

Chameleons

D6.3 Implementation of Risk Register Management Process and Report

WP6 Management



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 873105

Project Documentation	
Project Acronym	CHAMELEONS
Project Full Title	Championing A Multi-Sectoral Education and Learning Experience to Open New Pathways for Doctoral Students
Grant Agreement	873105
Call Identifier	H2020-SwafS-2018-2020
Topic	SwafS-08-2019
Funding Scheme	Coordination and Support Actions (CSA)
Project Duration	24 months
Coordinator	University College Dublin
Website	www.chameleonsproject.eu

Deliverable Documentation	
Number	D6.3
Title	Risk Register Management Process Report
Related WP	WP6 Management
Lead Beneficiary	UCD
Nature of Deliverable	Report
Dissemination Level	Public
Submission Due Date	30 November 2020
Actual Submission Date	28 February 2021

Quality Control	
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Revision History			
Version	Date	Comment	Author(s)
V1	19/3/2021	Written first version	AMTB, TC
V2	26/3/2021	Revised version	TC

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1. Introduction

This is Deliverable 6.2, the Risk Management Process for the CHAMELEONS project. The purpose of this document is to provide a risk management framework for the CHAMELEONS project, to ensure that adverse situations are properly managed as the project evolves. This plan documents the processes, tools and procedures that will be used to manage and control events that could have a negative impact in terms of the project. It presents the proposed risk management approach of the project for managing and controlling all project risks. Moreover, this plan will address the roles and responsibilities of the organization, the risk identification, as well as risk assessment and mitigation plans.

This document outlines policies and procedures for identifying and handling uncommon causes of project deviations that may compromise the projects objectives. Risk assessment will be updated throughout the project lifecycle as unexpected sources of risk can be identified at any time. It is the objective of the risk management plan to decrease the probability and impact of events adverse to the project. In contrast, any event that could have a positive impact will be exploited.

The CHAMELEONS project (CHAmplioning a Multi-sectoral Education and Learning Experience to Open New pathways for doctoral Students) is a 2-year project aiming to design, deliver and evaluate a range of interdisciplinary, intersectoral and international modules that will broaden PhD graduate skills, improve their employability in both academic and non-academic environments and equip them to solve societal challenges in the area of connected health. The project consortium consists of ten partners from different countries in Europe. The partners from academic and research are: University College Dublin (UCD), Ireland; Maynooth University (MU), Ireland; University of Porto (UP), Portugal; Aristotle University of Thessaloniki (AUTH), Greece; and University of Oulu (OULU), Finland. There are two healthcare providers: Beacon Hospital (BEAC), Ireland; and Irmandade Da Santa Casa Da Misericordia Da Amadora (SCMA), Portugal; a technical SME; Salumedia Labs (SALU), Spain; and two patient organizations: Escuela Andaluz de Salud Public (EASP) SA, Spain; and the Irish Platform for Patient's organisations Science and Industry (IPPOSI), Ireland.

Transparency and good communication between the Management Team (MT), Work Package (WP) leaders and the project members is key to avoiding issues within the project. A good communication strategy will ensure cohesion between the beneficiaries, timely completion of work tasks, wide dissemination, and maximum project impact. Some of the major perceived risks related to the project work plan are listed in Table 1a, including a classification of their probability and a description of contingency measures envisaged by the consortium. Table 1b presents the unforeseen risks associated with CHAMELEONS, many either a direct, or indirect, result of the COVID-19 pandemic.

The goal of this document is to allow the Management Team to accurately and timely try to avoid unwanted risks and, as necessary, act in mitigating or applying corrective measures to control potential negative effects on the project.

