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# RAINBO

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## Task 8.1 Risk Management and Quality Assurance Plan Processes Tools and Templates

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LepidaSpA  
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<b>0.01</b>		

### Document Summary

Risk management and quality assurance plan, identifying and mitigating risks and setting the quality standards related to the project's processes and envisaged outputs.





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# 1 Risk Management

The purpose of the risk management & quality assurance plan will be to identify in advance potential problems which might endanger the successful implementation of the project and to mitigate, at an early stage, the potential impact on the project's objectives by defining indicators and respective values that, once attained, will trigger predefined remedial actions as an alert response. The quality assurance plan will be developed in three indicative stages: 1) assessment of risk factors, threats and remedial actions and processes reflecting the requirements set by the programme's documentation. 2) Identification of risk management and project monitoring tools 3) Adherence to a quality assurance plan.

## 1.1 Methodology

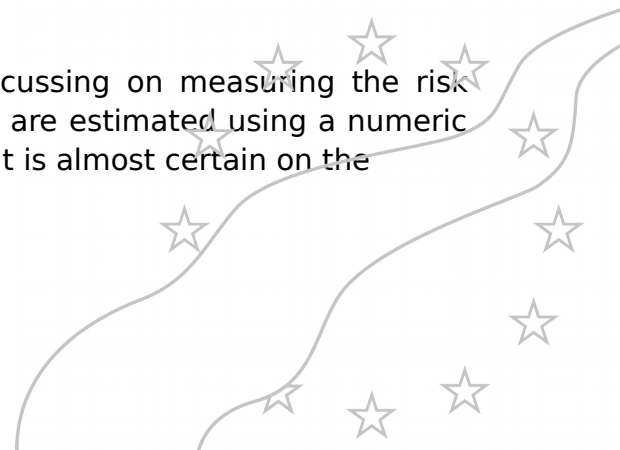
When analysing, recommending, planning or implementing any program like RainBo, a process of identifying and managing risks and raising awareness is essential. As the activities hypothesised in the RainBo Application Form are implemented, it is important that the entire RainBo team carry out a proficient risk management process. The types of risks we foresee and corrective activities are discussed here in management execution and technological impact terms. Some of the risks foreseen at the outcome are included in the table below. We expect unforeseen risks to arise during the course of the implementation of the project. The risks that may potentially affect the RainBo project will be continuously monitored in order to elaborate the corresponding contingency plans. The Steering Committee of the project will specifically address risk issues at each meeting. The analysis will distinguish different aspects of the project and then identify within them the most likely sources of risk, as well as the actions to be taken. The risk management tasks consist of risk identification, estimation, mitigation and follow-up.

### 1.1.1 Risk Identification

The risk identification process, distinguishes between potential risks and identified risks. All Consortium Partners are concerned with risk detection. When a risk is detected, it is reported to the Action Manager concerned, who is assessing the risk. Risks that are serious, affecting the critical path of the project, are further reported to the Project Coordinator. Potential risk identification is made at the beginning of the project and allows the identification of some risks potentially threatening the achievement of project goals. At the end of this section, a preliminary analysis of potential risks is presented.

### 1.1.2 Risk Estimation

The risk estimation is a two dimensional process, focussing on measuring the risk likelihood and the risk impact on the project. The risks are estimated using a numeric scale from low to high, where high represents a risk that is almost certain on the





likelihood scale, or a risk that is very serious, affecting the critical path of the project, on the risk impact scale.

Risk Mitigation and Follow-up. Each identified risk will have an owner who is responsible for its risk mitigation, monitoring and reporting. In addition, the risk owner proposes a preventive and corrective treatment, consisting of suitable actions to reduce the severity and the probability of occurrence of the risk

## 1.2 Initial Risk identification

Project Management activities include monitoring, risks assessment and corrective actions. In this preliminary phase, some potential risks have been identified in relation to the content and dependencies of the different Actions, and where possible preventive actions have been introduced in the project plan and methodology, as listed in the following tables:

### 1.2.1 Management Risks

Risk	Risk Description	Potentiality	Criticality
Partner Withdrawal	A partner leaves the consortium either by its own decision or by a decision from the Project Steering Committee	Low	High
<b>Preventive Actions</b>	<b>Corrective Actions</b>		
Continuous and Effective Monitoring of Partner's progress.	Re-allocation of the partner's activities effort to new partners or to the remaining partners.		

