

ISTER RISK MANAGEMENT PLAN

Work Package Title	WP M - Management
Activity No. and Title	AM3. Quality and Risk Management and Reporting
Deliverable	DM3.3 Risk management plan
Deliverable Responsible	MNIT
Main Authors & Partner Acronyms	Anca Virginiaș (MNIT)
Co-Authors & Partner Acronyms	Miruna Drăghia (URBASOFIA)
Reviewed by: Name and Partner Acronyms	Pietro Elisei (URBASOFIA)
Status	Draft (D)
	Revised draft (RV)
	Final (F)
Length	14 pages

Table of contents

1 Introduction	3
2 Identification of Risks	4
2.1. Risk Management at the consortium level	4
2.2. Risk Management at Work Package and Deliverable level	5
2.2.1. Work Package M: Management	5
2.2.2. Work Package SSI: Small-scale investment	7
2.2.3. Work Packages T1-T4: Implementation WPs.....	8
2.2.4. Work Packages C: Communication.....	11
3 Risk assessment and mitigation procedure	13
3.1. Risk identification and evaluation.....	13
3.2. Development of Contingency plan.....	14

1 Introduction

The Risk Management Plan is aimed to prepare and support ISTER consortium to foresee risks, estimate impacts, and define possible and short-time responses to risks. The main purpose of the risk management process is to identify potential problems before they occur so that risk-handling activities may be planned and invoked as needed across the project life span or to mitigate adverse impacts on achieving ISTER objectives. It will contain the identification of three main risk typologies:

- 1) At consortium level (regarding project technical, financial and quality management, activities implementation, as well as time management)
- 2) Risks associated with investments (which will be identified and discussed among partners involved in the investment WP)
- 3) Risks associated with the communication and implementation of WPs (especially in relation to reaching and involving the target groups, ensuring the proper participation to local events and CBW, etc).

This deliverable will enlist the identified risks, together with the actions to mitigate the risk, pertaining to all aspects of project implementation and criticalities for success. For instance, a possible risk related to failure of project partners to deliver their tasks in time is linked with an associated actions to mitigate the risk: The LP together with the PPs will ensure the continuous monitoring of the project progress through frequent direct communication among partners so to be able to anticipate any possible risk of late or non-delivery of specific tasks, and to take corrective measures in due time.

All risks and management measures are described following the table presented below:

Description of the risk:	Comprehensive description of the risk.
Actions to mitigate the risk:	Describes how to handle the risk in ISTER.
Impact of the risk:	Describes how severe the consequences are if the risk is not adequately managed. There are five levels: <ul style="list-style-type: none"> • Critical • Major • Moderate • Minor • Low
Probability of occurrence:	Describes how likely the risk is. There are five levels: <ul style="list-style-type: none"> • Almost certain • Likely • Possible • Unlikely • Rare

2 Identification of Risks

2.1. Risk Management at the consortium level

Risk management at consortium level refers to specific situations that might arise and create a problem for the entire partnership. These kind of risks are associated to changes within the partnership caused by partners decommitment and withdrawal, impossibility of partners to fulfil their obligations or other kind of conflicts that might appear along the project lifespan.

Risk Description	Impact	Probability	Actions to mitigate the risk
Changes within partnership	Minor	Unlikely	<p>The ISTER consortium is solid and the risk of a change in the partners constellation is remote. Nevertheless, the detailed procedure for partner drop-out and partner replacement procedure is presented in the Implementation Manual and it has been included also in the Project Management Plan.</p> <p>Since ISTER partnership has been for most of its part the result of a call and thorough partner search, there are multiple possibilities of succession for each of the delivery partners, with the required competencies. Should any partner decide to drop-out, or be decommitted, the SC and GA will organise an extraordinary meeting with the remaining partners in order to assess whether the tasks of the leaving partner can be covered internally by the consortium members and their staff or if the partnership will bring in a new delivery partner or appoint external experts for different parts of the activities.</p>
Consortium disruption	Critical	Rare	<p>All partners have experience and proven track records in large collaborative R&D projects. All are motivated to reach the project objectives, which have been defined in the common interest of all partners. Any partner not adhering to this common interest will be invited to revise their strategy inside the project and eventually, in case of not complying with the project vision, excluded from the project.</p>
Conflicts within the Consortium	Major	Unlikely	<p>A comprehensive Project Management Plan (PMP) will be formulated and agreed by all partners. The LP will follow strict administrative guidelines and implement actions against partners failing to comply with procedures agreed upon in the PMP. The LP will maintain an easily searchable record of all relevant correspondence among partners to ensure the role of facilitator in resolving conflicts. However, this is not likely to happen since all partners have a track record of solving emergent problems in a collegial spirit.</p>

