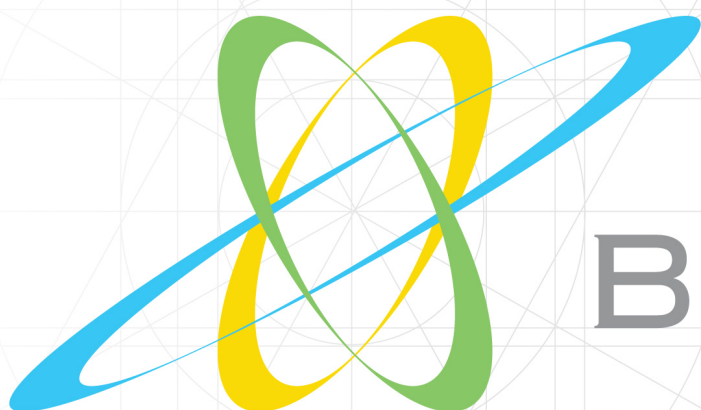




BENEFIT

Business Models for Enhancing Funding
& Enabling Financing for Infrastructure in Transport

Deliverable: D 1.1 – Quality Assurance Plan



European

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The Partnership



**University of the Aegean,
Department of Shipping, Trade and Transport**

Project Coordinator



TPR

Department of Transport and Regional Economics
University of Antwerp



PA&M

Public Administration & Management
University of Antwerp



UNIVERSITY of OULU
OULUN YLIOPISTO



Cerema



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Document summary information

Authors and contributors

Initials	Author	Organisation
TV	Thierry Vanelslander	University of Antwerp

Quality Control

	Who	Date
Checked by internal reviewer	Aris Pantelias	21/01/2015
Checked by Task Leader	Thierry Vanelslander	22/01/2015
Checked by WP Leader	Athena Roumboutsos	23/01/2015
Checked by Project Coordinator	Athena Roumboutsos	23/01/2015

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1 INTRODUCTION

This deliverable has the objective of setting out the procedures by which quality is assured.

2 BENEFIT PROJECT

BENEFIT project takes an innovative approach by analysing funding schemes within an inter-related system. Funding schemes are successful (or not) depending on the Business Model that generates them. The performance of the Business Model is effected by the implementation and the transport mode context. It is matched successfully (or not) by a financing scheme. Relations between actors are described by a governance model (contracting arrangements). These are key elements in Transport Infrastructure Provision, Operation and Maintenance, as illustrated in Figure 1.

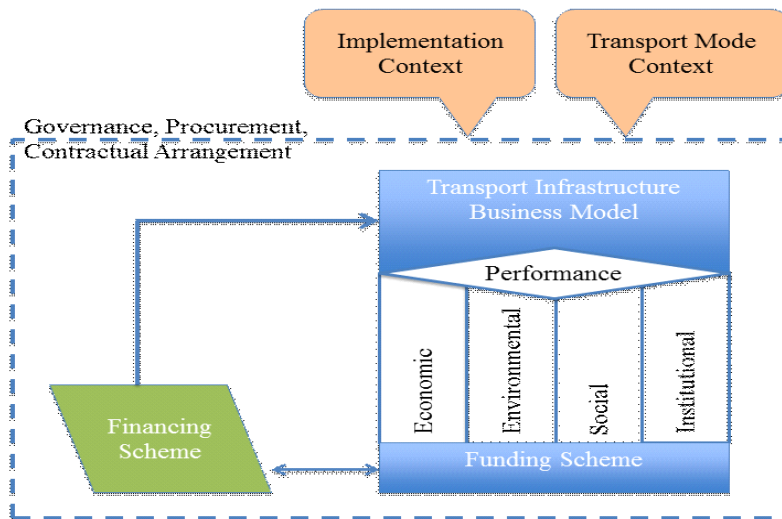


Figure 1: BENEFIT Key Elements in Transport Infrastructure Provision, Operation and Maintenance

In developing this framework, BENEFIT takes stock of case studies known to its partners in combination with a meta-analysis of relevant EC funded research and other studies carried out with respect to funding schemes for transport (and other) infrastructure and direct contact with key stakeholder groups.

Stemming from its overall objectives of providing structured, integrated and comprehensive analysis with findings that may be transferable and objective, BENEFIT creates the foundations of its analysis through:

- The consolidation, updating and extension of its collective case database,
- The generation of typologies of key elements influencing performance.
- The engagement of practitioners in pilot case analysis for gap identification and building solutions.

The above are combined with matching principles to form the Decision Matching Framework, which constitutes the BENEFIT analysis and decision framework providing a policy tool, guidelines and recommendations on financing and funding the design, implementation and maintenance (and upgrading) investments in transport.

