure is focused on the SC, which is in charge of all high-level decisions regarding the project's direction and responsible for evaluating the performance of the working packages. The SC is comprised of one senior representative from each participating partner and is chaired by the Project Coordinator (PC). This ensures that project purpose and objectives are maintained so that VISION develops effectively and successfully. In addition, the SC also sets the directions for VISION's activities and decides on the concept and strategy for its development. The SC is the discussion and decision point for: approval of budgets and work plans, approval of major changes in the mission of the project, changes in the consortium, suspension or termination of all or part of the project or of the contract, actions to be taken in the case of default of a partner, and major decisions pertaining to overall risk management and conflict resolution. SC will be following the European Code of Conduct for Research Integrity in dealing with scientific misconduct.

**The Executive Board (EB)** proposes the directions for VISION's activities, VISION's budget and its modifications, annual reports and makes proposals for changes to the arrangement of the VISION consortium. The EB supports VISION by fulfilling the obligations to the EC, managing and supervising the project's progress. Finally, the EB is responsible for coordinating various educational activities, training and dissemination. Most importantly, the Project Coordinator together with the EB members Prof. Dr. M. Schoenauer (Director of Science), Prof. Dr. B.

O'Sullivan (Director of Education), Dr. V. Dočkal (Director of Dissemination), Prof. Dr. P. Slusallek (Ethics Advisor) will be responsible for the implementation of VISION's mission and the decisions taken by the SC. EB will ultimately be responsible to achieve the deliverables and milestones and ensure the accomplishment of obligations stated in the Consortium Agreement (close cooperation with WP leaders); maintain a policy for the overall quality of the project and deliverables; follow the EC rules and be the contact point (interface) with the Commission.

**The Project Coordinator** Prof. Dr. H.H. Hoos, supported by the EB, will coordinate VISION on behalf of the SC. He will be responsible for all reporting to the European Commission and liaise with the Project Officer (EC) in project related matters. In order to ensure a smooth running of the project, a dedicated project Project Management Office (PMO) at the coordinating institution (ULEI) will assist the coordinator, EB and the SC.

**The Project Management Office (PMO)** present at ULEI is responsible to support the consortium management and its resources to reach the general objectives, milestones, procedural tasks and meeting the budget. PMO will provide working tools for efficient communication between consortium partners. The Financial Management Strategy will be overseen by the PMO, PC and SC, supported by the Financial Administrator of ULEI.

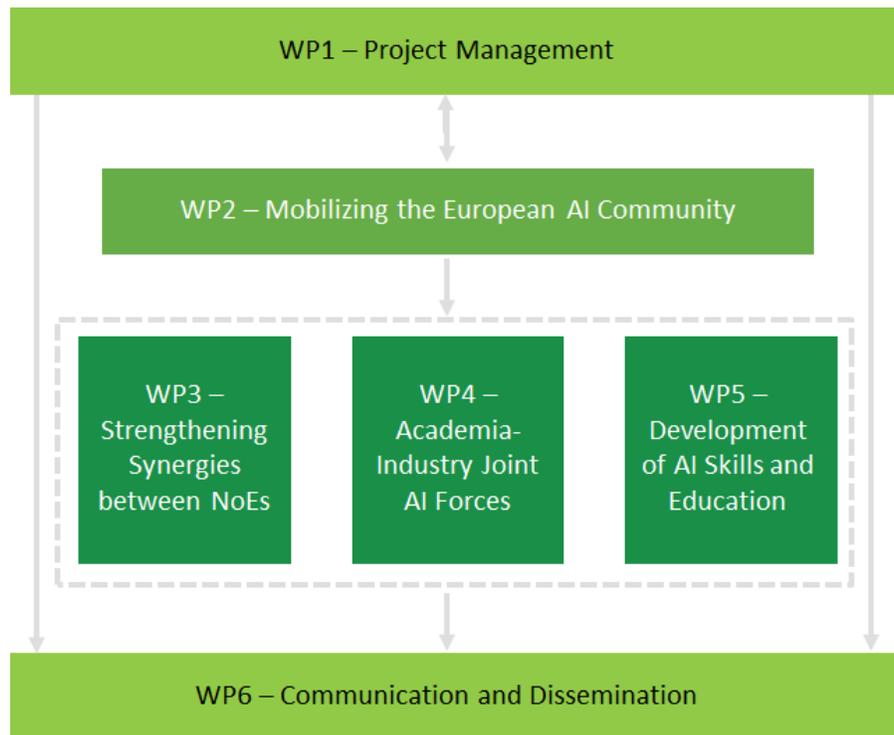
**International Advisory Board** VISION's external International Advisory Board will comprise independent experts: leaders of large AI communities and projects, foreign excellent researchers with a high reputation in AI implementation, training and research strategies, as well as representatives of important EU research organisations. This board will assess the project development each year. Reports from the board will help the SC keeping and enhancing the strategic direction of VISION. The following eminent researchers have already confirmed their willingness to serve on the IAB (Noriko Arai, JP; Frederick Bordry, CH; Alan Mackworth, CA; Francesca Rossi, US; Robert-Jan Smits, NL; Manuela Veloso, US; Wolfgang Wahlster, DE; Toby Walsh, AU).

**International Stakeholder Board** VISION's external International Stakeholder Board will comprise of 10 members representing the NoE, AI4EU and DIH stakeholders, and further expanded as needed. This board will assess stakeholder engagement activities, results and impact, proposing additional or new directions to prospect in terms of stakeholder and innovation management, detailed in yearly reports as part of the progress report.

### 2.2.2 Work Package structure

The project activities will be divided and implemented within six work packages (WPs). The latter will correspond to project objectives and are dedicated to specific actions. Individual WPs will be interrelated, while the outputs from some WPs will be used as inputs for the other ones (e.g. D2.2 to D4.2). The relations among the WPs are illustrated in the figure below.

Figure 3 - Work packages' structure



Overall, the work packages are organised as follows:

The aim of **WP1** is to establish and run the project and assure effective decision-making, clear external communication, operational internal communication, and effective administrative and technical operations and project control. The risk assessment, QA, and data management are also included.

**WP2** is dedicated to stimulating and facilitating effective cooperation between the four newly established AI networks of excellence (NoEs), and with the European AI community at large, by establishing clear organisational principles and communication tools, connecting the network with the AI on Demand Platform and its ecosystem, and sharing knowledge and best practices about responsible, ethical, and trustworthy AI.

Within **WP3**, administrative, managerial, and legal logistic support for FSTP activities will be provided to strengthen synergies between the European AI Network of Excellence Centers. Support for mobility and organisation of common events will be also developed.

**WP4** targets academia-industry cooperation by providing market analysis and trend foresight, developing the Digital Europe Programme aiming to make an impactful contribution to the capacity of European Digital Innovation Hubs, maximising visibility of the Network of Excellence Centers within the European industrial community. Also included is the innovation management leveraging on the innovation work undertaken in each of the NoEs.

**WP5** focuses on the establishment of a mobility programme to stimulate, support and coordinate mobility within the four NoEs, and development of a standardised AI curriculum module suitable for integration into non-CS BSc and MSc programmes. Online training courses and summer schools within the network will be also supported. A European AI award for young talents and innovators will be established with clear criteria for selection and evaluation.

**WP6** will provide continuous support for communication and dissemination activities with the focus on enhancing the outreach of the four NoEs and strengthening Europe's AI brand in the general public, industry, scientific community.

### Work Package leaders

It is the general role of the WP leaders to coordinate and manage the WP activities according to DoA. WP leaders contribute to the quality and risk management, to follow later the established procedures, to coordinate the drafting of WP, task and deliverable reports, to provide information on the latest developments of their WP for the communication materials, publications.

## 2.3 Management procedures

### 2.3.1 Voting

The SC will strive to make decisions by consensus whenever possible, and only in cases where disagreement cannot be resolved, majority (2/3) voting will be used (with one vote per SC member).

Decisions are expected to be taken unanimously. If, however, this is not the case, a vote will be held. Any member of the EB is allowed to ask for a vote to be held. The EB shall not deliberate and decide validly in case a quorum of two-thirds of its members is not present or represented.

Any decision may also be taken without a meeting if the coordinator circulates to all members a written document, which is then agreed by the defined **majority (2/3) of all members of the Consortium Body** (as defined in the consortium agreement). The written document shall include the deadline for responses.

