GRRIP

WP 1 - Risk management (RM) Plan and Administration

D1.3 – Risk Management Plan (RMP)

30/06/2019

About GRRIP

The overall aim of GRRIP is to implement Responsible Research and Innovation (RRI) to improve research in the Blue Economy. GRRIP will embed sustainable RRI practices in four research performing organisations (RPO) and one dual function RPO and research funding organisation (RPO/RFO) in the marine and maritime sectors to achieve institutional and cultural change. This will be accompanied by establishing a platform for engagement with the Quadruple Helix (QH) for each RPO&RFO, and a platform for mutual learning between the 5 RPO&RFOs and QHs. The project will revolve around six key dimensions: ethics, gender equality, open access & data, science education, public engagement, and governance. Whilst marine and maritime (M&M) research is a high priority in the EU, this project acknowledges that M&M is extremely exposed to non RRI alignment between Research and Innovation, societal actors, and he environment, affecting its performance and competitiveness.

6 Objectives of GRRIP:

1. To co-develop, implement and evaluate self-tailored RRI Action Plans (AP) to enable institutional and cultural change processes for the 5 marine and maritime (M&M) research performing organisations and research funding organisations (PPO&RFOs).
2. Establish structures to facilitate, promote and maximise real sustainable engagement with, and input from, the Quadruple Helix (QH).
3. Establish indicators and methodology for impartial Monitoring, Reflection and Evaluation cycles.
4. Develop a mutual learning process across the M&M FPO&RFOs and the QH, both during the institutional and cultural change project and ongoing evaluation feedback loop cycles.
5. Legacy: to enable more M&M RPO&RFOs to ground RRI practices through institutional and cultural changes by creating a practical user-friendly RRI AP framework template and launching a M&M RRI community.
6. Examine how an RFO can positively influence and encourage an RPO towards RRI via its funding policy and interaction.

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01	30/06/2019	Draft (Ongoing Document)	PM	SC	Draft

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Legal Disclaimer

Executive Summary

Risk management is an ongoing process that continues throughout a project. It includes processes for risk management planning, identification, analysis, monitoring, and control. Many of these processes are updated throughout the project life cycle as new risks can be identified at any time. The objective of risk management is to decrease the probability and impact of events adverse to the project.

The identification of risks was started before the project was initiated, and the number of risks may increase as the project continues. When a risk is identified, it is first assessed to determine the probability of occurring, the degree of impact to the schedule, scope cost, and quality, and then further prioritised. Some risk events may impact only one, while other may impact the project in multiple impact categories. The probability of occurrence, number of categories impacted, and the degree (high, medium, low) to which they impact the project will be the basis for assigning the risk priority. All identifiable risks will be entered into a risk register and documented as a risk statement.

Identifying and documenting events that pose a risk to the outcome of a project is only the first step. It is equally important to monitor all risks on a schedule's basis by a risk management team and reported on in the project status report.

The risk management plan should be used as a reference by the project coordinator, the project manager and all project partners about how to identify and address risks in a timely manner.

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1. Introduction

1.1 Scope

This Plan describes the risk management organisation and processes that will be used during the GRRIP Project. Since risk management is a vital task in many organisations worldwide we largely based this document on two published risk management reports. [1][2]

1.2 Purpose

The purpose of the risk management process is to identify and analyse the effects of uncertainties on the GRRIP Project, in order that action can be taken to minimize the consequences of any undesired event that may jeopardize the success of the programme. The purpose of this plan is to establish a framework of working practices, which will enable all risks associated with the GRRIP Project to be identified, monitored and controlled during the life of the program.

2. Risk Management Procedure

2.1 Risk Identification

The Project Manager (PM) working with the project team will ensure that risks are actively identified, analysed, and managed throughout the life of the project. Risks will be identified as early as possible to minimise their impact. The steps for accomplishing this are outlined in the following sections. The PM will serve as the risk manager for this project.

Throughout all phases of the project, a specific topic of discussion will be risk identification. The intent is to instruct the project team in the need for risk awareness, identification,

[1] U.S. Department of Health and Human Services (n.d). Risk Management Plan. Available at https://www.phe.gov/about/amcg/contracts/Documents/risk-management.pdf
[2] Georgia Technology Authority (n.d). Risk Management Plan. Available at : https://gta.georgia.gov/sites/gta.georgia.gov/files/related_files/document/Risk-Management-PlanTemplate.docx

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documentation and communication.

Risk awareness requires that every project team member be aware of what constitutes a risk to the project and being sensitive to specific events or factors that could potentially impact the project in a positive or negative way.

Risk identification consists of determining which risks are likely to affect the project and documenting the characteristics of each.

It is the PM's responsibility to assist the project team and other stakeholders with risk identification, and to document the known and potential risks in the risk register. Updates to the risk register will occur as risk factors change. Risk management will be a topic of discussion during the regularly scheduled project meetings.

The project team will discuss any new risk factors or events, and these will be reviewed with the PM.

2.2 Risk Responsibilities and Roles

The responsibility for managing risk is shared amongst all project members.