BENEFIT uses the published case study descriptions of seventy-five transport infrastructure projects funded and financed by public and private resources from nineteen European and four non-European Countries covering all modes of transport. It also exploits twenty-four European country profiles with respect to contextual issues (institutions, regulations, macroeconomic and other settings) influencing funding and financing of transport infrastructure. This data has been produced within the framework of activities undertaken by the OMEGA Centre for Mega Projects in Transport and Development and the COST Action TU1001 on Public Private Partnerships in Transport: Trends and Theory. In addition, BENEFIT, through its partnership and respective experts, consolidates almost twenty years of successful European Commission research with respect to issues related to transport infrastructure and planning, assessment and pricing of transport services. Therefore, its approach is supported by the tacit knowledge and insights of the BENEFIT partnership with respect to infrastructure projects in transport.

The Decision Matching Framework will allow to: (i) carry out the analysis of existing experience in a way that allows the transferability of conclusions (ii) identify limitations (iii) propose solutions/remedies (iv) indicate combinations of typologies that are more (less) resilient to the financial and economic crisis. This analysis will “calibrate” the Decision Matching Framework and in this process develop a policy guiding tool and project rating framework.

In support to reach its objectives, BENEFIT engages and maintains a continuous exchange with all stakeholder groups. To this end, BENEFIT has set up:

- an Advisory Group, which includes individuals internationally recognized for their contribution in transport infrastructure development and European and International Institutions.
- Consultation Groups, who will be consulted at milestones. These groups include national Ministries responsible for delivery and maintenance of transport infrastructure, PPP Units, Financial Institutions, Project Sponsors and Promoters, Infrastructure Operators as well as Innovation Providers.

Through this involvement, the consideration of the full range of interested parties to provide input is obtained. Along the project, and additionally to regular dissemination measures, BENEFIT will encourage engagement, exchange and dissemination of information through webinars, discussion corners, hangouts and policy dialogues. Finally, BENEFIT, recognizing the dynamic nature of investments in transport, will release its updated collective database in an “updating” friendly wiki format for future experience sharing.

3. QUALITY ASSURANCE

Contained in DoW



Internal quality assurance of all deliverables will be carried out prior to submission to the Commission. First of all, each deliverable gets assigned a dedicated internal reviewer further on in this proposal. To that purpose, a draft copy will be delivered to the internal reviewer one month before its due date for comments on technical as well as formal quality.

The reviewer has specific responsibility for providing feedback to the lead authors on more detailed quality assurance in terms of presentation, quality of writing, consistency, clarity etc. In no case will a reviewer be involved in a reviewed deliverable. Reviewing will be done by using a standard reviewing form, in order to ensure consistency in the reviewing process.

At the same time, draft copies of deliverables will be circulated electronically to all partners for additional comments.

Review forms and comments are to be sent in the agreed way within a maximum of one week to those responsible for deliverables, which gives the latter one week correction time before the final version is submitted.

External quality assurance is to be gained from the various contacts within the advisory board, during the dissemination moments, and with the various other contacts that will be established. For the appointed external advisory board member, one week of reviewing time will also be granted, and one week of revision time for the deliverable authors.

Outline plan

The main task activities are:

1. Produce quality assurance plan
2. Organise and perform quality assurance reviews
3. Monitor quality and produce quality evaluation reports

4. QUALITY ASSURANCE PLAN

This involves the establishment of quality criteria, measurement systems, controls and corrective mechanisms for all deliverables. The following table is to be used.

It is important that all feedback is constructive.

Suggested quality criteria and measurement system is provided below:

Quality criteria

Content

- Are the objectives appropriate and clear? Do they address all the issues highlighted in the Work Plan?
- Have the objectives been met?
- Does the work include references to relevant material and literature?
- Does it demonstrate a sufficient knowledge of the subject? Is there sufficient detail in all areas?
- Is the information technically sound?
- Are the findings clear and well argued?
- Does the deliverable provide inputs as expected for the subsequent work?

Structure and Presentation

- Is the information clearly presented?
 - Is the work cohesive and consistent?
 - Is the writing style appropriate?
 - Have the style guidelines been followed?
- (See Annex 1 for the relevant template)

General Comments on overall impression

5. ORGANISE AND PERFORM QUALITY ASSURANCE REVIEWS

This will include:

- Assignment of dedicated internal reviewer for each task/deliverable (person not involved in the Task). *See Annex 2 for the concrete assignment.*
- Task leader delivering a draft copy of task report to assigned internal reviewer 1 month prior to completion for comments.
- Draft copies of deliverables will be circulated electronically to all partners for additional comments.
- Internal reviewer feedback to the lead authors on more detailed quality assurance criteria above using standard form to ensure consistency.
- Review forms and comments to be sent within maximum of one week to deliverable authors, task and workpackage leaders, and Quality Control task leader.
- Task Leader to ensure corrections and amendments completed and that internal reviewer is satisfied that issues have been addressed before revised version submitted to external reviewer.
- External quality assurance to be obtained as part of the dissemination process, and specifically from the advisory board, within one week. *See Annex 2 for the Concrete Assignment.*
- Final comments from external reviewer to be processed in one week's time.