Risk	Risk Description	Potentiality	Criticality
Delay producing project related output	Delivery of project output to Life Team representatives is expected to be postponed.	Medium	Medium
<b>Preventive Actions</b>	<b>Corrective Actions</b>		
Continuous Monitoring of Partner's progress and interrelation to downstream activities.	Re-allocation of the partner's activities and effort to new partners or to other project partners.		
Inform the Project Manager in case a partner is reluctant to cooperate	If critical competencies lack in an existing partner, subcontract or replace partner		
	Inform the Life Team for the		



	partner's withdrawal and reallocation		
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Risk	Risk Description	Potentiality	Criticality
Insufficiency of Project Coordinator capacity	Coordinator fails to demonstrate leadership and coordination capability	Low	High
<b>Preventive Actions</b>	<b>Corrective Actions</b>		
Continuous Monitoring of periodic reporting.	Re-allocation of the management activities and effort to other project partners.		
Inform Steering Committee of potential default of Coordinator	If critical competencies lack in an existing partners, subcontract		
	Inform the EU of reallocation		

Risk	Risk Description	Potentiality	Criticality
Disagreement in consortium	Failure to reach common agreements on strategy or management issues	Medium	Medium
<b>Preventive Actions</b>	<b>Corrective Actions</b>		
Continuous discussion across Actions and activities to share viewpoints	Focused discussion at Action leader meetings with recorded minutes		
	If on the critical path and if potentially blocking progress a vote should be taken where simple majority will decide.		
	Inform the LIFE TEAM of any decision affecting the application form		

Risk	Risk Description	Potentiality	Criticality
Overspending	Insufficient budget for the implementation of planned activities	Medium	Medium
<b>Preventive Actions</b>	<b>Corrective Actions</b>		
Continuous attention to financial reporting aspects	Intercept potential overspending at an early stage and plan recovery spending		



Preventive discussion and review of partner financial declarations and planning.	Shift some activities to another partner with less onerous activities which might lead to an under spending.		
	Inform the LIFE TEAM of any decision affecting the financial plan.		

Risk	Risk Description	Potentiality	Criticality
Under spending	Excessive budget for the productive capacity of the partner	Medium	Medium
<b>Preventive Actions</b>	<b>Corrective Actions</b>		
Continuous attention to financial reporting aspects	Intercept potential under spending at an early stage and plan recovery spending plan		
Preventive discussion and review of partner financial declarations and planning.	Shift some activities to another partner with more capacity.		
	Inform the LIFE TEAM of any decision affecting the financial plan.		

### 1.2.2 Technical Risks

Risk	Risk Description	Potentiality	Criticality
Activity Timing Error: time overrun	Activities take longer than expected causing delay and disturbance on the critical path	Medium	Medium
<b>Preventive Actions</b>	<b>Corrective Actions</b>		
Continuous monitoring of activity scheduling and output	Intercept potential timing and delays before they affect other downstream activities through preemptive next period planning		
	Re-estimate and plan activities within existing timeframe or shift some activities to other partner with more capacity.		
	Inform the LIFE TEAM of any decision affecting the financial plan.		



Risk	Risk Description	Potentiality	Criticality
Misaligned scope of Actions	Activities are not coherent across Actions leading to results that can be used in subsequent activities or lead to project objectives.	Low	Medium
<b>Preventive Actions</b>	<b>Corrective Actions</b>		
Continuous discussion among Action leaders regarding activity planning and output	Reassessment of scope and output of single activities		
	Reconfigure activities to adapt output		
	Inform the LIFE TEAM of any decision affecting the Application form activities descriptions which have been changed or are planned to be changed		

