



# SWAP

Sustainable solid WASTE management and Policies

## RISK MANAGEMENT AND MITIGATION

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## ABSTRACT

The SWAP project consortium is highly dedicated to ensuring that all risks pertaining to the project's deliverables and results are identified and mitigated well in advance. The consortium will pay special attention to the actions that will have to be completed throughout the project duration in order to mitigate the risks that may arise.

This report focuses on the risks identified in the project proposal and quality plan but is also based on the insights and answers regarding potential risks and mitigation that were elicited from each Work Package leader.

For each risk identified, a relevant mitigation strategy will be proposed. This risk management and mitigation report is expected to be a dynamic document. It will be constantly reviewed and adapted throughout the life of the project. The reduction of each risk will be regularly monitored and reviewed at each project meeting and teleconference, and where necessary, corrective measures will be applied. Additionally, the regular communication and smooth communication among the partners through teleconferences and online meetings will ensure the reduction and mitigation of any challenges and risks in the project implementation.

## KEYWORDS

Risk management; risk mitigation; risk management report; mitigation methods

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## Table of Contents

Versions .....	2
ABSTRACT .....	3
KEYWORDS .....	3
DISCLAIMER .....	3
ACKNOWLEDGEMENT .....	4
Table of Contents .....	5
1 Risk Management and Mitigation.....	6
1.1 Introduction .....	6
1.2 Risk Management and Mitigation Strategy.....	7
1.2.1 Identification of Risks .....	7
1.2.2 Classification of Risks .....	8
1.2.3 Risk Assessment.....	8
1.2.4 Likelihood of Occurrence.....	9
1.2.5 Likely Impact and Severity .....	9
1.2.6 WP1: Gathering information on current practices on Waste Management.....	10
1.2.7 WP2: Building capacity for improvement of graduates' employability .....	11
1.2.8 WP3: Measures and reform policies for the HEIs offering TVET.....	12
1.2.9 WP4: Synergic development of educational strategies for academia and TVET .....	15
1.2.10 WP5: Project's quality control plan.....	17
1.2.11 WP6: Project dissemination and sustainability .....	19
1.2.12 WP7: Project management and coordination.....	21
1.3 Conclusion .....	23



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## 1 Risk Management and Mitigation

### 1.1 Introduction

There are various kinds of problems and risks that may occur throughout the project implementation period. As these risks, from minor to more severe ones, may affect the project deliverables and implementation, it is important to put in place effective mitigation measures throughout the project duration. To identify the potential risks and ways to mitigate them, all WP leaders were also asked to provide their input.

Overall, the problems identified had to do with problems beyond the partnership's control, problems regarding the deliverables of the project as well as problems regarding the inner workings of the partnership.

The problems beyond the consortium's control may include the socio-political situation and the impact of the Covid-19 outbreak on the project's activities, taking into consideration the restrictions on travelling and on hosting face-to-face events and seminars.

Problems related to the timely completion of deliverables including the proper functioning of the OOLMS, equipment procurement as well as engagement of the target groups are also likely to occur. There are also risks foreseen that are mostly related to the way the partners collaborate and communicate which may result to ineffective collaboration, low quality of deliverables or no completion of deliverables at all.

In the subsections that follow, all the risks identified are presented in detail, the likelihood and severity of those risks is being assessed while corrective measures are also suggested.



## 1.2 Risk Management and Mitigation Strategy

A principal outcome of risk management is to ensure that the assessment and management of risk is considered in the project management processes throughout the duration of the project. Whilst risk management is a routine project activity, it is important to demonstrate that it is impacting on decisions at operational level. This will be achieved by:

- an assessment of operational risk and,
- ensuring risks associated with alternative options are routinely considered as part of the decision-making process of the consortium.

Towards this end, Eurotraining presents a Risk Management and Mitigation report to the consortium.

In addition to that, a quality control plan has already been developed. This includes clearly defined quality criteria and indicators for the success of the project. It covers the project process (quality and the effectiveness of the partnership) as well as the quality and adequacy of the project products and activities.