3 Monitor Quality and produce evaluation reports

- All review forms to be delivered to UA-TPR on completion
- Report to be produced based on general comments and feed back to consortium members

ANNEX 1

Task Number _____ 1.2 _____ Date submitted for Review _____ 21/12/2014 _____

Task Leader _____ UA _____ Date returned to Authors _____ 28/12/2014 _____

Author(s) _____ Vanelislander Thierry _____ Amendments Checked by _____ 04/1/2015 _____

Reviewer _____ Aris Pantelias _____ Date _____ 9/02/2015 _____

	Quality criteria	Measurement					Comments (specific areas which need addressing)
	Content	1	2	3	4	5	
1	Are the objectives appropriate and clear? Do they address all the issues highlighted in the Work Plan?	Objectives unclear and inappropriate	Objectives not very well explained	Satisfactory but some gaps	Good but need slight refinement	All addressed, clear and appropriate	
2	Have the objectives been met?	Not at all	To a limited extent	Satisfactory	Yes - good	Yes extremely well	
3	Does the work include references to relevant material and literature?	Totally inadequate	Poor	Adequate	Good	Outstanding	
4	Does it demonstrate a sufficient knowledge of the subject? Is there sufficient detail in all areas?	Totally inadequate	Poor	Adequate	Good	Outstanding	
5	Is the information technically sound?	Not at all	To a limited extent	Satisfactory	Yes - good	Yes excellent	
6	Are the findings clear and well argued?	Not at all	To a limited extent	Satisfactory	Yes - good	Yes excellent	
7	Does the deliverable provide inputs as expected for the subsequent work?	Not at all	To a limited extent	Satisfactory	Yes - good	Yes excellent	

	Quality criteria	Measurement					Comments (specific areas which need addressing)
	Structure and Presentation	1	2	3	4	5	
8	Is the information clearly presented?	Totally inadequate	Poor	Adequate	Good	Outstanding	
9	Is the work cohesive and consistent?	Totally inadequate	Poor	Adequate	Good	Outstanding	
10	Is the writing style appropriate?	Totally inadequate	Poor	Adequate	Good	Outstanding	
11	Have the style guidelines been followed?	Not at all	To a limited extent	Satisfactory	Yes - good	Yes excellent	

ANNEX 2

WP	Deliverable	Partner in charge of deliverable	Internal reviewer	First draft ready by	Deadline for Internal Review	2nd Draft	External reviewer	Deadline for external Review	Final for Submission
WP1	D1.1 Quality Assurance Plan	UA	UCL	1/29/15	1/31/15				2/2/15
WP1	D1.2 Risk Management & Innovation Plan	TIS	IST	1/29/15	1/31/15				2/2/15
WP1	D1.3 Mid_Term Report	UAEGEAN	UCL	10/3/15	10/10/15				10/31/15
WP1	D1.4 Final Report	UAEGEAN	UCL	8/3/16	8/10/16				8/31/16

WP2	D2.1 Updated Benefit Database	IBDIM	UoB	2/10/15	2/12/15	2/14/15		2/16/15	2/18// 2015
WP2	D2.2 Typologi es of Funding Schemes and Imple mentation Context Typologi es, Transpor t Mode Context Typologi es, Business Model	UA	TRT	2/9/15	2/16/15	2/23/15	Marco Ponti	3/2/15	3/9/15
WP2	D2.3 Review of Financing Schemes and Typology	KIT	UA	2/11/15	2/18/15	2/25/15	Jonatha n Gifford	3/4/15	3/11/1 5

WP2	D2.4 Review of Governance, Procurement, Contractual Arrangement & Typology	UT	UAEGEAN	2/10/15	2/17/15	2/24/15	Mohan Kumara swamy	3/3/15	3/10/15
WP3	D3.1 Methodological Framework for ex- post analysis	UCL	UoB	5/3/15	5/10/15	5/17/15	Wernet Rothengatter	5/24/15	5/31/15
WP3	D.3.2 Decision Matching Framework policy Guiding Tool and Project Rating Methodology and Methodological Framework to increase business model creditworthiness	UAEGEAN	ULPGC	3/3/16	3/10/16	3/17/16	Cesar Queiroz	3/24/16	3/31/16