The following decisions shall be taken **unanimously** by Steering Committee Members present or represented at the meeting:

- Entry of a new Party to the consortium;
- Termination of a Defaulting Party's participation in the consortium and measures relating thereto;
- Mandate given to a VISION Participant to represent the consortium towards a Third party.

### 2.3.2 Veto rights

The following decisions shall be taken by a **majority (2/3) of the votes**, by the Steering Committee. A member which can show that its own work, time for performance, costs, liabilities, intellectual property rights or other legitimate interests would be severely affected by a decision of a Consortium Body may exercise a veto with respect to the corresponding decision or relevant part of the decision:

When the decision is foreseen on the agenda before the meeting, a member may veto such a decision during the meeting only. When a decision is added to the agenda during the meeting, a member may veto such a decision during the meeting and within 15 days after the minutes of the meeting are sent. In case of exercise of veto, the members of the respective Consortium Body shall make every effort to resolve the matter which occasioned the veto to the general satisfaction of all of the members of the respective Consortium Body.

### 2.3.3 Conflict resolution

All parties have agreed to attempt to resolve arising conflict amicably. As such, the initial arbitration in conflicts between parties is a task set to the Steering Committee. If the committee is unable to resolve the conflict between parties, or is a part of the conflict itself, the Project Coordinator appoints an impartial party(ies) or person(s) from the consortium to mediate the conflict. If, after 30 calendar days, there has not been found a resolution, external mediation will be sought in accordance with the WIPO Mediation Rules. The place of mediation is set to be Brussels, unless otherwise agreed upon. The language to be used in the mediation shall be English unless otherwise agreed upon. If the dispute is not settled by the external mediator after 60 calendar days, the court of Brussels holds exclusive jurisdiction to any further action that may be needed or wanted.

### Confidential Information

All information in whatever form or mode of communication, which is disclosed by a Party (the “Disclosing Party”) to any other Party (the “Recipient”) in connection with the Project during its implementation and which has been explicitly marked as “confidential” at the time of disclosure, or when disclosed orally has been identified as confidential at the time of disclosure and has been confirmed and designated in writing within 15 calendar days from oral disclosure at the latest as confidential information by the Disclosing Party, is “Confidential Information”.

### Misconduct and Fraud

VISION will follow the European Code of Conduct for Research Integrity<sup>1</sup> in dealing with scientific misconduct. All beneficiaries have procedures for reporting, investigating and dealing with misconduct and fraud, which is also a local Human Resource (HR) matter. The consortium will adhere to local university/institute HR rules in the event of an allegation of misconduct or fraud, particularly as to fairness and thoroughness of investigation and confidentiality. If a complaint is

---

<sup>1</sup> [http://www.esf.org/fileadmin/Public\\_documents/Publications/Code\\_Conduct\\_ResearchIntegrity.pdf](http://www.esf.org/fileadmin/Public_documents/Publications/Code_Conduct_ResearchIntegrity.pdf)

made against a VISION team member, for any form of fabrication, falsification and plagiarism in proposing, performing, or reviewing research, the coordinator, or the Gender, Diversity and Recruitment Advisor (GDRA) (if alleged misconduct by the coordinator), will report it to the EB (except for the alleged) and notify the affiliated institution so that established local procedures can be followed. The coordinator, or the GDRA, will work closely with the local HR department in investigating the allegation thoroughly. If the allegation is reliably founded, the coordinator, or the GDRA, will be guided by the HR department in taking all necessary corrective actions.

### 2.3.4 Internal communication flows, tools and instruments

In order to ensure proper and effective internal communication flows, a shared folder in Google drive has been created.

## 2.4 Progress and financial management

The VISION project is divided into the following '**reporting periods**':

- RP1: from month 1 to month 18
- RP2: from month 19 to month 36

Based on this reporting, the Steering Committee shall decide to transfer the pre-financing to partners according to the needs for the next 6-months.

The Project Coordinator will submit a periodic report after 18 months and a Final report at the end of the project, in accordance with Annex II of the Model Grant Agreement. The reporting procedures are all presented in the SOP for Reporting to be obtained from the IE platform.

In order to regularly assess the progress of work and use of resources by every Partner and also anticipate changes and/or new needs, the consortium will initiate internal reporting of the project every 6 months. Reports will entail both a technical and a financial report.

**Internal reporting** will take place every **6 months**, in the form of a more concise report than the 18 month report. The internal report is due 30 calendar days after the end of each reporting period and includes the following:

- Overview of the progress of work, including achievements and attainment of any milestones and deliverables identified in Annex I of the Grant Agreement (DoW). This report should include the deviations, if any, between the initially planned work and actual results.
- Presentation and explanation of major deviation of the use of the resources at WP level for all partners.

Further on internal reporting is present in section 3.2.7.

## 3 Quality management

In order to ensure alignment between the project outputs and the project requirements, a well-defined approach to Quality Management has been defined. Specifically, it consists of two main phases, which are: Quality Planning and Quality Control and Monitoring. Overall, this will contribute to carry out activities according to proven methods, techniques and standards.

### 3.1 Quality Planning

Quality planning refers to all procedures and processes expected to be followed in preparing project deliverables and carrying out both specific and transversal project activities. Quality planning also includes the provision of guidelines for the drafting of documents and the implementation of communication actions.

#### 3.1.1 Meetings

Throughout the project implementation, different types of meetings will be held, including:

- Steering Committee and Executive Board meetings
- Periodical coordination meetings, involving all Consortium members
- WP meetings, involving both the WP Leader and the Task Leaders of that WP

In consideration of the COVID-19 pandemic, all project meetings will take place remotely via video conferencing systems.

#### Steering Committee and Executive Board meetings

As specified in the Consortium Agreement, throughout the project duration, the Steering Committee (SC) and the Executive Board (EB) shall convene as necessary to provide an efficient response to the project's needs. In particular, SC meetings will take place at least two times a year. These shall be scheduled at least 21 calendar days in advance (15 calendar days for extraordinary meetings). Conversely, EB meetings will take place at least quarterly and shall be scheduled at least 14 calendar days in advance (7 calendar days for extraordinary meetings).

|                    | Ordinary meeting          | Extraordinary meeting   |
|--------------------|---------------------------|---|
| Steering Committee | At least two times a year | At any time upon written request of the Executive Board or 1/3 of the Members of the Steering Committee |
| Executive Board    | At least quarterly        | At any time upon written request of any Member of the Executive Board                                   |

In necessary cases, the SC and the EB shall meet more frequently and each meeting agenda will be prepared by the PMO and approved by the EB. Any agenda item requiring a decision by the SC or EB members must be identified as such on the agenda. The coordinator shall prepare and send each member a written (original) agenda no later than the minimum number of days preceding the meeting as indicated below.

|                    |   |
|--------------------|---|
| Steering Committee | 14 calendar days<br>10 calendar days for an extraordinary meeting |
| Executive Board    | 7 calendar days   |

Members may add an item to the original agenda by written notification to all of the other members up to the minimum number of days preceding the meeting as indicated below.

|                    |  |
|--------------------|--|
| Steering Committee | 10 calendar days<br>7 calendar days for an extraordinary meeting |
| Executive Board    | 2 calendar days  |

During a meeting, the members present or represented can unanimously agree to add a new item to the original agenda. Decisions will only be binding once the relevant part of the minutes has been accepted.

The Project Coordinator will be in charge of ensuring that minutes are taken of every meeting by himself/herself or by a person of his/her organisation specifically appointed for this activity. Minutes will be circulated among participants within 10 calendar days after the meeting. Participants have 15 calendar days at their disposal to comment on the minutes document. If no remarks are received from any party within this comment period, the minutes shall be considered as accepted and will be uploaded in the VISION shared folder in Google Drive. The PMO will hence inform the meeting participants via email.

### Periodical coordination meetings

Periodical coordination meetings will take place every two weeks. All members of the Consortium will ensure the participation of at least one representative in the coordination meetings. These shall be scheduled at least 14 calendar days in advance. The Project Coordinator is responsible for the organisation and running of that meeting. Moreover, he/she will circulate (at least 3 calendar days) in advance the agenda for the meeting. He/she will also be in charge of ensuring that minutes are taken of every meeting by himself/herself or by a person of his/her organisation specifically appointed for this activity. Minutes will be then circulated among consortium members by 3 calendar days after the meeting. Consortium members have 3 calendar days at their disposal to comment on the minutes document. If no remarks are received from any party within this comment period, the minutes shall be considered as accepted and will be uploaded in the VISION shared folder in Google Drive. The PMO will hence inform the meeting participants via email.