Risk Identification: All project members

Risk Assessment: PM, Project Coordinator (PC), Steering Committee (SC)

Risk Response Options Identification: All project members

Risk Response Approval: SC

Risk Response Management:

PM Risk Reporting: PM

2.3 Risk Analysis

All risks identified will be assessed to ascertain the range of possible project outcomes.

Qualification will be used to determine which risks are the top risks to pursue and respond to and which risks can be ignored.

2.3.1 Qualitative Risk Analysis

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The probability and impact of occurrence for each identified risk will be assessed by the project manager, with input from the project team using the following approach:

Probability

Low probability or impact = 1; Medium probability or impact = 2; High probability or impact = 3
Probability and impact are multiplied together to give overall risk.

Table 1. Risk Exposure Rating

Risk Exposure Rating	Description	Color Code
Very High	Unacceptable. Major disruption likely; different approach required; priority management attention required	Purple
High	Risk that has the potential to greatly impact project cost, project schedule or performance	Red
Medium	Some disruption; different approach may be required; additional management attention may be needed	Yellow
Low	Minimum impact; minimum oversight needed to ensure risk remains low	Green

Table 2. Risk Matrix

Impact				
	3			
	2			
	1			
		1	2	3
	Probability			

Risks that fall within the PURPLE, RED and YELLOW zones will have risk response planning which

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may include both risk mitigation and a risk contingency plan.

2.3.2 Quantitative Risk Analysis

Analysis of risk events that have been prioritized using the qualitative risk analysis process and their effect on project activities will be estimated, a numerical rating is applied to each risk based on quantitative analysis, and then documented in this section of the risk management plan.

2.4 Risk Response

Each major risk (those falling in the purple, red and yellow zones) will be assigned to a Risk Owner for monitoring and controlling purpose to ensure that the risk will not be neglected.

For each major risk, one of the following approaches will be selected to address it:

- **Risk Avoidance:** Make changes to the project plan to eliminate the risk or to protect the project objectives from its impact by eliminating the cause. An example is a change in scope, change in technical approach, or the addition of resources to avoid or eliminate the risk.
- **Risk Transference**: Transfer responsibility and ownership of the risk to an outside resource or organization. An example is contracting out a specialized technical component when the Project Team lacks the skills.
- **Risk Acceptance:** Acknowledge the existence of the risk and accept its consequences if it occurs. An example is the acceptance of schedule or cost overrun and developing a contingency plan to execute if the risk occurs.
- **Risk Mitigation (Controlling):** Incorporate the ongoing monitoring and handling of risks throughout the life of the project to reduce the impact or probability of the risk. These mechanisms involve the use of reviews, possibly adding milestones, and development of counter measures and cost estimates. Introducing new processes or procedures to lessen the probability of producing a product that will not work or will not be accepted by users is a good example of risk mitigation.

For each risk that will be mitigated, the Project Team will identify ways to prevent the risk from occurring or reduce its impact or probability of occurring. This may include prototyping, adding tasks to the project schedule, adding resources, etc. Any secondary risks that result from risk mitigation response will be documented and follow the risk management protocol as the primary risks.

For each major risk that is to be mitigated or that is accepted, a course of action will be outlined if

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the risk does materialise in order to minimize its impact.

2.5 Risk Mitigation

Risk mitigation involved two steps:

1. Identifying the various activities, or steps, to reduce the probability and/or impact of an adverse risk.
2. Creation of a Contingency Plan to deal with the risk should it occur.

Taking early steps to reduce the probability of an adverse risk occurring may be more effective and less costly than repairing the damage after a risk has occurred. However, some risk mitigation options may simply be too costly in time or money to consider.

Mitigation activities will be documented in the Risk Register and reviewed on a regular basis. They include:

- Identification of potential failure points for each risk mitigation solution.
- For each failure point, document the event that would raise a “flag” indicating that the event
- or factor has occurred or reached a critical condition.
- For each failure point, provide alternatives for correcting the failure.

Deliverables Risk Mitigation

In the event that a WP leader does not deliver on time or fails to deliver a deliverable, refer to the project initiation document (Insert doc name) and to the quality assurance document (Insert doc name) for risk mitigation measures concerning deliverables.

2.6 Tracking and Reporting

As project activities are conducted and completed, risk factors and events will be monitored to determine if in fact trigger events have occurred that would indicate the risk is now a reality.
Based on trigger events that have been documented during the risk analysis and mitigation processes, the project team or PM will have the authority to enact contingency plans as deemed appropriate. Day to day risk mitigation activities will be enacted and directed by the PM.
Contingency plans that once approved and initiated will be added to the project work plan and be tracked and reported along with all of the other project activities.

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Risk management is an ongoing activity that will continue throughout the life of the project. This process includes continued activities of risk identification, risk assessment, planning for newly identified risks, monitoring trigger conditions and contingency plans, and risk reporting on a regular basis. Project status reporting contains a section on risk management, where new risks are presented along with any status changes of existing risks. Some risk attributes, such as probability and impact, could change during the life of a project and this should be reported as well.