WP4	D4.1 Lessons learned (stage 1)	TRT	UCLAN	5/3/15	5/10/15	5/17/15	Yves Crozet	5/24/15	5/31/15
WP4	D4.2 Lessons learned (stage 2)	TRT	KIT	10/3/15	10/10/15	10/17/15	Alain Bonnafo us	10/24/15	10/31/ 15
WP4	D4.3 Limitatio ns and Recomm edations	UCLAN	IBDIM	1/3/16	1/10/16	1/17/16	Yves Crozet	1/24/16	1/31/16

WP4	D4.4 Effects of the Crisis	UoB	UT	3/3/16	3/10/16	3/17/16	Mohan Kumara swamy	3/24/16	3/31/16
WP5	D5.1 Potential of investme nts in transport infrastruc ture	UT	UCLAN	7/3/16	7/10/16	7/17/16	Dejan Makovs ek	7/24/16	7/31/16
WP5	D5.2 Policy Dialogue s	IST	IBDIM	3/3/16	3/10/16	3/17/16	Dejan Makovs ek	3/24/16	3/31/16
WP5	D5.3 Policy Guideline s and Recomm endation s	UAEGEAN	OULU	7/3/16	7/10/16	7/17/16	Andreas Kopp	7/24/16	7/31/16
WP6	D6.1 Data Manage ment Plan	UAEGEAN	UA	1/20/15	1/22/15	2/13/2015 Review by administration dpts			2/16/15

WP6	D6.2 Dissemin ation & Exploitati on Plan	UAEGEAN	KIT	2/13/20 15, 10/27/2 015, 8/27/20 16	2/15/201 5, 10/29/20 15, 08/29//2 016				2/17/2 015, 10/31/ /2015, 08/31/ 2016
WP6	D6.3 Newslett ers	IBDIM	TIS	02/24/2 015, 05/27/2 015, 08/27/2 015, 11/26/2 016, 02/25/2 016, 05/27/2 016, 08/27/2 016	02/26/20 15, 05/29/20 15, 08/29201 5, 11/28/20 16, 02/27/20 16, 05/29/20 16, 08/29/20 16				02/28/ 2015, 05/31/ /2015, 08/31/ 2015, 11/30/ 2015, 02/29/ /2016, 05/31/ /2016, 08/31/ /2016
WP6	D6.4 Portal	UAEGEAN	CERE MA	2/13/15	2/15/15	2/17/15		2/19/15	2/21/1 5
WP6	D6.5 Wiki BENEFIT	UAEGEAN	CERE MA	2/13/15	2/15/15	2/17/15		2/19/15	2/21/1 5
WP6	D6.6 Webinars	TIS	UT	06/03/2 015, 02/01/2 016, 07/03/2 016	06/10/20 15, 02/8/201 6, 07/10/20 16	06/17/20 15, 02/15/20 16, 07/17/20 16	Alain Bonnafo us	06/24/20 15, 02/22/20 16, 07/24/20 16	06/30/ /2015, 02/29/ /2016, 07/31/ /2016
WP6	D6.7 Discussio n Corners	TIS	TRT	02/13/2 015, 04/02/2 015, 08/03/2 015, 12/03/2 015, 5/03/20 16	02/15/20 15, 04/9/201 5, 08/10/20 15, 12/10/20 15, 5/10/201 6	02/17/20 15, 04/16/20 15, 08/17/20 15, 12/17/20 15, 5/17/201 6	Jonatha n Gifford	02/19//2 015, 04/23/20 15, 08/24/20 15, 12/24/20 15, 05/24/20 16	02/21/ /2015, 04/30/ 2015, 08/31/ 2015, 12/31/ /2015, 05/31/ /2016

WP6	D6.8 Hangouts	TIS	ULPGC	02/13// 2015, 05/03/2 015, 09/2/20 15, 01/03/2 016, 06/03/2 016	02/15/20 15, 05/10/20 15, 09/9/201 5, 01/10/20 16, 06/10/20 16	02/17/20 15, 05/17/20 15, 09/16/20 15, 01/17/20 16, 06//17/2 016	Mohan Kumara swamy	02/19/20 15, 05/24/20 15, 09/23/20 15, 01/24/20 16, 05624/20 16	02/21/ /2015, 05/31/ /2015, 09/30/ /2015, 01/31/ 2016, 06/31/ /2016
WP6	D6.9 Worksho p	TIS	UA	3/3/16	3/10/16	3/17/16	Wernet Rotheng atter	3/24/16	3/31/1 6
WP6	D6.10 Final Conferen ce	UAEGEAN	UCL	8/3/16	8/10/16	8/17/16	Cesar Queiroz	8/24/16	8/31/1 6