### WP meetings

WP meetings - involving both the WP Leader and Task Leaders of that WP - will take place once a month. These shall be scheduled at least 14 calendar days in advance. The Leader of the concerned WP is responsible for the organisation and running of that meeting. Moreover, he/she will circulate (at least calendar 3 days) in advance the agenda for the meeting. He/she will also be in charge of ensuring that minutes are taken of every meeting by himself/herself or by a person of his/her organisation specifically appointed for this activity. Minutes will be then circulated among participants by 3 calendar days after the meeting. Participants have 3 calendar days at their disposal to comment on the minutes document. If no remarks are received from any party within this comment period, the minutes shall be considered as accepted and will be uploaded in the VISION shared folder in Google Drive. The WP Leader of the meeting will hence inform the meeting participants via email.

### 3.1.2 Deliverables

Throughout the 36-month project implementation, a total number of 28 deliverables has to be submitted to the European Commission. In line with the EC provisions included in the Grant Agreement, three different types of deliverables will be delivered, which are:

- Report;
- Open Research Data Pilot;
- Ethics.

The table below includes a full list of expected deliverables.

D1.2 Quality and Risk Management Plan

| Deliverable number | Deliverable title  | WP number | Lead beneficiary | Type                           | Dissemination level  | Due date (in months) |
|--------------------|--|-----------|------------------|--------------------------------|--|----------------------|
| D1.1               | Initial Meeting minutes  | WP1       | 1 - ULEI         | Report                         | Public   | 1                    |
| D1.2               | Quality and Risk Management Plan   | WP1       | 1 - ULEI         | Report                         | Confidential, only for members of the consortium (including the Commission Services) | 2                    |
| D1.3               | Data management plan   | WP1       | 3 - DFKI         | ORDP: Open Research Data Pilot | Confidential, only for members of the consortium (including the Commission Services) | 12                   |
| D1.4               | Final Meeting minutes  | WP1       | 1 - ULEI         | Report                         | Public   | 36                   |
| D2.1               | Platform designed and launched, Platform impact evaluation and sustainability designed | WP2       | 2 - CIIRC        | Report                         | Public   | 6                    |
| D2.2               | Minutes from annual meetings with coordinators and steering bodies of NoEs             | WP2       | 1 - ULEI         | Report                         | Public   | 36                   |
| D2.3               | AI4EU community promotion and evaluation plan  | WP2       | 9 - THALES       | Report                         | Public   | 12                   |
| D2.4               | Strategic paper on integrated EU AI networks   | WP2       | 7 - TNO          | Report                         | Public   | 24                   |

D1.2 Quality and Risk Management Plan

| Deliverable number | Deliverable title  | WP number | Lead beneficiary | Type   | Dissemination level | Due date (in months) |
|--------------------|--|-----------|------------------|--------|---------------------|----------------------|
| D2.5               | Report on sustainability and strategic directions of the NoEs and VISION activities  | WP2       | 1 - ULEI         | Report | Public              | 32                   |
| D2.6               | Report on the Ethical, Legal, and Societal, Impacts of Trustworthy AI                | WP2       | 4 - UCC          | Report | Public              | 18                   |
| D3.1               | Vademecum FSTP   | WP3       | 5 - FBK          | Report | Public              | 6                    |
| D3.2               | Lesson learned FSTP  | WP3       | 5 - FBK          | Report | Public              | 36                   |
| D3.3               | Observations from the interaction and mentoring activities and lessons learned       | WP3       | 7 - TNO          | Report | Public              | 26                   |
| D4.1               | Template for Theme Development Workshops   | WP4       | 3 - DFKI         | Report | Public              | 6                    |
| D4.2               | Report on collaboration among DIHs and NoEs  | WP4       | 8 - PwC          | Report | Public              | 36                   |
| D4.3               | Industrial outreach, Industrial Innovation Management and Industrial Visibility Plan | WP4       | 6 - INRIA        | Report | Public              | 6                    |
| D4.4               | European AI Trend Radar  | WP4       | 3 - DFKI         | Report | Public              | 36                   |
| D5.1               | Mobility Programme Impact Assessment Report  | WP5       | 6 - INRIA        | Report | Public              | 30                   |

D1.2 Quality and Risk Management Plan

| Deliverable number | Deliverable title   | WP number | Lead beneficiary | Type   | Dissemination level  | Due date (in months) |
|--------------------|---|-----------|------------------|--------|--|----------------------|
| D5.2               | Interim Design of a European AI Curriculum & Training Initiatives                   | WP5       | 4 - UCC          | Report | Public   | 18                   |
| D5.3               | European AI Curriculum & Training Initiatives Impact Assessment                     | WP5       | 4 - UCC          | Report | Public   | 36                   |
| D5.4               | Report on launch and the first round of the AI Awards Scheme for Young Talents      | WP5       | 4 - UCC          | Report | Public   | 18                   |
| D5.5               | Report on the second and third rounds of the AI awards scheme and Impact assessment | WP5       | 4 - UCC          | Report | Public   | 36                   |
| D6.1               | Communication & Dissemination Plan incl. EU AI brand toolbox                        | WP6       | 2 - CIIRC        | Report | Public   | 10                   |
| D6.2               | International Outreach Report   | WP6       | 5 - FBK          | Report | Public   | 30                   |
| D6.3               | Enhancing the European Strategic Research & Innovation AI Dialogue Report           | WP6       | 6 - INRIA        | Report | Public   | 36                   |
| D7.1               | H - Requirement No. 1   | WP7       | 1 - ULEI         | Ethics | Confidential, only for members of the consortium (including the Commission Services) | 2                    |
| D7.2               | POPD – Requirement No. 2  | WP7       | 1 - ULEI         | Ethics | Confidential, only for members of the  | 2                    |

D1.2 Quality and Risk Management Plan

| Deliverable number | Deliverable title     | WP number | Lead beneficiary | Type   | Dissemination level  | Due date (in months) |
|--------------------|-----------------------|-----------|------------------|--------|--|----------------------|
|                    |                       |           |                  |        | consortium (including the Commission Services)                                       |                      |
| D7.3               | M - Requirement No. 3 | WP7       | 1 - ULEI         | Ethics | Confidential, only for members of the consortium (including the Commission Services) | 12                   |

To ensure consistency in the preparation of deliverables, templates will be produced and will be made available to consortium members on the shared folder. The general structure of the deliverables - Report type - includes the following elements:

- Cover pages, including the following relevant information on the project:
  - Project title
  - Grant agreement number
  - Funding scheme
  - Project coordinator name
  - Deliverable number
  - Title of the deliverable
  - WP contributing to the deliverable
  - Deliverable type
  - Dissemination level
  - Partner(s)/Author(s)
  - Internal reviewers
  - Table on the history of changes
  - EU visibility information and disclaimer
- Table of contents
- Executive summary
- Introduction
- Core sections
- Conclusions
- Annexes (if needed)

The following naming convention has to be applied for all project deliverables/documents:

H2020\_VISION\_DX.Y\_<Title>\_vX.X [e.g.: VISION\_D1.1\_InitialMeetingMinutes\_v1.0]. As per software version numbering, draft versions shall be renamed as 0.x (e.g. v0.1), while final versions will be renamed as x.0 (e.g. v1.0).

