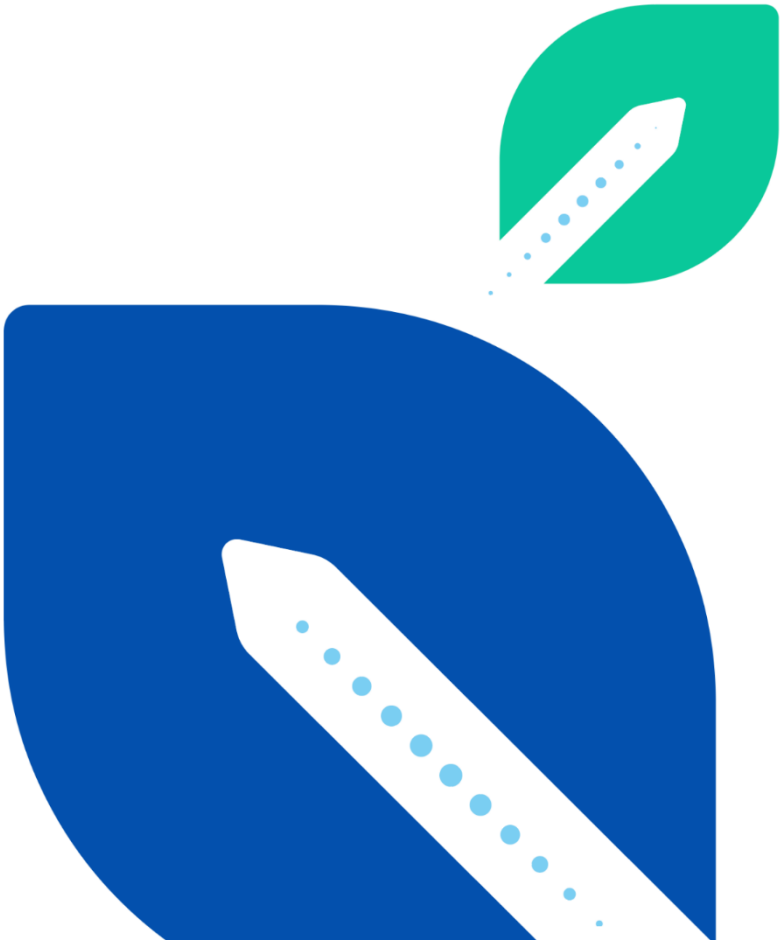
Sprout

D9.5 Risk & Quality Assessment Report

M01-M06



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 814910.

Deliverable	D9.5 Risk & Quality Assessment Report
Work package	WP9
Work package title	Project management
Date	27.01.2021
Authors	A. Halatsis (CERTH)
Contributors	M. Teresa de la Cruz (ZLC), Imre Keseru (VUB), Maria Eugenia López Lambas (UPM), Maria José Rojo (POLIS), Piero Valmassoi (POLIS), Frederic Rudolph (WI)
Status	Final
Version	2.0
Dissemination level	Public

Table of Contents

1 Executive Summary

This SPROUT report is the first in a series of reports which assess the **quality** of the project implementation and also the **risks** to not implement it as successful as foreseen. The present report covers the first six months of the project (M01-M06) and aims at reporting on the project work during this period and on any risks foreseen/addressed. Revised versions of the report will be submitted every six months, with the last version to cover the period M25-M30. The last six months of the project (M31-M36) will be reported in the project's Final Report (D8.4) in M36.

In reporting on quality and risk issues, the document uses as main indicators the expected impacts as these have been stated in the Grant Agreement (GA).

Quality assessment within this report is considered in terms of whether:

- the project's official deliverables have been submitted according to the foreseen time plan
- the project's outputs are considered of high quality by its main 'clients' (being the cities) and the innovation community as a whole
- the project is achieving its intended impacts as there were defined in the Grant Agreement (GA)

In its first six months, 16 deliverables were to be submitted according to the project time plan. Of those, 12 deliverables (75 %) were submitted on-time, and 4 (25%) were submitted with a delay of more than 30 days.