2.2. Risk Management at Work Package and Deliverable level

Risk management at work package and deliverable level refers to specific situations that might arise and create a problem for different activities and deliverables development along the project lifespan. Since work packages and activities are, at a certain level, dependent and interrelated among them, these potential risks might cause delays and unpredictable situations at different moments, therefore a list of initial potential risks has been produced, together with a set of mitigations actions that might reduce the impact of the risk or even some anticipation measures in many cases. Finally, the risk management at work package and deliverable level concerns first and foremost the Lead Partner and the WP leaders, but also all partners that contribute in a way to the development of activities and deliverables within the indicated WP.

2.2.1. Work Package M: Management

WPM will continuously develop during the project lifetime and will set up the main steps for an efficient and effective development of the overall activities. In this regard, different structures within the project will be set up in order to ensure a proper division of work, as well as an effective work coordination. Management structures such as: project Steering Committee (SC) composed of Lead Partner and WP leaders, General Assembly (GA), consisting of the project and financial manager from each partner, Communication and Capitalisation Board (CCB), consisting of technical partners, thematic partners and experts, as well as Communication Managers from project partners. The appointed management structures will be operative throughout the entire project lifespan and they are expected to deal with risk management at different levels – workpackages as a whole, but also deliverable level.

Risk Description	Impact	Probability	Actions to mitigate the risk
Failure of project partners to deliver their tasks and duties in due time	Major	Rare	The SC, GA and CCB will ensure the continuous monitoring of the project progress so to be able to anticipate any possible risk of late or non-delivery of specific tasks, and to take corrective measures in due time. The application of robust project management principles will involve frequent and direct communication between the SC, CCB and delivery partners, ensuring adherence to schedule and alignment of agendas. Task force or one-to-one communication will be encouraged for different activities and specific contributions related to deliverables and it will be initiated by deliverable responsible or WP leader. Any partner will be encouraged to ask for specific consultations on difficulties they might encounter while preparing requested contributions for deliverables and reports.
Data protection management	Major	Rare	Data protection management is an extremely sensitive issue addressed differently by cities and partner states. ISTER project activities and deliverables will follow the European regulation on data protection, but it will also comply with national rules and requirements, if the case.

			<p>However, at ISTER project level, the only activity dealing with data protection is related to A.T3.3 Development of ISTER Interactive tool, which will address the data protection issues within the deliverable D.T3.3.1 User requirements survey, including a section dedicated to GDPR compliance.</p>
Lack of overall coordination	Major	Rare	<p>Effective coordination is ensured by the managerial structure and specific coordination guidance is given in the project management plan. Furthermore, a work package tracking document has been setup at each WP level in order to facilitate the overall coordination and present activities and deliverables progress in a unitary manner and easily consulted.</p> <p>The LP together with PP1 have extensive experience in coordinating EU and national projects. In case of unforeseen events, other experienced partners and appointed project managers can take over coordination tasks partially, as agreed with the LP.</p>
Ineffective overall management	Major	Rare	<p>Effective management is ensured through timely recruitment of a capable, expert and socially adept partners with proven skills at managing large, complex projects. The SC and GA will be given the resources and support needed to perform tasks effectively (templates and guidelines to ensure harmonious reporting and shared collaboration with allocated partners to specific tasks and deliverables. In case of problems aroused, the LP together with the SC will act as a resolute problem solver.</p>
Coordination problems within individual WPs	Moderate	Rare	<p>Most WPs involve multiple partners, which collaborate to achieve their tasks in a timely manner. To achieve this, the work has been partitioned into internally coherent tasks with internal or EU-deliverables. WP Leaders will monitor progress and flag problems in a timely manner to enable harmonious mitigation of any challenges and difficulties that might occur.</p>
Project partners drop out	Moderate	Rare	<p>ISTER consortium is built around complementary skills and expertise of partners. However, usually there is more than one partner experienced in a certain activity or competence needed. This permits the consortium to reallocate crucial resources. In case of a loss of a critical skill, the LP together with the SC will make a list of replacement partners from the consortium's network that can be called in to the project by means of emergency subcontracting or by joining the project. The GA will be informed as soon as information about possible complications exists.</p>

