

Grant agreement no. 312788



**ORCID AND DATACITE
INTEROPERABILITY NETWORK**

<http://odin-project.eu>

D1.1 PROJECT QUALITY MANAGEMENT PLAN

WP1 – Project Management

V3_0

Final

Abstract: The Project Quality Management Plan defines the project management structure, procedures, organisation and the methodology that all the partners shall apply throughout the project.

Lead beneficiary: The British Library


Date: 15/01/2013

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	WP1: PROJECT MANAGEMENT		Dissemination level: PU
	Authors: John Kaye (British Library)		Version: 3_0 Final


Document Information

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Document Status Sheet

Issue	Date	Comment	Author
0_0	14th September 2012	Initial draft	John Kaye (BL)
1_0	21st November 2012	Changed logo and added risks	John Kaye (BL)
1_1	23rd November 2012	Revised version	Sunje Dallmeier-Tiessen, Laura Rueda Garcia (CERN)
1-2	27th November 2012	Revised version	Jan Brase (DataCite)
2_0	29th November 2012	JK incorporated reviewer comments and changes	John Kaye (BL)
3_0	15 th Jan 2013	JK Incorporated EC PO comments and Changes	John Kaye (BL)

Document Change Record

Issue	Item	Reason for Change
3_0	Annex 1 – ODIN Governance and Roles	Added on EC PO recommended seeing named individuals rather than generic roles. Each role now has a name.
3_0	Annex 4 – Risk Register	Revised on EC PO's recommendation that mitigation strategies need to be more timely and that 'it would be beneficial for the consortium to follow a more detailed plan of resources and cost needs per reporting period, not to say per semester or quarter.'
3_0	Annex 5 – Project Plan	Added to show when key activities and dependencies are due
3_0	Document Template	EC PO asked for changes around logos, dates, document status etc. Also changed to new ODIN document template


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1. INTRODUCTION

1.1. Purpose of the PQMP

The D1.1 Project Quality Management Plan (PQMP) defines the organisation and the methodology that all the partners shall apply throughout the ODIN Project. It forms a common standard for the entire project lifecycle.

The PQMP is a project deliverable: ODIN-WP1-PQMP-0001-3_0 Its purpose is to:

- Identify processes that will be applied to assure quality:
 - Chapter 2: Quality Objectives
- Define roles and responsibilities to ensure a successful project and deliveries:
 - Chapter 3: Project presentation and organisation
 - Chapter 4: Project deliveries
- Provide ODIN management boards with indicators to allow them to take appropriate decisions, and to track and report on project progress:
 - Chapter 5: Project monitoring and reporting
 - Chapter 6: Risk management
- Describe practices for the deliverables of the ODIN Project.
 - Chapter 7: Documentation management
 - Chapter 8: Methodology, techniques and tools

1.2. Application area

The PQMP shall be applied:

- by all partners and
- for all deliverable to the European Commission.

Consortium Partners, supervise and check the work performed by their own staff in accordance with the ODIN PQMP.

This PQMP should be interpreted with reference to:

- The Terms and Conditions for European Commission (EC) contracts.
- The ODIN proposal: Annex 1: Description of Work [A1].

1.3. Applicable documents and reference documents


Applicable documents

- [A1] Description of Work, July 2012
 [A2] Consortium Agreement, July 2012

1.4. PQMP evolution procedure

Different events may cause the content of this document to be modified. For instance:


- Evolution project characteristics
- Changes in techniques or tools.

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Amendments may be requested by any project partner but each amendment must be analysed by the Management Support Team (MST) and validated by the General Assembly (GAS).

1.5. Glossary

[Ax]	Applicable Document
[Rx]	Reference Document
CA	Consortium Agreement
DoW	Description of Work
EC	European Commission
ECGA	EC Grant Agreement
GAS	General Assembly
MST	Management Support Team
PC	Project Coordinator
PO	Project Officer
PPR	Project Progress Report
PQMP	Project Quality Management Plan
PQO	Project Quality Officer
R&D	Research and Development
SiS	Science in Society
ODIN	ORCID and DataCite Interoperability Network
ORCID	Open Researcher and Contributor ID
WP	Work Package
WPL	Work Package Leaders
WPSC	Work Package Steering Committee

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2. QUALITY OBJECTIVES

The ODIN quality objectives are to provide quality support to partners and monitor adherence to the D1.1 Project Quality Management Plan throughout the project lifecycle.

The PQMP is designed to provide for the assurance of quality, according to the main ODIN Project characteristics.

2.1. Project characteristics

The ODIN Project is characterised by:

- ODIN builds on the success of DataCite and ORCID by designing an ‘awareness layer’ for persistent author and object identifier. The ODIN approach goes beyond these two frameworks in order to reduce technical, cultural and logistical barriers to the accessibility, attribution and trust of data.
- Identifier awareness will make it possible to stabilise: References to a data object; Tracking of use and re-use; Links between a data object, subsets, articles, rights statements and every person involved in its life-cycle (creator, editor, reviewer, aggregator, etc.).