The first assessment of the quality of the project results took place after the project's 1st webinar that took place in February 24, 2020. The results of the questionnaire filled-in by the participants indicated that the topic was relevant for the audience and they acquire new knowledge on transition in urban mobility.

Finally, the project is progressing adequately in addressing its intended impacts in the areas of supporting evidence-based policy making and the overall project communication. As would be expected the majority of the intended impacts are linked to the following stages of the project, especially those related to effectively supporting mobility policies and to the achievement of positive mobility impacts at the level of the individual pilot cities.

In terms of risks, the main risk identified at this stage relates to the participation of the Chinese partners, as the resolution for their national funding is still pending. The decision on funding is expected in Spring 2020.

2 Introduction

This SPROUT report is the first in a series of reports which assess the **quality** of the project implementation and also the **risks** to not implement it as successful as foreseen. The present report covers the first six months of the project (M01-M06) and aims at reporting on the project work during this period and on any risks foreseen/addressed. Revised versions of the report will be submitted every six months, with the last version to cover the period M25-M30. The last six months of the project (M31-M36) will be reported in the project's Final Report (D8.4) in M36.

Quality assessment within this report is considered in terms of whether:

- the project's official deliverables have been submitted according to the foreseen time plan
- the project's outputs are considered of high quality by its main 'clients' (being the cities) and the innovation community as a whole
- the project is achieving its intended impacts as there were defined in the Grant Agreement (GA)

Chapter 3, addresses the first bullet point, presenting the planned and actual submission dates of the project deliverables to the EC.

Chapter 4, addresses the second and third bullet points. Regarding the quality of the project outputs, indicators of 'new knowledge production' are being used. The indicators of the other three categories (evidence-based policy making, effectively supporting mobility policies, and positive mobility impacts at the level of the individual pilot cities) are used to assess the extent of achieving the impacts foreseen at the project and at the city level.

Chapter 5, addresses also the third bullet point, but from another point view, the one of dissemination.

Finally, in Chapter 6, any risks that have been identified are analysed in terms of their type and potential impact. Risk mitigation measures are also presented.

3 Deliverables officially submitted

During the first six months of the project, the submission of 16 Deliverables was planned. The respective planned and actual submission dates are shown in Table 1.

Table 1: Deliverables submitted

ID	Title	Responsible partner	Planned submission date	Actual submission date
D1.1	NEC - Requirement No.1	ZLC	29/2/2020	28/02/2020
D1.2	H - Requirement No.2	ZLC	29/2/2020	28/02/2020
D1.3	NEC - Requirement No.3	ZLC	29/2/2020	28/02/2020
D2.1	Urban mobility transition inventory	VUB	31/10/2019	31/10/2019
D2.2	Current state of urban mobility	VUB	31/1/2020	31/1/2020
D2.3	Urban mobility transition drivers	VUB	31/1/2020	31/1/2020
D3.1	City-specific future urban mobility scenarios	VUB	29/2/2020	28/02/2020
D8.1	OIC setup and achievements	UPM	31/10/2019	31/10/2019
D8.5	Validation strategy	WI	29/2/2020	28/02/2020
D8.6	Dissemination/communication strategy & dissemination plan	POLIS	31/10/2019	18/12/2019
D8.10	SPROUT Website	POLIS	30/11/2019	16/1/2020
D8.11	Project identity	POLIS	31/10/2019	5/12/2019
D8.12	Dissemination material	POLIS	31/10/2019	5/12/2019
D9.1	Project Management Plan	ZLC	31/10/2019	31/10/2019
D9.4	Data Management Plan (DMP)	ZLC	29/2/2020	28/02/2020
D9.5	Risk & Quality Assessment Report	CERTH	29/2/2020	28/2/2020

Out of these 16 deliverables:

- 12 were submitted on-time (75%)
- 0 were submitted within 15 days from the official submission date (0%)
- 0 were submitted 16-30 days from the official submission date (0%)
- 4 were submitted with a delay of more than 30 days (25%)(*)
- 0 are still pending (0%)

(*) Due to a delay in the tender process. The PO was duly informed.