### 1.2.1 Identification of Risks

The risk management approach has the following stages:

- identification of risks
- risk assessment (in terms of severity of impact)
- risk evaluation (including prioritisation of risks in terms of likelihood & interconnection with other WP's)
- measures to mitigate identified risks (preventative and remedial)
- assessment of the likelihood and impact of occurrence of risks (after taking into account the measures proposed)
- action planning to ensure risk is managed at an acceptable level
- monitoring and reporting the level of exposure, including managing remedial actions



- reviewing the risk environment to ensure the Risk Management Report remains up to date.

A systematic approach to the identification of key risks improves the likelihood of capturing significant threats or opportunities well in advance throughout the project duration. At the same time, this approach facilitates the categorisation of risks and their connection to objectives and activities.

### 1.2.2 Classification of Risks

During the classification process of risks, all parts of project activity were taken into consideration:

- Project management activities
- WP's Development and deliverables completion
- Quality Assurance Processes
- Partnership Activities
- Financial Management

### 1.2.3 Risk Assessment

Risks have been classified and assessed in terms of their probability, severity and estimated impact on the project's processes, activities and results.

More specifically, each risk is assessed against the following parameters:

- Likelihood (how likely is the risk to occur in practice)
- Severity of Impact (if the risk did occur, what will be the impact on the project)

Allocated risks will be measured as low, medium and high under the above-mentioned parameters.





### 1.2.4 Likelihood of Occurrence

ESTIMATION	DESCRIPTION	INDICATORS
High (Probable)	Likely to occur each year or more than 50 per cent chance of occurrence.	Potential of it occurring several times within the lifetime of the project -Could occur but not likely more than once within the lifetime of the project
Medium (Possible)	Likely to occur by less than 25 per cent chance.	-Could be difficult to control due to some external influences.
Low (Remote)	Not likely to occur.	-Has not occurred. -Unlikely to occur.

### 1.2.5 Likely Impact and Severity

ESTIMATION	DESCRIPTION
High	-Significant impact on the project's achievement or operational activities. -Significant stakeholder concern. -Significant financial impact.
Medium	-Moderate impact on the Project's achievement or operational activities. -Moderate stakeholder concern. -Moderate financial impact.
Low	-Low impact on the Project's achievement or operational activities. -Low stakeholder concern. -Low financial impact.

The risks identified are analysed according to the above-mentioned parameters in the sections to follow.



## 1.2.6 WP1: Gathering information on current practices on Waste Management

### ➤ Lead Organization: HUAF, Vietnam

WP 1 RISK				Interaction with other WP's	Mitigation Measures
DESCRIPTION	SEVERITY	LIKELIHOOD	TIMING		
Time consuming data collection of the informal sector	High	High	At all instances throughout the project, when feedback from private stakeholders is needed	Interaction with all the WP's of the project	Establishing effective collaboration with private stakeholders
The response of private stakeholders might be low or inconclusive.	High	High	Throughout the project implementation	Interaction with all the WP's of the project	Smooth and frequent communication with the stakeholders, keeping them informed regarding the project's activities.
Political or socio-economic instability outside the control of the Consortium	High	High	Throughout the project implementation.	Interaction with all the WP's of the project	Frequent Communication of the partnership through online meetings so in case any challenges arise they will be solved at consortium level



## 1.2.7 WP2: Building capacity for improvement of graduates' employability

### ➤ Lead Organisation: EUROTraining, Greece

WP 2 RISK DESCRIPTION	SEVERITY	LIKELIHOOD	TIMING	Interaction with other WP's	Mitigation Measures
Translation of the developed material into local languages might take long time	Medium	Low	Throughout the project duration	Interaction with all the WP's of the project	The most important sections needing translation services will be first delivered, so to mitigate the risk of not having key outputs translated in due time.
Number of workshops might prove insufficient for proper academic staff training	Medium	Medium	Throughout the project duration	Interaction with all the WP's of the project	Constant communication among the partnership so any problems or obstacles are spotted and resolved on time so as to avoid delays
Restrictions due to Covid-19 may result in delays in the delivery of workshops or may require adaptation of the training material to be suitable to be	Medium	High	Throughout the project duration	Interaction with all the WP's of the project	Preparation of workshops, training material and sessions well in advance



offered through online platforms					
The accreditation and/or certification processes might take longer time	Medium	High	Throughout the project duration		In advance planning of accreditation procedures so any unexpected obstacles are eliminated
Political or socio-economic instability outside the control of the Consortium might slow down key activities of the project	Medium	Medium	Throughout the project duration		Smooth collaboration among the partnership which will facilitates re allocation of tasks in case there are any delays due to political instability

