



**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, updated

## D1.2 Quality and Risk Management Plan

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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"/> <i>If yes, please precise the list of authorised recipients:</i> members of the consortium and the Commission Services

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## 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 12 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 Road mapping: 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

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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 12 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



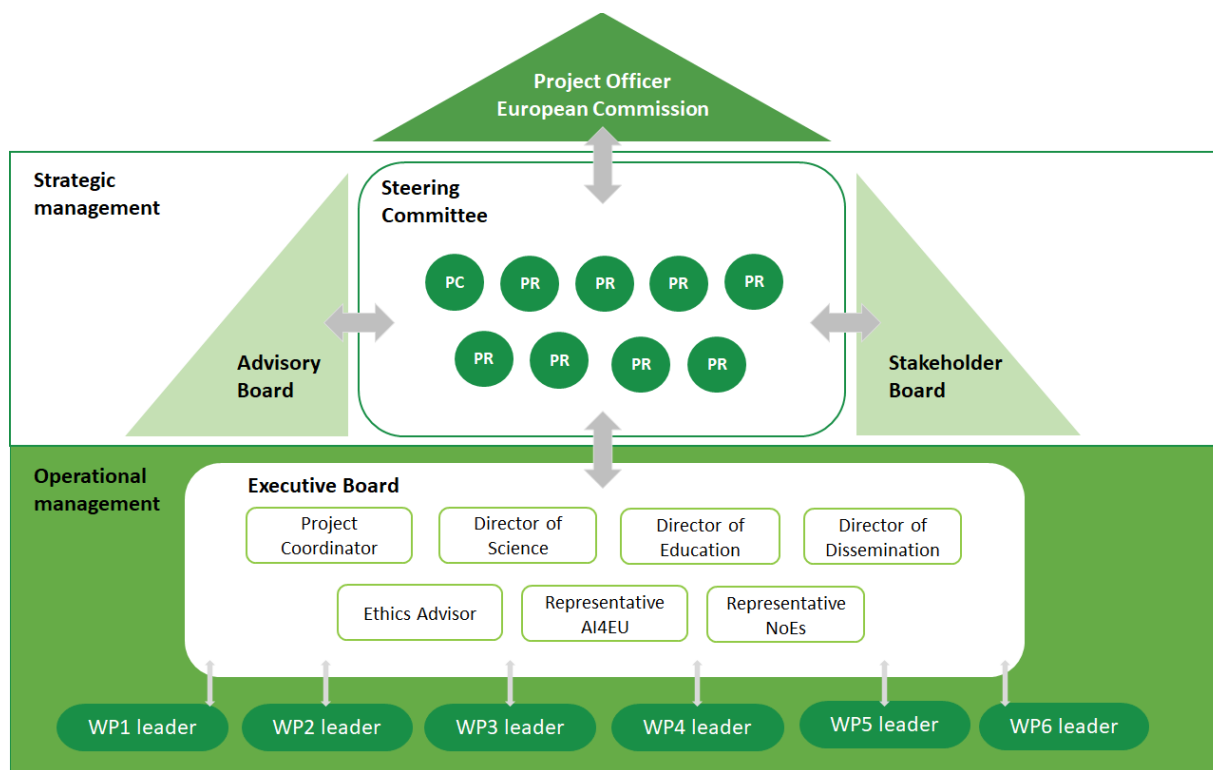
Other guidelines and tools to implement the Description of the Action are not legally binding and are provided by the EC or the consortium to support project management.

## 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

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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 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.