2.2. Quality System

The quality system applied on the project is described in the present PQMP

2.3. Quality organisation

In order to provide a distributed quality organisation and a strong co-ordination, the following quality organisation is to be set-up:


- A Project Quality Officer (PQO), who is ex officio the WP1 leader and therefore part of the Management Support Team (MST).

The PQO is responsible for establishing the project quality system and assuring project quality.

During the Quality Assurance initialisation phase, the PQO defines the quality standards for the project and supports the project team to apply the defined procedures, tools, documents and templates.

To assure quality, the main role of the PQO consists of regular monitoring of the application of the PQMP through actions such as: verification of documents, participation in reviews and audits, follow-up of corrective actions and analysis of quality indicators.

This role is performed throughout the project lifecycle.

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3. PROJECT PRESENTATION

3.1. Project objectives, goals and Description of Work

The overall objectives, goals and description of work of the project are given in the Description of Work (DoW) of the project proposal, ODIN.

3.2. Consortium organisation

3.2.1. Participants List

The following table provides the participants list.


Ben. Role*	Ben. name	Ben. short name	Country	Enter proj.	Exit proj.
CO	THE BRITISH LIBRARY	BL	UK	M1	M24
BE	MONASH UNIVERSITY	ANDS	AUS	M1	M24
BE	CORNELL UNIVERSITY CORPORATION	arXiv	USA	M1	M24
BE	DATA CITE – INTERNATIONAL DATA CITATION INITIATIVE	DataCite	DE	M1	M24
BE	European Organization for Nuclear Research	CERN	CH	M1	M24
BE	DUKE UNIVERSITY	DRYAD	DE	M1	M24
BE	ORCID EU	ORCID	BE	M1	M24

* **CO = Coordinator, BE = Beneficiary**

3.2.2. Partners participation in the project

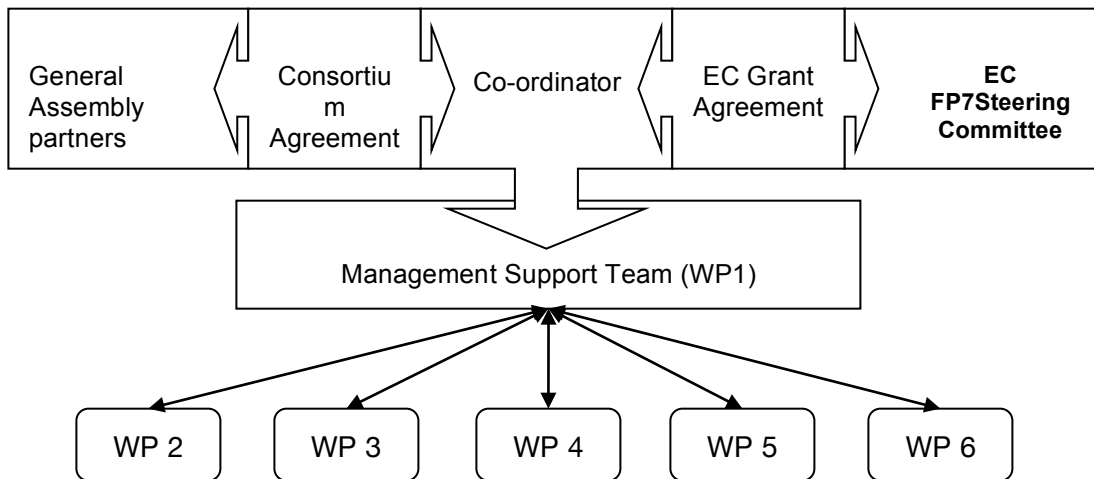
The following table summarises effort per Partner distributed over Work Packages (WP), estimated over the full period of the project.

		BL	ANDS	arXiv	DataCite	CERN	DRYAD	ORCID	TOTAL
	PARTNER NUMBER	1	2	3	4	5	6	7	
WP1	Project Management	10	0	0	3	1	0	1	15
WP2	Communication	1	0	0	4	3	0	13	21
WP3	Proofs of Concept	8	0	0	4	8	0	0	20
WP4	Interoperability	3	0	0	12	1	0	9	25
WP5	Strategy	2	0	0	1	11	0	1	15
WP6	Internationalisation	0	4	2	0	0	2	0	8
Total		24	4	2	24	24	2	24	104

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Project management structure

The project management structure is given in the DoW, and is summarised in the following figure:



3.3. Global activities


3.3.1. Project Management

The management structure is drawn from best practices in EU projects and the PRINCE2 project management methodology¹. It utilizes the principles of product-based planning, delegation of responsibility and exception-based reporting and is designed to ensure coherent scientific, administrative and financial coordination, while providing the participants with the support and tools required for the achievement of the project objectives.

