

# Euro BioImaging Preparatory Phase II Project

## D1.3 Quality Assurance and Risk Management Plan established

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| <b>Project N.</b>   | 688945  |
| <b>Project Title</b>  | Euro-BioImaging<br>Preparatory Phase II                             |
| <b>Project Acronym</b>  | EuBI PPII   |
| <b>Associated Work Package</b>                                | WP1   |
| <b>Associated Task</b>  | Task 1.3  |
| <b>Lead Beneficiary (short name)</b>                          | EMBL  |
| <b>Nature</b>   | Report  |
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**Abstract**

A Quality Assurance and Risk Management plan has been established at the aim of guaranteeing the timely deliver of the work plan and an harmonised embedding of the Milestones into the project course.

The present report constitutes the deliverable D1.3 of the Euro-BioImaging Preparatory Phase II project.

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## 1. Introduction and framing of Deliverable 1.3 within Task 1.3

The purpose of the Quality Assurance and Risk Management Plan is to describe how these two critical Project Management aspects will be structured within the Euro-BioImaging Preparatory Phase II project. Their appropriate implementation will guarantee the timely deliver of the work plan and a harmonised embedding of the Milestones into the project course.

The set-up of the Quality Assurance and Risk Management Plan therefore constitutes a part of Task 1.3 - *Delivery of Milestones; reporting duties*.

This document outlines policies and procedures for identifying and handling uncommon causes of project deviations (i.e. risk). In addition it outlines a strategy to guarantee that quality aspects of the project are met and regularly monitored.

## 2. Risk Management

At the moment of writing the Grant proposal and of defining the Preparatory Phase II project's objectives, tasks and milestones, some general risks were identified. In addition, on the occasion of the 1<sup>st</sup> conference call of the WP Leaders held on 27/01/2016,<sup>1</sup> all the WP Leads were invited to identify specific risks associated to their activities.

These two lists constitute the starting point of the EuBI PPII Risk Management Plan. Nevertheless it is important on the one hand to identify new risks as early as possible and on the other hand to establish a procedure for Risk Management.

At the aim of centralising and capturing the risks across the entire duration of the project a Risk Register has been established. At present, the register (Annex I) includes the risks identified during project planning and that are still actual as well as the ones established during project kick-off. Indeed, the risk included in the EuBI PPII Grant Agreement and described as "*Ratification of the 1st generation of EuBI Nodes delayed*" is no longer included in the registry

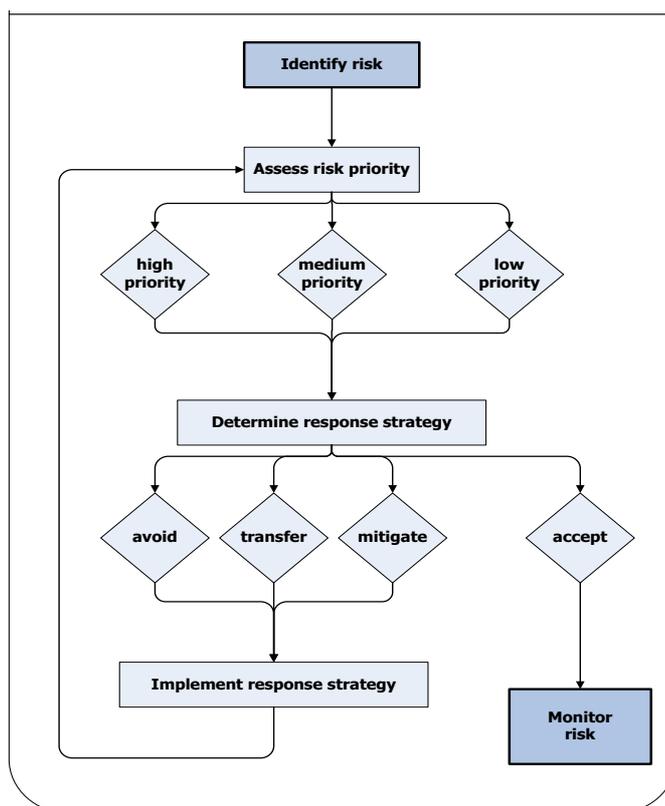
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<sup>1</sup> See Deliverable D1.1 - *Report on establishment and first conference call of Executive Project Management*

since the first generation of EuBI Node Candidates has been ratified by the Interim Board in November 2015.

In fact, the Risk Registry should be considered to be a living document and should be updated when new risks are identified. Every Work Package Leader, being responsible for the Risk Management within her/his own WP, shall report to the Project Manager and the Project Coordinator about newly identified risks. The new items will be included into the Risk Register and presented to the Executive Project Management (EPM), which will be in charge of identifying and implementing an appropriate mitigation strategy.

The EuBI PPII procedure for risk management mirrors the one successfully implemented during Preparatory Phase I and is depicted in **Scheme 1**.



**Scheme 1.** Euro-BioImaging Preparatory Phase II Risk Management Process

Once a risk has been identified, it will be carefully analyzed and a probability of occurrence will be assigned to it. A careful determination of a response strategy will then follow. If no means are identified to avoid the risk's occurrence or to transfer/neutralize its effects so that they will not impact the project's critical outcomes, the risk will be included in the registry and a mitigation strategy will be defined. After implementation of the response strategy, subsequent cycles of risk assessment and management will be applied until the risk can be considered overcome. In case the response strategy will not allow to annul it, the risk will be accepted and monitored until the change of contingencies will allow the identification of a new and more effective response strategy.