4 Project output impact

According to the call text of LC-MG-1-3-2018 (Harnessing and understanding the impacts of changes in urban mobility on policy making by city-led innovation for sustainable urban mobility) and SPROUT's GA, the project will contribute to the following impact areas:

1. to produce new, practice-based knowledge on how to navigate urban mobility policy through transition, taking into account legacy systems and the need to integrate new solutions that are at different levels of maturity
2. to provide added value inputs and contribute to evidence-based policy making at local, regional, national and EU levels
3. to support effectively mobility policies and a viable transformation path towards sustainable mobility
4. to ensure positive mobility impacts at the level of the individual pilot cities.

For each of the above impacts specific assessment indicators has been defined in the GA. These indicators and their assessment considering the project work in the first six months, are presented in the following Tables. The impact assessment indicators, assessment mechanisms and target values are the ones included in the DoA PartB. As the indicators refer to the whole duration of the project, only part of them is applicable to the specific reported period. As the project progresses, all indicators will become operational.

4.1 Impact 1: New knowledge production

SPROUT is expected to produce new, practice-based knowledge on how to navigate urban mobility policy through transition, taking into account legacy systems and the need to integrate new solutions that are at different levels of maturity (corresponding project objectives: PO1, PO3). As mentioned earlier, we consider this part of indicator as a means of assessing the quality of the project outputs by the cities and the wider innovation community. At this stage of the project, indicators I101, I106 & I107 are operational. The remaining indicators will become active as work in the following Tasks is completed.

Table 2: Project impact on new knowledge production

Impact ID	Impact assessment indicator	Impact assessment mechanism	Target value	Actual value	Notes
I101	level of contribution to the existing knowledge of the current state of urban mobility	survey of the 1st & 2nd layer cities	4 in qualitative scale of 1-5	4.2	The actual values are from a questionnaire survey undertaken among the cities that joined the SPROUT webinar on

Impact ID	Impact assessment indicator	Impact assessment mechanism	Target value	Actual value	Notes
					February 24th, 2020
I102	level of contribution to the existing knowledge of cause/effect relationships between drivers & expected impacts of change	survey of the Open Innovation Community members	4 in qualitative scale of 1-5	N/A at this stage	This will be assessed through a questionnaire after the next OIC meeting
I103	level of contribution to the existing knowledge of the cities' reaction to different innovation foci	survey of the 1st & 2nd layer cities	4 in qualitative scale of 1-5	N/A at this stage	This will be addressed as part of Task 3.3
I104	level of contribution to the existing knowledge of the level of (in)adequacy of existing urban mobility policies to address the emerging transport solutions	survey of the 1st & 2nd layer cities	4 in qualitative scale of 1-5	N/A at this stage	This will be addressed as part of Task 3.3
I105	no. of policy drivers & barriers identified for the implementation of new mobility solutions	survey of the 1st & 2nd layer cities	20 & 20	N/A at this stage	This will be addressed as part of Task 3.3
I106	no. of stakeholder groups identified that are affected by the urban mobility transition drivers	survey of the 1st & 2nd layer cities	60	>60	These have been identified as part of Task 2.3. Stakeholder names and contact details for each 1st and 2nd layer city are included in D2.3.
I107	no. of small- and medium-sized cities involved in the knowledge production process	survey of the 1st, 2nd and 3rd layer cities	31	25 (5 1st layer; 9 2nd layer; 11 3rd layer)	Cities from all 3 layers have been contributed in the knowledge documented in D2.2 & D2.3.