The management structure will:

- establish reliable overall coordination and efficient and reliable communication between project partners and stakeholders;
- ensure timely and accurate handling of all the administrative and financial tasks connected with the activities of the consortium;
- monitor, coordinate and report on the progress of the various deliverables and support integration of results from discrete activities;
- provide equitable and effective methods for taking decisions and resolving conflicts;
- ensure compliance with the terms of the EC Grant Agreement (ECGA) and with the Consortium Agreement (CA) where that expands on the provisions of the ECGA, for example in terms of Intellectual Property Rights;

¹ <http://www.prince-officialsite.com/>


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- refine and revise the project strategy, work plan and resource allocation where necessary through a Consortium Plan as defined in the Consortium Agreement.

3.3.2. Quality Assurance

The Project Quality Officer (PQO) is in charge of providing quality support to partners and checking for the application of the PQMP for each deliverable produced by the consortium.

- *Outputs:* ODIN PQMP
- *Participants:* The British Library is in charge of this activity, MST
- *Mean:* Quality meetings, quality control, audits if necessary

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4. PROJECT MILESTONES AND DELIVERABLES


4.1. Project Planning and Milestones

The schedule for the main project milestones is outlined in the Project DoW. A Project Development Plan will be generated on the internal project intranet, maintained by the Project Coordinator (PC) and updated periodically.

Milestone		WPs involved	Lead benefic	Expected date	Means of verification
No.	Name				
MS1	Agreements concluded	WP1	BL	M1	GA and CA signed
MS2	Kick off complete	WP2	ORCID	M2	Kick off report
MS3	Mid-term conference	WP2	ORCID	M11	Validation phase started
MS4	Final event	WP2	ORCID	M23	Outputs transmitted to WP6
MS5	Commonalities identified	WP3	BL	M17	WP4 and WP5 receive input to stress-test models
MS6	Proofs validate workflow	WP4	DataCite	M18	Model validation complete
MS7	Gap Analysis completed	WP5	CERN	M8	Drafting of roadmap starts

4.2. EC Project deliverables

The external Project deliverables (i.e. those to be delivered to the Commission) are listed in the Project DoW. For convenience the list is repeated here:

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Deliverable		WP no.	Lead benef.	Est PM	Nature ²	Diss. level ³	Delivery date ⁴
No	Name						
D1.1	Project Quality Plan & Project Risk Register	WP1	BL	1	R	PU	M1
D2.1	Kick off preparation, Communication plan and Website	WP2	ORCID	3	R	PU	M1
D2.2	Kick off report	WP2	ORCID	4	R	PU	M3
D1.2	First interim scientific report	WP1	DataCite	1	R	PU	M6
D3.1	Proof of concept HSS	WP3	BL	6	R	PU	M11
D3.2	Proof of concept HEP	WP3	CERN	6	R	PU	M11
D4.1	Conceptual model of interoperability	WP4	DataCite	10	R	PU	M11
D5.1	Gap analysis and draft roadmap	WP5	CERN	6	R	PU	M11
D1.3	First Year Report	WP1	BL	4	R	PU	M12
D2.3	First year communication report including results from first year event	WP2	ORCID	6	R	PU	M12
D6.1	International validation of D3.1, D3.2, D4.1 and D5.1	WP6	ANDS	3	R	PU	M12
D1.4	Second interim scientific report	WP1	DataCite	2	R	PU	M18
D1.5	Second Year Report	WP1	BL	3	R	PU	M18
D1.6	Final Report	WP1	BL	4	R	PU	M24
D2.4	Final communication report including results from final event	WP2	ORCID	8	R	PU	M24
D3.3	Proof of concepts commonality	WP3	BL	8	R	PU	M24
D4.2	Workflow for interoperability	WP4	DataCite	15	R	PU	M24
D5.2	Final roadmap and recommendations for the missing thin layer of the e-Infrastructure	WP5	CERN	9	R	PU	M24

² R = Report, O = Other


³ Dissemination level:

PU = Public, 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).

⁴ Measured in months from the project start date (Month 1).

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D6.1	International review of final outputs	WP6	ANDS	5	R	PU	M24
			Total	104			

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5. PROJECT MONITORING AND REPORTING

5.1. Introduction

Project monitoring and reporting will be performed by means of:

- Periodic progress meeting
- Periodic progress reporting
- Review of main project milestones

Periodic reporting documents are:


- D1.3 First year report (M12)
- D1.5 Second year report (M24)
- D1.6 Final report (M24)
- D2.3 First year communication report (M12)
- D2.4 Final communication report (M24)

5.2. Reporting

Information will be collected via the management web site each month, to provide internal project monitoring and also to contribute to the yearly reports to the EC.