2.2.2 Work Package SSI: Small-scale investment

WP_SSI comprises two main types of investments: 1) a transnational investment, similar for all PPs involved and referring to the on-site implementation of a set of milestones along the Roman Route (around 10 per partner) as a recurrent element along the route and 2) a specific local investment, tailor-made for each partner focused on the promotion of the Roman eco-cultural Route. The process will include 3 main phases: an initial process of authorization for placing the physical objects/ milestones on the selected sites (areas which will be initially defined within documentation activities in WP_T1 and better redefined in WP_T3); preparation of the purchase, ordering and delivery of the miliariums to the intervention areas; a final phase of placing the physical elements in key points along the route. Each phase might encounter difficulties which could create risks at the work package level, this is why the SSI WP is closely related to activities in other WPs (WP T1, WP T2 and WP T3), to ensure consistency along the different steps.

Risk Description	Impact	Probability	Actions to mitigate the risk
Resistance from other authorities outside ISTER consortium to support the investment on their territories	Major	Unlikely	Public authorities represent an important target group of WP_T2_Joining, Activating & Tutoring, especially for the CBW activity, which involves a process of raising awareness and building knowledge on the importance of the Roman route's heritage as a driver for local/ regional development. Therefore, they will be consulted in the process of selecting the exact locations to place the investment on their territories, in order to lower/ remove this risk.
Failure to properly deploy or slow down excavation works and investments (including even poor weather conditions)	Minor	Possible	The investment activities are allotted time for due process, during which the consortium will develop all technical documentation, building permits and necessary procurements. Investment activities start in M7 with a preparation phase and will be finalised by the end of the project - M30, allocating enough time not to overlap with seasonal difficulties.
Consensus between the municipalities and the organizations/ stakeholders at local level (especially in the tourism field)	Major	Possible	The investment sites need to be integrated into the local and regional tourism offer, which requires consensus between the municipalities and the organizations involved in tourism. All relevant stakeholders (tourism industry and other local productive/ creative sectors) will be identified through D.T2.1.2 Stakeholders Chain Map for each city conducting investments. The stakeholders will be invited to take part to the Capacity building workshops (CBW), organised within Activity T2.3, in order to create a common dialogue and consensus.
Failure to properly deploy	Major	Possible	A long authorization process for placing the Roman milestones is to be expected, especially when dealing with a permanent authorisation

<p>investments due to limiting factors such as the long authorization process for placing the Roman milestones</p>			<p>permit. This could become a real barriers especially for areas which do not fall under the direct competencies or ownership of ISTER partners. However, this has been discussed and a partnership agreement will be signed between ISTER direct partners and public authorities/ bodies outside the consortium to obtain permits and approval for the placement of milestones on territories that fall under their administrative competencies. In the unlikely event that this agreement cannot be signed or the estimated amount of time to obtain the authorisation is absurdly high, a temporary building permit will be requested during the ISTER project lifespan.</p>
--	--	--	--

2.2.3 Work Packages T1-T4: Implementation WPs

Risks associated with Implementation WPs comprise two aspects: thematic risks associated with the content consensus among partners and management risks, associated with the process for performing activities and developing deliverables.

ISTER implementation WPs count 4 main WPs, as follows: WP T1_Baseline screening and policy framework, WP T2_Joining, activating and tutoring, WP T3_Mapping and promoting Roman Network of Routes and Settlements, WP T4_Exploitation and long-lasting effects.

Risk Description	Impact	Probability	Actions to mitigate the risk
<p>Ineffective collaboration among Tasks/ Deliverables</p>	<p>Major</p>	<p>Rare</p>	<p>The essence of this project is that WPs, as well as Deliverables, are developed in synergy. The Management Plan will provide information regarding the interconnection of different sections of the WPs and their workflows, as well as solutions for smooth cooperation and development. The required collaboration will be ensured through a strong internal communication structure fostered and aided by WP leaders, ensuring effective information flow and proper solutions to overcome any challenges and barriers encountered.</p>
<p>Ineffective harmonization among the involved Partners in tasks/ Deliverables</p>	<p>Moderate</p>	<p>Unlikely</p>	<p>It is essential that workflows established between different Tasks run smoothly. This implies harmonization of procedures and protocols among Tasks so that the output of one Task forms an ideal input for the next. Workshops and meetings will be organized throughout the lifetime of the project. These activities will establish or enhance professional links and contacts across the consortium in order to harmonize skills and expertise through exchange of best practices. Constant communication inside WP tasks as well as among WPs and activities is highly encouraged and Task force or one-to-one communication will be encouraged for different activities and specific tasks.</p>