4.2 Impact 2: Evidence-based policy making

SPROUT is expected to provide added value inputs and contribute to evidence-based policy making at local, regional, national and EU levels (corresponding project objectives: PO2, PO3, PO5). At this stage of the project, indicators I201 & I202 are operational. The remaining indicators will become active as work in the following Tasks is completed.

Table 3: Project impact on evidence-based policy making

Impact ID	Impact assessment indicator	Impact assessment mechanism	Target value	Actual value	Notes
I201	no. of items identified for the 1st & 2nd layer cities (KPIs, drivers) from the Urban mobility transition inventory	survey of the 1st & 2nd layer cities reported in Deliverable D2.2 & D2.3	80	57 (27 KPIs; 30 drivers)	These have been identified as part of the work in Tasks 2.1-2.3
I202	no. of stakeholders participating in co-creation activities for the future mobility scenarios	Local workshop/ meeting participants' lists	120	54	These have been identified as part of Task 3.1
I203	no. of scenarios created for policy impacts of emerging transport solutions	Local workshop minutes	12	N/A at this stage	This will be defined as part of Task 3.3
I204	no. of stakeholders participating in co-creation activities for the pilot cases	Local workshop/ meeting participants' lists	120	N/A at this stage	This will be defined as part of Task 4.2
I205	no. of stakeholders participating in the participatory impact evaluation of the test cases	Local workshop/ meeting participants' lists	60	N/A at this stage	This will be defined as part of Task 4.3
I206	no. of proposed city-specific policy responses accepted by city authorities	City Authorities' verification	6 pilot cities	N/A at this stage	This will be defined as part of Task 4.5
I207	no. of SUMPs/existing local regulations for which a modification process is formally initiated based on the SPROUT results	City Authorities' verification	10	N/A at this stage	This will be defined as part of Task 4.5
I208	level of applicability of the SPROUT city-led innovative policy response, to a wide spectrum of European cities	survey of the 1st, 2nd and 3rd layer cities and of the Open Innovation Community members	4 in qualitative scale of 1-5	N/A at this stage	This will be defined as part of Task 5.3
I209	level of effectiveness of the 'European strategy' to navigate urban mobility policy through transition	survey of the Open Innovation Community members; preliminary accepted by the EC	4 in qualitative scale of 1-5	N/A at this stage	This will be defined as part of Task 7.3
I210	level of effectiveness of the proposed SUMP Guidelines' revisions	survey of the Open Innovation	4 in qualitative scale of 1-5	N/A at this stage	This will be defined as

Impact ID	Impact assessment indicator	Impact assessment mechanism	Target value	Actual value	Notes
		Community members			part of Task 7.1
I211	level of effectiveness of Policy Briefs in addressing respective actions defined by the Partnership for Urban Mobility	survey of the Open Innovation Community members	4 in qualitative scale of 1-5	N/A at this stage	This will be defined as part of Task 7.2
I212	level of applicability of the International cooperation agenda on urban mobility policy for the EU, the USA and China	survey of the Open Innovation Community members	4 in qualitative scale of 1-5	N/A at this stage	This will be defined as part of Task 7.4
I213	no. of new policies/ regulations related to new mobility solutions initiated 3 years after the project's end	follow-up survey to City Authorities	60	N/A at this stage	This will be defined as part of a post-project action
I214	no. of persons from different cultural backgrounds & vulnerable groups expected (according to the cities) to have access to the new urban mobility solutions/ services implemented through improved policy making 3 years after the project	follow-up survey to City Authorities	350,000	N/A at this stage	This will be defined as part of a post-project action

4.3 Impact 3: Effectively supporting mobility policies

SPROUT is expected to effectively support mobility policies and a viable transformation path towards sustainable mobility (corresponding project objectives: PO4, PO5). At this stage of the project, no indicators are operational but will be as part of WP6 to initiate in M21.