### 1.2.8 WP3: Measures and reform policies for the HEIs offering TVET

➤ **Lead Organizations: RUA, Cambodia**

WP 3 RISK DESCRIPTION	SEVERITY	LIKELIHOOD	TIMING	Interaction with other WP's	Mitigation Measures
The stakeholders from informal sector might lose interest in participating to the last	High	Medium	Throughout the project duration	WP3 interacts with WP1 & WP2, and contributes to other WPs as well.	Arrange the meeting with informal sectors to understand the project activities



planned workshops						
Translation of the developed material might take long time.	Medium	Low	Throughout the project duration	WP3 interacts with WP1 & WP2, and contributes to other WPs as well.	We divide the translation tasks for each project staff, and a translation coordinator to report and update the progress of work for the management board in monthly meeting.	
Political or socio-economic instability outside the control of the Consortium might slow down key activities of the project	Low	Low	Throughout the project implementation period	WP3 interacts with WP1 & WP2, and contributes to other WPs as well.	Try to find other ways to coordinate the project activities based on the WP and flexibility to product each deliverable in discussion with management board to get approval.	
The involvement from the decision-makers to support WP3's activities will be less than expected	High	Medium	Throughout the project implementation period	WP3 interacts with WP1 & WP2, and contributes to other WPs as well.	The WP3 is linked to policy reform, so the best coordinating strategies will be applied, while they are playing in key roles in support this deliverable.	



Quality of TVET program is recognized only at the university level	Medium	Medium	Throughout the project implementation period	WP3 interacts with WP1 & WP2, and contributes to other WPs as well.	University lecturers, professors and researchers, trainers are well-educated to provide their professional to continuing education or training to the next general
Lack of interest from the students the offering TVET	Medium	Medium	Throughout the project implementation period	WP3 interacts with WP1 & WP2, and contributes to other WPs as well.	Dissemination strategy and awareness-raising to students is a crucial process to get more involvement from the students at the university level.
Due to Covid-19 pandemic globally, some activities may be delayed, and the deliverables will be not produced in time.	High	High	Throughout the project implementation period	WP3 interacts with WP1 & WP2, and contributes to other WPs as well.	It may delay the travel to and from Asian partner countries and EU partners to jointly conduct project activities, particularly capacity building; however, consortium could be assessed by



online  
platforms.

### 1.2.9 WP4: Synergic development of educational strategies for academia and TVET

➤ **Lead Organizations: IFOA, Italy**

WP 4 RISK DESCRIPTION	SEVERITY	LIKELIHOOD	TIMING	Interaction with other WP's	Mitigation Measures
Translation of the developed material where required, including potential translation of parts of the Open On-line Learning Management System (OOLMS) and its content, might take long time	Medium	Medium	Throughout the project duration	WP2 and WP3 (insofar delays in the delivery and functioning of the OOLMS would affect training)	Early start of all activities; Correct communication to partners and correct understanding of respective roles; regular check during Management Board meetings; possible involvement/shift of additional resources for translation.
Political or socio-economic changes, outside the control of the Consortium might slow down key activities of the project	Medium	Medium	Throughout the project duration	Interacts with all WP's	Discussion and agreement of possible tasks re-allocations from the Management Board; Delivery of clear communication messages and statements, aiming at making the advantages of the project for involved territories and recipients clear, irrespectively of the governing party.