Delays due to gaps and bottlenecks in Deliverables	Major	Unlikely	Deliverables have been designed based on the experience and potential capacity in the consortium. Each Deliverable and its timeline have been designed with regard to the amount of work needed to be done and the number of partners needed to be involved in order to deliver the best quality results.
Delays in producing deliverables	Major	Possible	The Project Management Plan will install the tools necessary for effective monitoring of project progress, in this case the WP tracking document. It will be used to update the planned activities, deliverables and due dates for each reporting period, but it will also be used to spot delays of critical deliverables at an early stage, so that a prolongation agreement could be obtained within the SC and agreed with the LP and the JS. For any encountered difficulties, mitigating actions will be discussed within WP, under the coordination of the WP leader and with the involvement of all WP-partners to avoid iterative delays. Partners in WPs will appoint project personnel in time, so they provide the necessary input and contributions to project deliverables. When partners possess spare capacity, failure of one will be mitigated quickly with the support of other partners.
WP T1. Difficulties to comply with deliverables requirement due to diverse understandings and national interpretations	Moderate	Probable	It is widely known that, despite huge European effort to generate common language on different domains and research fields, this is not always happening, and states continue to use their national interpretations and definitions of various terms, especially when it comes to heritage, archaeology, etc. In order to avoid or minimize this risk, WP T1 proposes a common and shared terminology for the deliverables prepared, but also for all other activities and tasks in the project. The terminology is inspired by European accepted terms and interpretations, UNESCO definitions, as well as other recognised international publications in the field.
WP T2. Difficulty in finding/ engaging stakeholders for the MLSG	Moderate	Possible	The ISTER project, besides creating a community beyond the financed Partners, gathers stakeholders and organisations from outside the consortium, all with the objective of a better knowledge and recognition of the Roman Routes transnationally at the Danube Region level. The partners selected to be part of the project have previous experience in similar projects and are able to gather local actors with similar interests in order to create MLSGs which can contribute to the accurate

			assessment of local territorial capital and capabilities. WP T2 is organised around these tasks and proposes an iterative process for stakeholders mapping and engaging, therefore partners are expected to ask for support in case they fail to setup the local chain of stakeholders, according to the process steps.
WP T2. Difficulty in organising workshops and meetings with the MLSG due to the COVID-19 restrictions and	Medium	Unlikely	The situation regarding the pandemic is taken into great consideration by the consortium and will be assessed constantly within the SC, in order to come to the best and safest conclusion regarding the meetings/ events organisation foreseen in different WPs, but especially in WP T2. Decisions will be taken depending on the current situation at local/ national and transnational level for each partner city/ state, considering the national restrictions and regulations. In the positive situation of physical meeting organisation, the consortium will discuss conditions in which they may be held, following the regulations on physical distancing and mask usage. If the risk of infection still persists, the sessions will be held online via Zoom or other channels.
WP T3. Aerial Photography cannot be performed due to weather conditions or malfunctioning of the tools used	Medium	Unlikely	The weather and malfunction of tools cannot be foreseen or controlled by any partner. However, the time of the scanning can be scheduled according to weather forecasts (additionally, the period allocated for this deliverable is 12 months, offering enough time to overcome any problems regarding weather) and tools will be tested beforehand. In the very unlikely case of serious malfunction of the tools and consequently, the impossibility to complete D.T3.1.1 Aerial Photography documentation, the Partner responsible for the task will inform the SC and a decision will be made according to the respective moment.
WP T3. Mock-up App bugs and malfunction	Low	Probable	The Mock-up of Transnational interactive tool will be the first version of the open digital app for Roman eco-cultural route valorisation and will be delivered in M18, but it will be continuously open for comments, modifications and further contributions until M24, when the project outputs is to be delivered. The Interactive tool will continuously receive input from ISTER partners and end users, even beyond the official end of ISTER project.
WP T4. Difficulties in	Major	Unlikely	The Partners chosen for this project have previous experience in similar project, making

