EPISODE 3

Single European Sky Implementation support through Validation

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TABLE OF CONTENTS

EXECUTIVE SUMMARY **7**

1 INTRODUCTION **8**

1.1 PURPOSE OF THE DOCUMENT 8
1.2 INTENDED AUDIENCE 8
1.3 DOCUMENT STRUCTURE 8
1.4 BACKGROUND 9
1.5 GLOSSARY 9

2 TYPOLOGIE OF DOCUMENTS **10**

2.1 COVERAGE OF THE DOCUMENTATION & DATA MANAGEMENT PLAN 10
2.2 EUROPEAN COMMISSION DELIVERABLES 10
2.3 PROJECT DELIVERABLES 10
2.4 INTERNAL DOCUMENTS 10
2.5 CONTRACTUAL DOCUMENTS 11

3 ROLES RELATED TO THE MANAGEMENT OF EP3 DOCUMENTS **12**

4 STATUS OF A DOCUMENT **13**

4.1 DEFINITIONS 13
4.2 SPECIFIC WORKFLOWS 14
4.2.1 Project deliverable workflow *14*
4.2.2 EC deliverable workflow *15*
4.2.3 Internal document *16*
4.2.4 Meeting document workflow *16*

5 DOCUMENTS LIFECYCLE **17**

5.1 OVERALL APPROACH 17
5.2 WRITING 17
5.3 QUALITY CHECK DURING THE APPROVAL 18
5.4 TECHNICAL CHECK DURING THE APPROVAL 20
5.4.1 Overview *20*
5.4.2 Use of the EP3 web site *20*
5.4.3 End of technical check *22*
5.4.4 Check-lists to support the approval *22*
5.5 ESCALATION 23
5.6 PREPARATION OF THE APPROVAL 24
5.6.1 List of deliverables *24*
5.6.2 Priorities *26*
5.6.3 List of reviewers *27*
5.6.4 List of reviews *28*
5.7 ACCEPTANCE OF EC DELIVERABLE 28
5.8 PUBLICATION OF DOCUMENTS 29

6 CREATION OF EP3 DELIVERABLES **31**

6.1.1 Quality requirements *31*
6.1.2 Templates *34*
6.1.3 Executive summary *35*
6.1.4 Practical terms *36*

7 VERSION OF DOCUMENT **37**

8 NAMING CONVENTION **38**

8.1 PROJECT 39
8.2 WORK PACKAGE NUMBER 39
8.3 WBS & SEQUENCE NUMBER 39
8.3.1 For deliverables *40*
8.3.2 For internal documents *40*

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8.3.3 For meeting documents 40
8.4 DOCUMENT TYPE 41
8.5 VERSION 41
8.6 SHORT TITLE 42
9 EP3 WEB SITE 43
9.1 EP3 WEB SITE FEATURES 43
9.2 TOOLS HELP & GUIDELINES 44
9.3 NOTIFICATIONS BY THE WEB SITE 45
9.4 SECURITY AND CONFIDENTIALITY 47
9.4.1 Documents and intellectual property 47
9.4.2 Access to the EP3 web site 47
10 REFERENCES AND APPLICABLE DOCUMENTS 48
10.1 REFERENCES 48
10.2 APPLICABLE DOCUMENTS 48
11 APPENDIXES 49
11.1 EP3 PROJECT MANAGEMENT OFFICE 49

LIST OF TABLES

Table 1 - Episode 3 project quality objetives 9
Table 2 - Roles related to the documentation management 12
Table 3 - Document status values 13
Table 4 - Summary of EP3 deliverable lifecycle 17
Table 5 - Priorities during the approval 26
Table 6 - EP3 Quality requirements for deliverable 33
Table 7 - Practical terms for the production of a document 36
Table 8 - Characteristics of the generic identifier 39
Table 9 - Characteristics of the Document identifier 39
Table 10 - Types of meeting 40
Table 11 - Types of documents 41
Table 12 - EP3 web site features 43
Table 13 - List of notifications from the EP3 web site 46
Table 14 - EP3 Project Management Office 49