### 3.1.3 Milestones

In order to effectively oversee project implementation throughout the 36-month duration, the pre-identified milestones included in the table below will be carefully monitored.

| Nr. | Milestone name  | Related WP(s) | Lead Beneficiary | Due date (in month) |
|-----|---|---------------|------------------|---------------------|
| MS1 | Kick-off meeting  | WP1           | ULEI             | 1                   |
| MS2 | Publication of strategic paper on integrated European AI networks | WP2           | ULEI             | 24                  |

| Nr. | Milestone name   | Related WP(s) | Lead Beneficiary | Due date (in month) |
|-----|--|---------------|------------------|---------------------|
| MS3 | Agreements on provisional list of joint activities with NoEs                       | WP2           | ULEI             | 6                   |
| MS4 | Collaborative workshops for NoEs held  | WP3           | FBK              | 24                  |
| MS5 | Publication of report on collaboration among DIHs and NoEs                         | WP4           | PwC              | 36                  |
| MS6 | Public release of Mobility Programme   | WP5           | UCC              | 12                  |
| MS7 | Publication of Interim Design of a European AI Curriculum and Training Initiatives | WP5           | UCC              | 18                  |
| MS8 | Communication and Dissemination Plan adopted                                       | WP6           | CIIRC            | 12                  |
| MS9 | AI Open Day organised  | WP6           | CIIRC            | 24                  |

### 3.1.4 KPIs

As per the Grant Agreement, the project's success in terms of achievement of expected strategic impact will be measured against the Key Performance Indicators (KPIs) included in the table provided below.

| WP  | Key Performance Indicator  | Target value                                    |
|-----|--|---|
| WP2 | Number of joint working meetings and other interactions with ICT-48 NoEs management          | 40 (16 of them f2f meetings, other – teleconf.) |
| WP2 | WP2 Number of joint Working Groups created   | 4   |
| WP2 | Number of roadmapping consultations of the VISION WG with the NoEs and external stakeholders | 8   |
| WP2 | Number of the AI4EU evaluation survey participants   | 80  |

| WP  | Key Performance Indicator  | Target value |
|-----|--|--------------|
| WP2 | Number of stakeholders exposed to the AI4EU Deployment Prize Call for Participation  | 500          |
| WP2 | Number of VISION Hackathons participants   | 100          |
| WP3 | Number of documentation items (templates, recommendations, etc.) developed for NoEs  | 10           |
| WP3 | Number of best practice and lessons-learned cases collected and generalised  | 20           |
| WP3 | Number of participants of the inter-NoE workshops organized by VISION  | 40           |
| WP4 | Number of academic / industrial participants in Theme Development Workshops  | 40/40        |
| WP4 | Number of industrial stakeholders exposed to the results of TDW and AI-Watch activity  | 50           |
| WP4 | Number of participants of the VISION mapping survey on relations between DIHs and NoEs   | 100          |
| WP4 | Number of industrial events with NoEs visibility facilitated by VISION   | 3            |
| WP4 | Number of stakeholders exposed to the analytical report on AI technologies innovation and transfer   | 250          |
| WP5 | Number of high-impact cross-NoE research visits organised that will take into account excellence, as well as best value for money principles | 24           |
| WP5 | Number of universal AI education and training modules developed and validated by experienced AI researchers/professors                       | 10           |
| WP5 | Number of participants of the European AI education and training summits   | 200          |
| WP5 | Number of applications for the Europe's Top Young AI Talent Award received and evaluated   | 100          |

| WP  | Key Performance Indicator              | Target value |
|-----|--|--------------|
| WP6 | Number of media echos                  | 15           |
| WP6 | Number of electronic newsletters       | 12           |
| WP6 | Number of participants of AI Open Days | 500          |

### 3.1.5 Communication

This subsection focuses on the strategy the Consortium will follow in order to ensure proper communication and alignment internally and externally. In particular, the overall strategy will leverage on a complementary range of communication instruments, including emails, shared folder, website, social media and dissemination.

#### Emails

Throughout the project implementation, emails will represent the key channel for day-to-day communication among Consortium partners. With the aim of ensuring effectiveness, a contact list has been created and is accessible to all on the shared folder. Each member of the Consortium is responsible to keep it updated, making sure that all relevant contacts are included in the list.

#### Shared folder

In order to both facilitate the internal sharing of materials/documentation and foster collaboration, a project shared folder has been created by the project coordinator. The solution adopted is a Shared Drive offered by Google. The latter is accessible to all Consortium partners.

#### Website

In order to ensure visibility of the project and foster dissemination of the activities, VISION will leverage on a dedicated website ([www.vision4ai.eu](http://www.vision4ai.eu)). The website will be composed by the following main sections:

- About, providing an overview of the project, activities, partners, bodies, documentation, contacts, etc.
- Activities, targeting both researchers and industry as well as education (e.g. PhD programmes, mobility, etc.)
- Community, fostering synergies with other relevant initiatives (e.g. AI4EU, CLAIRE, etc.)
- News, promoting upcoming events, press releases, library, etc.

Being accessible to anyone, the communication style of the website shall be widely user-friendly and attractive, while ensuring the technical-scientific rigour of the contents in line with the project mission and objectives. All documentation and materials published on the website shall be written in English. WP6 Leader will be responsible for guaranteeing that all these aspects will be covered.

### Social media

In line with what specified above, the VISION project will be also widely disseminated on key social media platforms (e.g. Twitter, LinkedIn, etc.) that will be set-up in a later stage of the project. This will allow the Consortium to reach a wider audience. The style of posts shall be simple and straightforward, but at the same time effective and rigorous. Moreover, posts shared by both public and private accounts shall always include cross-references to VISION and the European Commission through *ad-hoc* tags. In any case, additional guidelines will be provided in D6.1 Communication & Dissemination Plan.

### Dissemination

In line with what stated in Article 29.4 and 29.5 of the Grant Agreement, unless otherwise specified, any dissemination of results (in any form, including electronic) must:

- display the EU emblem and
- include the following text: “This project has received funding from the European Union’s Horizon 2020 research and innovation programme under grant agreement No 952070”.

When displayed together with another logo, the EU emblem must have appropriate prominence. To use the EU emblem, Consortium partners do not need to receive approval from the Commission. Nonetheless, this does not give them the right to exclusive use as well as they may not appropriate the EU emblem or any similar trademark or logo, either by registration or by any other means.

Moreover, any dissemination of results must indicate that it reflects only the author's view and that the Commission is not responsible for any use that may be made of the information it contains.

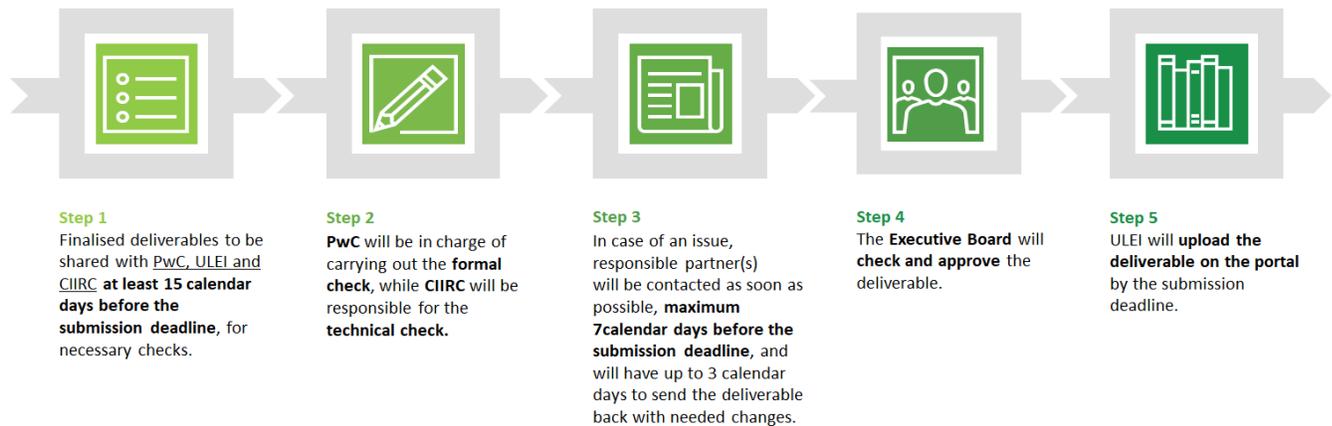
## 3.2 Quality Control and Monitoring

The focus of quality control and monitoring is on feedback and deviation management in the project. This entails the definition of an internal review process of deliverables and the monitoring of all communication activities, KPIs and milestones. In addition, three time-driven quality control measures are foreseen: the project periodic reporting, the project reviews and the internal reporting, which monitors both technical and financial status of the project.

### 3.2.1 Review of deliverables

With the aim of ensuring that deliverables are produced in a timely and effective manner - in accordance to quality objectives - a 5-step review approach has been defined (see figure below).

