



D 1.1 – PROJECT MANAGEMENT GUIDELINES AND RISK MANAGEMENT PLAN

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Technical References

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- PU = Public
 - PP = Restricted to other programme participants (including the Commission Services)
 - RE = Restricted to a group specified by the consortium (including the Commission Services)
 - CO = Confidential, only for members of the consortium (including the Commission Services)

Document history

V	Date	Modifications	Author
V1	23/02/2024	First version	Juancho Pons

Abstract of Deliverable

Guidelines with the main rules (included in the Grant Agreement) which need to be followed by every participant and that will help us with the governance of the **STEAMbrace** Project. The Risk Management Plan covers the description of the methods and processes that the **STEAMbrace** project will follow to predict, identify and mitigate the effect of potential risks threatening the project (i.e., scientific impasses, resource drifts, delays, conflicts).

Disclaimer

Funded by the European Union under grant agreement 101132652. Views and opinions expressed are however those of the author(s) only and do not necessarily reflect those of the European Union or the European Research Executive Agency. Neither the European Union nor the granting authority can be held responsible for them.

1. Project management structures

1.1 Decision making bodies

1.1.1 Project Coordinator (PC)

The coordinator of **STEAMbrace** is **EDE** and the person responsible for this activity is Juancho Pons. He will be in charge of making all contacts with the European Commission (**EC**) and the only entitled interlocutor with the Project Officer. The PC will, in addition to its responsibilities as a Party, perform the tasks assigned to it, as described in the Grant Agreement and the Consortium Agreement. In particular, the PC will be responsible for:

- Monitoring compliance by the Parties with their obligations under the Grant Agreement;
- Keeping the address list of Members and other contact persons updated and available;
- Collecting, reviewing to verify consistency and submitting reports and other deliverables (including financial statements and related certifications) and specific requested documents to the Funding Authority;
- Organise periodic project meetings, preparing meetings' agenda and chair the project meetings.
- Transmitting documents and information connected with the Project to any other Parties concerned;
- Administering the financial contribution of the Funding Authority and fulfilling the financial tasks

1.1.2 General Assembly

The General Assembly consists of **one representative of each partner**. It is the executive body of **STEAMbrace** and will be in charge of the project monitoring, daily coordination and periodic reporting (including reviews), risks, trouble shouting, and applying fall-back measures when necessary. It is also responsible for the quality assurance of project results and financial monitoring of the project including partners. The General Assembly will also prepare the periodic reports, guiding the partners in the administrative requirements.

The General Assembly will meet twice a year, being at least one in person, face to face. Although it will be possible to call an extraordinary meeting in case of arising conflicts or any other trouble that could hinder the normal execution of the project.

The decision-making mechanism within the General Assembly will be by a majority of (2/3) of the votes. In case of tie right of vote, the **PC** will hold the decisive vote.

If a partner is absent during voting, the partner can give in advance to the coordination a written authorization (via email) with their vote to a specific decision. In case of not sending this written authorization, they will lose the right to vote to that specific decision.

If a partner gives up the project once the project is running, the partner will lose the right of vote. If this partner is replaced, the vote will be given to the new partner. In case that the partner is not replaced, the decision-making mechanism will continue being the same.

A Member affected by a decision of the General Assembly may exercise a veto with respect to the corresponding decision or relevant part of the decision, according to the Consortium Agreement.

1.1.3 Steering Committee (SC):

The **SC** will be the supervisory body for the execution of the Project, which shall report to and be accountable to the General Assembly. The **SC** will meet every three months for the follow up of the project.

The **SC** will be composed by the Project Coordinator and the **WP** Leaders. It will be responsible for:

- Discussion and assessment of the general project progress and project achievements in relation to the Grant Agreement.
- Risk due diligence, trouble shooting, and validation and adoption of contingency plans if necessary
- Quality assurance of project results and financial monitoring of the project including partners.
- To agree on modifications, including budget redistributions and task schedule variations.
- To monitor results to be protected and advising partners on the means of protection

The decision-making mechanism within **SC** will be by simple majority. In case of tie, the coordinator will hold the decisive vote. No veto option will be possible. The **SC** will meet four times a year. However, it is possible to call an extraordinary **SC** meeting in case of troubles that may affect to the normal execution of the project.

Decision-making mechanism: **SC** will approve official reports, publications or any other technical decision affecting the project execution by simple majority. Final decisions will be presented to General Assembly who will have the final vote to accomplish or not.