COVID-19-related constraints outside the control of the Consortium might slow down key activities of the project	High	High	Throughout the project implementation period	Interacts with all WP's	Early start of all activities; Discussion and agreement of possible tasks re-allocations from the Management Board;
Taking decisions regarding the practical implementation of Hubs might be a long process	High	Medium	Throughout the project implementation period	WP6 (sustainability, insofar the Hubs are meant to last and function well after the project end)	Foster understanding of roles by involved partners; Early involvement of all categories of stakeholders; search/enforcement of political/ institutional support to the project; clear and widespread communication; fostering reputation and "image" of individuals/organisations involved in the Hubs.
Uneven composition of multi-stakeholders' governance teams might endanger their proper functioning	High	Low	Throughout the project implementation period	WP7 (insofar the whole project management would be affected by delays or failure in achieving WP4 objectives)	Understanding of roles by involved partners; Early involvement of all categories of stakeholders; search/enforcement of political/ institutional support to the project; clear and widespread communication; fostering reputation and "image" of individuals/organisations involved in the Hubs.





## 1.2.10 WP5: Project's quality control plan

### ➤ Lead Organizations: POLIBA, Italy

WP 5 RISK DESCRIPTION	SEVERITY	LIKELIHOOD	TIMING	Interaction with other WP's	Mitigation Measures
Political or economic instabilities in the Asian Partners	Medium	Medium	Throughout the project duration	There is a strong and close interaction with the other WPs because of the nature of this WP, which is based on the quality control of every WP activity.	Discussion and updates in time to re-arrange the tasks development by the Management Board.
An overall deterioration of the business environments in the Asian Partners, which could have a negative impact on the generally positive attitudes towards universities and entrepreneurship	Medium	Medium	Throughout the project duration	There is a strong and close interaction with the other WPs because of the nature of this WP, which is based on the quality control of every WP activity.	Discussion and updates in time to re-arrange the tasks development by the Management Board.
Risks related to project activities and deliverables (e.g. web	Medium	High	Throughout the project implementation period	There is a strong and close interaction	Monthly on-line meeting to mitigate risk of poor



<p>platform may not function properly, project partners may face delay with visa applications and therefore miss major project events, insufficient interest in engagement among the secondary target groups which could undermine the results and impact)</p>								<p>with the other WPs because of the nature of this WP, which is based on the quality control of every WP activity.</p>	<p>communication to arrange in time any possible change.</p>
<p>Problems within the partnership that include bad partner performance related to late or no completion of deliverables, poor quality of deliverables and poor quality of communication.</p>	<p>Low</p>	<p>Low</p>			<p>Throughout the project implementation period</p>			<p>There is a strong and close interaction with the other WPs because of the nature of this WP, which is based on the quality control of every WP activity.</p>	<p>Monthly on-line meeting to mitigate risk of poor communication to arrange in time any possible change.</p>
<p>Restrictions in the involved Countries due to COVID-19 pandemic can cause delays in processing (signature, stamping and</p>	<p>Medium</p>	<p>High</p>			<p>Throughout the project implementation period</p>			<p>There is a strong and close interaction with the other WPs because of the nature of this WP,</p>	<p>Travels in the first year could be delayed or postponed to the second year and some visits could be developed virtually. It is</p>



delivery) of administrative documents.	which is based on the quality control of every WP activity.	strictly related to the ongoing pandemic situation so it may change quickly.
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### 1.2.11 WP6: Project dissemination and sustainability

➤ **Leading Organisation: MJU, Thailand**

<b>WP 6 RISK DESCRIPTION</b>	<b>SEVERITY</b>	<b>LIKELIHOOD</b>	<b>TIMING</b>	<b>Interaction with other WP's</b>	<b>Mitigation Measures</b>
Dissemination material might not be delivered on time for specific dissemination events or activities.	Medium	Medium	Throughout the project duration	WP 4 sustainable activities/hubs after the end of the project	Reminders and constant communication with consultants / Contractors to Implement late clauses.
Translated version of the dissemination material and of the website might take longer time.	Medium	Medium	Throughout the project duration	WP 4 sustainable activities/hubs after the end of the project	Regular checks and reminders on team/and board meetings
Inadequate number of quarterly accesses or number of monthly contents or events' updates for online materials.	High	High	Throughout the project implementation period	WP 4 sustainable activities/hubs after the end of the project	Early start of the online activities or social media or possible outdoor activities.



