

Report on risk management plan

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Abstract

The Risk Management Plan is developed to address how to handle risks and issues in the project TRUSTY. This plan gives a brief description of the procedures to follow, the details of the Risk Manager and includes a form in the annex to report risks.

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¹ Representatives of all the beneficiaries involved in the project

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TRUSTY

TRUSTWORTHY INTELLIGENT SYSTEM FOR REMOTE DIGITAL TOWER

TRUSTY

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1 Introduction

Annex 1 of the Grant Agreement (GA - [101114838]) [1], provides the contractual baseline of the project by means of the Description of the Action. It contains a high-level description of what the project is aiming to achieve and how and which additional outputs will be produced in terms of Deliverables. The descriptions of these deliverables in the Grant Agreement provide a common reference for the project and the SJU to allow assessing the achievements of this particular project.

This document presents the procedures proposed to ensure an adequate risk management, including the planning for risk monitoring, and the definition of mitigation measures. This document complements the project information provided in the Grant Agreement Description of Action and the Consortium Agreement [2]. The Grant Agreement (GA) remains the contractual reference [1].

2 Risk Management Plan

The objective of the Risk Management Plan is to forecast and manage risks before they become problems. It will assist the TRUSTY project in performing informed decision-making, optimizing resource allocation and use. The process used throughout the project for managing risks is the “Continues Risk Management (CRM)” method. Implementation of this plan solicits inputs from everyone in the project.

This plan will be reviewed at least annually. CRM is carried out throughout all activities of TRUSTY, as well as during key meetings. Six primary activities of the CRM process will be followed for risk:

Identification

Identification is the process of turning uncertainties and issues of the project into well-described risks that can be measured and addressed. A unique risk identifier is generally used to help keep track of risks that have been identified and are going to be managed. This can be a number, project name and number combination, or some other unique combination of letters and numbers.

Identification of risk has two activities:

- a. Capturing a statement of risk- The clear description of the risk upon which further actions can be taken.
- b. Capturing context of risk- The additional information about the risk that will help to understand the risk better and easier for all personals of the project.

A risk form is used to capture the statement of the risk. The form is attached below in Annex 3.

Analysis

The process of examining the risk details, its contexts, its extent and impacts on the project, the correlation of the risk with other risks and determining its importance and urgency is Analysis. This step converts data into decision making information. It has three activities:

- a. Evaluation of characteristics of Risk- To better understand the expected impact, probability and timeframe of the risk
- b. Classification of Risk- To relate risks with one another and form groups for better planning of risk handling.
- c. Ranking of Risk- To properly utilize the available resources to mitigate the most important risks first by prioritizing risks.

Planning

The process of deciding whether to take actions and what actions to take falls in the Planning phase. Planning includes developing effective and efficient plans, defining the correct set of actions to

minimize risk while maximizing opportunities and value. The planning process tends to cover three aspects:

- a. Assigning responsibility- To ensure the most appropriate, expert and knowledgeable persons on the matter are assigned the related mitigation tasks with no risks being unattended.
- b. Deciding how to approach- To determine the appropriate approaches to establish measurable mitigation goals
- c. Defining scope and actions- To determine the complexity of the mitigation, documentation procedure, strategy and tasks.

Tracking

In Tracking, risk data is acquired, compiled and reported. The data acquired is the data collected relevant to the risk; compiled data is the organizing of the data and data reporting is the communication of the risk status report for effective decision making. It is to keep track of the risk to manage it. The Risk Manager along with the Scientific Committee will decide which definition to choose for tracking. The most commonly used ones are metric, measure, indicator, trigger etc.

Controlling

The process of considering the tracked data and deciding the actions based on that is the Controlling. The person assigned by the Risk Manager and Scientific Committee for a certain risk(s) will take the control decisions in this regard. The person has to take informed, timely, and effective decisions regarding the risks. The main tasks in controlling are:

- a. Analyze status report- To provide knowledge and information needed by decision makers to accurately determine the best courses of action for project risks
- b. Decide procedure- To ensure continuity of effective management of risks by replanning and implementing contingency plans.
- c. Execute decisions- To implement the decision made about the risk and the mitigation plans.

Communicating and Documenting

Communicating and documenting is to understand the project's risk, mitigation alternatives and risk data. The communication in this project will be done as per the situation demands, decided by the Risk Manager and the Scientific committee. There will be a free flow of information among all the project levels. The barriers of communication such as blaming other persons, hiding agendas, acting pre-emptively etc must be removed.

A Risk Manager i.e. project coordinator will be appointed within the Scientific Committee (SC), with the specific task of monitoring and updating the risk management plan. The Risk Manager assigned for this project are the contact persons of each participants partners, i.e. Mobyen Uddin Ahmed, MDU; Christophe Hurter, ENAC, Pietro Arico', UNIROMA1 and Elizabeth Humm, Deep Blue.

The Scientific Committee is responsible of monitoring the risk, propose actions to mitigate them, and if required, to propose workarounds that do not undermine the goals of the project. If necessary, the board proposes modification(s) of the project Work Plan and/or outcomes to the General Assembly.