1.1.4 Innovation & Exploitation Board (IEB)

The **IEB** will provide technical, legal and economic expertise in technology transfer, supporting guidance on Intellectual Property Rights (**IPR**) and innovation management, commercial assessment to enable the transfer of project's results outside the consortium for exploitation purposes. The **IEB** will be chaired by **EDE** and formed by one person for every partner with exploitable results. They will deal with the IP management following the IAPED strategy, project milestones monitoring, benchmarking, approval of dissemination materials, and risk due diligence on the implementation of the Exploitation Plan. The **IEB** will provide guidance to a multi-actor implementation and optimization of project activities, result transferability at industrial scale, and their exploitability to accelerate market access. As a first step, the **IEB** will approve the final reports, publications or any other type of dissemination material affecting the exploitation of the project results by simple majority.

1.1.5 WP Leaders (WPL)

WPL direct the day-to-day technical planning and work within the **WP**. The **WPL** coordinates, plans, monitors and reports to the **PC** about its **WP** progress (including budget issues). **WPL** review, together with the **PC**, deliverables, milestones, risks and contingency plans related to their **WP**. The **WPL** will report regularly (at least every three months) to the **PC** about the status of its **WP**. Each **WP** will meet every two months for the follow up of the action.

1.1.6 External Advisory Board (EAB)

A Technical & Industrial Advisory Board can be elected at anytime of the duration of **STEAMbrace**. It will be chaired by the **PC** and composed by at least three outstanding internationally-recognized experts from the EU to offer independent advice to **STEAMbrace** partners to better address the efforts toward

industry-driven innovation; Members of the **EAB** can be invited at the European stakeholder meetings that will take place. **EAB** members can be identified at any time and their name(s) shall be communicated to the **EC**. Its travel budget can be covered by the **PC**. Members of the **EAB** can act as multipliers and disseminators of the project.

1.2 Conflict resolution

In order to solve the problems that could compromise the success of the project the following steps will be taken:

- 1) First, the problem will be discussed at the **WP** level and an attempt will be made to arrive at a solution.
- 2) If the above is not enough, the problem will be discussed at the **SC** level and an attempt will be made to arrive at a solution.
- 3) If the above is not enough, the problem will be discussed at General Assembly level
- 4) Ultimately, if none of the above is enough, the **PC** will discuss the problem with the **PO** from the **EC** and an attempt will be made to reach a solution

2 Project management

2.1 Project documents

It is expected that over the course of **STEAMbrace** project many documents will be produced. It is, therefore, vital that document management processes are followed in order to enable users to locate and identify relevant files and to ensure version control.

2.1.1 Storage

The documents generated in **STEAMbrace** will be stored in the repository created specifically for this project:

Documents will be uploaded to the repository by partners themselves.

2.1.2 Document templates

Document templates are produced using a standard format including defined styles, page layout and content structure. These templates are prepared by **EDE & CTA** and will be available on the document's repository.

Some templates that will be produced are for:

- Deliverables (MS Word format)
- Meeting Signatures (MS Word format)
- Meeting Minutes (MS Word format)
- Presentations (MS Powerpoint format)
- Other document (MS Word format)

For all project documents these templates have to be used. These templates may be updated as the project progresses. Therefore, consortium partners must download the most up to date version from the repository.

2.1.3 Document coding

Each document will use a structured file name. This method of document coding produces a unique reference for all **STEAMbrace** documents stored on the website.

Documents must be structured using the following. Minutes from meetings will include the date of the meeting (in the format YYYYMMDD):

STEAMbrace_WP [WP NUMBER]_[DOCUMENT TYPE AND REFERENCE]_v[VERSION NUMBER]_[STATUS(draft/final)]

One example of this coding is:

STEAMbrace_WP1_D1.1_v1_Final

3 Communication & dissemination management

3.1 Internal communication

All-important e-mails sent among partners will be automatically copied and forwarded to Juancho Pons in order to keep him informed about the situation and the progress (or problems) of the project. **Besides, all e-mails among partners within a specifically WP will be automatically copied and forwarded to the WPL.**

3.2 Management of the disclosure of results

Unless it goes against their legitimate interests, each beneficiary must — as soon as possible — ‘disseminate’ its results by disclosing them to the public by appropriate means (other than those resulting from protecting or exploiting the results), including in scientific publications (in any medium).

During the Project and for a period of 1 year after the end of the Project, the dissemination of own Results by one or several Parties including but not restricted to publications and presentations, shall be governed by the procedure of Article 17.4 of the Grant Agreement and its Annex 5, Section Dissemination, subject to the following provisions.

This does not change the obligation to protect results as described in Annex 5 (section for Article 16) of the Grant Agreement, the confidentiality and security obligations in Article 13, or the obligations to protect personal data in Article 15 (see also section 4.4 of the Consortium Agreement), all of which still apply.

When a partner intends to disseminate its results through a scientific publication or presentation at an event (abstract, poster...), the partner must give advance notice to the others of (through the IEB once formed) — unless agreed otherwise — **at least 45 days**, together with sufficient information on the results it will disseminate.