Risk	Risk Description	Potentiality	Criticality
Difficult to consolidate findings and business models	Difficulties to address country or regional findings through a single consolidated business model.	Medium	Low
<b>Preventive Actions</b>	<b>Corrective Actions</b>		
Preparation of accurate investigation and appraisal activities	Reassessment and tune surveys to address national and regional particularities		
Expert correlation of investigation and appraisal results	Adapt output to collect the least common denominator		

## 2 Quality Considerations

### 2.1 Management Responsibilities

Ultimately it is the RainBo project management through the project manager who will be responsible for all project output and for the clear achievement of the project objectives. As the project manager and the support staff cannot oversee and monitor all Actions activities and tasks. The delegation of this responsibility is organised on four levels. Responsibility starts at the task level where a task manager has been identified for each task. This person is responsible for ensuring that the work and the output generated within the task is adhering to the level of quality expected. Tasks are



grouped into activities. Activity leaders are responsible for all the tasks and the output that make up the Activity. The same is true for the Actions that are made up of activities. Each Action leader will be responsible for all of the activities in his Action. The Action leader will communicate with the project manager and the steering committee. From the task leader to the project leader the quality of the project output and the results will be subject to these four levels of quality control. The leaders will be responsible for the quality of the project outcomes.

## 2.2 Quality

The concept of quality does not imply the highest value result possible, but rather how closely the result corresponds to the expected or desired result. For example if the objectives of the RainBo project were to prepare a conference and ensure attendance by 50% of Europe's 27 member states, having 21 member states representatives would not be better than having 14 member states. The maximum level quality would be measured at the moment the conference achieved participation of half of the possible 27. Exceeding 14 member state representatives will not increase the level of quality of the event because quality is delivering the output requested or expected by a requirement or a contract. In RainBo delivering quality is associated with the success of the project. It is measured in a series of results and indicators. The results are described in the output of the project. In some cases the output themselves are the results as may be the case with guidelines, while in other cases an output may simply describe a series of results like stakeholders meetings.

## 2.3 Document Management and Control:

Documents are the main method of communication in project management. Documents are used for communication between the team members, project management, the Steering Committee and the LIFE TEAM. Therefore, these chapters regarding quality describe a way to manage and control the documents used in the project.

The RainBo Deliverables are tied to the breakdown of Tasks, Activities and Actions that make up the structure of the project. These are generally technical documents and have an essential importance for the Life Team appraisal of how the project is doing, since they are written analysis and reports in which the information and results obtained during the project development are collected and analysed.

The Deliverables will contain essential documentation about the activity carried out during the relevant tasks and activities focused on the results achieved and the indicators that can be examined to justify the work carried out, while additional, detailed additional information and bibliographical references will be included as Appendixes.

### 2.3.1 Deliverable production

RAINBO templates have been produced and must be used by partners' editors throughout the project execution. The present document has been produced according to the RAINBO template for contractual outputs.





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## Document format

Documents produced and circulated within the RAINBO Consortium are in the following format depending on the type of content:

- Text documents: Microsoft Word compatible
- Presentations: Microsoft Power Point compatible

The documents disseminated outside of the consortium are in Adobe Acrobat Reader compatible format (.pdf).

Exceptions to the above rules are subject to prior approval by the Steering committee.

## Document storage

Approved documents are stored on the RainBo Google Drive.

The Project support office will be responsible for ensuring that all the final versions of documents are stored in the appropriate location. The Coordinator will send any required paper documents to the LIFE TEAM.

## Document file naming

The following rule is used for the naming of all files in RainBo:

***RainBo DocumentName ver.nn.FileExt***

Where:

### **DocumentName**

is the name of the document. If the document is an output indicate only the deliverable code (e.g. Tx.x.x without the deliverable title).