The information, source, review and approval is summarised in the following table.

		Input from:	Review	Approval
1. General status				
	a. Work-packages	WPSC	MST	GAS
	b. Milestones	WPSC	MST	GAS
	c. Deliverables	WPSC	MST	GAS
	d. Deviations from Plan	WPSC	MST	GAS
2. Contractual Arrangements			MST	GAS
3. Project Meetings (held and foreseen)			MST	GAS
4. Dissemination and Use				
	a. Conferences and/or Workshops organised/foreseen by the project	WPSC	MST	GAS
	b. Scientific publications	WPSC	MST	GAS
	c. Press coverage etc.	WPSC	MST	GAS

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5. Results of the project		WPSC	MST	GAS
6. Project Effort and other resources				
	a. Effort (Personnel)	WPSC	MST	GAS
	b. Other resources		MST	GAS

On the basis of the information which has been collected, the PC prepares the Project Annual Report and submits this to the European Commission.

The final approval by the GAS can be done through virtual meetings, not needing awaiting face-to-face GAS meetings.

5.2.1. Progress Report

For progress reporting a web-based tool will be used.

5.3. Project Deliveries Plan

The Project Deliveries Plan contains for each deliverable, the following information:

- Deliverable identifier
- Document object
- Document Identification
- Author(s)
- Document status with the date of each status change
- Contractual delivery date
- Real delivery date
- Size of the document


This information will be used in particular to provide periodic reports.

The Project Deliveries Plan is managed by the PC.

5.4. Project EXTRANET

The ODIN extranet will be the primary means of communication between project participants, the EC Project Officer and external reviewers. It is a Wiki based tool, viewable and editable by all members of the Consortium. It has the following sections

- Official documents: Risk Register, Original Proposal, Consortium Agreement, Grant Agreement Preparation Forms, Description of Work, etc.
- Governance: Representatives of the different partners in GAS, MST and WPSC.
- Deliverables: Project Deliveries Plan information.
- Meetings: Phone meetings and face-to-face meetings agenda, participants and minutes.

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- Contacts
- External links
- One section for each WP

As this is a web-based and collaborative tool it will probably grow during the project life. It will contain several important files:

Project control file, containing:


- the list of actions,
- the Deliveries Plan,
- the Project Plan,
- the Risk Register,
- minutes of internal meetings,
- the internal progress report.

Project organisation file, containing:

- the archive,
- the directory of the project,

Quality management file, containing:

- the PQMP

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6. RISK MANAGEMENT


6.1. Introduction

A central risk register has been created and is managed by the PC in the Project Extranet. Each member of the Consortium can review it. Contingency plans and/or plans for corrective actions will be developed and implemented for all identified risks.

As an example, the first risks which have been identified and populate the risk register at the time of writing are:

Risk Register	
Risk:	Lack of common terminology and understanding between disciplines, partners or stakeholders, leading to a reinforcement of isolation and silo mentality.
Probability:	Low
Impact:	Medium
Mitigation Strategy:	Structuring contacts, presentation and interviews in a way which will bring out commonalities in concepts and terminologies.
Risk:	Imposition of the Consortium's preconceived ideas on the final outputs.
Probability:	Low
Impact:	Medium
Mitigation Strategy:	Draft results will be exposed to scrutiny through dedicated workshops and the yearly conferences.
Risk:	Ability to recruit or re-deploy suitable staff quickly enough, especially given the recent trend of accelerated negotiation of projects.
Probability:	Medium
Impact:	Medium
Mitigation Strategy:	The consortium has designed the project to allow effort to be built up over the first few months relying on existing key staff for WP1, 2, 3 and 4.
Risk:	Delays in detailed planning of key activities.
Probability:	Low
Impact:	Medium
Mitigation Strategy:	The project Work-plan is deliberately simple and the inter-dependencies are predominantly within a Work-package or between the end of one Work-package and the start of another. This means that planning delays can be localised.
Risk:	The consortium might not reach consensus on some aspects of particular conclusions.
Probability:	Low
Impact:	High
Mitigation Strategy:	Expose the main findings to allow all interested third-parties to incorporate findings in their strategies.

The full project risk register is available to view in Annex 4.

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7. DOCUMENTATION MANAGEMENT

7.1. Introduction

The aim of this chapter is to describe the documentation management procedure for the ODIN Project. It defines standard rules and procedures related to documentation production that all the partners shall apply throughout the project.

The documentation management procedure is applicable:

- to all partners,
- for all deliverable documents to the EC,
- and for documents exchanged between partners.

It is recommended that documents internal to the consortium follow these guidelines as well.

7.2. Definitions

Deliverable: A deliverable consists of one or more types of products (documents, software components, etc.).
A deliverable is a deliverable to the EC or the Public.
The list of deliverables is defined in the Project Deliveries Plan (see §5.3).