Table 4: Project impact on effectively supporting mobility policies

Impact ID	Impact assessment indicator	Impact assessment mechanism	Target value	Actual value	Notes
I301	no. of cities contributing to the Urban Mobility Shared Dataspace	urban mobility data sets provided	10	N/A at this stage	This will be defined as part of Task 6.1
I302	no. of cities adopting the SPROUT big-data analytics approach	survey of the 1st & 2nd layer cities	6 cities	N/A at this stage	This will be defined as part of Task 6.2
I303	no. of cities officially expressing their interest to explore the introduction of the SPROUT big-data analytics approach	survey of the 1st, 2nd & 3rd layer cities	10 cities	N/A at this stage	This will be defined as part of Task 6.2

Impact ID	Impact assessment indicator	Impact assessment mechanism	Target value	Actual value	Notes
I304	level of effectiveness of the Urban Policy Toolbox in supporting mobility policies	survey of the 1st & 2nd layer cities	4 in qualitative scale of 1-5	N/A at this stage	This will be defined as part of Task 6.3
I305	level of effectiveness of the capacity-building activities in designing and implementing urban mobility policies	survey of the 1st & 2nd layer cities	4 in qualitative scale of 1-5	N/A at this stage	This will be defined as part of Task 6.4

4.4 Impact 4: Positive mobility impacts at the level of the individual pilot cities

SPROUT is expected to have positive impacts on the urban mobility situation of each pilot city. The different types of impacts are shown in Table 5. At this stage of the project, no indicators are operational as these depend on the conclusion of the pilot assessment activities (Task 4.3).

Table 5: Project impact on mobility at the level of the individual pilot cities

Impact ID	Impact assessment indicator	Impact assessment mechanism	Target value	Actual value	Notes
	Economic impact				
I401	Delivery time reduction	Pilot measurements	20%, Kalisz	N/A at this stage	This will be defined as part of Task 4.3
I402	Road congestion reduction due to shorter distance driven by cargo vehicles	Pilot measurements	10%, Kalisz	N/A at this stage	This will be defined as part of Task 4.3
I403	Cost reduction of hyper-local logistics	Pilot measurements	20%, Ningbo	N/A at this stage	This will be defined as part of Task 4.3
	Environmental impact			N/A at this stage	This will be defined as part of Task 4.3
I404	Reduction in CO2 emissions from local transport	Pilot measurements	2%, Valencia	N/A at this stage	This will be defined as part of Task 4.3
I405	Reduction of traditional fuel consumption	Pilot measurements	3%, Padua	N/A at this stage	This will be defined as part of Task 4.3
I406	Reduction of CO2	Pilot measurements	4%, Padua	N/A at this stage	This will be defined as

Impact ID	Impact assessment indicator	Impact assessment mechanism	Target value	Actual value	Notes
					part of Task 4.3
I407	Environmental quality improvement (NO2 emissions)	Pilot measurements	9%, Padua	N/A at this stage	This will be defined as part of Task 4.3
	Social impact				
I408	Quality of public space & road user experience improvement	Pilot survey	Qualitative, Tel Aviv	N/A at this stage	This will be defined as part of Task 4.3
I409	Growth of safety of traffic users and pedestrians & growth of attractiveness of urban areas	Pilot survey	Qualitative, Tel Aviv	N/A at this stage	This will be defined as part of Task 4.3
	Operational impact				
I410	Increase of multimodal trips linking cycling & public transport	Pilot measurements	15%, Valencia	N/A at this stage	This will be defined as part of Task 4.3
I411	Proportion of cargo deliveries using the tested Infrastructure	Pilot measurements	30%, Kalisz	N/A at this stage	This will be defined as part of Task 4.3
I412	Urban logistics service level improvement	Pilot measurements	20%, Ningbo	N/A at this stage	This will be defined as part of Task 4.3
I413	Reduced total crossing time of pedestrians at signalised crosswalks	Pilot measurements	12%, Tel Aviv	N/A at this stage	This will be defined as part of Task 4.3
I414	Increase in the modal share of shared mobility solutions	Pilot measurements	10%, Budapest	N/A at this stage	This will be defined as part of Task 4.3
I415	E-mobility: recharging points	Pilot measurements	+ 10 points, Padua	N/A at this stage	This will be defined as part of Task 4.3