producing the local policy recommendations			them eligible to write such recommendations and forward them to local authorities and policy-makers in charge of cultural heritage, in order to introduce the recommendations into regional tourism policies and territorial development plans (including the limits of Roman routes as protected areas in the regulatory urban plan of their localities/ regions). Furthermore, a set of policy recommendations will be prepared at transnational level, offering an initial guidance to local partners to develop their local policy guidelines following two aspects: 1) compliance with transnational dimension of the Roman routes as a contiguous element and 2) embeddedness of policy measures within the specific situation of the local context.
WP T4. Some of the common, transnational actions of partners' states could collide with some of the project's objectives, for example the design of the planned Roman milestones	Low	Rare	The final technical/ architectural solution for the milestone will be designed by the LP with contribution and feedback from all thematic partners (museums). This will facilitate the process of obtaining authorisations and permits since the technical project of the milestone will be developed at consortium level, as an identity element of the Roman Routes corridor along the DR. This process, coupled with the expertise approval within DALI (Documentation for Approval of Intervention Works), will ensure the optimal technical solution that will meet all necessary requirements to conform with all national requirements.

2.2.4 Work Packages C: Communication

WPC will run continuously during the project lifetime, setting up a proper communication both internally (between project partners) and externally (targeting local stakeholders and a wider audience). The setup structure of Communication and Capitalisation Board (CCB) consists of at least one responsible from each technical partner, thematic partner and experts, as well as a Communication Manager from each project partner and it will be mainly responsible for communication, dissemination and capitalisation activities. The CCB develops a Communication and Dissemination Plan (CDP), establishing the main directions for a proper and adequate dissemination of project activities and results at all levels (local, regional, national and transnational). CCB will prepare communication and dissemination toolkit (promotional materials and publications in English, while each partner will be responsible for translating them into national languages), as well as constantly updating information on the project website.

Risk Description	Impact	Probability	Actions to mitigate the risk
Difficulty in organising workshops and meetings with the MLSG due to the COVID-19 restrictions and severe regulations	Medium	Probable	The situation regarding the pandemic is taken into great consideration by the consortium and will be assessed by the relevant Partners and Stakeholders in order to come to the best and safest conclusion regarding the meetings. Depending on the date of the meetings, a decision will be made by the responsible Partners regarding the conditions in which they may be held and if the risk of infection still persists, the sessions will be held online.
Difficulty in organising Program events/ Local Thematic events / awareness-raising events	Low	Possible	Given de situation regarding group/ task force meetings, events (planned for M6-M29) will be taken through an assessment procedure to establish if the safety of the participants will be at risk. In case the answer is positive, events will either be postponed or held online. Finally, the decision regarding a local meeting organisation will be taken and assumed by each territorial/ thematic partner, taking into consideration the national laws and regulations and situation of each country/ city in which these events are to be held.
Difficulties in producing/publishing scientific articles or delivery of poor-quality products/ deliverables	Major	Rare	Project management plan and quality management plan include specific information related to the review procedure for deliverables, central publications, data and prototypes; in order to ensure effective communication between partners throughout the project. The QMP sets the procedure rules and allocates certain partners to contribute to the internal review process by giving direct comments and observations to the deliverable responsible (internal peer-review procedure). Furthermore, scientific publications targeting well-established scientific journals and proceedings will undergo academic peer review before publication. Standardised guidelines (how to proceed in focus groups and field trials, as well as for interviews) and questionnaires will be produced to ensure the quality (including comparability) of the information that are gained through the evaluation in every country.
Lack of effective and efficient	Major	Unlikely	Communication is a very important challenge, both because of language

<p>communication routines within the consortium may result in deterioration of the project work</p>			<p>differences (the project uses for daily communication a language which is not the native language for the majority of participants), and because partners come from different domains/backgrounds, efficient communication might raise some questions and ideas. It is not uncommon for someone to understand terms differently, causing misunderstandings. If the partners are not able to communicate effectively and efficiently, misunderstandings may arise and complicate daily collaboration and anticipated progress. To mitigate the risk, in all meetings, regular updates and progress reports will be given and all partners should discuss any sensitive issues to ensure that allocated tasks progress as expected. In a critical situation, the project partners need to be guided to re-arrangements of schedules and deliverable submissions.</p>
---	--	--	---

3 Risk assessment and mitigation procedure

The LP, together with the SC members will ensure the continuous monitoring of the project progress through frequent direct communication among partners so to be able to anticipate any possible risk of late or non-delivery of specific tasks, and to take corrective measures in due time. Therefore, commitment of WP leaders is essential in this procedure, as well as the commitment and active involvement of all partners to communicate any difficulties, challenges or other inconsistencies they might encounter along the project implementation.