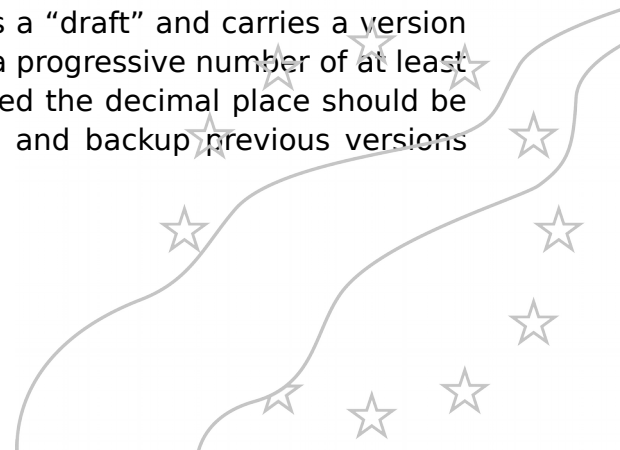
Example: RainBo-T8.1. ver 1.0.docx

### **ver**

is the incremental version number of the document. The document starts at ver.01 and proceeds to ver 1.0 at which time it is submitted if reworked it will further be released as ver 2.0. Numbering is limitless as when .99 is reached the user simply adds another decimal place and the numbering continues at .991, 992...etc.

Example: RainBo-Ox.x.x **ver .09** .docx

When a document is created it is initially referred to as a “draft” and carries a version number whose first digit is a “0” followed by a “.” and a progressive number of at least two decimal points. Every time the document is updated the decimal place should be increased by one unit. This may be the case to save and backup previous versions





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periodically as progress is made but also when the document changes hands and a new partner works on the document.

The approval process requires that a document be circulated for comments among the interested partners. Upon receiving the comments by the specified deadline, the author will make the proper modifications, therefore changing the version sub-number, without affecting the main number. The first digit of the version number (the first figure before the ".") is increased by one unit only if a version of the document is delivered to the LIFE TEAM, or when major modifications have significantly altered the contents of the document. The final version of the document will be identified with the ver.1.0 subsequent modified versions will be delivered to the LIFE TEAM with 2.0, 3.0 and so on until the document is accepted.

Every time modifications are made to a document, the new version must contain a clear indication of what has been added, modified or removed. This task is facilitated by the use of a versioning table on the second page of this document.

**During document review phases** in order to trace the contribution each partner to a draft document, the partner that commented the document will add his or her initials to the end of the version number ex. Ver.099RS.

### FileExt

Accordingly to the section above on document format, this should read .doc for text documents, .ppt for PowerPoint presentations, etc.

### 2.3.2 Logo

The logo of the RainBo project is shown in figure on the header of this page. It can be copied in a Clipboard format or in Word's Glossary for an easier future use. Its use is recommended in the formats contained in this document:

cover page size (5 x 13 cm)



**Figure 1 Cover page logo and size**





### 2.3.3 Editing rules and document generalities

#### Page formats

The following rules shall be followed in the production of all official RainBo (Outputs, Reports, etc.), and have also been used in the present Handbook:

#### **Document size and orientation**      **A4, portrait**

Page dimension:      210 × 297 mm [margins: 5, 3, 2.5, 2.5 cm].

Normal Font (for text)      Calibri 11 pts

### 2.3.4 Templates

Basic models for the production of official project documentation are distributed together with this document.

The templates are:

“RainBo.DOT”      for reports and deliverables

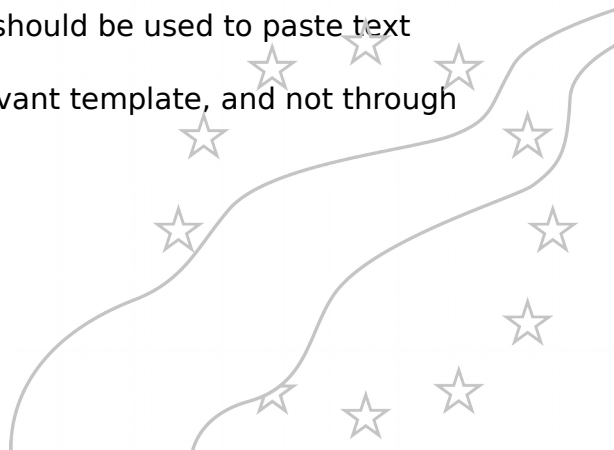
“RainBo.POT”      for Project Presentations

#### Styles

Few basic styles have been defined in the editing of the present document. The different versions of Word in the different languages should automatically translate the basic styles (such as Normal, Title 1 ..., etc.). Extra styles include styles for use in figure captions, table text and table titles, bullet lists and few others. Examples are given all along this document. The styles for the Table of Contents are assigned automatically during the creation of the Table (command: Insert / Table of Contents). Specific styles are used in the cover sheet. In order to keep consistency across documents, the number of newly defined styles should be used when an existing alternative doesn't exist in the template or when an unforeseen mediatype arises.

