D1.4 - RISK MANAGEMENT PLAN

Connecting Europe and Latin America Transforming Today's Data into Tomorrow's Solutions

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PROJECT INFORMATION

Project Acronym	COMUNIDAD
Project Title	Combined Use of EGNSS and Copernicus Data to Develop Innovative Downstream Services for the Users from Chile and Colombia
Grant Number	101131859
Project Duration	24 months

DELIVERABLE INFORMATION

Deliverable No.	**D1.4**
Dissemination	PU
Work Package	WP1
Task	T1.4
Leading Beneficiary	Zuzana Boukalova (BOSC)
Contributing Beneficiary (ies)	Michal Kepka, Marketa Kollerova (BOSC)
Peer reviewers	Johnny Valencia (UAysen), Hynek Roubik (CZU)
Due date of deliverable	31.5.2024
Actual submission date	31.5.2024

DOCUMENT HISTORY

Version	Date	Beneficiary	Main changes
0.1	5. 4. 2024	BOSC	The initial version of the document
0.2	21.4.20240	BOSC	Risk methodology chapter
0.3	2.5.2024	BOSC	Risk register
0.4	9.5.2024	BOSC	Risk register
0.5	13.5.2024	BOSC	Finalisation for review
1.0	25.5.2024	BOSC	Final version after review

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Project Summary

The COMUNIDAD project, led by Lesprojekt, utilises Copernicus satellite data and the European Global Navigation Satellite System (EGNSS), along with Artificial Intelligence (AI) and Big Data technologies to transfer technologies and know-how to Latin America. The COMUNIDAD project focuses on improving agricultural and forestry management in Chile and Colombia and aims to develop an infrastructure and a platform that serves as the basis for creating applications that enhance precision, efficiency, and sustainability. This initiative contributes to the socio-economic growth of the South American region. Technological advancements are expected to contribute significantly to practical applications.

Lesprojekt, the project coordinator, draws on its expertise in technology applications in agriculture and forestry to guide the consortium. The project provides actionable insights by employing advanced techniques to incorporate Copernicus services, EGNSS and other spatial datasets. These insights help stakeholders, including farmers, advisors, policymakers, and land managers, make informed decisions that support sustainable practices. Essential data on crop health, land use, and forestry conservation are provided, enhancing land management practices and boosting agricultural productivity.

The COMUNIDAD project transfers experiences and know-how through developing technological components and various training activities and creating training materials that use the developed technical components, the infrastructure and the platform.

The COMUNIDAD project aims to transform agricultural and forestry management in Latin America through technological innovation and international collaboration based on experiences and know-how from European partners and based on international cooperation with partners from Latin America. The integration of cutting-edge technologies with strategic data analysis is set to improve different domains and promote environmental sustainability in the region.

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Acknowledgement

This project has received funding from the European Union’s Horizon Europe research and innovation programme under grant agreement No. 101136910.

Copyright Statement

Executive Summary

This report provides an overview of the risk management process for the COMUNIDAD project. This includes details of the risk management approach, methodology, partner responsibilities and the Risk Register.

In parallel with this report, the COMUNIDAD consortium also maintains a living Risk Management Spreadsheet, where details of risks arising and associated actions are documented to manage the risks and identify the additional risks. The Risk Management Spreadsheet is reviewed routinely as part of the overall COMUNIDAD project management process.

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1 Introduction

This report provides details of the structure and methodology for assessing and managing potential risks for implementing the COMUNIDAD project.

Section 2 of the report explains the risk management methodology, and Section 3 introduces the Risk Register.

A living Risk Management Spreadsheet is also used in conjunction with this report to update and record risk management actions (see Appendix A for examples). The Risk Management Spreadsheet is stored online, accessible to all partners and is the mechanism for updating risk actions throughout the COMUNIDAD Management board meetings.

2 Risk Management Methodology

The approach for risk management builds from the initial assessment of risks identified at the project proposal stage. A risk register is maintained, with risks periodically reviewed and actions taken where appropriate.