2. Risk

- A **risk** is a probable situation that has the potential to cause an unwanted change in the project's objectives and planned activities.
- **Risk management** is a continuous process throughout the lifetime of a project and addresses the planning of risk management, identification, analysis, monitoring, and control. The objectives of the risk management are **to prevent, foresee, manage, and eliminate or mitigate** any specific and probable **issue** that may be **hazardous** in regard to the **completion** of the project and/or the **achievement** of its objectives within the scope defined in the Grant Agreement (GA).
- This document outlines policies and procedures for identifying and handling uncommon causes of project deviations that may compromise the projects objectives. Risk assessment will be updated throughout the project lifecycle as unexpected sources of risk can be identified at any time. It is the objective of the risk management plan to decrease the probability and impact of events adverse to the project. In contrast, any event that could have a positive impact should be exploited.

2.1. Categories of Risk

- **Administrative risks:** related to the consortium and the project at the management level, excluding the financial risks. Risks related to the structure of the consortium, the conflicts among partners and the communications with stakeholders and the European Commission (EC).
- **Financial risks:** related to financial management and impact of financial risks in the project lifecycle.
- **Technical and operational risks:** related to the plan, development and execution of all technical activities, the elaboration of guidelines, the dissemination and communication and the exploitation-related tasks considered within the administrative or financial tasks.
- **Research related risks:** related to the implementation of research tasks.

2.3. Contingency Measures

- A **contingency/mitigation measure** is a compensatory action that may reduce the negative impact of the risk, even eliminating the risk itself.

3. Roles and Responsibilities

This section presents the roles of people within the project regarding risks management. Figure 1. Presents the management structure within CHAMELEONS.

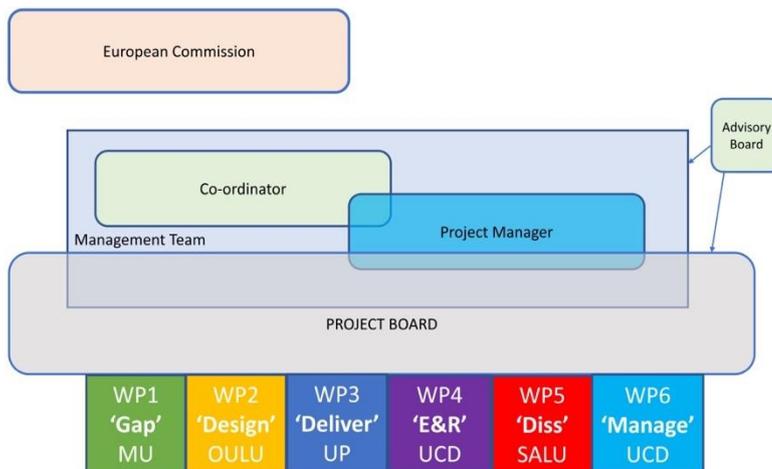


Figure 1. CHAMELEONS Management Structure

3.1 Management Team

The Management Team (MT) is responsible for handling the organizational, legal, and financial management of the project and to ensure that obligations and responsibilities towards the European Commission are met by the consortium.

The MT is composed of:

- The Project Coordinator (PC) Dr Tara Cusack (UCD)
- The Project Manager (PM): Anne Marie Tennyson Barry UCD

The MT will endorse the risk management of the project and is responsible for the risk management process, ensuring the monitoring and control of risks of all project activities. The project risk management plan is the responsibility of the MT, but all the partners are involved in it, and in particular, the WP leaders particularly in relation to the risks regarding the tasks within their WP.

3.2 Work Package Leaders

The WP Leaders are responsible for the implementation of the work within their own WP, so they have to consider the specific risks relating to the deliverables and milestones within the WP they are leading. They must ensure the identification and management of the risks and they should inform the Management Team if new risks are identified, they should be reported to the MT who will update tables 1a and 1b.

3.3 The Project Board

CHAMELEONS is governed by a Project Board, comprised of one representative nominated by each partner (or their nominated deputy) institution, and chaired by the Coordinator. The project board is balanced by gender and geography and a mix of sectors and disciplines is assured due to the nature of the CHAMELEONS partner organisations. The project board is responsible for:

- Overseeing, promoting, and managing the scientific progress of the project,
- Working collaboratively to overcome any barriers to delivering the project,
- Identifying and implementing new project policies and procedures, where required,
- Monitoring and promoting exploitation and dissemination of results to key stakeholders,
- Implementing Advisory Board recommendations, within the limits of the project objectives and contract,
- Proactive management of gender issues within the consortium.