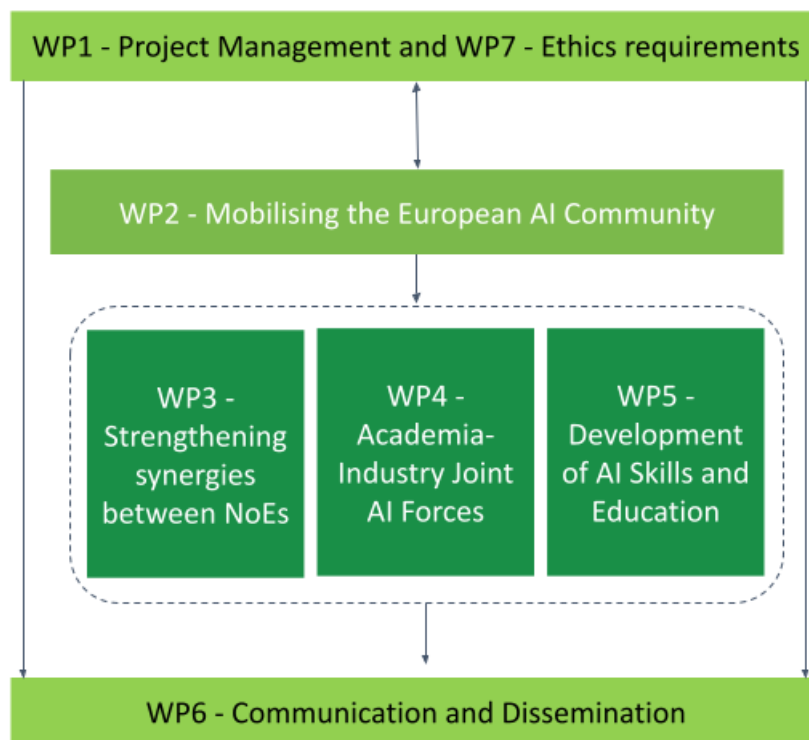
**International Advisory Board** VISION's external International Advisory Board will comprise independent experts: leaders of large AI communities and projects, foreign excellent researchers with a high reputation in AI implementation, training and research strategies, as well as representatives of important 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 Centres. Support for mobility and organisation of common events will also be 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 Centres within the European industrial community. Also included is the innovation management leveraging on the innovation work undertaken in each of the NoEs.

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**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, and scientific community.

**WP7** sets out the “ethics requirements” that the project must comply with.

### 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 the 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 made against a VISION team

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<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)

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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**<sup>2</sup>, 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.

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<sup>2</sup> Internal reporting at M6 of the project has not been performed, in line with a decision made by the consortium.

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



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	Ordinary meeting	Extraordinary meeting
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 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 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

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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 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 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.

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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, 12, 24
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

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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, 12, 24, 36
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

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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 consortium (including the Commission	2

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

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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	WP2	ULEI	24

## D1.2 Quality and Risk Management Plan

Nr.	Milestone name	Related WP(s)	Lead Beneficiary	Due date (in month)
	European AI networks			
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 road mapping consultations of the VISION WG with the NoEs and external stakeholders	8
WP2	Number of the AI4EU evaluation survey participants	80



D1.2 Quality and Risk Management Plan

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 echoes	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

## D1.2 Quality and Risk Management Plan

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

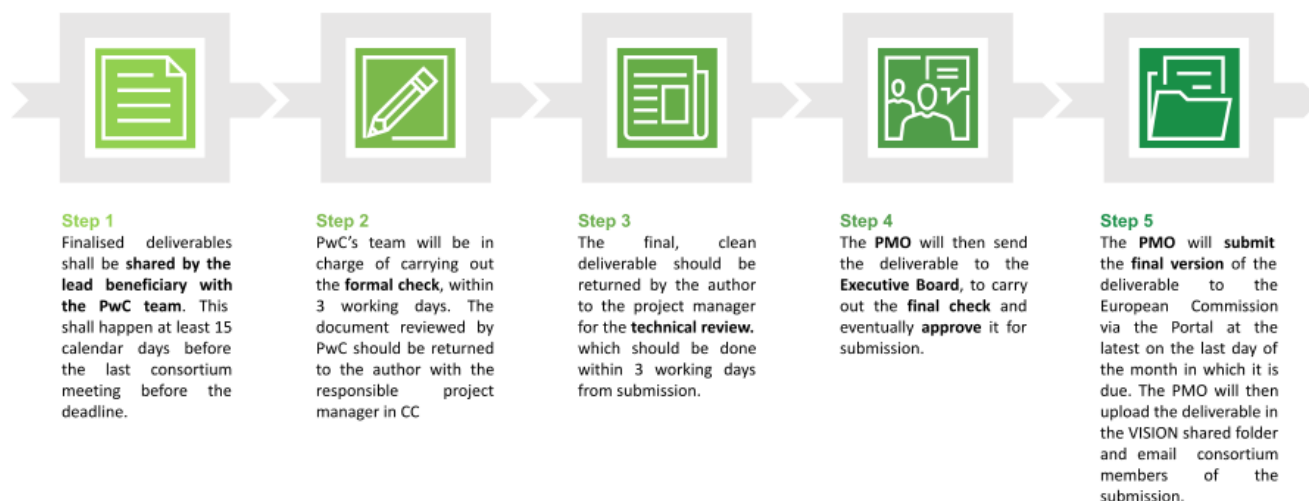
The focus of quality control and monitoring is on feedback and deviation management in the project. This entails the definition of an internal review process of deliverables and the monitoring of all communication activities, KPIs and milestones. In addition, three time-driven quality control measures 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 with quality objectives - a 5-step review approach has been defined:

## D1.2 Quality and Risk Management Plan

Figure 4 - Review of deliverables procedure



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

- **Step 1:** The PwC team will send a reminder with the approaching deliverable deadline to the lead beneficiary. Finalised deliverables shall be shared by the lead beneficiary with the PwC team at least 15 calendar days before the last consortium meeting before the deadline, in order to have adequate time for necessary formal and technical checks and eventual review/fine tuning;
- **Step 2:** The PwC team will be in charge of carrying out the formal check within 3 working days from receiving the document. The document reviewed by PwC should be returned to the lead beneficiary with the responsible project manager in CC: [w.aartsen@hands4grants.eu](mailto:w.aartsen@hands4grants.eu);
- **Step 3:** The lead beneficiary should implement eventual formal changes requested by PwC and send the document to the project manager ([w.aartsen@hands4grants.eu](mailto:w.aartsen@hands4grants.eu)) for the technical review. This review by the project manager should be done within 3 working days from receiving the document and responsible partners will be contacted as soon as possible, maximum 7 calendar days before the last consortium meeting before the deadline, to implement eventual needed changes;
- **Step 4:** The closure of the technical review should be confirmed by the PMO by sending the final deliverable in pdf format to the Executive Board (and the lead beneficiary in cc). The board will carry out the final check and eventually approve the deliverable for submission. In case the Executive Board requires further refining, the deliverable is sent back to the lead beneficiary promptly by one of the members of the Board; the lead beneficiary will implement the requested final changes and send it back to the PMO for the submission. Executive approval will be given in

## D1.2 Quality and Risk Management Plan

the last 15 minutes within the last consortium meeting before the deadline (EB members need to be present)<sup>3</sup>;

- **Step 5:** The PMO will submit the final version of the deliverable to the European Commission via the Portal at the latest on the last day of the month in which it is due. The PMO will then upload the deliverable in the VISION shared folder and will inform the consortium members of the submission via email.

The PMO will oversee the correct implementation of the procedure, but the ultimate responsibility of the development and quality finalisation of the deliverable is of the lead beneficiary of each deliverable.

### 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

<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.

## D1.2 Quality and Risk Management Plan

Nr.	Milestone name	Related WP(s)	Lead Beneficiary	Due date (in month)	Means of verification
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 road mapping 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

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WP	Key Performance Indicator	Target value	Means of verification
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 the results of TDW and AI-Watch activity	50	D4.4 - European AI Trend 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	
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 echoes	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

WP	Key Performance Indicator	Target value	Means of verification
			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.



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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 5 internal reporting periods (iRP) of 6 months duration, starting from M12, as follows:

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

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- iRP\_5 : 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\_2 and iR\_5, 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
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.

