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# Risk Management & Contingency Plan

## Deliverable 1.3

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| Project title:     | Marketplace for user-centered sustainability services                    |
| Project acronym:   | SimpliCITY                                                               |
| Project duration:  | 10/2018–03/2021                                                          |
| Project number:    | 870739                                                                   |
| Work package/Task: | WP1 / T1.3                                                               |
| Project website:   | <a href="http://www.simplicity-project.eu">www.simplicity-project.eu</a> |

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**Document versions:**

| Version | Date       | Changes                                                             | Author/s                  |
|---------|------------|---------------------------------------------------------------------|---------------------------|
| V1.0    | 02.2019    | Draft_Version                                                       | V.Hornung-Prähauser, SRFG |
| V1.2    | 12.09.2019 | Input partners and comments from project meeting 9/2019 in Salzburg | V.Hornung-Prähauser, SRFG |
| V1.3    | 30.09.2019 | Quality assurance                                                   | Petra Stabauer, SRFG      |

**List of abbreviations**

|     |                       |
|-----|-----------------------|
| CP  | Contingency Plan      |
| RRF | Risk reducing factors |
| PA  | Preventive activities |
| DOW | Document of Work      |

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## Purpose of the document

This report summarizes the contractually binding risk management and contingency plan including planned actions in case any of the envisaged risks might occur. Furthermore, this document serves to keep track of any updates to this contingency plan, which might be newly arising risks or different actions to be taken. This document will be updated in line with each project consortium meeting.

## Administrative Information

Basic information on the project and the present deliverable:

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|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Project title</b>        | SimpliciCITY - Marketplace for user-centered sustainability services                                                                                                                                                                                                                      |
| <b>Project coordinator</b>  | Salzburg Research Forschungsgesellschaft mbH (SRFG), Salzburg, Austria; project manager: Petra Stabauer BSc MSc                                                                                                                                                                           |
| <b>Project partners</b>     | Polycular OG, Hallein, Austria<br>Stadt Salzburg (City of Salzburg), Austria<br>Salzburger Institut für Raumordnung und Wohnen – SIR (Salzburg Institute for Regional Planning & Housing), Salzburg, Austria<br>Uppsala Kommun (City of Uppsala), Sweden<br>University of Uppsala, Sweden |
| <b>Funding</b>              | JPI Urban Europe, Innovation Actions (Call: Making Cities Work)<br>Funding is being provided by Vinnova (Sweden) for the Swedish project partners, and the Austrian Research Promotion Agency (FFG) for the Austrian project partners.                                                    |
| <b>Project nr.</b>          | 870739                                                                                                                                                                                                                                                                                    |
| <b>Duration</b>             | 10/2018-03/2021                                                                                                                                                                                                                                                                           |
| <b>Webpage</b>              | <a href="http://www.simplicity-project.eu">www.simplicity-project.eu</a>                                                                                                                                                                                                                  |
| <b>Deliverable number</b>   | D 1.3                                                                                                                                                                                                                                                                                     |
| <b>Deliverable title</b>    | Risk Management and Contingency Plans                                                                                                                                                                                                                                                     |
| <b>Author</b>               | Veronika Hornung-Prähauser, Salzburg Research                                                                                                                                                                                                                                             |
| <b>Version &amp; status</b> | Version 1.3                                                                                                                                                                                                                                                                               |
| <b>Date</b>                 | 29.01.2019 (with input partner after PM meeting 09/19)                                                                                                                                                                                                                                    |

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## 1. Introduction

The project management will assure risk and contingency plan management. The registration of risks, and potential early indicators of them arising, will be permanently updated and reviews of risks will be carried out on a regular basis, at least every six months and at the regular project consortium meetings. This will allow undertaking mitigating actions.

In case of particularly serious risks, an extraordinary meeting of the General Assembly will be convened to decide upon the necessary actions. The specific procedure has been detailed in the Consortium Agreement.

All partners are invited to insert risks arising in their domain and/or suggesting risks to the project coordinator, in case the envisaged risks affect the consortium and project success as a whole.

The report will be uploaded on the FFG reporting portal in its version 1.0 (Project Month 04), continually updated and finalised in project month 30.

### *Methods of working*

Reference is given to the contractually binding document of work (DOW), Draft of contingency plan; in the contract JPI Urban Programme (2018, p.34,).