5 Communication & dissemination impact

In order to clarify the distinction between communication and dissemination, we use the explanations provided by the European IPR Helpdesk. Therefore:

- communication aims at reaching out to society and showing the impact and benefits of EU-funded R&I activities, e.g. by addressing and providing possible solutions to fundamental societal challenges, where
- dissemination aims at transferring knowledge & results with the aim to enable others to use and take up results, thus maximising the impact of EU-funded research.

A distinction is made on whether the respective impact is realised at the city-level or at the wider European urban mobility level.

It should be noted that the indicator targets refer to the whole duration of the project.

5.1 City level

The indicators used for assessing the impact at the city level are presented below. These are the ones included in the DoA PartB. Most of the indicators have not been active yet, as the project is running for a few months. Dissemination and communication at the local level is expected to become stronger in the following months.

Table 6: Dissemination & communication impact at city level

ID	Assessment indicator	Target value	Actual value	Notes
D101	Local workshops	6 workshops x 6 1st-layer cities = 36 1 workshop x 9 2nd-layer cities = 9	Valencia: 1 Padua: 1 Kalisz: 1 Budapest: 1 Tel Aviv: 1 Ningbo: 0 Hertogenbosch: 0 Ioannina: 0 Gothenburg: 0 Arad: 0 Mechelen: 0 Ile-de-France: 0 Birmingham: 0 Almada: 0 Minneapolis: 0	The workshops reported were realised in order to contribute to the development of future mobility scenarios in the 1st layer cities.
D102	Number of local news items in city media (number of news items in city websites)	6 news items x 6 1st-layer cities = 36 2 news items x 9 2nd-layer cities = 18	Valencia: 0 Padua: 0 Kalisz: 0 Budapest: 0	

ID	Assessment indicator	Target value	Actual value	Notes
		1 news item x 19 3rd-layer cities = 19	Tel Aviv: 0 Ningbo: 0 Hertogenbosch: 0 Ioannina: 0 Gothenburg: 0 Arad: 0 Mechelen: 0 Ile-de-France: 0 Birmingham: 0 Almada: 0 Minneapolis: 0 3rd layer cities: 0	
D103	Number of articles/press releases/interviews in the local media (number of news items that appear in local media)	3 x 6 1st-layer cities = 18 1 x 9 2nd-layer cities = 9	Valencia: 0 Padua: 0 Kalisz: 0 Budapest: 0 Tel Aviv: 0 Ningbo: 0 Hertogenbosch: 0 Ioannina: 0 Gothenburg: 0 Arad: 0 Mechelen: 0 Ile-de-France: 0 Birmingham: 0 Almada: 0 Minneapolis: 0	

5.2 European urban mobility level

The dissemination and communication impact of the project as a whole is assessed in the following Table. The respective indicators are the ones included in the DoA PartB, with additional ones included, to cover also scientific dissemination and communication (e.g. journal articles, conference presentations, etc.). Dissemination and communication at the European mobility level is expected to become stronger in the following months, as the outputs of the project are being released.

Table 7: Dissemination & communication impact at project level

ID	Assessment indicator	Target value	Actual value	Notes
	OIC performance			
D201	Number of OIC members	20	12	Current membership as shown in D8.1
D202	OIC participants per meeting	10	5	Participants of the OIC kick-off meeting