During the TRUSTY execution a report of the state of the play of identified risks will be included as project periodic report in Sygma Web tool, if the risk materialized, along with the mitigation measures applied, and new comments and actions expected to overcome those risks.

The risk mitigation plan established within the TRUSTY project aims at ensuring that the outcomes of the project meet its objectives and a high-quality level of the deliverables. It follows the project partners, responsible for preparing and / or amending deliverables.

2.1 Risk Identification

Each WP leader is responsible to identify potential risks related to the WP achievement. In conjunction with the partners of the WP, the WP leader reports, as soon as identified, the potential risk using the WP Progress Meeting Minutes form that includes a specific box for it and notify the Scientific Committee and the Risk Manager using a Risk Identification and Mitigation (RIM) form. The RIM describes the identified problem(s), an analysis, an evaluation, and if possible potential solutions to mitigate it.

The Scientific Committee collects the RIM, transfers it to the Risk Manager that assigns a tracking number to the Report.

Risks have already been identified and compiled in the General Agreement in Table 'LIST OF CRITICAL RISKS' in page 97 as Critical risks & risk management strategy.

2.2 Risk Monitoring and Mitigation

The Risk Manager follows the six steps described above of the CRM and discusses it along the Scientific Committee. Following this discussion, the Risk Manager along with the Scientific Committee

- proposes actions and/or a workaround to overcome or mitigate the identified risk,
- compiles the RIM and transfers the document to the WP leaders and to the Project Coordinator.

The Risk Manager organises a teleconference meeting with the WP leader and partners and Scientific Committee and explains the proposed actions / workaround based on the CRM method. If a consensus is found, the WP leader defines in the RIM the chosen actions / workaround, and transfers the final RIM to the Scientific Committee, and to the Project Coordinator that closes the mitigation action.

If the selected actions / workaround affects the work plan or consortium responsibilities, the Project Coordinator reports to the General Assembly, and prepares the required document with the support of the Scientific Committee and of the implicated WP leader(s).

2.3 Documentation

The Risks and Issues will be regularly maintained on the Continuous Reporting page on Sygma and Stellar. The STELLAR [3] RIO (Risk, Issues and Opportunity) will be evaluated every 2 months. The information in both the sites will be kept consistent.

All the documents related to risk management will be stored in the folder “Risk Management” in the Microsoft Teams under Working Place->WP1-> Risk Management. The folder will be accessible to all.

2.4 Risk Identification and Mitigation Form (RIM)

The risk management shall preferably respect this workflow:

- WP and task impacted by the risk
- Identification of the risk
- Analysis of the potential impacts (WP leaders)
- Evaluation of the risk occurrence (WP leaders)
- Proposed treatment: a set of potential actions or workaround (WP leaders)
- Due date for mitigation actions
- Analysis of the potential impacts (Scientific Committee)
- Evaluation of the risk occurrence (Scientific Committee)
- Proposed treatment: a set of potential actions or workaround (Scientific Committee)
- Assign owner of the risk (Scientific Committee)
- Comments from Project Coordinator
- Alternative treatments from Project Coordinator
- Consensual treatments and list of actions (Scientific Committee)
- Monitoring and updating of the risk until resolved; if necessary, escalation (WP leaders)

The RIM form is detailed in Annex 3.1, and will be stored for use by the consortium in the Teams platform under **Files\Documents\General\Templates**

3 Annex

3.1 Risk Identification and Mitigation Form (RIM)

No
Type
Raised date
Author/Source
WP Leader
Description
Likelihood
Severity
Level
Priority (for changes and issues)
Counter measures(s) / action(s)
Counter measures(s) / action(s) details
Scientific Committee
Likelihood
Severity
Level
Priority (for changes and issues)
Counter measures(s) / action(s)
Counter measures(s) / action(s) details

Consensual
Likelihood
Severity
Level
Priority (for changes and issues)
Counter measures(s) / action(s)
Counter measures(s) / action(s) details
Due date for mitigation actions

4 References

- [1] TRUSTY Grant Agreement, HORIZON-SESAR-2022-DES-ER-01 Associated with document Ref. Ares (2023) 101114838, June 2023
- [2] TRUSTY Consortium Agreement - TRUSTY_CA_S3MCF CA Template V2 September 5.docx, version02, 2023-10-12 based on Based on DESCA – Model Consortium Agreement for Horizon Europe AP Version 1 July 2022, S3MCF CA (AdHoc Working Group) – Mar 2023
- [3] SJU STELLAR, <https://stellar.sesarju.eu/>

5 List of acronyms

Acronym	Description
TRUSTY	TRUSTWORTHY INTELLIGENT SYSTEM FOR REMOTE DIGITAL TOWER
GA	Grant Agreement
CA	Consortium Agreement
RIM	Risk Identification and Mitigation Form
RIO	Risk, Issues and Opportunity

Table 1: list of acronyms