Figure 4 - Review of deliverables procedure



Specifically, the approach for quality review of the project deliverables consists of the following steps:

- **Step 1:** Finalised deliverables shall be shared with PwC, the project coordinator ULEI and CIIRC. This shall happen at least 15 calendar days before the submission deadline<sup>2</sup> in order to have adequate time for necessary formal and technical checks and eventual review/fine tuning;
- **Step 2:** PwC will be in charge of carrying out the formal check, while CIIRC will be responsible for the technical one;
- **Step 3:** In case of an issue, responsible partners will be contacted as soon as possible, maximum 7 calendar days before the submission deadline, and will have up to 3 calendar days to send the deliverable back with necessary changes;
- **Step 4:** The Executive Board will check and formally approve the deliverable according to their preferred internal consultation approach<sup>3</sup>;
- **Step 5:** ULEI will submit the final version of the deliverable to the European Commission via the Portal by ULEI at the latest on the last day of the month in which it is due. The deliverable will be then uploaded to the shared folder and consortium members informed of the submission via email.

As a general rule, 30 calendar days before the official deadline, the Project Management Office will send out an email to remind owners of the concerned deliverable about the approaching deadline for submission and the procedure to be followed for the quality check.

<sup>2</sup> This time schedule does not apply to the first deliverables to be submitted within VISION (namely D1.1 and D1.2 – this deliverable), which will be reviewed and approved in a shorter period of time.

<sup>3</sup> For instance, the Executive Board can organize a conference call meeting to discuss and approve the deliverables, and a doodle form can be set by the PMO to vote.

### 3.2.2 Monitoring of milestones

In order to monitor milestones, the means of verification included in the table below will be implemented. Formal checks on the achievement of milestones will be carried out during the internal progress reporting (see section 3.2.7).

| Nr. | Milestone name   | Related WP(s) | Lead Beneficiary | Due date (in month) | Means of verification  |
|-----|--|---------------|------------------|---------------------|--|
| MS1 | Kick-off meeting   | WP1           | ULEI             | 1                   | All documentation produced in the context of the first initial meeting of the VISION project |
| MS2 | Publication of strategic paper on integrated European AI networks                  | WP2           | ULEI             | 24                  | D2.4 - Strategic paper on integrated EU AI networks  |
| MS3 | Agreements on provisional list of joint activities with NoEs                       | WP2           | ULEI             | 6                   | Communication activity announcing up-date  |
| MS4 | Collaborative workshops for NoEs held  | WP3           | FBK              | 24                  | Agendas for the workshops and participation lists  |
| MS5 | Publication of report on collaboration among DIHs and NoEs                         | WP4           | PwC              | 36                  | D4.2 - Report on collaboration among DIHs and NoE  |
| MS6 | Public release of Mobility Programme   | WP5           | UCC              | 12                  | Publication of the call for proposals  |
| MS7 | Publication of Interim Design of a European AI Curriculum and Training Initiatives | WP5           | UCC              | 18                  | D5.2 - Interim Design of a European AI Curriculum & Training Initiatives                     |
| MS8 | Communication and Dissemination Plan adopted                                       | WP6           | CIIRC            | 12                  | Document approved by partners and uploaded to internal portal                                |
| MS9 | AI Open Day organised  | WP6           | CIIRC            | 24                  | Photos and press release published   |

### 3.2.3 Monitoring of KPIs

As per milestones, KPIs will be closely monitored. To this end, the means of verification included in the table below will be implemented. Formal checks on the achievement of KPIs will be carried out during the internal progress reporting (see section 3.2.7).

| WP  | Key Performance Indicator  | Target value                                    | Means of verification  |
|-----|--|---|--|
| WP2 | Number of joint working meetings and other interactions with ICT-48 NoEs management          | 40 (16 of them f2f meetings, other – teleconf.) | Meeting minutes and other internal project records, D2.2   |
| WP2 | WP2 Number of joint Working Groups created   | 4   | Progress Report  |
| WP2 | Number of roadmapping consultations of the VISION WG with the NoEs and external stakeholders | 8   | D2.4 - Strategic paper on integrated EU AI networks  |
| WP2 | Number of the AI4EU evaluation survey participants   | 80  | D2.2 - Minutes from annual meetings with coordinators and steering bodies of NoEs  |
| WP2 | Number of stakeholders exposed to the AI4EU Deployment Prize Call for Participation          | 500   | D2.2 - Minutes from annual meetings with coordinators and steering bodies of NoEs  |
| WP2 | Number of VISION Hackathons participants   | 100   | D2.2 - Minutes from annual meetings with coordinators and steering bodies of NoEs and D2.3 - AI4EU community promotion and evaluation plan |
| WP3 | Number of documentation items (templates, recommendations, etc.) developed for NoEs          | 10  | D3.1 - Vademecum FSTP  |
| WP3 | Number of best practice and lessons-learned cases collected and generalised                  | 20  | D3.2 - Lesson learned FSTP   |
| WP3 | Number of participants of the inter-NoE workshops organized by VISION                        | 40  | D3.3 - Observations from the interaction and mentoring activities and lessons learned  |
| WP4 | Number of academic / industrial participants in Theme Development Workshops                  | 40/40   | D4.4 - European AI Trend Radar   |
| WP4 | Number of industrial stakeholders exposed to   | 50  | D4.4 - European AI Trend   |

| WP  | Key Performance Indicator   | Target value | Means of verification  |
|-----|---|--------------|--|
|     | the results of TDW and AI-Watch activity  |              | Radar  |
| WP4 | Number of participants of the VISION mapping survey on relations between DIHs and NoEs  | 100          | D4.2 - Report on collaboration among DIHs and NoEs   |
| WP4 | Number of industrial events with NoEs visibility facilitated by VISION  | 3            | D4.2   |
| WP4 | Number of stakeholders exposed to the analytical report on AI technologies innovation and transfer  | 250          | D4.6   |
| WP5 | Number of high-impact cross-NoE research visits organised that will take into account excellence, as well as best value for money principles. | 24           | D5.1 - Mobility Programme Impact Assessment Report   |
| WP5 | Number of universal AI education and training modules developed and validated by experienced AI researchers/professors                        | 10           | D5.3 - European AI Curriculum & Training Initiatives Impact Assessment                     |
| WP5 | Number of participants of the European AI education and training summits  | 200          | D5.3 - European AI Curriculum & Training Initiatives Impact Assessment                     |
| WP5 | Number of applications for the Europe's Top Young AI Talent Award received and evaluated  | 100          | D5.5 - Report on the second and third rounds of the AI awards scheme and Impact assessment |
| WP6 | Number of media echos   | 15           | Media monitoring report incl. full quotation of the media source                           |
| WP6 | Number of electronic newsletters  | 12           | Distribution list and links to online appearance of the bulletins (D6.1)                   |
| WP6 | Number of participants of AI Open Days  | 500          | Attendance lists, photos   |

### 3.2.4 Communication flows monitoring

In order to ensure the highest standards in terms of quality and communication, the WP6 Leader will be responsible for prior reviewing and approving all dissemination contents and materials produced in the context of the project. In addition, all dissemination contents/documentation deemed strategically important will be reviewed by the WP6 Leader jointly to the Executive Board.

In relation to key stakeholder communication (including, for instance, the emails to the NoEs), all messages shall be reviewed and approved by the project coordinator that may consult the Executive Board, if necessary.

Communication to the Project Officer is the responsibility of the project coordinator (supported, eventually, by the PMO) as the unique contact point for the EC. He might involve the Executive Board Members for key strategic communications.

### 3.2.5 Project periodic reporting

Data collection and consolidation of the periodic reports, which will be composed by all elements foreseen in article 20.3 of the Grant Agreement, will be responsibility of the PMO, which will ask all consortium partners to contribute depending on their role in the project and the material expected from them (e.g. all partners will have to provide the financial statements and report on their dissemination and communication activities; WP Leaders will also have to provide information on the WP progress status; etc). The technical and financial information shall be collected at least 14 calendar days before the submission deadline and shared with PwC for the formal review. In case PwC will deem necessary to improve any parts, it shall send the documentation back to the PMO at least one week before the deadline. The relevant partners for the fine tuning shall be activated immediately and have 3 calendar days to provide the finalised pieces of information. The project coordinator is in charge of the final submission of the documentation.

### 3.2.6 Project reviews

In order to assess and evaluate the progress of the project in terms of activities implementation, three project reviews are foreseen. These official reviews will involve both the Project Officer of the European Commission and external evaluators. A tentative schedule – as set in the Grant Agreement - is provided in the table below.

| Review number | Tentative timing | Planned venue of review | Comments, if any |
|---------------|------------------|-------------------------|------------------|
| RV1           | 12               | Luxembourg              | Technical review |
| RV2           | 19               | Luxembourg              |                  |
| RV3           | 36               | Luxembourg              |                  |

The detailed agenda and all logistics aspects, including the decision whether to meet in Luxembourg or online, will be discussed and agreed by the project coordinator and the PMO in a timely manner. The project coordinator shall keep the entire consortium updated on all decisions.