ID	Assessment indicator	Target value	Actual value	Notes
	Newsletter take-up			
D203	Number of subscribers	150	N/A at this stage	The first newsletter has not been launched yet
D204	Number of unsubscribers	30	N/A at this stage	The first newsletter has not been launched yet
D205	Subscribers' retention rate	80%	N/A at this stage	The first newsletter has not been launched yet
	Website			
D206	Returning visitors	30%	N/A at this stage	The website has been launched very recently. Data will be provided in the next reporting period.
D207	Page views	50,000 pages; 5 pages / session	N/A at this stage	The website has been launched very recently. Data will be provided in the next reporting period.
D208	Clicks		N/A at this stage	The website has been launched very recently. Data will be provided in the next reporting period.
D209	Average duration of stay in the website	2 mins	N/A at this stage	The website has been launched very recently. Data will be provided in the next reporting period.
	Project news items			
D210	Number of news items on media channels outside the partnership	15	0	
	Social media (LinkedIn)			
D211	Number of clicks	1000	44	
D212	Shares	100	3	
D213	Likes	100	29	
D214	Followers	300	31	
D215	Follower engagement rate	75%	12%	
D216	Types of comments received		No comments received	
D217	Types of followers	Local authorities Transport research institutes Urban mobility innovation experts Academics specialised in areas other than transport	Project management 35% Community and social services 20% Research 15% Operations 10% Others 5%	
	Articles & Presentations			

ID	Assessment indicator	Target value	Actual value	Notes
D218	Journal articles	5	0	
D219	Conference presentations	10	1	POLIS Conference 2019

6 Risks identified

Below you can see a list of any risks identified in the reporting period, including their potential impact and mitigation measures. Deliverables that are experiencing a delay in their official submission of more than 1 month, will automatically be considered as a risk.

Table 8: Risks identified and mitigation actions

Risk ID	Risk type	Risk description	WP number	Current & potential impact	Risk mitigation measures
1	Contractual	The Chinese partners are waiting for the resolution for funding from the Chinese Government	All WPs	Current impact: The CN partners did not contribute to D2.2 & D2.3 Potential impact: If not resolved could lead to significant delays in the contribution of the CN partners to the project	In October 2019, a note was submitted by the Chinese partners to the Chinese government explaining the contribution of the project activities to the Chinese government's main research initiatives. The decision on funding is expected in Spring 2020.
2	Operational	Lack of responses to the survey regarding the OIC. Extremely low rate of registrations on the OIC platform (ETM Forum).	All WPs	Current impact: The project would have benefited if concrete expectations from the OIC members were stated at the very beginning. Potential impact:	The project team has decided to contact directly each of the OIC members
3	Contractual	Budget is not spent correctly, or contributors do not deliver according to the plan	WP9	Current impact: None Potential impact: This could lead to delays in relation to the Tasks being affected	For these cases the Consortium Agreement provides tools for the coordinator and the consortium to react timely and redistribute the work and/or budget. Furthermore, consortium meetings will enable the consortium to make efficient use of these tools when needed.

7 Conclusions

In the first six months of the project, 16 deliverables were to be submitted according to the project time plan. Of those, 12 deliverables (75%) were submitted on-time and 4 (25%) were submitted with a delay of more than 30 days.

The first assessment of the quality of the project results took place after the project's 1st webinar that took place in February 24, 2020. The results of the questionnaire filled-in by the participants indicated that the topic was relevant for the audience and they acquire new knowledge on transition in urban mobility.

Finally, the project is progressing adequately in addressing its intended impacts in the areas of supporting evidence-based policy making and the overall project communication. As would be expected the majority of the intended impacts are linked to the following stages of the project, especially those related to effectively supporting mobility policies and to the achievement of positive mobility impacts at the level of the individual pilot cities.

In terms of risks, the main risk identified at this stage relates to the participation of the Chinese partners, as the resolution for their national funding is still pending. If this issue is not resolved, it could lead to significant delays in the contribution of the Chinese partners to the project. The decision on funding is expected in Spring 2020.

8 References

Scherer, J. et al (2018) Making the Most of Your H2020 Project: Boosting the impact of your project through effective communication, dissemination and exploitation, The European IPR Helpdesk. Retrieved from https://www.eltis.org/sites/default/files/sustainable_urban_logistics_planning_0.pdf