The Project Board meets twice a year at a dedicated session of each plenary meeting of the consortium. In addition, board members will remain in regular contact via email, telephone, and/or video conferencing. Additional board meetings may be called, if needed. Minutes of Project Board meetings will be made available to the consortium within one month of meetings. The Project Board will strive for consensus in decision-making. Where a consensus cannot be reached, decisions will be taken by the Board, on the basis of one vote per partner, where 50% represents a majority vote. The casting vote will be held by the Coordinator. Procedures pertaining to issues to be agreed by veto vote will be included in the Consortium Agreement, which will be implemented before the project start date. However, most decisions about the work to be carried out in the project will already have been made in the Description of Action (DoA) and so are subject to the contract signed with the Commission.

3.4 Advisory Board

The Advisory Board (AB) is responsible for providing advices and strategic inputs. The AB members should follow the assessment of risks by the Consortium and the resolution actions. The Advisory Board (AB) provides expert external oversight and stakeholder input. The AB is composed of stakeholders/experts in the areas of a) human resources b) recruitment c) curriculum design, d) gender equality, e) policy f) open science. The AB is itself gender balanced (currently 50/50) and the presence of Prof Richardson, an expert in gender balance and Athena Swan champion will ensure a focus on gender in the design, roll-out, and evaluation of CHAMELEONS modules and interventions. While the AB has no direct influence on project management or research design, they may be consulted for guidance and advice by the Coordinator on research relevant to their expertise. The AB will also provide important advice regarding dissemination opportunities to the academic, research, relevant stakeholder communities and beyond.

4. CHAMELEONS Risk Management Action Plan

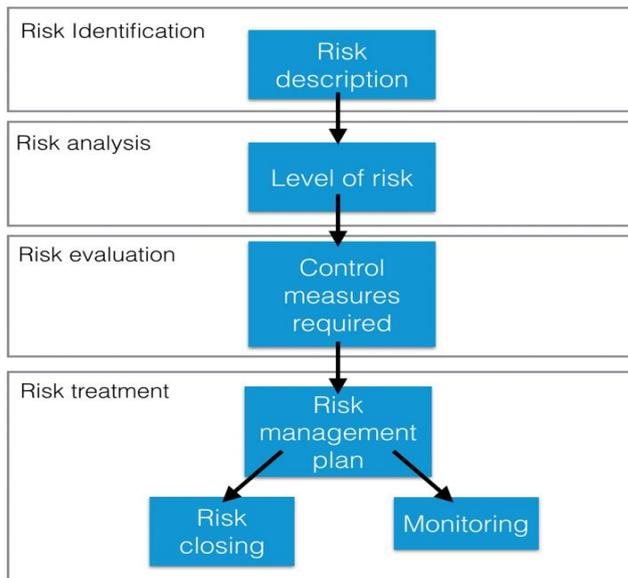
4.1 Risk Identification and Assessment

Risk identification is analysed throughout the life cycle of the CHAMELEONS project. The objectives of the risk management plan are **to prevent, foresee, manage, and eliminate or mitigate** any specific and probable **issue** that may be **hazardous** in regard to the **completion** of the project and/or the **achievement** of its objectives within the scope defined in the Grant Agreement (GA).

The following issues shall be considered as tools and techniques for risk identification:

- Analysis, control and verification of WP timelines and description of work
- Analysis, control, and verification of deliverable status

- Regular communication of the Management team with the WP leaders
- Figure 2 is a schematic representation of the CHAMELEONS risk management process.