2.1 Risk register

An initial list of risks was developed at the project proposal stage. This was reviewed at the start of the COMUNIDAD project, and a formal risk register was drafted. Details of the risk register are provided in Section 3 below. In addition, a risk management spreadsheet has also been developed, providing a living document that is reviewed and updated as the project progresses. The function of the spreadsheet is to:

I. Provide a record of risks that is easily accessible to all.
II. Provide clarity on potential risks, agreed mitigation measures and risk ownership.
III. Provide a record of actions taken to address risks.
IV. Provide a mechanism for adding additional risks in the event of identifying new risks.

Examples of the risk management spreadsheet worksheets can be found in Appendix A.

For each item in the risk register, the base risk is qualitatively characterised according to:

- L: Likelihood

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- C: Consequence
- R: Risk value as the product of Probability and Consequence

The value range of these three parameters is described according to three classes:

- H: High
- M: Medium
- L: Low

The following matrix may be considered to identify the risk level arising from the combination of likelihood and consequence:

Table 1 – Risk description arising from likelihood and consequence descriptions

		Consequence		
		Low	*Medium*	*High*
Likelihood	Low	Low	Low	Medium
	Medium	Low	Medium	High
	High	Medium	High	High

The predicted risk levels are described qualitatively and are described below:

Low-Risk Level: Some delays and inefficiencies in working may arise. Risk is 'low' and can probably be addressed by minor adjustments to the working approach.

Medium Risk Level: This may significantly impact cost and/or schedule and/or quality of work. It is still manageable but typically requires additional measures on top of the planned work approach.

High-Risk Level: This may threaten core aspects of the project and overall project delivery.

2.2 Risk review process

The risk review process is undertaken monthly, with a more detailed review of the risk register quarterly. Team progress meetings are held monthly, and work progress is reviewed under each work package. Work progress is assessed, and any issues arising are considered. This is an effective way to adapt to issues as the work progresses. In addition, a formal review of the risk register is undertaken quarterly to ensure that risks are being managed and any new risks arising are added to the risk register, along with clear identification of the risk owner.

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2.3 Risk management process

The risk register lists risks, risk owners and potential mitigation measures. The regular review process provides a timeframe for periodically checking risks and their status within the project. When risks evolve, the following process is followed:

Low-Risk Level: Risks may be discussed within partner organisations (rather than the wider team) and addressed within the planned work programme simply by adjusting work actions or methodology. Risk actions may be noted in later team catch-up sessions. (i.e. Risk owners identify and act directly).

Medium Risk Level: Risks are raised at the monthly team meeting (or potentially before), and actions are discussed and agreed upon with the team. Such risks will likely have consequences for other work tasks and partners; hence, team agreement is needed regarding any mitigation measures.

High-Risk Level: Such risks are immediately raised with the Coordinator and broader team. Such risks require immediate attention and more comprehensive agreed-upon action by the team since they threaten the project's success. The coordinator may also choose to discuss such risks with the EC project officer.

2.3.1 Project Partner Responsibilities

In practice, the COMUNIDAD consortium is small (8 partners), with partners working across work packages. As such, all partners will likely be interested in risk management for most actions. Nevertheless, we can formally identify partner responsibilities for risk management as follows:

1. Individual risks listed in the risk register are, where possible, associated with work packages and tasks within those work packages. Partners have allocated roles as work packages and task leaders, hence also adopting responsibility for risks associated with those specific activities.
2. ALL Partners are responsible for managing risks associated with their routine task work, and the monthly team catch-ups will be the most common occasion to raise and discuss such issues.
3. Work package leaders are ultimately responsible for risk management, addressing tasks within their work package. Task Leaders are accountable for managing risks associated explicitly with their tasks.

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4. The Coordinator has final responsibility for agreeing/defining actions to address risks where partners are in disagreement.
5. All Partners may (and should) update the risk management spreadsheet at any time and, in doing so, will advise all partners of the changes. The risk management spreadsheet will be revised every six months at the latest. The risk management spreadsheet is available within the online teamwork area.
6. The Coordinator will ensure that risk management is a standing item on the monthly team agenda and that a more formal run-through of the risk register is undertaken every three months.
7. The Coordinator will ensure that meeting notes and actions arising from all team meetings are produced and stored in the teamwork area. These notes will include details of any discussion around risks arising and subsequently agreed-upon actions.