Deliverable identifier: A deliverable identifier uniquely identifies each deliverable. The list of deliverables and associated deliverable identifier are given in the Project Deliveries Plan (see §5.3).
Each document is identified by its own document identifier (see §7.3.2).


Evolutionary document Documents can be classified as evolutionary (deliverable document, such PQMP, Requirements Analysis etc.) or non-evolutionary documents (not under change control). See Annex 1, for document type.
Non-evolutionary documents do not have a version number. When a non-evolutionary document requires modifications after issue (for example when the GAS asks for a WP deliverable to be corrected) a version indicator should be added to the deliverable reference number. Previous versions are not held under change control.

7.3. Documents publication rules

7.3.1. Documents presentation

Standard documentation templates will be used by all partners in order to produce standardised documentation. These templates are provided in Annex 2.

Each document will contain:

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- a title page,
- a document status sheet and change record table (for evolutionary documents only),
- the file name,
- an (executive) summary,
- a glossary if necessary,
- a list of applicable documents and reference documents (with version and date for technical documents),
- annexes if applicable.

All documents will be written in English and produced using Microsoft Office compatible software.

The ODIN Project name will be written in the finalised official format: ODIN

English date format will be used for all documents, e.g. 24/01/2011 for 24 January 2011.

The following table gives an overview of the main attributes of a document.

Attribute	Description	Title page	Other pages
Logo	ODIN Logo Partner Logo	X X	X
Project Name	ODIN	X	X
Document title		X	X
Document identifier	See §7.3.2	X	X
Date	Last update	X	X
Partner(s)	e.g.: HA, ...	X	
Lead Partner	WP lead partner	X	
Author(s)	Document author(s)	X	X
Document Status	See §7.8	X	
WP number	e.g.: 1000 for WP1	X	
Classification	See §7.5	X	X
Deliverable identifier (D)*	See §7.4	X	
Contract reference	GA Number 312788	X	
Abstract		X	


*(D) for deliverable documents, only

7.3.2. Document identifier

Each document must be referenced by a unique document identifier to ensure effective version control.

The nomenclature is defined as:

<Project name>-<WP number>-<Document Type>-<Document number>-<Version_Revision>

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e.g.: ODIN-WP1-PQMP-0001-3_0

7.3.2.1. Project Name

The Project Name = ODIN

7.3.2.2. WP Number

The WP Number represents the number of the work package producing the document:

ODIN-WP1-PQMP-0001-3_0 for WP 1

7.3.2.3. Document Type

The Document Type represents the document type listed in Annex 1. Documents can be classified as evolutionary or non-evolutionary documents (not under change control - see Annex 1).

Non-evolutionary documents do not have a version number, however they can have a date indicator e.g. yyyyymmdd, or Q1, following a “:”, for ease of identification. When a non-evolutionary document requires modifications after issue (for example when the GAS asks for a WP deliverable to be corrected) a version indicator should be added to the deliverable reference number. Previous versions are not held under change control.

For example:

ODIN-WP1-PQMP-0001-3_0 for the Project Quality Management Plan (evolutionary document)

ODIN-WP1-CA-0002-20090401 for Consortium Agreement (not under change control)

7.3.2.4. Document Number

For each WP the range WP1 to WP5 is allocated. Within each WP, a number (0001 to 9999) is assigned to each new document of any type.

The document number will be assigned by the PQO, e.g.:

ODIN-WP1-PQMP-0001-3_0 for the 1st WP1 new document

Document numbers shall be assigning via the ODIN document control system.

7.3.2.5. Version_Revision

For a document in a draft version, the version and the revision start at 0_0.


When a document is distributed internally or delivered, the Version_Revision number must always be updated. When the delivery concerns just a part of the document only the revision number is incremented (it is assumed that when the modification content is about 30 % of the document, it is necessary to deliver a new version).

For delivery of a revision, the change control table and document change record table of the document must be updated, and the modifications marked on each page.

For a new version, if the change control table and document change record table become important, only history of Version number remains.

For example:

ODIN-WP1-PQMP--0001-0_0 (first new document of the WP1, Project Quality Management Plan in a draft version)

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ODIN-WP1-PQMP--0001-1_0 (Draft version in a consistent form)

ODIN-WP1-PQMP-0001-2_0 (first deliverable in the first version)

The Version_Revision number is optional for documents not under change control (non-evolutionary documents).

7.3.2.6. Date indicator

For a non-evolutionary document a date can be appended, following a colon (:). The date format may be of the form *yyyymmdd* for a specific date e.g. for the minutes of a meeting on that date. Alternatively for a regular report the month or quarter is given and be indicated as in M3 or Q1.

7.4. Relation between deliverable and document Identifier

The definition of a deliverable and deliverable identifier are given in §7.2.