The internal organisation of the review meetings foresees the following plan:

- The review meeting micro-planning is the responsibility of the PMO. It includes, as mentioned above, the detailed agenda of the session and the definition of the logistics, agreed with the EC Project Officer.
- All consortium members will contribute to the drafting of specific materials for the review, in the agreed format, in line with the detailed agenda. The PMO shall collect the material in a timely manner and share it with PwC for formal review at least one week before the review meeting.
- The day before the review (or a few days before, depending on the team members' availability) the project coordinator will organise a dry run of the entire session. This can occur on conference call. In the dry run, the rehearsal of the session is held so to ensure complete alignment among team members on the contents to be presented and the roles. The documentation is eventually fine-tuned.
- The EC review will take place.
- The day after (or a few days after) the review, the Executive Board will meet in a conference call to discuss internally the reviewers'/EC's feedback and start to plan together the way forward.
- The planning will be finalised by the Executive Board and approved by the Steering Committee after the reception of the formal review letter and communicated to the WP Leaders.

### 3.2.7 Internal progress reporting

The consortium has agreed to further break down the official reporting periods into additional internal reporting periods to guarantee a more constant monitoring of project activities. The project is therefore divided into 6 internal reporting periods (iRP) of 6 months duration, as follows:

- iRP\_1: M1-M6 (September 2020 – February 2021)
- iRP\_2: M7-M12 (March 2021 – August 2021)
- iRP\_3: M13-M18 (September 2021 – February 2022)
- iRP\_4: M19-M24 (March 2022 – August 2022)
- iRP\_5: M25-M30 (September 2022 – February 2023)
- iRP\_6: M31-M36 (March 2023 – August 2023)

At the end of each internal reporting period, excluding those that correspond to the official periodic reporting, i.e. iR\_3 and iR\_6, the PMO will collect information from partners and WP leaders focusing on the progress of the activities and on the financial reporting (staff effort in person-months and other costs). The following table provides an overview of the pieces of information gathered and identifies the main contributors.

| Content                      | Contributors |
|------------------------------|--------------|
| Progress status on each Task | WP Leaders   |

| Content  | Contributors |
|--|--------------|
| Progress status on the reach of WP KPIs, objectives, milestones and interim achievements | WP Leaders   |
| Activities planning and objectives for the next iRP - per each Task                      | WP Leaders   |
| WP-related critical issues   | WP Leaders   |
| Update of the Risk management register (see section 4.4.1)                               | WP Leaders   |
| Progress status of dissemination and communication activities                            | All partners |
| Effort consumption in person-months  | All partners |
| Other costs consumption  | All partners |

The information is collected through some forms available on the project shared Drive and attached in Annex<sup>4</sup>. The request for information will be sent by the PMO to the project partners at the end of the internal reporting period and partners will have 15 calendar days to provide the relevant information.

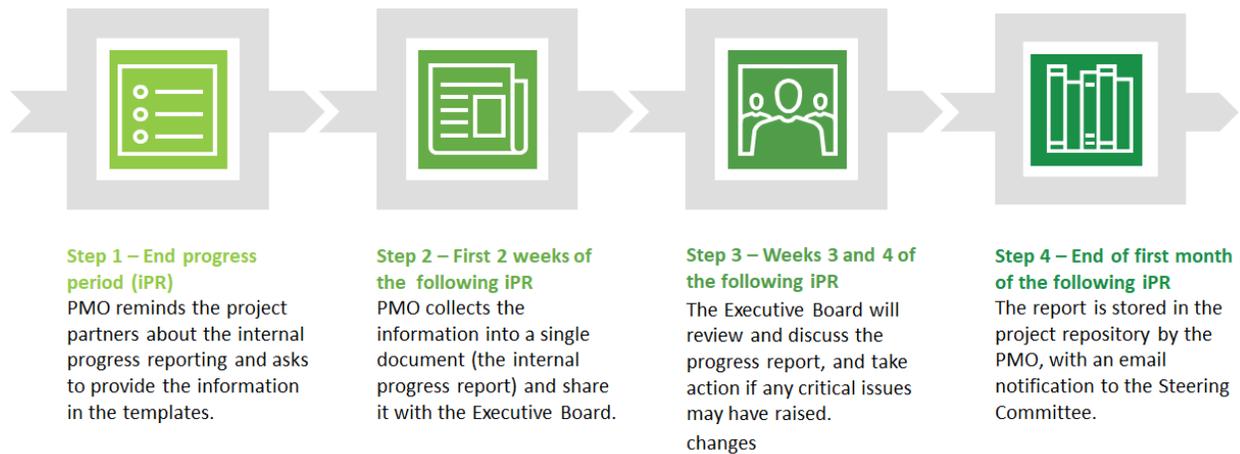
Once collected, the information will be consolidated by the PMO into a single document, an **Internal Progress Report**, which will be shared with the Executive Board. The Executive Board will review and discuss the progress report, and take action if any critical issues may be raised. If needed, it can bring the issues to the Steering Committee. The report is then stored in the project repository by the PMO by the end of the first month of the following iRP, with an email notification to the Steering Committee.

This procedure is summarised in the following picture.

---

<sup>4</sup> The Risk management register, also available on the Drive folder, is here included in section 4.4.1.

Figure 5 - Internal progress reporting procedure



The key objective of this exercise is to allow effective monitoring of the project status and quality, provide structured information to make a detailed planning of the following activities, and allow eventual contingency plans to face critical issues and risks.