Any other partner may object within — unless agreed otherwise — **30 days** of receiving notification, if it can show that its legitimate interests in relation to the results or background would be significantly harmed. In such cases, the dissemination may not take place unless appropriate steps are taken to safeguard these legitimate interests.

3.3 Communication & Dissemination activities

When a partner plans to participate or organise a communication activity, the Communication manager (Ángela Carretero) needs to be informed **at least one week** beforehand so this activity can be shared through social networks and other channels, if possible.

3.3.1 Monitoring the activities

When a partner carries out a communication or a dissemination activity, that partner must inform the communication team by email sending all the information available related to the activity, with pictures and other supportive documents when possible.

Also, the Communication & dissemination activities Excel sheets (available in the repository online) need to be filled and updates by the partners. Every 3 months, the communication team will remind partners to complete these sheets. The information collected here will be use for presenting the KPIs related to communication & dissemination to partners and the EC when requested or at the reporting. If the activity is not in the Excel, the activity will not be included in the reporting.

4 Project monitoring and control

4.1 Meetings

Once a meeting is carried between different partners, a briefly summary of the main outcomes of it has to be prepared and sent to the **PC**. It must be uploaded to the repository also.

4.2 Continuous reporting

The partners will continuously report on the progress of the action with deliverables, milestones, outputs/outcomes, critical risks or indicators in the Portal Continuous Reporting tool and in accordance with the timing and conditions it sets out.

4.3 Periodic reporting

PR1 closes on M12, PR2 closes on M24 and PR3 closes on M36. Consequently, on M13, M25 and M37, the **PC** is going to send the Technical Report template so every partner can complete it. Two weeks will be given to complete this task and send back a first draft. Any additional information required will be asked as well with specify due dates.

The partners, in addition, will provide reports to request payments, in accordance with the schedule and modalities set out in the Data Sheet:

- For additional prefinancings: an additional prefinancing report.
- For interim payments and the final payment: a periodic report.

The prefinancing and periodic reports include a technical and financial part.

The technical part includes an overview of the action implementation. It must be prepared using the template available in the Portal Periodic Reporting tool.

The financial part of the additional prefinancing report includes a statement on the use of the previous prefinancing payment.

The financial statement will contain the Lump Sum contributions indicated in Annex 2, for the **WP** that were completed during the reporting period.

For the last reporting period, the beneficiaries may exceptionally also declare partial Lump Sum contributions for **WP** that were not completed.

Lump Sum contributions which are not declared in a financial statement will not be taken into account by the granting authority.

5 Task frequency

5.1 Every 2 months

The technical **WP** will have a **WP** meeting to discuss and explain their advances. These meetings will be short and a brief summary will be sent to the **PC**.

5.2 Every three months

There will be a meeting of the **SC**. Besides, the performance will be evaluated against the deliverables to assess the cumulative effect of all failures on the final set of project objectives. Also, the fulfilment of the project will be evaluated, risk will be assessed and potential mitigation measures will be taken.

5.3 Every six months

Meeting of the General Assembly. Meetings will be always organized at the location of a different partner's institute or at the location of the industrial partners. However, these meetings can be virtual if decided by the General Assembly in order to save resources.

Each partner will present the interim results and data achieved in the form of an oral presentation and in the form of electronic files containing all details. Review and assessment against the deliverables and milestones, and corrective measures of potential deviation in the Work Plan.

The minutes of the meetings and all presentations and reports will be compiled by the **PC** and distributed among all partners.

The **EC** and its **PO** will be invited to all meetings and notified at least 6 weeks in advance and will be provided with the minutes within one month after the meeting.

5.4 Every 12 months

After every 12 months, the consortium will evaluate the feasibility of the project regarding scientific results and use of resources. The consortium will identify weak points and will adjust and improve the **WPs** accordingly. An Annual Meeting will take place in the premises of one of the partners. At least once a year, the meeting has to be face to face.

Each partner will present the interim results and data achieved in the form of an oral presentation and in the form of electronic files containing all details. Review and assessment against the deliverables and milestones, and corrective measures of potential deviation in the Work Plan.

The minutes of the meetings and all presentations and reports will be compiled by the **PC** and distributed among all partners.

The **EC** and its **PO** will be invited to all meetings and notified at least 6 weeks in advance and will be provided with the minutes within one month after the meeting.

6 Risk management plan

6.1 Introduction

A correct risk management plan is essential for a successful project. This kind of tools can help to predict and mitigate the effect of potential risks that can increase the budget or produce delays in the development of certain tasks. There are plenty of aspects that can provoke the failure of a project, and an inadequate risk management plan is one of them. It is important to have a clear risk plan, easy to use and understand by the team members. In this project, the Failure-Mode-Effects Analysis (**FMEA**) system will be used

6.2 Failure-Mode-Effects Analysis (FMEA) methodology

The responsibility of the risk management plan is assumed by the **PC**. For this aim, the **FMEA** methods will be used. This will be applied to each **WP** and also across the relations between **WPs**.