Each deliverable must be referenced according to the delivery identifier list, defined in the Deliveries Plan (see §5.3).

Each deliverable is constituted by one or several documents.

Documents corresponding to a deliverable are listed in the Deliveries Plan (see §5.3) and are mentioned in the delivery note when the product is delivered.

Where a document forms part of a delivery, the presentation page of a document must indicate the deliverable identifier.

7.5. Classification attribute

This attribute defines the confidential level:

- CONFIDENTIAL: Restricted circulation list (specify in footnote).
- PUBLIC: Public document.

7.6. Document validation

The document is reviewed by the WP Leader and PC for the technical aspects, then PC organizes internal review by two participants not in the institution of lead beneficiary of WP. If the reviews do not show that the document is correct with regard to the stated requirements, the WP Leader will contact the author of the document to discuss the problems.


7.7. Document approval and distribution

Before its delivery to the European Commission, each deliverable will undergo a rigorous internal review. The WP Leaders are responsible for the deliveries.

The first step of the review will be conducted at the WPSC level, whereby the WP leader will appoint two reviewers for each deliverable. These will be chosen among all participants to the WP who are not affiliated to the institution which is leading the WP.

The review will assess that each deliverable is consistent with the project objectives.

The WPSC will then release the deliverable for approval.

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After review within the WP, the draft deliverable must be distributed to the GAS. Members of the GAS must make their comments on this draft within 5 working days, directly to the author. The author must submit a revised draft to the GAS list within the next 5 working days. If it is refused, the deliverable will be modified at the WP level by the WPSC, taking into account the remarks and then a new review by the GAS will be carried out. The GAS is responsible for final formal approval for submission to the EC. The final version of a document has to be controlled by the PQO in order to control the consistency and the compliance of the deliverable with the requirements and with the project rules. All deliverables will be provided in English. After final approval by the GAS documents which are part of external deliverables are delivered by the PC to the EC.

7.8. Document Status

Each document will go through different stages in two paths basically:

1. Internally
2. Externally

The different statuses of a document while in the internal procedure are:

- 1.1 Draft (first version of the document)
- 1.2 Validated (it has gone through the peer-review procedure described in §7.6 and approved)
- 1.3 Released (sent to the EC)
- 1.4 Final (accepted by the EC)

The above status values appear on the document presentation page.

After delivery to the EC, the status of the document become:

- 2.1 Delivered
- 2.2 Accepted, Accepted with remarks or Refused
- 2.3 Final

The above status do not appear on the document, but they are managed internally as indicated in §5.3.

7.9. Document modification


As a document can be revised during the project lifecycle, it is necessary to use a version revision mechanism based upon the identification number in order to:

- track all the modifications that affect a document after its delivery,
- inform each partner on the last released version of a document,
- provide each partner, at any given time, with a consistent vision of the documentation status.

7.10. Configuration identification

The documents are identified by their identification number as it is defined in the §7.3.2.

7.11. Tools

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See §8.


7.12. Document templates

See §12.

7.13. SCIENTIFIC PUBLICATIONS

For all ODIN related papers, the PC should be on the list of authors.

For publications giving official results of the project all partners should have a representative on the author list.

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8. METHODOLOGY, TECHNIQUES AND TOOLS

This chapter describes the methodology, the technique and tools used for the development of ODIN

At this stage of the project, the tools are proposed to initiate discussions with WP Leader and determine final choices (to be completed by month 6).

8.1. Document management tools

In order to improve workflow activity, it is recommended to standardise tools, the following tools will initially be used:

- Word processing: MS Word.
- Spreadsheet: MS Excel.
- Slides presentation: MS PowerPoint.
- Extranet: TWiki

However in the interests of long term preservability other formats such as Open Document format (ISO 26300) will be considered.

The following formats will be used for exchanging documents:


- Word, Excel, PowerPoint, PDF

8.2. Website

The Website has three separate areas:

- INTERNAL: The internal area is open only to the project collaborators. It will consist of a TWiki website based at CERN.
- PUBLIC: The procedure to publish documents in the Public area is to be defined.
- SEMI-PUBLIC: an area on the web site to which some partners can contribute

Only the latest approved version of a document is available on the ODIN Website.

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9. QUALITY CONTROL

This chapter describes the techniques that are used to check the application of the quality plan on the ODIN project.

9.1. Purpose and responsibilities

The aim of quality control is to develop and produce deliverables compliant with the characteristics and the requirements defined for this project:

- WP Leaders (Named in Annex 1) will verify that documents conform to the requirements.
- WP Leaders, PC and the PQO (Named in Annex 1) will verify the documents before their delivery to the EC, in order to ensure final product quality and attainment of project quality objectives.

