



ExPaNDS

EOSC Photon and Neutron Data Services

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1 Introduction

Management of risk is a continual activity, performed throughout the life of the ExPaNDS project. This report documents risks identified so far, assignments of probabilities and impacts as seen when this document has been issued and risk management approaches.

2 Risk identification – approach taken

Risks have been identified by taking a variety of ways. Basically in all approaches the projects objectives and call requirements and the context (e.g. EOSC and FAIR involvement) and the stakeholders have been taken into consideration and the project has been broken down in tasks and activities to identify potential sources of risks. The project partners' extensive experience from other comparable projects have been an additional important source.

3 Risk assessment – approach taken

To assess the risks the profound knowledge of project topics has been applied as well as the very good knowledge of stakeholder situation and well networked project partners. Experiences from other projects have been applied here as well. The fact that all project partners knew each other from previous projects was very helpful, inter alia, for the assessment of the risks in the area of internal coordination and cooperation.

The figure below depicts the results of the qualitative risk assessment in a three-divided scale. A description of the individual risks can be found in the section 5 Risk register.

Figure 1: Qualitative risk analysis per risk ID

Probability	High			
	Medium	10, 23, 24	4,7, 11, 14, 18, 21, 25	
	Low	9, 16, 17	1, 2, 3, 5, 6, 8, 12, 13, 15, 19, 20, 22,	
		Low	Medium	High
		Impact		

The figure shows that no has been identified as high impact/probability risk.

4 Risk management plan

A risk log following the PM² Project Management Methodology has been set up which provides records of identified risks, their status and their developments and which will be maintained over the whole project period.

Generally, regular monitoring of WP activities will be performed e.g. in regular meetings of the Project Executive Board and the Technical Board not least to identify early warnings (for early warnings per risk see also section 5 Risk register)

As preferred strategy to avoid risks as far as possible, the project design and involved project partners have been chosen accordingly. Currently there is no aspect seen to change project elements to achieve further avoidance of risks.



Second priority is to take proactive actions to reduce probability of risk and where not avoidable to reduce the impact of the risk. Where prevention or reduction is not possible fall-back approaches have been considered as reactive opportunity to reduce the impact when a risk occurs.

Risk acceptance is currently not seen as necessary risk management strategy, risk transfer not appropriate for this kind of project.

5 Risk register

The table below summarises major elements of ExPaNDS' risk management plan.

It shows the assessment of the risk according to a three-divided scale in the dimensions of probability and impact, the risk owner (the WP responsible for managing the risk), the risk actionee (the WP observing the risk and responsible for initial activity when risk probability changes), the risk mitigation strategy, the identified early warnings indicators and the status in a simple red – yellow – green scale.

6 Contingency plans for high impact/probability risks

No risk has been identified as high impact/probability risk.



Risk ID	Date of registration	Description of risk	Probability	Impact	Risk owner	Risk action ee	Risk mitigation	Early Warning indicators	Status
1	Nov. 2018	Poor communication between partners	Low	Medium	WP1	WP1	Communication is a major item of the project management (located in WP1 and especially Task 1.4 “Internal Communication”), the Project Executive Board and the Technical Coordination Board. Regular communication events (phone/video conferences, meetings) at short intervals (e.g. 2-weekly video conferences of the PEB, annual all-hands-meetings) are established/ planned. A collaboration space for sharing documents, software and tools etc. is established.	Participation in regular meetings/ conferences	■
2	Nov. 2018	Lack of engagement of particular partners	Low	Medium	WP1	WP1	The level of management by partners within this project renders this risk less likely. Measurable goals and transparent monitoring and reporting of tasks by WP1 will limit this risk.	Internal intermediate milestones, input in regular meetings/ conferences	■
3	Nov. 2018	Partners leaving the consortium	Low	Medium	All	WP1	There was a strong will to participate in the project by all partners. If, nevertheless, a partner chooses to leave the consortium, the high scientific profile of the remaining partners will allow us to re-distribute the workload. Major documentations will be available via our collaboration space.	Internal communication	■



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4	Nov. 2018	Need for a change of partnership due to UK leaving the EC without associated state agreement	Low	High	WP 2, 3, 4, 5, 6	WP1	UK government guarantee will maintain funding for UK partners to collaborate with project. In the unlikely case that this guarantee will be dropped non-UK partners preferably from same WPs to step in	Information from partners	■
5	Nov. 2018	Contractual difficulties during the startup phase of the project. (GA or CA preparation)	Low	Medium	WP1	WP1	Solved (GA and CA signed)	n/a	■
6	Nov. 2018	Contractual difficulties when preparing the Collaboration Agreement (Art 41.4 of GA)	Low	Medium	WP1	WP1	All complementary beneficiaries are very committed to finding a suitable solution and active in the preparation phase.	Internal communication about draft collaboration agreement	■