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LIST OF FIGURES

Figure 1 - Project deliverable workflow 14
Figure 2 - EC deliverable workflow 15
Figure 3 - Internal document workflow 16
Figure 4 - Meeting document workflow 16
Figure 5 - Operational procedure for the writing 18
Figure 6 - Operational procedure for quality check 18
Figure 7 - Example of quality check results 19
Figure 8 - My TODO List during approval 19
Figure 9 - Operational procedure for technical check 20
Figure 10 - Example of a Review Room 21
Figure 11 - Lifecycle of comments within EP3 Review Rooms 22
Figure 12 - Example of check-list: Technical Reviewer 23
Figure 13 - Operational procedure for escalation 24
Figure 14 - List of deliverables 25
Figure 15 - Change of ready for approval date by a Document Owner 25
Figure 16 - Subscribe to a technical check 26
Figure 17 - List of reviewers 27
Figure 18 - Conflicts in reviewer's assignments 27
Figure 19 - List of reviews currently in progress 28
Figure 20 - Operational procedure for acceptance of EC deliverable 29
Figure 21 - Operational procedure for the publication 30
Figure 22 - Home page of the EP3 web site 30
Figure 23 - Quality recommendations for EP3 reports. 34
Figure 24 - List of EP3 templates 34
Figure 25 - Edit form and minor changes of the version 37
Figure 26 - Example of history box for the versioning 37
Figure 27 - Naming convention and the EP3 library 38
Figure 28 - EP3 web site features summary 44
Figure 29 - Help online button 44
Figure 30 - Example of the help-online 45
Figure 31 - Example of notification from the EP3 web site 46

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EXECUTIVE SUMMARY

There are different types of documents in the Episode 3 project. Some are submitted to the European Commission (EC) for acceptance, others are limited to a use internal to the project. The project has a special care for the documents that are planned to be published: the EC deliverables and project deliverables.

The Episode 3 quality approach is to put individuals and interaction over processes. In the area of documentation management, Document Owners and reviewers are the main actors involved. They have to work on documents with respect to a lifecycle composed of four main steps: the writing, the approval, the acceptance and the publication.

The Episode 3 Project Management Office has implemented operational procedures to control deliverables during the approval that is the last step that ensures a deliverable is consistent with the project objectives and expectations. These procedures are supported by tools such as the Review Room that is a virtual room where Document Owners and reviewers can discuss about a specific document.

Another aspect of the documentation plan is to provide guidance during the writing of a document: quality requirements are listed and advices about executive summary are given. Indeed, one objective of the approval is to check characteristics such as usability, look & feel, way of writing, correctness, and the executive summary that is important in the context of the promotion of the Episode 3 results.

The last part of this plan is dedicated to practical terms such as the naming convention, the versioning, the available user guides, or the notifications.

Finally, a secondary objective of this documentation management is to give to the Episode 3 partners all the pieces of information related to the project quality and documentation in order to support their work during the project life and to reuse it after the end of the project.

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1 INTRODUCTION

1.1 PURPOSE OF THE DOCUMENT

As an integral part of the Episode 3 quality system, the objective of the Documentation & Configuration Management Plan is to provide useful and essential information and documentation to the Episode 3 project team members by:

- Ensuring the correctness, availability and confidentiality of information and documentation provided to all actors involved in the project;
- Ensuring the coherence of the overall project information and documentation set, so facilitating the exchanges between the partners involved in the project. It means ensuring that all the actors who need access to information are informed of its availability, the means of access and related methods and procedures, or otherwise directly receive up-to-date information as required to fulfil their activities;
- Ensuring the memory of Episode 3 during and after the project;
- Providing traceability of evolutions, changes of documentation and the impacts on the documentation set;
- Controlling changes of documentations and measuring the impacts on the linked documentation; and
- Facilitating access to information and documentation to the partners and stakeholders involved in the project.

1.2 INTENDED AUDIENCE

This document is applicable to:

- The project management board;
- The coordination cell; and
- The work packages including tasks and subtasks.

1.3 DOCUMENT STRUCTURE

The document is organised as follows:

- Section 2 provides definitions of the types of documents in the project. Indeed, quality procedures and web tools react with respect to these types (very formal for deliverable to the European Commission, less formal for internal documents);
- Section 3 describes roles related to the management of Episode 3 documents. These roles are linked to the use of the web site and the approval procedures;
- Section 4 defines the possible statuses for a document;
- Section 5, is related to the life of document and especially approval and acceptance;
- Sections 6, 7 and 8 provide information to Document Owners to create an EP3 document with respect to the project quality requirements. It includes versioning and naming of documents; and
- Section 9 summarises information related to the EP3 web site and tools used to manage documents in the project.