### *Overview of the Contingency Plan*

In view of the highly innovative character of the proposed innovation action, several risks were identified that may occur during the implementation of the project. The most important risks are summarised in the table below.

The monitoring of these risks, and the reporting of new, as yet unidentified risks, will actually be a task of each partner / work package leader who is involved in the associated part of the work plan.

Finally, it is the responsibility of the General Assembly (GA) to assess the possible occurrence of the risks, and to decide on the mitigation measures or, eventually, propose a modification of the work plan.

## 2. Risk Management in Practise

| No | Description                                                                | WP | Lead        | Risk Mitigation Activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|----|----------------------------------------------------------------------------|----|-------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1  | Difficulty of the coordinator managing the project                         | 1  | SRFG        | <p><b>RRF:</b> The project coordinator SRFG is a stable entity since 1995 and the coordinator and the administrative personnel have long-standing experience in managing EU projects. 'The project management composition with EU projects experienced core partners limits that risk. In addition, SRFG will establish processes for quality-, innovation- and exploitation management as well as gender issues to enable fast and transparent decision management.</p> <p><b>PA:</b> The project coordinator SRFG has also long-standing expertise in coordinating EU projects (including H2020 Research and Innovation Actions; CSA; FP7 Integrated Projects, Joint initiatives and national research/FFG).</p> <p><b>CP:</b> Should there be any problem with the project coordination, SRFG will consult GA on how to overcome the problem and provide a fall-back solution if necessary.</p> |
| 2  | Insufficient active participation or progress of partners in project tasks | 1  | SRFG        | <p><b>RRF:</b> All partners are highly committed to realise the project goals and action plan. All core/development partners are experienced with large EU projects and IT development projects.</p> <p><b>PA:</b> Regular project communication, meetings, as well as i.e. site visits within the pilot coordination will allow for monitoring the progress and active contribution of all partners in the assigned tasks.</p> <p>Concerning the city pilot partners, it is to be stated that they are independent from one to the other, thus it is possible a failure of one of them does not affect the others' or the general project's success.</p> <p><b>CP:</b> Should there be any problem with the participation or progress of partners, SRFG will consult GA on how to overcome the problem and provide a fall-back solution if necessary.</p>                                         |
| 3  | Insufficient reporting by partners on work/effort spent                    | 1  | SRFG        | <p><b>RRF:</b> All partners will assign an experienced project manager and have a supporting administrating department or stuff.</p> <p><b>PA:</b> Tight control of work schedule and timely delivery of reporting on project work and efforts spent.</p> <p><b>CP:</b> Demand proper allocation of resources and advise on preparation of reports.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| 4  | Poorly drafted - guidelines for stakeholder                                | 2  | SRFG<br>SIR | <p><b>RRF:</b> The project fosters a holistic and integrated approach, promotes strong commitment of key actors/ smart city partners, researchers, smart city service</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |

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|   | engagement and the incentivisation methods and tools for the smart city managers produced are insufficient for implementing the city pilots |      |                     | <p>providers and early involvement of end users under consideration of market requirements and circumstances including available infrastructure. This and the selection of the city pilot partners in two different countries with a diversity of focuses/key expertise, minimizes this risk.</p> <p><b>PA:</b> Should detailed work plans be late, it is possible to sustain a <i>delay up to 3 months</i> in pilot work packages without any traumatic consequence as the project plan is structured to absorb such a delay (the 2 pilot phases will be shorter).</p> <p><b>CP:</b> More focused involvement of the development partner and persons, additional meetings and workshops, consultation on how to provide better fitting guidelines/handbook.</p>                                                                                                                                                                                                                                                                                                                                                                  |
| 5 | The platform is not implemented in time and lacks relevant features (esp. incentivisation mechanisms)                                       | 3, 4 | POLY/<br>UU         | <p><b>RFF:</b> The project proposes a complex requirement analysis, which will include a wide spectrum of targets groups as well as the special needs of different user groups.</p> <p><b>PA:</b> Should the implementation be late or not according to the requirements, a <i>delay upon to 3 months</i> will be compensated, <i>if the features for the basic smart city challenge are available</i>. Decent planning in T3.4 (conceptual design) is a permanent task; In case of not finishing all features, the pilot rounds are still possible.</p> <p><b>CP:</b> More focused involvement of the development partner and smart city management and content providers, additional meetings and workshops, consultation on how to provide a running platform with relevant features. Before running the pilot: pre-testing of all features well in time before marketing activities will start.</p>                                                                                                                                                                                                                           |
| 6 | Unbalanced knowledge in the value chain of the intervention design and organisation in pilot cities                                         | 6    | SIR/<br>SBG/<br>UPK | <p><b>RFF:</b> The project addresses and will work with a wide range of people (bike users, customers from biological food, socially engaged citizens). Therefore, an unbalanced knowledge in the value chain will be realistic.</p> <p><b>PA:</b> Trainings, Workshops, info material and intense communication considering gender issues and cultural challenges will be designed together with the adequate stakeholders. A mix of city districts and regions, settings, core areas, level of experiences allow a high output of insights.</p> <p>Early cost-benefit analysis and technology evaluation, paired with integration of the new smart city incentivisation approach (design and concept including all involved stakeholders) at a very early stage will also reduce the likelihood of risk.</p> <p><b>CP:</b> If evaluation results will see a better adjustments or improvement to certain groups of involved groups, the SimpliCITY concept might be readjusted. Suggestions from the evaluation report as regards process and outcome of pilot phase 1 will be incorporated in activities in pilot phase 2.</p> |

