

Risk Assessment Report

StEPPFoS Deliverable Report: D8.4



Funded by
the European Union

This project has received funding from the European Union's Horizon Europe Research and Innovation programme under Grant Agreement No. 101136770

Disclaimer: This document reflects only the Authors views, and the European Union is not responsible for any use that may be made of the information contained therein.



**Dissemination
Notes**

www.faraafrica.org | ISSN 2550-9657 | FARA Dissemination Note 00 | 0000

Deliverable N.: D8.4

Risk Assessment Report

Funding scheme:	Horizon Europe
Project Acronym:	StEPPFoS
Project Full Title:	Strengthening Evidence-Based Policy Practice for Sustainable Food Systems under the EU-AU Partnership
Grant Agreement n°:	101136770
Project duration:	48 months

Published by the StEPPFoS
Consortium

Dissemination Level: **Public/Confidential**



This project has received funding from the European Union's Horizon Europe Research and Innovation programme under Grant Agreement No. 101136770

DOCUMENT INFORMATION

Project number	101136770	Acronym	StEPPFoS
Full title	Strengthening Evidence-Based Policy Practice for Sustainable Food Systems under the EU-AU Partnership.		
Project URL	http://www.panap-StEPPFoS.org		
Document URL			
EU Project Officer	Adelma Di Biasio (REA - EC)		

Deliverable	Number	D8.4	Title	Risk Assessment Report
Work Package	Number	WP8	Title	Participatory Project Coordination and Management

Date of delivery	Contractual	M07	Actual	M07
Status	Version 1		Final	
Final review			Formatting by WP8	
Type of document	<input type="checkbox"/> prototype <input checked="" type="checkbox"/> report <input type="checkbox"/> demonstration <input type="checkbox"/> other			
Dissemination level	<input checked="" type="checkbox"/> public <input type="checkbox"/> confidential			

Authors (Partner)	AGRINAURA, FARA			
Responsible authors and contributors	Name	Stephen Onakuse	email	s.onakuse@ucc.ie kantwi@faraafrica.org
	Partner	Kwaku Antwi	Phone	+353863650596 +233539899658

Abstract	<p>The purpose of this document is to provide a risk management framework for the StEPPFoS project to ensure that adverse situations are properly managed along with the delivery of the project. This risk management plan documents the processes, tools and procedures that will be used to manage and control any event that could have a negative impact. It exposes the proposed risk management approach of the project for managing and controlling all project risks.</p> <p>Moreover, this plan will address the roles and responsibilities of the project partners, the risk identification, as well as risk assessment and mitigation plans. A table summarizing the risk management plan is presented at the end of this Deliverable.</p>
-----------------	--

Keywords	Risk, management, tools and procedures, controlling
-----------------	---

Abbreviations

AFAAS	African Forum for Agricultural Advisory Services
AU-EU	African Union - European Union
CCSE	Climate Change and Sustainable Energy
CEE	Central and Eastern Europe
FARADDataInforms	FARA Data and Information Systems
FNSSA	Food and Nutrition Security and Sustainable Agriculture
H2020	Horizon 2020 Research and Innovation Program
HLPD	High Level Policy Dialogue
ICA	Association for European Life Science Universities
IRC	International Research Consortium
JRC	Joint Research Consortium
KEOPS	Knowledge Extract or Pipeline System
NGO	Non-governmental organization
PANAP	Pan African Network for Economic Analysis of Policies
R&I	Research and Innovation
SADC	Southern African Development Community
SANBio	Southern Africa Network for Biosciences
SEW	Stakeholder Engagement Week
StEPPFoS	Strengthening Evidence-Based Policy Practice for Sustainable Food Systems under the EU-AU Partnership
STI	Science, Technology and Innovation
WP	Work Package

1. Introduction

Risk management is a continuous process throughout the lifetime of a project and addresses the planning of risk management, identification, analysis, monitoring and control. This document outlines policies and procedures for identifying and handling uncommon causes of project deviations that may compromise the set objectives of StEPPFoS. 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.

The StEPPFoS (Strengthening Evidence-Based Policy Practice for Sustainable Food Systems under the EU-AU Partnership) is a consortium of 16 partners (Beneficiaries) and 2 Associated partners with the specific objectives to improved capacities of stakeholders; enhanced science-policy interface; improve strategies that promote scientific support within policy development; and expand and strengthen the PANAP Network. The diversity of the partnership spans from research institutes, academia, farmers organisation and non-governmental organizations in Africa and from Europe.

Transparency and a good communication between the Consortium Team (CT), Work Package (WP) leaders and the project members are key to avoid problems and conflicts before they arise. Therefore, a good communication strategy will bring together understanding and cohesion among the partners.

Some of the major perceived risks related to the project work are listed in table 1, including a classification of their probability and a description of contingency measures envisaged by the consortium.