The risks are compiled in a risk management register by the Project Manager. This register is accessible to all members through the Document Repository on the Shared Google Drive. The risk management register contains the following information: Risk Number, Description, concerned WP and Proposed risk-mitigation measures. The exposure to a given risk is estimated using the risk matrix in figure 2. Concerning each of the risks, the MT, in collaboration with the WP leaders, will estimate the probability they could become problems (Low/Medium/High).

Figure 2. CHAMELEONS risk management process

Categories of risks include:

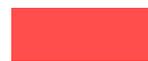
- **Administrative risks:** related to the consortium and the project at the management level, excluding the financial risks. Risks related to the structure of the consortium, the conflicts among partners and the communications with stakeholders and the European Commission (EC).
- **Financial risks:** financial management and impact of financial risks in the project lifecycle
- **Technical and operational risks:** related to the plan, development and execution of all technical activities, the elaboration of guidelines, the dissemination and communication and the exploitation-related tasks considered within the administrative or financial tasks.
- **Research related risks:** related to the implementation of research tasks

4.2 Risk Monitoring

It is the responsibility of all CHAMELEONS beneficiaries to communicate with the Project Manager about the status and effectiveness of each risk and mitigation plan in order to update the risk management register. Risk exposure will be continuously re-evaluated and modified accordingly. If any new risks are identified by a beneficiary, they will be analysed in the same way as those on the original risk list and will then be added to the register.

4.3 Risk Mitigation Measures

Each beneficiary is responsible for executing the risk mitigation activities which relate to the WP they lead. If a mitigation action cannot be effectively carried out or does not solve the risk, the risk exposure is likely to become more important. In this case, visibility of the risk has to be highlighted to the Project Manager and the mitigation measure modified in an efficient way. An item is considered closed when the following criteria are brought together: the risk-mitigation measures have been implemented and a new exposure risk is estimated as low.



5. The Risk Management Table

CHAMELEONS risks are registered within the risk management table register presented in Table 1a which is available in the CHAMELEONS document repository and which is updated at least at the end of each reporting period by all beneficiaries. The table contains three different sections. Table 1a is dedicated to the foreseen risks i.e., those risks, which have been identified at the proposal stage. Table 1b lists the unforeseen risks, which have been identified since the beginning of the project. Table 2 presents the risk mitigating measures that have been taken during the project to date.

5.1 Foreseen Risks

The following table lists the risks identified in the Annex 1, which has been forecast by the Consortium before the beginning of the project.

Risk number	Risk category	Identified by	WP	Description	Likelihood	Proposed Mitigation Strategy
R1	Research related risk	UCD	2, 3	Poor Participant recruitment	low	Examine alternative sites for participant recruitment. Exploit consortium and seek support for participant recruitment. Complete ethical approval speedily to maximise recruitment time
R2	Research related risk	UCD	1-4	Delay in getting ethical approval	med	Seek support from consortium members who have experience of gaining ethical approval (UCD, OULU) UCD http://www.ucd.ie/researchethics/information_for_researchers/
R3	Technical /operational risk	UCD	1-4	Time overrun	low	Agree work plan on 2 levels: WP, consortium; regular meetings & corrective action
R4	Administrative risk	UCD	12, 3, 4,6	Conflict among beneficiaries	low	Consortium agreement and grant agreement conditions highlighted, discussion led by PC, advice sought from NCP, Project Officer, UCD Legal, Finance, IP.
R5	Administrative risk	UCD	6	Member resigns	low	Ensure clear understanding of expectations from outset, recruit consortium member with excellent reputation, source new beneficiary or reassign work within the consortium.

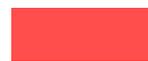
WP = Work Package, Level of risk: Med=Medium, PC =Project Co-Ordinator, PM= Project Manager, WPL = Work Package Leads

Table 1a. Foreseen Risks.

5.2 Unforeseen Risks

Table 1b presents the risks that have been identified since the commencement of the CHAMELEONS Project. These risks have arisen due to the COVID-19 pandemic. The CHAMELEONS project was due to Kick-off in March 2020 just as the pandemic was unfolding in Europe and a lockdown was announced in mid-March across Europe. The Kick-off was delayed to May 2020 which resulted in knock on delays in the work programme and deliverables.