The **FMEA** is a step-by-step approach used to predict, identify and mitigate the risks of the project. The steps that compose this method are the following:

- Identify the tasks that are going to be developed during the project and the objectives of them. In the **FMEA** approach, these tasks are called functions.
- For each function, guess the possible failures that may happen. It is important to be precise and return to define the functions if an inconsistency occurs.
- For each possible failure, it is necessary to determine the potential consequences. In this regard it is important to determine which **WP** will be affected and how.
- Once the risk and the consequences have been determined it is important to classify them. In this project, three colours will be used to define the level of the risk: low (green), medium (yellow) and high (red). If the risk has several consequences, it will be characterized by the colour of the most severe one.
- For each risk it is important to establish the list of possible causes and install controls of the process that detect the failure or reduce its effects in case of happening.
- It is also crucial to define mitigating measurements to lower the severity of the risks.

The potential risks are established at the beginning of the project, based on the proposal. However, other risks and problems may appear during the development of the project. All of them will be analysed following the **FMEA** steps. This includes the characterization of the problem using the colour code established and the adoption of mitigating measurements in order to reduce the harmful effects of the problem.

The final step of the risk management plan is to document as problems arise to have a register of all the incidents that took place, the mitigation measurements adopted and the consequences of the problems.

The risk management plan will be discussed and updated during the **SC** and the General Assembly meetings.

6.3 Monitoring

It is the responsibility of all partners to update the **PC** about the status of each risk and the effectiveness of the mitigation plan in order to update the risk management register.

Each partner is responsible for executing risk mitigation measures which relate to the **WP** they lead. If a mitigation action cannot be effectively carried out or does not solve the risk, the coordinator has to be informed as soon as possible. Consequently, the mitigation measure will be modified in a more efficient way.

Risks will be collected in a "Risk Register" that will be checked in every personal meeting. The Risk Register contains a number of columns under which each risk is analysed individually. The Risk Register has been created in Excel, which allows the order and grouping of the risks according to the information in any of the columns.

6.4 Reporting new risks

In addition to the risks and mitigation/corrective actions identified at the proposal stage, subsequent risks further identified by each partner during the course of the project should be reported by filling up a risk registration template, sending it to the coordinator.

The template (**Annex: risk registration form**) will enable **STEAMbrace** partners to report risks as they arise or where there is an increased chance of a risk materializing.

7 Annex 1. Risk registration form

RISK REGISTRATION FORM

- Person that detected the risk:
- Organization:

Reporting Period	RP1/ RP2 / RP3
Date registered	
Description of the risk	
WPs involved	
Type of risk	<p><i>The following types have been identified: o</i></p> <ul style="list-style-type: none"> • <i>Gen: General risk</i> • <i>Tech: Technical risk</i> • <i>Man: Management risk</i> • <i>Expl: Exploitation (commercial) risk</i> • <i>Ethics: Ethical risks, including privacy legal concerns</i>
Risk impact	<i>what would be the impact on the project if the risk event happened</i>
Likelihood of occurrence*	<i>Provides an assessment on how likely it is that this risk will occur. Examples are: L-Low (, M-Medium (31-70%), H-High (>70%).</i>
Severity of effect*	<i>Provides an assessment of the impact that the occurrence of this risk would have on the project.</i>
Grade of risk*	<i>Likelihood x Severity</i>
Mitigation measure	
Owner/responsible	

*a guide to calculate these factors is below.

8 Annex 2. Guide to calculate the grade of the risk

Rating for Likelihood and Seriousness for each risk						
L	Rated as Low	E	Rated as Extreme (Used for Seriousness only)			
M	Rated as Medium	NA	Not Assessed			
H	Rated as High					
Grade: Combined effect of Likelihood/Seriousness						
		Severity				
		Trivial	Low	Moderate	High	Extreme
Likelihood	Rare	VL	L	L	M	M
	Unlikely	L	L	M	M	M
	Moderate	L	M	M	M	H
	Likely	M	M	M	H	H
	Very likely	M	M	H	H	E
Recommended actions for grades of risk						
Grade	Risk mitigation actions					
E	Mitigation actions, to reduce the likelihood and seriousness, to be identified and implemented as soon as the project commences as a priority.					
H	Mitigation actions, to reduce the likelihood and seriousness, to be identified and appropriate actions implemented during project execution.					
M	Mitigation actions, to reduce the likelihood and seriousness, to be identified and costed for possible action if funds permit.					
L	To be noted - no action is needed unless grading increases over time.					
VL	To be noted - no action is needed unless grading increases over time.					