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

2. Roles and Responsibilities

2.1. Steering Committee

The Steering Committee (SC) is responsible for providing advice and strategic inputs and strategic direction of the project. The SC members should follow the assessment of risks by the Consortium and the resolution actions. The SC 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 SC is composed of:

- FARA
- AGRINATURA
- WP Leaders and Task Leaders
- JRC
- Project Officer EC

The SC will endorse the risks management of the project and is responsible of the risks management process, assuring the monitoring and control of risks of all project activities. The project risk management plan is the responsibility of the SC, but all partners are involved.

The Steering Committee (SC) of the project consists of the Scientific Coordinator and the eight WP Leaders. In collaboration with the SC, they will monitor the project and prepare the decisions to be taken by the General Assembly. Concerning the risk management plan, the SC should advice the WP Leaders and the partners if problems cannot be easily resolved.

2.2. Work Package Leaders

The WP Leaders are responsible of the implementation of the activities within their WPs. Therefore, WP Leaders must be aware of specific risks for the deliverables and milestones within their WPs. The WP leaders should ensure the identification and management risks and such risks should be reported to the project coordination to update table 1.

2.3. The General Assembly Meeting

The General Assembly of the project is the highest decision making body of the project. The General Assembly also oversees the activities of the steering committee, ensure that all WPs are operating efficiently, ethically, and in accordance with principles and objectives of the project. The General Assemblies play a role in resolving disputes or conflicts, either within WP or between WPs. Develop initiatives to resolve any conflict and promote stability among consortium partners. The General Assemblies also engage in formulating strategies, initiatives, and guidelines to address various social, economic, and environmental challenges of the project, through debates, committees, and working groups, members of the General Assembly.

3. Risk Management Procedure

It is important to understand any potential risks and how to manage them. The Project Steering Committee is responsible for daily project operation, which includes risk identification and mitigation as an important task. The process for risk management will be iterative. During each iteration a risk register will be built:

1. Each partner in the project is responsible for reporting potential risks (and proposing remedial actions) to the SC, by informing their Work Package leader, or the Project Coordinator.
2. The Work Package Leaders and the project coordinator have the responsibility to assess the risk impact, probability of occurrence and remedial actions. All risks that can be managed at this level should be addressed as soon as possible. Major risks will be reported to the European Commission.
3. For risks of more severe grade, the project coordinator would inform the Steering Committee, which will provide strategic guidance on how the problem should be addressed and take actions and decisions, where needed. All risks reaching this level shall be reported to the European Commission.
4. With the risk register in place, monitoring and management of the identified risks will be performed in direct contact with the Work Package leaders. The risk register will be reviewed and updated at least quarterly following the Steering Committee meetings. The occurrence of risks and the triggered remedial actions will be described in the reports.

3.1 Process

The project coordinator working with the project consortium 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 in the project to minimize their impact. The steps for accomplishing this are outlined in the following sections. The project coordinator (PC) will serve as the Risk Manager for StEPPFoS project.

3.2 Risk Identification

Risk identification will involve the entire project consortium, appropriate stakeholders, and will include an evaluation of environmental factors, organizational culture and the project management plan including the project scope. Careful attention will be given to the project deliverables, assumptions, constraints, work breakdown structure, cost/effort estimates, resource plan, and other key project documents.

The designed **Risk Management Tool** will be created and updated as needed and will be stored electronically in the project archive library located in **Box** under “General documents/risk management”.

3.3 Risk Analysis

All risks identified will be assessed to identify 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.

3.4 Qualitative Risk Analysis

The probability and impact of occurrence for each identified risk will be assessed by the SC, with input from Work Packages leaders using the “risk point-system” and risk-matrix which were adopted from [1] as described in Table 1, Table 2 and Figure 1 below.

Table 1: Risk’s probability

RISK	PROBABILITY OF OCCURENCE	POINT
Low	Less than 10%	1
Medium	10-25%	2
High	25-50%	3
Very high	50-100%	4
Absolute	Will occur at least once	5

Table 2: Risk’s impact

RISK	POINT
Negligible impact	1
Mild impact	2
Sizeable impact	3
Large impact	4
Very large impact	5