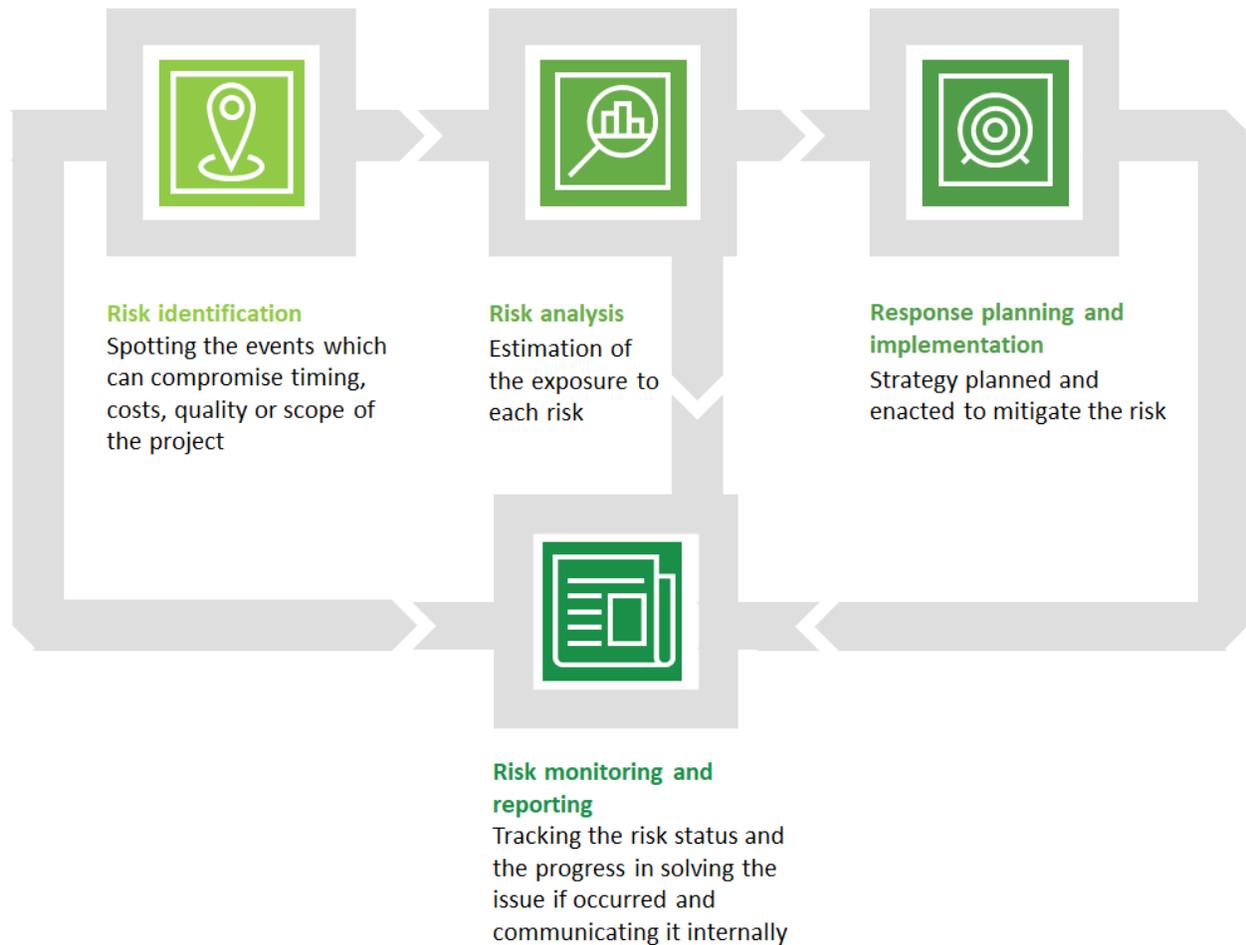
## 4 Risk management

The risk management procedure describes how uncertainties will be managed during the project. The procedure - represented in the figure below - describes the activities that will be performed along the whole project duration in order to identify, assess, monitor and address foreseen risks which may impact the project. It consists of the following activities:

- Risk identification - spotting the events which can compromise timing, costs, quality or scope of the project;
- Risk analysis - estimation of the exposure to each risk;
- Response planning and implementation - strategy planned and enacted to mitigate the risk;
- Risk monitoring and reporting - tracking the risk status and the progress in solving the issue if occurred and communicating it internally.

Each activity is further described in the sections below.

Figure 6 - Risk management procedure



## 4.1 Risk identification

Risk identification aims at identifying any possible uncertainty which could have an impact on the project costs, timing, quality or scope.

During the project building phase, a number of possible threats and their respective mitigation

measures were identified. Those were listed in the first version of the Risk Management Register, available on the project platform and in the Grant Agreement (see Section 4.4.1).

Risk identification is done whenever a new risk is identified by a Consortium partner during the project, and it is fundamental to activate timely the following Risk management activities. Once a new risk arises, the partner which has identified it shall notify the Project Management Office, PwC (as Task 1.2 Leader) and the risk-related WP Leader(s). The WP Leader(s) will be in charge of updating the Risk management register with the Risk description and related WP (see section 4.4.1).

For instance, the following issues can be considered as tools and techniques for risk identification (non-exhaustive list):

- Analysis of deliverables status;
- Analysis of WP schedules and scopes;
- Analysis of internal and external relations;
- Analysis of the context.

## 4.2 Risk analysis

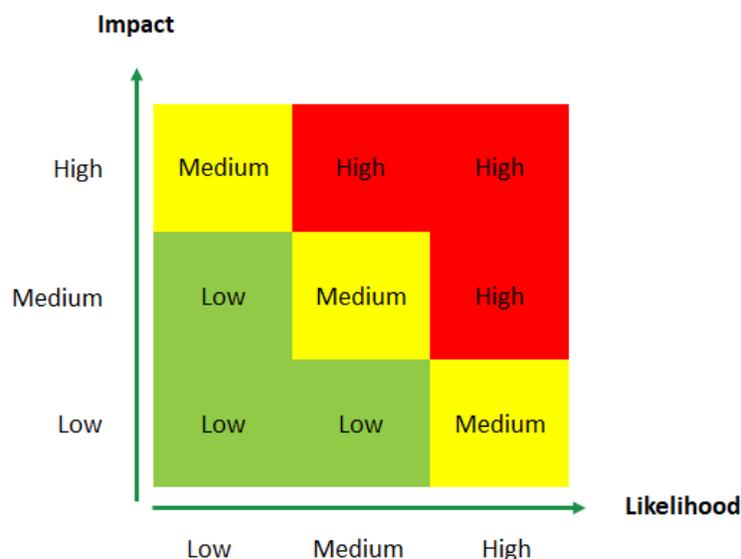
After a risk has been identified, it is important to assess the probability that that risk may occur (likelihood) and the size of the possible impact if it occurs (impact). The exposure to a given risk is estimated using a risk matrix, which assesses each risk according to these two dimensions on a given scale (low - medium - high).

The following picture represents the risk matrix. The output (represented with the different colours within the matrix) classifies the risk level (i.e. “low risk, medium risk or high risk”).

The risk analysis is part of the activities that the WP Leader(s) involved shall do when updating the Risk management register (see section 4.4.1).

Risk analysis’ outcome could change over time, depending on the specific causes and effects of each risk. For this reason, the Risk owner (see Section 4.3) shall frequently re-assess the risk and confirm/update the risk level.

Figure 7 – Risk matrix



## 4.3 Response planning and implementation

The risk response process presents the strategy to tackle the threats and its implementation. The response strategy identifies the most appropriate way to manage a risk<sup>5</sup> and assigns the roles and responsibilities for its implementation. The risk owner (the body/individual who is responsible for the management, monitoring and control of all aspects of a risk, including the implementation of the selected responses) is identified on the basis of the risk type. As a general rule for the VISION project, the Risk owner is the WP Leader of the WP (mainly) affected by the risk. For instance, project management risks are assigned to ULEI, as WP1 Leader. However, partners can agree on identifying another partner as Risk owner, if needed.

The response measures for each foreseen risk and related Risk owner are displayed in the Risk Management Register (see section 4.4.1).

## 4.4 Monitoring and reporting

It is the responsibility of the Risk owner to keep track and communicate to the Project Management Office jointly to PwC - as Task 1.2 Leader - the status of each risk and the effectiveness of each response action implemented.

The communication shall happen through the update of the Risk Management Register (see section 4.4.1) together with an informal communication by email.

Formal moment in which the Risk Management Register is checked by the managing bodies (especially the Executive Board) is the internal progress reporting, which, as explained in section 3.2.7, includes the Risk-monitoring.

### 4.4.1 Risk management register

This Risk Management Register is the tool enabling structured risk monitoring, summarising all risks (Risk identification), their assessment in terms of likelihood and impact (Risk analysis), the mitigation measure and owner (Response planning) and status (Risk monitoring). It is accessible to all Consortium members in the shared Drive.

Its first - light - version was drafted at the proposal phase and then confirmed during the Grant Agreement signing process. It contained the first 9 identified project risks and their planned mitigation measure. During the first months of project activities, the Register has been further developed taking into account new risks that each WP Leader has identified and foreseen for the project implementation. In particular, risks related to the health emergency due to the Covid-19

---

<sup>5</sup> Risk response approaches can aim at different objectives, such as to avoid the risk, reduce it in terms of probability/impact, accept it (taking no action) or prepare a contingency plan to be implemented in case the risk occurs.

pandemic have been better evaluated and reported. In addition, other columns have been included in order to keep track of the output of the risk analysis and control.

The Risk management register, therefore, contains:

- The risk number and risk description;
- The WP involved/affected;
- The output of the risk analysis phase, i.e. the indication of the level of likelihood and impact and the consequent Risk level;
- The proposed risk-response measure(s);
- The risk owner;
- The status of the risk (a risk will be considered closed after the adverse situation occurred and it can no longer be considered as a threat to the project).

As explained above, the Risk management register is a living document that is regularly updated. Time-driven revision will occur at the moment of the internal progress reporting (see section 3.2.7) and the periodic reporting (see section 3.2.5), but whenever a project partner foresees a new possible risk or whenever a foreseen-risk occurs, it will be updated as well.

PwC as Task 1.2 Leader is in charge of the monitoring of the correct updating of the Register, but, as explained in the previous sections, each partner, and WP Leader in particular, is responsible for risk-detection, control and reporting.

The current version of the Risk management register is provided below.