### **3. Quality Assurance**

Quality of deliverables, work packages and single tasks will be guaranteed by the application of the principles and procedures described below:

#### **a) Systematic Approach**

Each WP Leader is in charge of structuring the work functional to the preparation of the deliverables as well as the achievement of the related milestones and objectives. Nevertheless she/he will find the support of the Executive Project Management (EPM) group in case of need. The EPM may contribute in solving eventual issues by providing a systematic approach, i.e. by framing the item within the project's interrelated processes.

#### **b) Approval of project deliverables and key decision items by the EPM**

Before the Project Coordinator can submit the project deliverables to the European Commission, they will be reviewed and approved by the Executive Project Management. This body will also be involved in all the key decisions affecting the project's outcomes.

#### **c) Approval by the EuBI Interim Board before implementation in the EuBI ERIC**

In order to ensure continuous improvement, the submitted deliverables will not be considered to be static documents but may be fine-tuned at need, if the situation changes or upon suggestions brought forward by the EuBI Interim Board. Indeed the Interim Board, established at the end of Preparatory Phase I, remains the decision-making body of EuBI to

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reach ERIC operation and therefore it will carry out the final approval - and revision if needed - of the deliverables before their implementation in the framework of the EuBI ERIC.

## Annex I: Euro-BioImaging Preparatory Phase II Risk Registry

| WP  | Risk N. | Description of Risk   | Probability | Proposed risk-mitigation measures  |
|-----|---------|---|-------------|--|
| WP1 | R1.1    | Deviations from work plan due to the high number of deliverables and short project duration causing delays in the delivery of milestones & deliverables | Medium      | Application of Quality and Risk Management Plan; in case of deviations, the Coordinator will contact Project Officer to clarify situation and agree on contingency measures.   |
| WP1 | R1.2    | Disagreement within the consortium on modalities of running the project activities  | Low         | Additional efforts will be made to ensure optimal communication.   |
| WP1 | R1.3    | “Reinventing the wheel”: duplication of work carried out within other related projects  | Medium      | Maximizing communication and overlap with stakeholders involved in projects such as Global BioImaging and CORBEL to lead to maximum creation of synergies  |
| WP2 | R2.1    | Delays in the submission of the ERIC application to the EC  | Low         | Discussions on the basic parameters of the statutes and regulations have been taking place in the IB and internally with all IB members long before project start. The dialogue is ongoing and draft statutes are almost complete for submission to the EC in summer 2016. |
| WP2 | R2.2    | Delay of signing the EuBI ERIC and launch of the EuBI Board   | Medium      | Partners with extensive experience in establishment of ESFRI infrastructures are involved in the project and expected to provide consultations and support to those partners with more limited experience in the establishment of an ERIC.                                 |
| WP2 | R2.3    | IB legal delegates failing to provide sufficient amount of legal support (advisor’s time)   | Low         | Application of Quality and Risk Management Plan; in case of relevant delays, the Coordinator will contact the concerned Beneficiary to clarify situation and agree on contingency measures.  |
| WP3 | R3.1    | The technology coverage of the ratified Node Candidates proves to be too narrow to attract users  | Low         | WP3 to guide the IB to consider whether ratified Node Candidates are providing sufficient technological coverage. WP3 to liaise with WP8 to speed up implementation of procedure for inclusion of new technologies   |
| WP4 | R4.1    | Insufficient financial resources for user access to Nodes   | Medium      | The Consortium will continuously communicate with national funders to establish new funding mechanisms covering user access fees.  |

|                    |       |   |               |  |
|--------------------|-------|---|---------------|--|
| WP5                | R5.1  | Delay in the set-up of a functioning Interim Web Access Portal in a short period of time to allow early start of Interim Operations | Low           | Application of Quality and Risk Management Plan; in case of relevant delays, the Coordinator and WP3 will contact the Node Candidates to clarify situation.                  |
| WP5                | R5.2  | Delay in the set up of the technical framework for the online user Web Access Portal (WAP)  | Low to Medium | An Interim Web Access Portal will be set-up. In case of delay in the definition of the final WAP, the lifetime and functionality of the Interim WAP will be extended         |
| WP9                | R9.1  | Effective reach of the high number of external stakeholders (over 3000)   | Low           | Additional channel of communication will be explored   |
| WP3, WP5, WP6, WP7 | R10.1 | Difficulties with the integration of the web-access portal with other Hub services including image data and training activities     | Medium        | Responsible partners are asked to coordinate their activities early in the project, and the project coordinator supports and follows this early efforts towards integration. |
| WP1, WP3, WP9      | R10.2 | Lack of interest from imaging facilities to become the 2 <sup>nd</sup> generation of EuBI Nodes                                     | Low           | The Project Coordinator and WP9 to keep close contacts with the 25 national imaging communities, supporting national participation in EuBI.                                  |
| WP7, WP1, WP8, WP9 | R10.3 | Low response rate of the Core Facility Staff on the networking efforts of WP7, WP8 and WP9  | Medium        | WP1, WP7, WP8, and WP9 to keep close contacts with CFS in IB member states through meetings and other communication channels, supporting team-work feeling in the community  |
| All WPs            | R10.4 | Ignorance of rules and regulations by partners  | Low           | Application of Quality and Risk Management Plan; the Coordinator will contact the partner concerned and identify a contingency plan.   |
| WP1, WP4           | R10.5 | Non compliance to financial commitments taken by the Member States  | Low to Medium | The IB will build a large consensus at the stage of the discussion of the ERIC statutes and financial plan.  |