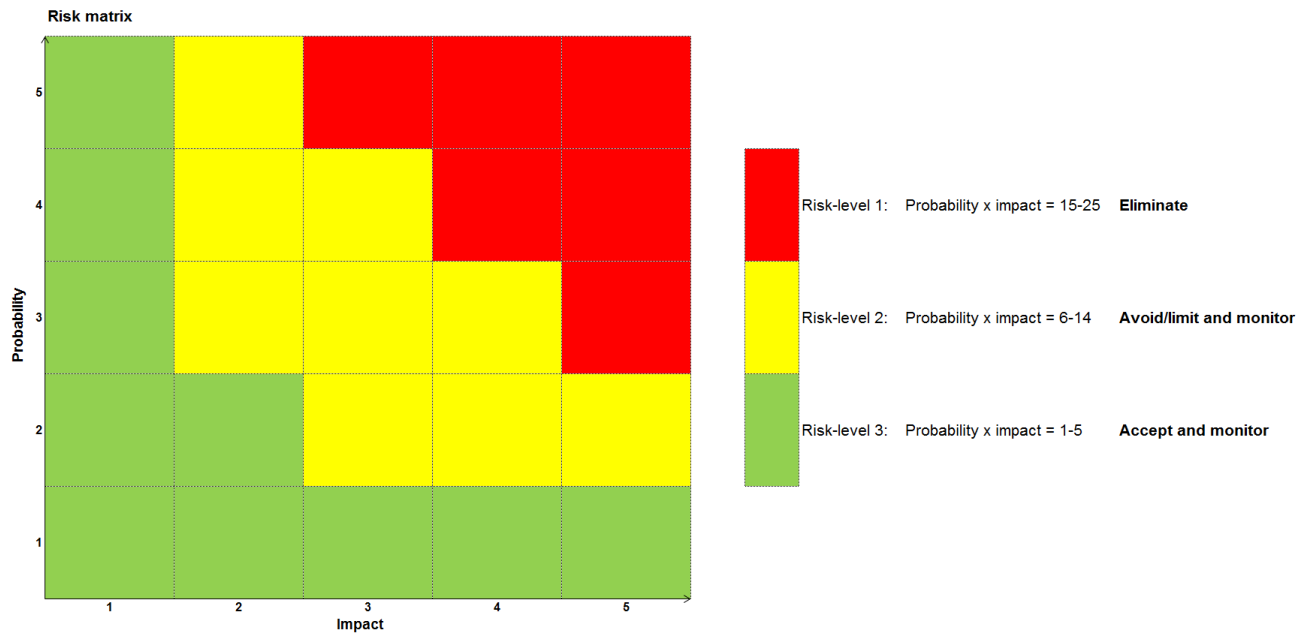


Figure 1: Risk’s level

Risks that fall within the RED and YELLOW zones will have the risk response planning which may include both a risk mitigation and a risk contingency plan.

3.4.1 Quantitative Risk Analysis

The risk can be quantified using the numerical rating applied to each risk, and then documented in this section of **Risk Management Plan**.

3.5 Risk Response Planning

Each major risk (those falling in the red and yellow zones) will be assigned to the Steering Committee for monitoring purposes to ensure that the risk will not happen. For each major risk, one of the following approaches will be selected to address it:

- **Avoid** – Eliminate the threat by eliminating the cause.
- **Mitigate** – Identify ways to reduce the probability or the impact of the risk.
- **Accept** – Nothing will be done.
- **Transfer** – Make another party, if possible, to be responsible for the risk (outsourcing, etc.)

For each risk that will be mitigated, the Steering Committee will identify ways to prevent the risk from occurring or reduce its impact or probability of occurring. This may include adding tasks to the project schedule, adding resources, etc.

For each major risk that is to be mitigated or that is accepted, a course of action will be outlined for the event that the risk does materialize in order to minimize its impact.

3.6 Risk Monitoring, Controlling and Reporting

The level of risk that may be associated with StEPPFoS project will be tracked, monitored and reported throughout the project lifetime.

A “Top 10 Risk List” will be maintained by the Steering Committee and will be reported as a component of the project status reporting process for this project. All project change requests will be analysed for their possible impacts to the project.

3.7 Tools and Practices

A **Risk Management Tool** will be created and will be maintained by the SC and will be reviewed as a standing agenda item for Steering Committee meetings. An example of the Risk Management Tool is shown in Appendix I.

Appendix I: Risk Management Tool (SWOT Analysis)

Project Name: _____

Purpose: _____

		POSITIVE	NEGATIVE	
INTERNAL	Strengths	<ol style="list-style-type: none"> 1. <i>Internal strength</i> 2. <i>Internal strength</i> 3. <i>Internal strength</i> 	Weaknesses <ol style="list-style-type: none"> 1. <i>Internal weakness</i> 2. <i>Internal weakness</i> 3. <i>Internal weakness</i> 	
	EXTERNAL	Opportunities	<ol style="list-style-type: none"> 1. <i>External opportunity</i> 2. <i>External opportunity</i> 3. <i>External opportunity</i> 	Threats

Forum for Agricultural Research in Africa

No. 9 Flower Avenue, New Achimota Mile 7, PMB CT 173, Accra, Ghana

Telephone: +233 302 772823 | +233 302 779421

Fax: +233 302 773676

Email: publications@faraafrica.org

Website: www.faraafrica.org

K-Hub: <https://datainforms.faraafrica.org>

Library: <https://aaspace.org>



**Funded by
the European Union**

This project has received funding from the European Union's Horizon Europe Research and Innovation programme under Grant Agreement No. 101136770