Risk ID	Date of registration	Description of risk	Probability	Impact	Risk owner	Risk action ee	Risk mitigation	Early Warning indicators	Status
7	Nov. 2018	Difficulty in recruitment/ loss of critical staff	Medium	Medium	All	WP1	All Partners will use existing staff within established groups as much as feasible. Lead-in time for the start of the project should give sufficient time to recruit where necessary.	Monitoring of recruitment status	■
8	Nov. 2018	Low participation of stakeholders in consultations relating to FAIR Data uptake	Low	Medium	WP2	WP2	Project partners work closely within RIs to identify and engage appropriate stakeholders. Working with WP5 to engage in training.	Missing feedback in stakeholder consultations	■
9	Nov. 2018	Diversity of instruments and techniques for data management plan template	Low	Low	WP2	WP2	Consideration of methods and instruments to prioritise example areas.	Close monitoring of task 2.2	■
10	Nov. 2018	Lack of engagement with FAIRsFAIR, OPENAIRE-Advance and FREYA project	Medium	Low	WP2	WP2	Early contacts and close cooperation between relevant projects. Close working between the groups involved.	Communication based on working level contacts	■



Risk ID	Date of registration	Description of risk	Probability	Impact	Risk owner	Risk action ee	Risk mitigation	Early Warning indicators	Status
11	Nov. 2018	PaNOSC API and federated services are delayed	Medium	Medium	WP3	WP3	Close collaboration with PaNOSC management; provide EOSC landing page for national Photon and Neutron data catalogues.	Close communication with PaNOSC WP3	■
12	Nov. 2018	Ontology V1.0 not available	Low	Medium	WP3, 2	WP3	WP2 and WP3 will be working on these areas, and should be able to develop an ExPaNDS ontology dictionary if required.	Intermediate reporting e.g. in regular PEB meetings	■
13	Nov. 2018	EOSC-hub services not available	Low	Medium	WP3, 4	WP4	Close collaboration with EGI to ensure prioritisation of EOSC-hub activities which are relevant for ExPaNDS.	Intermediate reporting e.g. in regular PEB meetings	■
14	Nov. 2018	Slow take up of data access using Umbrella-ID	Medium	Medium	WP3	WP3	WP3 includes members of the Umbrella-ID project and integrating with the facility data catalogues is on their roadmap.	Close monitoring within task3.5	■
15	Nov. 2018	Icat and SciCat cannot be extended	Low	Medium	WP3	WP3	The WP3 partners have developers in both teams, which will ensure that integration will be seamless and smooth.	Close monitoring of Icat and SciCat activities	■



Risk ID	Date of registration	Description of risk	Probability	Impact	Risk owner	Risk action ee	Risk mitigation	Early Warning indicators	Status
16	Nov. 2018	NeXus Format not extensible to use with an Ontology methodology	Low	Low	WP3	WP3	Several members of the NeXus International Advisory Committee are involved in ExPaNDS project, which will aid prevention of any perceived issues arising.	Close monitoring of Nexus activities	■
17	Nov. 2018	Loss of support for one of the Analysis Services during integration into EOSC-hub	Low	Low	WP4	WP4	Ensure completeness of documentation and availability of software for selected candidates at start of project. Support can then be taken over by RI participating within WP4	Internal communication and monitoring of activities	■
18	Nov. 2018	Over-specified user needs, technical disagreement between the test platform and the deployment platform	Medium	Medium	WP4	WP4	Ensure continuous communication between deployment and testing teams.	Internal communication and monitoring of activities	■



Risk ID	Date of registration	Description of risk	Probability	Impact	Risk owner	Risk action ee	Risk mitigation	Early Warning indicators	Status
19	Nov. 2018	EOSC Services not ready at critical milestones	Low	Medium	WP4	WP4	Prepared to have a certain flexibility for deployment	Communication with stakeholders related to EOSC services	■
20	Nov. 2018	Lack of take-up by PaN user community	Low	Medium	WP4, 6	WP4	Ensure the Photon and Neutron user community is involved in the design, testing and deployment of the data services from the very start of the project.	Monitoring of uptake	■
21	Nov. 2018	Delay in deployment of metadata catalogue APIs	Medium	Medium	WP3, 4	WP3	Use input from WP3 and PaNOSC to make use of metadata catalogue test infrastructure.	Internal communication and communication with PaNOSC	■
22	Nov. 2018	Receive improper documentation from the WPs to prepare training material	Low	Medium	WP2, 3, 4, 5, 6	WP5	Continuous communication with the work package leaders.	Internal communication e.g. in regular PEB meetings	■
23	Nov. 2018	Appropriate attendance for the workshops	Medium	Low	WP5, 6	WP5	Communication activities (WP6)	Monitoring of participations and feedback	■



Risk ID	Date of registration	Description of risk	Probability	Impact	Risk owner	Risk action ee	Risk mitigation	Early Warning indicators	Status
24	Nov. 2018	Appropriate usage of the e-platforms by the users	Medium	Low	WP5, 6	WP5	Communication activities (WP6)	Monitoring of participations and feedback	■
25	Nov. 2018	Delays in delivery of outputs from WP 2, 3, 4	Medium	Medium	WP1, 5, 6	WP1	Active management from WP1 to monitor and review deliverables; early engagement with external collaborators (e.g. PaNOSC, FAIRsFAIR)	Internal communication e.g. in regular PEB meetings	■