2.7 Processes to address immediate unforeseen risks

The individual identifying the risk will immediately notify the PM. The PM will assess the risk situation. If required, the PM will identify a mitigation strategy, and assign resources as necessary. The PM will document the risk factor and the mitigating strategy. If, however, the PM cannot address the problem, the PC will have to mitigate it and the SC has to approve the action. If the PC cannot mitigate, the SC has to. If all parties fail to mitigate the problem, the project officer has to be notified within one month of the risk being identified.

2.8 Critical risks for implementation

Table 3. Risk Register

Obj	WP	Description of risk (level of likelihood = LoL)	LoL	Impact	Risk	Proposed Risk Mitigation Measures Post mitigation Low/Medium/High)	Final
Obj 1	WP 1	Improper database management and lack of sustainability	Med	High	6	Extensive partner experience in databases (UCC coordinating RRING and MARIBE databases. UNESCO will be overseeing the perpetual maintenance of the database for the first year if Go-Spin is used. (LoS)	3

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Obj 1	WP 7	AP will not be implemented by RPO&RFO	Low	High	4	All RPO&RFO have signed letters of commitment to Implement recommendations that are approved within the project. Link to 5 Letters of Support	2
Obj 1&4	WP 2	Dissemination and knowledge transfer will not reach users or be taken-up, adopted, exploited.	Med	High	6	Partner experience in dissemination (UCC coordinating RRING and MARIBE. ICoRSA, UNESCO and association have extensive networks ensuring wide dissemination. Use of knowledge base will be trialled and activity measured.	2
Obj 1,2,3,4	WP 5,6,7,8	Workshops goals and outputs not achieved	Low	Low	1	All GRRIP partners have extensive experience in hosting workshops. In particular are, UCC (coordinating H2020 RRING Maribe).	1
Obj 2	WP 4	GRRIP will not succeed in inclusive engagement with all parts of QH	Med	Med	4	GRRIP has 5 SSH and RRI partner experts that will guide the 5 RPO&RFO to successfully engage QH into all stages of their governance frameworks . WP4 dedicated to identifying and training QH.	2

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Obj1	Wp5,7	Interventions for institutional change will not be sustainable	Med	High	6	GRRIP has partners experienced in organisational change management. A full communication, education and training plan will be implemented for cultural change.	2
Obj 3	WP 8	Difficulty in proper monitoring and evaluation of AP	Low	Med	3	GRRIP has assigned SKU who are experts in impartial Monitoring and Evaluation. UNESCO will ensure that standards are maintained	1
Obj 4	8	5 RPO&RFO will not succeed in Mutual Learning	Low	Med	3	GRRIP has 5 SSH and RRI partner experts that will guide the 5 RPO&RFO to successfully engage in mutual learning	
Obj 5	WP 9	GRRIP marine RRI network not sustained	High	Low	4	GRRIP partners, ICoRSA and UNESCO are experienced network and community builders. Knowledge will also be transferred for the RRING project, WP7 which is dedicated to creating sustainable networks.	2

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Obj. 4,5,6	WP 6	Brexit prevent UK partners adhering to EU recommendations stemming from the project.	Med	High	5	Vitae UK and UNESCO will be advisors as to impact of Brexit to RPO and RFO in UK. Measures will be specifically designed to mitigate any anticipated UK problems via Working Project 6.	3
Obj.	WP	Different definitions and understandings of RRI can cause confusion and misunderstanding.				The RRING project, also coordinated by UCC, has one of its main objectives to determine the best practice of RRI globally, to determine any global convergences, and produce RRI framework recommendations. RRING will also be examining the overlaps between SDGs and RRI 5 keys, producing convergence frameworks. GRRIP will learn from this.	
Obj.	WP	Lack of cooperation at management levels due to the approachment of sensitive topics such as gender issues.					
Obj.	WP	Differences between national and EU provisions on RRI.				GRRIP has close connections to the RRING project, which explores RRI policy frameworks from global, regional and national contexts. It explores if there are areas of convergence, thus GRRIP will learn from	

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						the outcomes and recommendations of the project.	
Obj.	WP	A change in focus from RRI to other Science and Societal issues.				The GRRIP partners have extensive links with key persons in Horizon 2020 and are participating in FP9 policy and program design, and will liaise with them as well with project officers to recommend continued funding for RRI via H2020 calls, particularly in the area of project post monitoring and evaluation of impact.	
Obj.	WP	GRRIP is unable to contribute sufficiently to the SDGs sustainable development goals.					
Obj. 5	WP 9	Institutions will not adapt the proposed changes.	Low	High	3		

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Obj. 5	WP 9	GRRIP will not be suitable on a wider, global scale.	Low	High	3		
Obj. 1-6	All WPs	GRRIP will lose a work package leader.	Low	Medium	3	Work package leader can be replaced by another partner who has the means. If that is not possible, GRRIP will find a new partner and the respective partner will consequently leave the consortium.	2

References

1 U.S. Department of Health and Human Services (n.d). Risk Management Plan. Available at https://www.phe.gov/about/amcg/contracts/Documents/risk-management.pdf (20190630)

2 Georgia Technology Authority (n.d). Risk Management Plan. Available at : https://gta.georgia.gov/sites/gta.georgia.gov/files/related_files/document/Risk-Management-PlanTemplate.docx (20190630)

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