9.2. Approach

Different approaches can be employed by the person involved in quality control such as:

- participating into meetings;
- if necessary, organising audits: an audit is a methodical examination of a situation relating to a product, a process, an organisation, performed in collaboration with the parties involved in order to check the conformity of the situation to pre-defined standards and the extent of alignment of the standards with the desired goals.

9.3. Control of the development process


Development control are mainly performed by the PC who verifies, by the means of various meetings and reports whether the organisation is compliant with the plan, and the reported progress status of the project.

9.4. Documentation Inspection

All deliverables will be provided in English.

The document is reviewed by the WP Leader for the technical aspects and by the PQO for the quality aspects (coherence). If the inspections do not show that the document is correct with regard to the stated requirements, the WP Leader will contact the author of the document to discuss the problems.

The final version of the deliverable document is checked by the WP Leader and by the PC.

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10. ANNEX 1: ODIN GOVERNANCE AND ROLES

The Organisational structure of the Project shall comprise the following bodies:

- General Assembly (GAS). Responsible for the overall administrative management of the Project.
- Management Support Team (MST). Responsible for assisting the Coordinator in the overall technical and scientific management of the Project.
- Project Coordinator (PC). Day-to-day management of the Project, assisted by a Management Support Team. John Kaye (BL).

Representatives


General Assembly (GAS) (i.e. senior representatives)

BL: Jude England
 ANDS: Adrian Burton
 arXiv: Simeon Warner
 DataCite: Jan Brase
 CERN: Salvatore Mele
 Dryad: Todd Vision
 ORCID EU: Martin Fenner

Management Support Team (MST) (i.e. Work Package Leaders)

WP1: John Kaye (BL)
 WP2: Gudmundur Thorisson (ORCID)
 WP3: Tom Demeranville (BL)
 WP4: Jan Brase (DataCite)
 WP5: Suenje Dallmeier-Tiessen (CERN)
 WP6: Adrian Burton (ANDS)


Project Coordinator (PC): John Kaye (BL)
 Project Quality Officer (PQO): Sergio Ruiz (DataCite)

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11. ANNEX 2: DOCUMENT TYPES

The document types are defined in the project extranet, which is managed by the PC. The following table gives a first version of document types.


Document types	Evolutionary / Non-evolutionary document	Acronyms
Letter		LET
Methodology		METH
Minutes		MIN
Project Development Plan	Evolutionary	PDP
Project Progress Report	Evolutionary	PPR
Project Quality Management Plan	Evolutionary	PQMP
Project Yearly Report		PYR
Risk Register	Evolutionary	RSK
Template	Evolutionary	TEM

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12. ANNEX 3: TEMPLATES


The following list is an initial list. The list of document templates will evolve according to project requirements.

Templates	File name	Comment
Deliverable Document Template		Template for ODIN deliverable document, such Quality Plan, Requirements, Analysis, etc.
Documents not under changes control		Template for documents not under changes control. (non-evolutionary documents)
Delivery Note		This template will be used by the PC for deliverables to EC.
Note		This templates will be used for simple notes.
Presentation		PowerPoint template in order to obtain standardised project presentations

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13. ANNEX 4: RISK REGISTER


Risk:	Delays in detailed planning of key activities.
Work Package:	WP1
Probability:	Low
Impact:	Medium
Mitigation Strategy:	Communication between WPs is iterated in agile sense. Other inter-dependencies are predominantly within a WP or around well-defined milestones. This means that planning delays can be pre-emptively identified and localised. Key activities and milestones are monitored via a project plan located on the project extranet and shown in Annex 5. Monitoring also takes place via updates through fortnightly phone meetings and 6 monthly face to face meetings.
Risk:	Resources are under-utilised
Work Package:	WP1
Probability:	Low
Impact:	Medium
Mitigation Strategy:	Preparation of a detailed plan of resources and cost needs per reporting period, as per the Description of Work. Monthly resources in person months are reported on the extranet for each work package, this is then profiled against activity promised in the DoW. PC ensures each partner records effort on the extranet.
Risk:	Failure to attract key external experts to the Kick-off.
Work Package:	WP2
Probability:	High
Impact:	Medium
Mitigation Strategy:	Co-location with a major event in the field of data or contributor identifier will assure participation of key external experts. Participants will be recruited before the project starts from within DataCite and ORCID memberships.