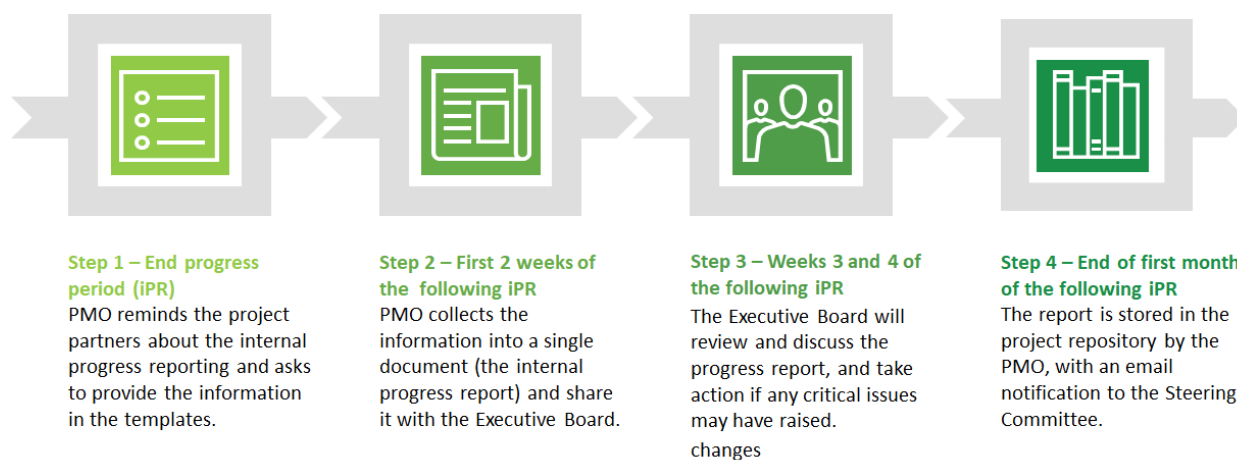
Once collected, the information will be consolidated by the PMO into a single document, an **Internal Progress Report**, which will be shared with the Executive Board. The Executive Board will review and discuss the progress report, and take action if any critical issues may be raised. If needed, it 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.

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<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.