D1.2 Quality and Risk Management Plan

| Risk number | Description of risk  | WP Number | Likelihood | Impact | Risk level | Proposed risk-response measure(s)  | Risk owner | Status       |
|-------------|--|-----------|------------|--------|------------|--|------------|--------------|
| 1           | Delays on internal submission deadlines for the technical completion of deliverables, shrinking time for the quality review. | WP1       | Medium     | Medium | Medium     | Effective internal management and engagement will make sure internal deadlines are respected. Monitored by WP1 but applies to all WPs.   | ULEI       | Not occurred |
| 2           | Delay in risk detection  | WP1       | Low        | Medium | Low        | Risk assessment and evaluation is continuously performed by the task leader. Applies to all WPs.   | ULEI       | Not occurred |
| 3           | Lack or delay of internal risk reporting from the WP leaders   | WP1       | Low        | Medium | Low        | Effective internal communication is ensured by the Project Coordinator and by the active engagement of consortium partners. Applies to all WPs   | ULEI       | Not occurred |
| 4           | Changes in regulatory framework for FSTP that could delay their execution and complicate WP3 support activities              | WP3       | Low        | Medium | Low        | Within the context of WP3, a specific task-force led by FBK will be devoted to monitor changes in the regulatory constraints at the EU level. This will give us time from the announcement of the new regulation to its implementation to devise and launch specific strategies to mitigate its effects. | FBK        | Not occurred |
| 5           | Insufficient DIH/NoE engagement, affecting project's   | WP4       | Medium     | Medium | Medium     | DIH engagement activities will be planned and performed carefully, leveraging also on established DIH  | PwC        | Not occurred |

D1.2 Quality and Risk Management Plan

| Risk number | Description of risk  | WP Number | Likelihood | Impact | Risk level | Proposed risk-response measure(s)  | Risk owner | Status       |
|-------------|--|-----------|------------|--------|------------|--|------------|--------------|
|             | added-value delivered  |           |            |        |            | networks in which consortium members are active. The community of CLAIRE Initiative will be targeted.  |            |              |
| 6           | Duplication of Education Programmes Development by other initiatives | WP5       | Medium     | Low    | Low        | Given the high number of new AI initiatives in Europe there is potential that other organisations may plan to undertake a similar initiative. Should this be the case, in order to avoid duplication, VISION will seek to develop a partnership that can add greater value to the eventual output.   | UCC        | Not occurred |
| 7           | Weak participation and engagement in Young AI Talents Award          | WP5       | Low        | Low    | Low        | WP5 will reach out to other partners in order to increase dissemination activities. Award criteria and event have the potential to be modified to improve engagement.  | UCC        | Not occurred |
| 8           | Low appearance in mass media or low online media response            | WP6       | Medium     | Medium | Medium     | Measures for effective communication will be proposed in the C&D Plan with one main goal to raise awareness of VISION outcomes. Thanks to organic network of CLAIRE and other partners in the consortium, the ability to reach and generate interest is high. Moreover, the cross-domain topics coming out of VISION activities promise high attractiveness for both expert and public audiences | CIIRC      | Not occurred |
| 9           | Insufficient   | WP6       | Low        | Low    | Low        | Project workshops and cross-   | CIIRC      | Not occurred |

D1.2 Quality and Risk Management Plan

| Risk number | Description of risk   | WP Number | Likelihood | Impact | Risk level | Proposed risk-response measure(s)  | Risk owner | Status       |
|-------------|---|-----------|------------|--------|------------|--|------------|--------------|
|             | resources for dissemination activities and networking events for NoE                    |           |            |        |            | networks meetings will be co-located within the main AI community and NoE events. Thanks to this, more effective event management and lower cost of scale are foreseen. Moreover, these synergies in organising events will bring a reasonable number of participants. It is also planned that due to current and repeating pandemic situation most of the events will be organized and communicated online. |            |              |
| 10          | Not enough partners interested in participating in/contributing to TDWs                 | WP4       | Low        | Low    | Low        | Use the already widely established network of partners in VISION. Contacts in other networks can enrich and benefit the TDW activities, among others the four NoE, CLAIRE and AI4EU, also by using their communication channels to announce TDWs and find suitable participants.   | DFKI       | Not occurred |
| 11          | Insufficient/no input from NoE to T4.1/D4.4 European AI trend radar and industry panels | WP4       | Low        | Low    | Low        | Risk is reduced due to direct involvement of VISION partners in TAILOR and HumanE AI-Net. Further, first contacts to AI4Media have been established, and will be established to the ELISE network during the project.  | DFKI       | Not occurred |

## 5 Conclusion

The document has defined the quality management procedures to ensure high-quality standards in the VISION project implementation and delivery and it has provided the relevant templates for quality monitoring. In addition, it has outlined the risk management procedure to allow effective detection, monitoring and reaction to risks across the project duration. The current version of the Risk Management Register is also provided. Overall, the document will serve as a reference for all consortium partners during the project implementation.

## 6 Annex

### a. Internal reporting templates

The following tables are the template used to collect information for the internal progress reporting and to draft the internal progress reports. The update of the Risk management register (section 4.4.1) is part of the report as well.

#### WP progress

This table is related to the activities of the Work Packages, so it shall be repeated for each WP.

|  |                        |           |  |
|--|------------------------|-----------|--|
| WP name  |                        |           |  |
| Duration   |                        | WP Leader |  |
| WP Objectives  | WP KPIs and Milestones |           |  |
|  |                        |           |  |
| Progress status per Task   |                        |           |  |
|  |                        |           |  |
| Achievements of the iPR (interim output, objectives, KPIs, milestones) |                        |           |  |
|  |                        |           |  |
| Critical issues/deviations per Task and related response plan          |                        |           |  |
|  |                        |           |  |
| Activities planning and objectives for the next iRP per Task           |                        |           |  |
|  |                        |           |  |

Dissemination and communication activities

| Date | Type | Title of the activity / Description | Target group(s) | Partner(s) involved | Status | Outreach | Relevant links |
|------|------|-------------------------------------|-----------------|---------------------|--------|----------|----------------|
|      |      |                                     |                 |                     |        |          |                |
|      |      |                                     |                 |                     |        |          |                |
|      |      |                                     |                 |                     |        |          |                |
|      |      |                                     |                 |                     |        |          |                |

Effort consumption

The following templates will be in Google Sheet format to enable automatic calculations.

D1.2 Quality and Risk Management Plan

| Partner | Effort consumption (person/months)                |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |                 |                 |                                      |
|---------|---|-----------|-----------------|-----------|-----------------|-----------|-----------------|-----------|-----------------|-----------|-----------------|-----------|-----------------|-----------|-----------------|-----------------|-----------------|--------------------------------------|
|         |   | WP1       |                 | WP2       |                 | WP3       |                 | WP4       |                 | WP5       |                 | WP6       |                 | WP7       |                 |                 |                 |                                      |
|         | Previous declaration: Total effort consumed at Mx | Actual M6 | Planned (total) | Total effort M6 | Residual effort | Total effort (planned as per budget) |
| ULEI    |   |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |                 |                 |                                      |
| CIIRC   |   |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |                 |                 |                                      |
| DFKI    |   |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |                 |                 |                                      |
| UCC     |   |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |                 |                 |                                      |
| FBK     |   |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |                 |                 |                                      |
| INRIA   |   |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |                 |                 |                                      |
| TNO     |   |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |                 |                 |                                      |
| PwC     |   |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |                 |                 |                                      |
| Total   |   |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |           |                 |                 |                 |                                      |

Effort consumption - overview

|         | Effort consumption (person/months) |                  |                  |                  |                  |                                 |
|---------|------------------------------------|------------------|------------------|------------------|------------------|---------------------------------|
| Partner | Total effort M6                    | Total effort M12 | Total effort M18 | Total effort M24 | Total effort M30 | Total effort planned per budget |
| ULEI    |                                    |                  |                  |                  |                  |                                 |
| CIIRC   |                                    |                  |                  |                  |                  |                                 |
| DFKI    |                                    |                  |                  |                  |                  |                                 |
| UCC     |                                    |                  |                  |                  |                  |                                 |
| FBK     |                                    |                  |                  |                  |                  |                                 |
| INRIA   |                                    |                  |                  |                  |                  |                                 |
| TNO     |                                    |                  |                  |                  |                  |                                 |
| PwC     |                                    |                  |                  |                  |                  |                                 |
| Total   |                                    |                  |                  |                  |                  |                                 |

Cost consumption - Other costs

This table shall be repeated for each partner.

|                |               |                      |
|----------------|---------------|----------------------|
| Partner number |               |                      |
| Partner name   |               |                      |
| Other cost (a) | <i>Amount</i> | <i>Justification</i> |
| Other cost (b) | <i>Amount</i> | <i>Justification</i> |
| Total consumed |               |                      |

D1.2 Quality and Risk Management Plan

|                               |  |
|-------------------------------|--|
| Residual                      |  |
| Total available as per budget |  |