Every time that part of a document is pasted into a second one, all the styles defined in the first document can be automatically transferred into the second one. To avoid this (which results in an exponential growth of styles) this kind of operation should be carried out with great care. In particular:

- 1) When possible, the command *Edit-Paste Special* should be used to paste text from an another file as unformatted text;
- 2) New documents should be created using the relevant template, and not through modification of another existing document;





- 3) Styles in a document should not be modified: it will be care of those who edit the final version of the document to carryout any needed editing

## **Title numbering**

Title numbering follows the so-called legal scheme:

1. (Title 1)

1.1. (Title 2)

1.1.1. (Title 3)

and so on, as used in this document.

## **Letters (mail or email)**

No particular rules are defined to govern the exchange of internal communications; however, the use of the word “RainBo” and the Action/task reference or the topic in the subject line of the letter or email is recommended so as to avoid future misunderstandings and to facilitate the references and replies in as well as the future retrieval of documents.

## **Cover page**

As an example, see the frontispiece of this Risk management and Quality plan (the first page). This model should be used for all reports and deliverables.

## **Odd/even pages**

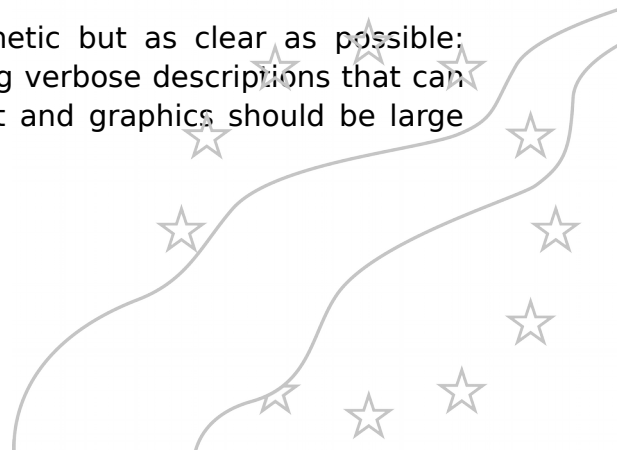
In order to save paper, reports will be preferably printed *recto verso*. In this case, page footers will be symmetrical, with the page number on the outer side, as is in this document. The template RainBo.DOT provides for this option as a default.

## **Presentations**

The RainBo template is provided for overhead presentations, some general rules are recommended for project-level or promotional presentations, in order to allow better consistency and re-use.

- A4 format; landscape presentation preferred
- Text should be at least 18 pts
- Graphics (pictures, diagrams, drawings) are preferred to text

As a very general rule, presentations must be synthetic but as clear as possible; therefore each page should contain few items (avoiding verbose descriptions that can be made by the speaker); the fonts used in both text and graphics should be large





enough for the audience to read, cryptic abbreviations should be avoided, the use of colour can improve readability.

## Review of documents

The procedure for the review and approval of documents shall make use of Google drive as much as possible. Every time that a new version for a document is issued, the author will circulate it, sending the Google drive URL, to all the partners interested by email rather than attaching it to the email. He will also define a deadline for the submission of comments. Since email does not always provide a means for the acknowledgement of delivery, it is recommended that every partner send a reply, even if they do not have specific comments, in order for the author of the document to be alerted ensure the delivery and process quality.

The persons identified in table x in the T.x.x will be the principal Document Reviewer for each output planned within the project, including but not limited to the contractual outputs.