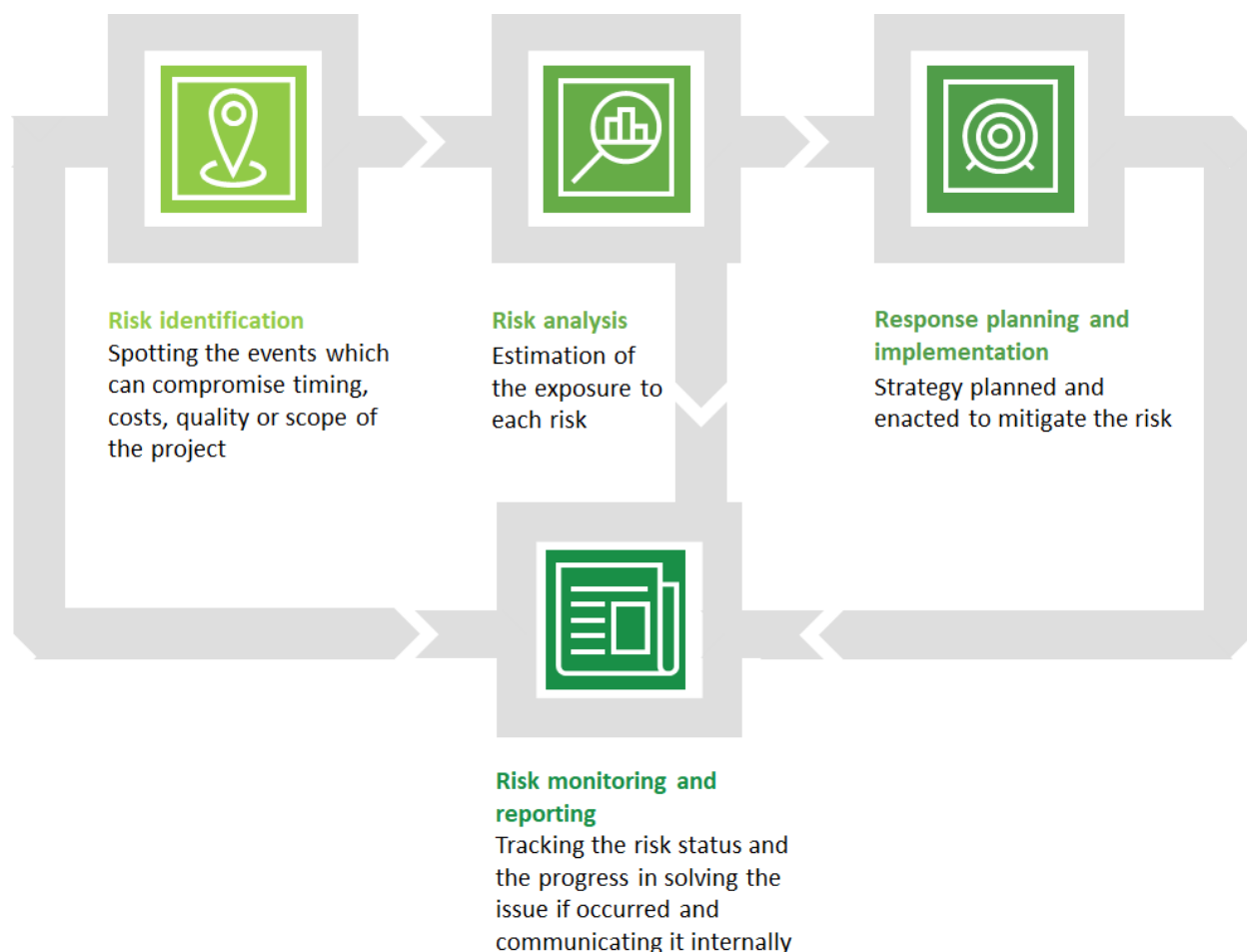
## 4 Risk management

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 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).

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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

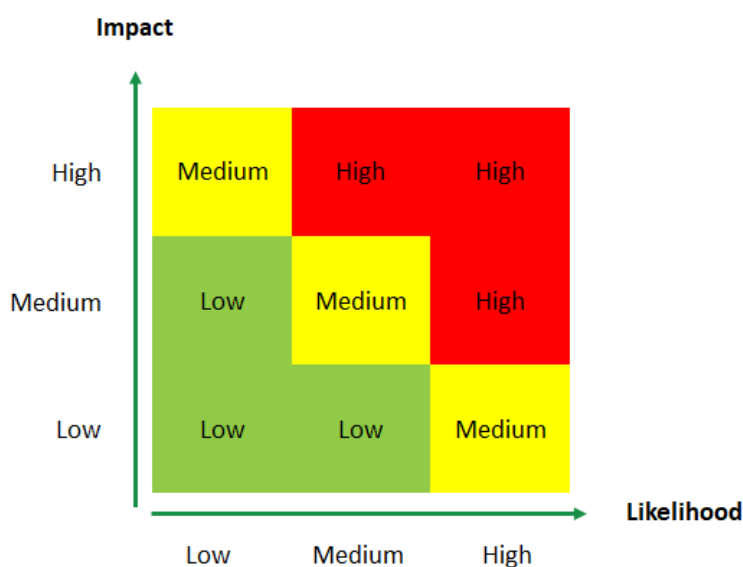
After a risk has been identified, it is important to assess the probability that that risk may occur (likelihood) and the size of the possible impact if it occurs (impact). The exposure to a given risk is estimated using a risk matrix, which assesses each risk according to these two dimensions on a given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

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<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.

## D1.2 Quality and Risk Management Plan

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.

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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 added value	WP4	Medium	Medium	Medium	DIH engagement activities will be planned and performed carefully, leveraging also on established DIH	PwC	Not occurred



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Risk number	Description of risk	WP Number	Likelihood	Impact	Risk level	Proposed risk-response measure(s)	Risk owner	Status
	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 the 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

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
9	Insufficient resources for dissemination activities and networking events for NoE	WP6	Low	Low	Low	Project workshops and cross-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 the current and repeating pandemic situation most of the events will be organized and communicated online.	CIIRC	Not occurred
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 iPR per Task			

D1.2 Quality and Risk Management Plan

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)	Actual M6	Planned (total)	Actual M6	Planned (total)	Actual M6	Planned (total)	Actual M6	Planned (total)	Actual M6	Planned (total)	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	