Risk Number	Risk Category	Identified by	WP	Description	Likelihood	Mitigation strategy
R6	Technical /operational risk	All beneficiaries	All work packages	Delays in Deliverables due to delayed commencement of project as a result of COVID-19	High	The MT monitor the deliverable timeline in order to identify possible delays to critical deliverables (those that link to milestones) early; mitigating actions such as possible extensions required are discussed with the WP Leaders. Potential delays and extensions are discussed with the EU Project Officer.
R7	Administrative risk	All beneficiaries	All work packages	Unable to meet face to face due to COVID19	High	The CHAMELEONS curriculum design meetings are being held online using Zoom. An appropriate digital platform is being identified for the delivery of the first module virtually.
R8	Administrative risk	All beneficiaries	All work packages	Delayed communication of key findings and project process issues within and across work packages	High	The smooth running of and progress of CHAMELEONS relies on good communications and use of appropriate communication tools. Regular WP leaders' meetings and WP meetings to discuss such issues, and the document repository has also been established to facilitate this. Partners are encouraged to use this tool and all other means at their disposal to communicate and ensure timely delivery of activities, milestones deliverables and reports.
R9	Administrative risk	All beneficiaries	All work packages	Unable to meet face to face due to COVID19	High	Due to the travel restrictions Zoom meetings have been used for general communication purposes.
R10	Technical /operational risk	All beneficiaries		Due to governmentally imposed travel restrictions due to COVID19 cancellations / delays of planned workshops modules and meetings are inevitable.	High	Workshops, modules, and meetings are being held online using communication tools such as Zoom and Moodle etc. until restrictions are lifted.

Table 1b Unforeseen risks associated with the CHAMELEONS project.





5.3 State of the Play for Risk Mitigation

Risk Number	Period	Were risk mitigation measures applied?	Did the risk materialise	Comments
R1		No	No	Recruitment to CHAMELEONS is steady
R2		No	No	Ethical approval gained in a timely manner
R3	March 20 onwards	Yes	Yes	Regular online meetings
R4		No	No	
R5		No	No	
R6	March 20 onwards	Yes	Yes	Regular online meetings to ensure work is moving forward and deliverables are submitted. Regular communication with the EU Project Officer.
R7	March 20 onwards	Yes	Yes	Regular online meetings to ensure work is moving forward. Identification of a digital platform for module delivery.
R8	March 20 onwards	Yes	Yes	Regular online WP leaders' meetings and WP meetings to discuss such issues, and the document repository has also been established to facilitate this.
R9	March 20 onwards	Yes	Yes	All communications and meetings have been taking place online.
R10	March 20 onwards	Yes	Yes	The first stakeholder workshop was held online. The first module will be delivered online. The second workshop will also be online. We are hopeful that at least one module design meeting and one module could take place face to face.

Table 2 Current Situation in CHAMELEONS in Relation to Risk Mitigation.

6. Conclusion

The purpose of this risk register management process is to ensure that adverse situations are properly managed as the CHAMELEONS project evolves. The aim of this deliverable is to document the processes, tools and procedures that will be used to manage and control events that could have a negative impact in terms of the project. This deliverable presents the definitions of risk, categories of risk and contingency measures, it identifies the roles and responsibilities of individuals within the CHAMELEONS consortium, the risk management action plan, and the risk management tables outlining foreseen and unforeseen risks.

To date the majority of the risks have occurred as a result of the COVID-19 pandemic. This has led to the identification of new risks as the project has progressed. The beneficiaries maintain close contact and have regular discussion in order to identify emergent risks and potential difficulties arising as a result of the pandemic. The risk register management process is reviewed on a regular basis by the Management Team and Work Package Leaders. This monitoring of risk will continue over the life cycle of the CHAMELEONS project.