The Risk assessment involves two different steps:

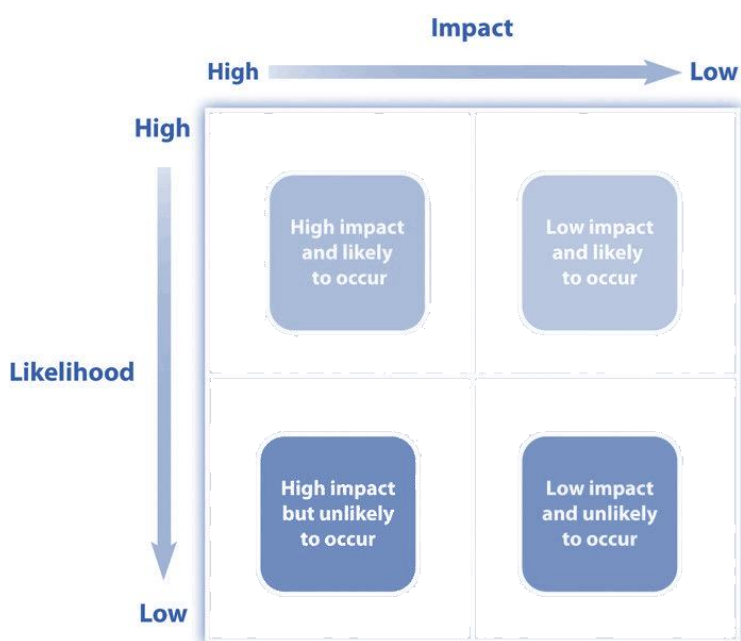
- 1) Risk identification and evaluation, which has been done under point 2 of this present deliverable and it contains the description of the risk, the impact and probability associated with the risk, as well as a set of proposed actions to mitigate the risk
- 2) Development of contingency plan (this step is associated with situations and moments characterised by several overlapping risks in different WPs or over the same timeframe).

3.1. Risk identification and evaluation

Risk identification and evaluation requires a day-by-day assessment of risk mitigation activities which could be enacted and applied by the project partners. Situational and context-specific decisions will be taken, especially concerning the pandemic challenges and impact, which is not horizontally applied throughout Europe, therefore different solutions might be proposed. As soon as the potential risks are identified, the LP and/or the SC evaluate the impact and probability of the risk to occur. Obviously not all risks are defined with equal impact and probability – some risks are more likely to happen than others, and the impact of a risk can vary greatly. Risk identification and evaluation is about developing an extensive understanding of which potential risks have the highest possibility of occurring and can have the greatest negative

impact on the project. As the project progresses and more information becomes available to the project consortium, the set of risk associated at consortium level, but also at WP/ deliverable level typically reduces, as activities are performed according to the agreed timeframe. However, new and unpredictable risks might occur along the way and they have to be treated with the highest level of seriousness and active involvement from the LP, WP leaders and all partners contributing to the specific work package/ activity and deliverable. In this context, the risk plan needs to be updated as soon as the situation requires, with new information and risks checked off that are related to activities that have been performed.

The table below summarises the main situations in which different outcomes of the risk identification and evaluation and placed, highlighting the position of top-left, which implies the need to develop a contingency plan is the difficult situation arises and persists.



3.2. Development of Contingency plan

In the unlikely event that several serious risks appear, and they overlap in time and also within project content, the LP will immediately require the development of a contingency plan – either at a WP level (if several activities and deliverables within the WP are put at high risk), or at partner level (if one partner fails to deliver qualitative contributions and results several times). The contingency plan represents an alternative method for accomplishing the project/ WP objectives when a risk event has been identified that may frustrate the accomplishment of that goal. The LP and the SC will have the authority to enact contingency plans as deemed appropriate. 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.

Risk management (including identification, evaluation and contingency) is an ongoing activity that will run continuously throughout the entire lifespan of the project. This process includes risk reporting on a regular basis – during the WP task force meeting, the General Assembly meetings and corrective measures and solutions shall be discussed and agreed by the SC.

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.