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| 7 | Low rate in participation at engaging in the platform and take part in the proposed smart city challenges by local participants/ Users | 6 | all        | <p><b>RFF:</b> New digital platforms do not automatically attract a large number of participants/ registered users. The risk of drop-out is high, as the binding character to complete challenges is limited.</p> <p><b>PA:</b> The partnership with relevant stakeholders in the field will allow marketing activities that will reach relevant stakeholders as well multipliers; as the access to the SimpliCITY platform/web-app will be for free. The smart city managers and their supporting partners for marketing will also use their PR and relevant media channels.</p> <p><b>CP:</b> Focused involvement of the city pilot partners and marketing consultancies involved will be monitored at short hand. To reach a high impact challenges need to be planned in line with regional multiplier events and their communication channels. The social media activities are incorporated in smart city initiatives.</p>                                                                                                                                                                                                                                      |
| 8 | Little or no potential for scaling the new intervention approach into the market                                                       | 8 | UPK/ POLY  | <p><b>RFF:</b> The success of the exploitation activities concerning a future implementation of the new approach for nudging smart city could be limited.</p> <p><b>PA:</b> Successful demonstration is dependent on the engagement of the referring partners. As the partners and requirements are being defined in an early phase, all applications identified in the WPs will be thoroughly evaluated and reviewed across the consortium. Therefore, the risk will be minimized;</p> <p>Intense demonstration and adoption steps as well as practice partner days and training will ensure efficient continuous demonstration within the project. Special activities addressing organisations dealing with smart city services are also planned in addition to the active involvement of stakeholders, the advisory board will be involved (i.e. within two expert group meetings) to give advice to reach the market as well to support an outreach in the JP Urban community.</p> <p><b>CP:</b> The intergenerational advisory board can be broadened to reach a higher potential for a future penetration into the market. Invitation of external experts.</p> |
| 9 | The quality and the amount of regional sustainability services and offered in the Smart City –                                         | 6 | SZG<br>UPK | <p><b>RFF:</b> The amount of focus groups and the co-creative and open design approach implies the risk of unclear guidance to and inadequate quality of the promised service marketplace, being a major project result to be exploited.</p> <p><b>PA:</b> The partnership with relevant stakeholders in the field will allow to intensify stakeholder activities; since the access to the SimpliCITY platform/web-app will be for free it is planned to showcase the</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |

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|    | platform is inadequate.                                |         |     | platform and its innovative features to decision makers of service providers.<br><b>CP:</b> to be discussed; updates in the next version of the risk and contingency management plan.                                    |
| 10 | Swedish policy / legal regulations                     | 3,4,5,6 | UPK | These risks were identified by the Swedish consortium partners. Preventive activities need to be discussed among Swedish smart city department. Updates in the next version of the risk and contingency management plan. |
| 11 | Financial restrictions by small budget City of Uppsala | 5,6     | UPK | These risks were identified by the Swedish consortium partners. Preventive activities need to be discussed among Swedish smart city department. Updates in the next version of the risk and contingency management plan. |