3 The Risk Register

Table 2 – COMUNIDAD initial risk register

No	Description	WP	L	C	R	Proposed mitigation	Risk Owner(s)
1	Travel restriction	All	M	M	M	The workshops and training will be organised online.	ALL
2	Lack of communication between partners: partners do not fulfil tasks	All	L	M	L	The partners have past records of working together on projects or bilateral research activities. The regular project meetings will track progress, and the coordination team will monitor the project and identify any challenges at the time.	ALL
3	Critical datasets, data from previous projects needed in several WPs, are IPR protected or in a format that is costly to	1, 2, 4	L	M	L	The partners made the literature search and overview of the data needed under WP2, and they are not expecting	BOSC, LESP, CZU

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	digitise					such a problem. If key data sets are too difficult to work with, such as those required in WP4, work will be shifted to other datasets with more accessible data.	
4	Interference with interests and priorities of various key players, such as policy, industry, water providers, intensive agriculture, ...	3, 6	M	L	L	The stakeholders will participate actively in WP3 and six and in the different focus group meetings. The Pilot partners will monitor any conflicts related to interests and priorities closely and together with the WP1; the coordinator will act to resolve any potential conflicts before serious development with the cooperation with the AB (D6.2)	Pilots
5	Not adequate level of quality or delays in deliverables/milestones achieving	All	M	M	M	Constant monitoring under WP1. Follow-up strategies were established during periodic team meetings and interim internal reports to monitor the evolution of the project. A peer-review process is applied to all deliverables before submission. The WP leader will request a new, improved version if necessary. In case of delays, the WP leader will assess the reasons for it and negotiate a new deadline if required. The	LESP

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						problems will be discussed on the level of the WP leaders.	
6	GDPR and Data Management problems	All	L	L	L	All the possible precautions for data management (such as encryption, authentication, and authorisation) will be described and constantly updated in the DMP to guarantee protection requirements (confidentiality, integrity, and availability). All data will be managed in line with the FAIR principles.	LESP
7	The COMUNIDAD Platform does not satisfy end-user needs	5, 6	M	M	M	The end users will be involved from the beginning of the Platform development and testing in line with D6.3.	CZU
8	Fail to disseminate findings and effect real change effectively	5	M	L	L	*An extensive DEC programme, structured in a manner designed to allow easy identification of cases and examples relevant to specific scenarios and environments, is planned. Stakeholders will be able to quickly identify relevance to them and subsequently access more detailed information. The stakeholder consultation list will be prepared to launch the DEC actions.*	CZU, pilots

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9	*As more information is reviewed, the extent of information perceived becomes more significant, and the task becomes increasingly challenging*	5, 6	M	M	M	*Agree on structures to support the search and consultation process to make it easier for partners to work through the information and cooperate via training (step by step)*	ALL
10	*Ensuring consistency with EC, other projects and related international organisations*	1	L	M	L	*Map EC projects, related organisations, etc., and ensure we include them within the consultation process once this is running.*	LESP

Appendices

Appendix A: Risk Management Spreadsheet

The COMUNIDAD Risk Management Spreadsheet is stored in an online workspace, allowing partners to record risk management actions throughout the programme. The spreadsheet comprises

(1) Risk Register worksheet: Initial details as the Risk Register shown in this report

(2) Risk worksheets: Individual worksheets associated with each risk entry in the register. Here, details of actions to manage the particular risk are recorded as the work progresses and the risk evolves. The Risk Management Spreadsheet and corresponding Risk Worksheets will be revised every six months at the latest.

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No	Description	WP	L	C	Risk	Mitigation	Risk Owner
1	**Travel restriction**	**All**	**H**	**H**	**H**	**The workshops and training will be organised on-line** The workshops and training will be organised on-line. For larger events – whether consultation, workshops, conference etc – these can be planned as hybrid events, allowing both direct and online participation as appropriate.	**ALL**
Date	**Issue Arising**					**Updated Mitigation Actions**	**ACTION**
1.5.2024	Travel options for Aysen regions only in spring and summer; rest of the year limited access to the region due to harsh weather.	WP1	H	H	H	Planning events in region for recommended time of the year in advance and promote events to gain the attraction.	LESP

Fig. 1 - Example of the Risk Worksheet

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