Covid-19 situation might delay the outdoor dissemination activities related to raising awareness in young generation as well as public events	High	High	Throughout the project implementation period	WP 4 sustainable activities/hubs after the end of the project	Smooth and clear communication/ messages between teams and WP leaders.
Consultants/ contractors delays or their components fail to meet requirements.	Medium	Low	Throughout the project implementation period	WP 4 sustainable activities/hubs after the end of the project	Regular checks and reminders on team/and board meetings.
Schedule risk; actions or activities will take longer than expectation due to unplanned changes or political change or socio-economic change or legal change	Medium	Medium		WP 4 sustainable activities/hubs after the end of the project	Smooth collaboration and constant communication to eliminate them.



## 1.2.12 WP7: Project management and coordination

### ➤ Lead Organizations: TUHH, Germany

WP 7 RISK DESCRIPTION	SEVERITY	LIKELIHOOD	TIMING	Interaction with other WP's	Mitigation Measures
Socio-economical events outside the control of the Consortium might slow down the project and cause a delay in the activities	Medium	Medium	Throughout the project duration	There is strong interaction with other WPs because of the nature of this WP, which core is managing of the WP activities.	Discussion and agreement of possible tasks re-allocations from the Management Board.
Institutional rearrangements of the involved Partners might cause a delay on the delivery of the reports.	Medium	Medium	Throughout the project duration	WP 4 sustainable activities/hubs after the end of the project	Discussion and agreement of possible tasks re-allocations from the Management Board.
Restrictions in the involved Countries due to COVID-19 pandemic can cause delays in processing (signature, stamping and delivery) of administrative documents.	Low	High	Throughout the project implementation period	There is strong interaction with other WPs because of the nature of this WP, which core is managing of the WP activities.	Travels not originally foreseen could be agreed with PO and organised in the first half of the second year. Asian Partners will be solicited to spend the money foreseen for equipment within the end of the first year.



<p>Budget expenditures foreseen for travels and costs of stay may not be used in the first year of the project. This could be an obstacle for reaching the minimum expenditure of 70% of the first pre-financing transferred.</p>	<p>Medium</p>	<p>Medium</p>	<p>Throughout the project implementation period</p>	<p>There is strong interaction with other WPs because of the nature of this WP, which core is managing of the WP activities.</p>	<p>Travels not originally foreseen could be agreed with PO and organised in the first half of the second year. Asian Partners will be solicited to spend the money foreseen for equipment within the end of the first year.</p>
<p>Poor communication among partners, particularly when there are issues and hindrances in performing tasks within a set deadline.</p>	<p>High</p>	<p>Medium</p>	<p>Throughout the project implementation period</p>	<p>There is strong interaction with other WPs because of the nature of this WP, which core is managing of the WP activities.</p>	<p>Monthly online meeting to mitigate risk of poor communication.</p>



### 1.3 Conclusion

The consortium of this project plans to remain highly dedicated to the risk assessment procedures agreed while the top priority for all partners will be to identify potential risks well in advance and take measures to mitigate them. All risks identified throughout the project duration and regarding the projects work packages have been assessed in terms of their likelihood of occurrence and their impact on the project activities and results. Apart from that, for each risk identified, preventive risks are being suggested and at the same time the risk's interconnection with other Work Packages is stated. As shown in this report, the consortium will take up an action plan which will include measures related to:

- Management of risks through internal processes including smooth communication through frequent online meetings, teleconferences and constant reminder of roles and responsibilities
- Reallocation of tasks within the consortium when needed
- Provision for delivery and assessment of training through online platforms if face-to-face meetings are not possible due to the Covid-19 outbreak
- Timely equipment purchases and delivery
- Establishment of strong connections with private stakeholders building the project's reputation
- Dissemination of the project's activities and results within the partner country HEI's to ensure higher engagement level of students

The consortium recognizes that risk management is a key function in helping to ensure that the project achieves its objectives. Smooth and effective project implementation is going to be ensured through establishment of a mechanism for identifying and prioritizing risk areas that will be applied throughout the project duration. Moreover, integration of risk management processes into the project management process will ensure that risks are identified well in advance at all stages of project implementation. As this risk management report is expected to be a dynamic document, it will be constantly reviewed and informed by the results of monitoring arrangements made.