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Risk:	Failure to attract key external experts to either the first-year event or the final event.
Work Package:	WP2
Probability:	Medium
Impact:	Medium
Mitigation Strategy:	All partners have been mandated to execute ODIN and their members and sponsors have a vested interest in participating. Events will be scheduled at times where high attendance is more likely and events will be scheduled and publicised well in advance.
Risk:	Not enough third-party developers take part in the Hackathon
Work Package:	WP2
Probability:	Medium
Impact:	Medium
Mitigation Strategy:	ORCID and DataCite have direct access to most active developers in the field and will provide “sneak previews” to stimulate curiosity. We will hold the event at CERN, and can lay on tours, etc, providing an additional reason for attendance. Event will be publicised well in advance to increase likelihood of attendance
Risk:	The Hackathon does not result in applications with a concrete potential for future value-added services
Work Package:	WP4
Probability:	Medium
Impact:	Medium
Mitigation Strategy:	The Hackathon is primarily an engagement device and more positive results can be expected during the second year
Risk:	Difficulty in attracting external developers to build value-added services for the end of the project, and beyond.
Work	WP2

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Package:	
Probability:	Medium
Impact:	High
Mitigation Strategy:	The project needs to promote the opportunity aggressively, utilising the expected high-visibility in the scholarly publishing eco-system.
Risk:	Ability to recruit or re-deploy suitable staff quickly enough, especially given the recent trend of accelerated negotiation of projects.
Work Package:	WP3, WP4, WP5
Probability:	Medium
Impact:	High
Mitigation Strategy:	The partners have already identified key in-house expertise to start the planning phases of the project.
Risk:	Lack of common terminology and understanding between the two proofs of concept leading to a reinforcement of discipline isolation and silo mentality.
Work Package:	WP3
Probability:	Low
Impact:	Medium
Mitigation Strategy:	A dedicated part of the kick-Off meeting is aimed at team-building and developing a sense of shared exploration, which is enhanced by the agile methodology.
Risk:	The disciplinary proofs of concept fail to converge into a coherent set of commonalities..
Work Package:	WP3
Probability:	Low
Impact:	Medium

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Mitigation Strategy:	This must be considered from two perspectives: are there commonalities that the WP team does not identify (unlikely given that there is a dedicated task for this)? Or are there simply no commonalities – this is equally unlikely.
Risk:	Failure to engage individual systems within the DataCite and the ORCID constituencies to contribute to the interoperability proof of concept.
Work Package:	WP4
Probability:	Medium
Impact:	Medium
Mitigation Strategy:	Interoperability is a primary reason why DataCite and ORCID have been mandated to set up ODIN. arXiv, Dryad and ANDS are also motivated by interoperability issues in their respective systems.
Risk:	The interoperability framework does not comply to the needs of the disciplinary proofs of concept (e.g. the stress test is failed)
Work Package:	WP4
Probability:	Medium
Impact:	Medium
Mitigation Strategy:	Both WP3 partners, BL and CERN, are also involved in the WP4 proceedings and will bring important, disciplinary, expertise early in the process of description of the framework.
Risk:	Preconceived ideas influence the final recommendations.
Work Package:	WP5
Probability:	Low
Impact:	Medium
Mitigation Strategy:	All consortium finding will be continuously subject to scrutiny by internal and external experts in dedicated iteration and the first-year event, as well as audited by an independent sub-contractor.

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Risk:	The project may be 'overtaken by events', devaluing its relevance.
Work Package:	WP5
Probability:	Low
Impact:	Medium
Mitigation Strategy:	It is important to identify and monitor potential sources of this threat. Regular conferences and discussion with stakeholders will detect the threat and adapt the project strategy.
Risk:	The consortium might not reach consensus on some aspects of an unbiased analysis of the results leading to weak recommendations.
Work Package:	WP5
Probability:	Low
Impact:	High
Mitigation Strategy:	The agile methodology is specifically chosen to generate consensus during the development phase.
Risk:	Imposition of the Consortium's preconceived ideas on the final outputs.
Work Package:	WP5
Probability:	Low
Impact:	Medium
Mitigation Strategy:	Draft results will be exposed to intense scrutiny by means of validation by experts at the project conferences and workshops.
Risk:	Geographical distance and time-zones make it difficult for non-EU partners to contribute.
Work Package:	WP6
Probability:	Low
Impact:	High

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Mitigation Strategy:	Fortnightly phone meetings will alternate between afternoon in Europe, allowing participation of partners on the U.S. Eastern seaboard and Morning in Europe, allowing the participation of the Australian partners.
Risk:	The consortium will fail to implement an agile approach to continuous validation.
Work Package:	WP6
Probability:	Low
Impact:	Medium
Mitigation Strategy:	All WP6 partners have a track record of collaboration with one or more EU consortium partners, across several projects, from policy initiatives to software development. This previous experience shows that the probability of this risk is effectively negligible.
Risk:	The international partners might not show enough involvement.
Work Package:	WP6
Probability:	Low
Impact:	High
Mitigation Strategy:	All WP6 partners have already strong relationships to other the members of the consortium. The issues addressed by ODIN are of highest priority to the WP6 partners. Regular contact, participation to the key events, and short, focused, stays on the premises of the EC-funded partners for hands-on work in both years of the project will ensure the ongoing involvement of the partners.



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14. ANNEX 5: ODIN PROJECT PLAN