The process and timing of deliverables and key document Review is outlined below:

- I. *First Draft*: a first version of the output must be submitted by the DE to the reviewers listed in table x for peer review **30 days** before the official delivery date;
- II. Comments will be provided by reviewers to the DE within 10 days of receipt;
- III. *Final Draft*: a final draft of the document must be submitted to the project coordinator **7 days** before official delivery date
- IV. The project office of the coordinator will examine the document in question and make any formal naming, format or other modifications required to maintain the established quality standards;
- V. *Final Version*: the document will be sent to the Project Manager, who will authorise it's release in the steering committee and thus release it to the LIFE TEAM.

A **Template** for all official RainBo outputs is attached to this manual (see Annex x).

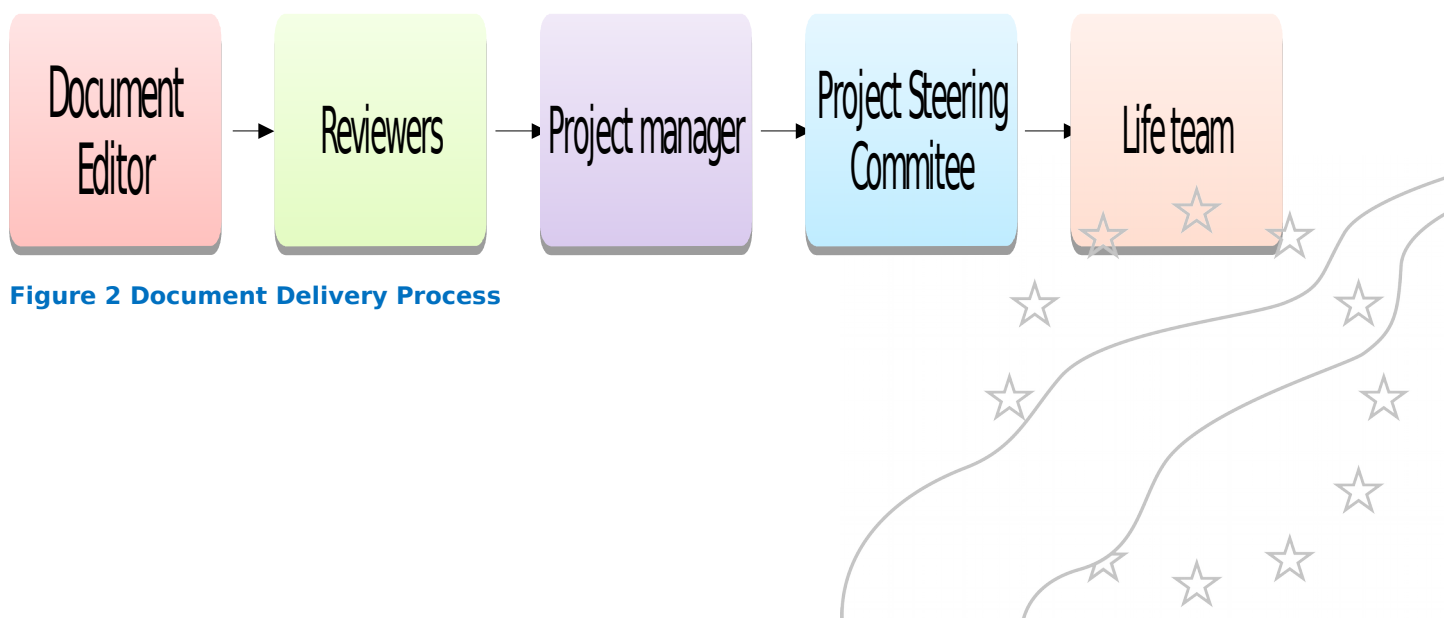


Figure 2 Document Delivery Process



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The table in lists all of the documents expected as outputs and the individual that is expected to be in charge of the delivery process are reported. Document Editors are appointed for each project document by internally within the partner in charge of action that is owner of the document. Reviewers are assigned by common accord.

Annexes in RainBO GDrive

**RainBo.DOT for reports and deliverables**

**RainBo.POT For Project Presentations**





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