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1.4 BACKGROUND

The current version *-i.e. version 3.00-* is a revision of the previously approved documentation & configuration management plan.

Indeed the EP3 project has evolved since its de-suspension. The quality system is now operational. In consequence the documentation & configuration management plan includes the latest procedures for managing EP3 deliverables, managing reviews in the context of the approval, and using the EP3 web tools.

This plan supports the EP3 quality objectives that are the following:

Objective	Description
Quality of the deliverables	To provide deliverables which meet the expectations of all participants, being in itself the condition for acceptance by the European Commission. This implies firstly an active and collaborative way of working together by all consortium members, and secondly the formal approval of deliverables.
Quality of the buy-in process	To ensure that all stakeholders, not necessarily participating in the project, support the content of the deliverables. This acceptance will be reflected in the feedback received from all stakeholders.
Quality of the processes	To ensure that all necessary processes have been set up and formulated in a way to ensure an efficient execution of the project that takes full account of its specificities, with all necessary management plans being built "with quality in mind".

Table 1 - Episode 3 project quality objetives

Refer to the EP3 Quality portfolio [7] for more details regarding the EP3 Project Quality objectives, activities and responsibilities.

1.5 GLOSSARY

Term	Definition
Acceptance	The acceptance is the formal review process performed by the European Commission.
Applicable document	Normative document imposed on the project.
Approval	Formal agreement to deliver an item to the European Commission.
Contract	Any legally enforceable business agreement for the supply of goods or services.
Documentation	The definition of this term is compliant with the ISO 9000 standard definition. This is the accumulation, classification and dissemination of information; the material so collected.
DOW	Description Of Work.
EC	European Commission.
EP3 Deliverables	This includes both project deliverables and EC deliverables.
EP3	Episode 3.
Information	Intelligence or knowledge capable of being represented in forms suitable for communication, storage or processing.
Validation	Confirmation by examination and provision of objective evidence that the particular requirements for a specific intended use are fulfilled. A validation is performed internally to the project.
PMO	The Project Management Office supports the project coordinator or the day-to-day management, performance monitoring and control of the project.
WBS	Work Breakdown Structure

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2 TYPOLOGIE OF DOCUMENTS

2.1 COVERAGE OF THE DOCUMENTATION & DATA MANAGEMENT PLAN

Episode 3 documents are classified within the following types:

- Deliverables to European Commission: EC deliverables;
- Deliverables to the EP3 Consortium: Project deliverables;
- Internal documents; and
- Contractual documents.

2.2 EUROPEAN COMMISSION DELIVERABLES

European Commission deliverables (EC deliverables) are:

- Exercise plans;
- Exercise reports;
- Details Operational Descriptions; and
- Validation strategies.

They are listed in the Description of Work (DOW) [5].

The EP3 Consortium formally reviews and approves EC deliverables before the submission for acceptance to the European Commission.

EC deliverable follows the cycle defined in §5-“Documents lifecycle

".

Results of reviews are recorded in a Review Room. Furthermore the EP3 Project Management Office records decisions in the document history page *–i.e. first page of each EC deliverable*.

2.3 PROJECT DELIVERABLES

Project deliverables are documents created within the context of Episode 3 and not delivered to the European Commission.

Project deliverables are composed of:

- Technical documents;
- Interim release of EC deliverables;
- Managerial project deliverables/Management plan deliverables; and
- Minutes of managerial meetings and minutes of technical meetings.

These deliverables are created for the Episode 3 project itself. The EP3 Consortium holds a strong validation to ensure their consistency. After a formal approval of a project deliverable, the EP3 Project Management Office could publish it or not.

Results of reviews are recorded in a Review Room and decisions are recorded in the document history page *–i.e. first page of each project deliverable*.

2.4 INTERNAL DOCUMENTS

By definition, use of these documents is limited to the Episode 3 project team. It includes Operational scenarios, working documents, internal letters, emails, minutes of meeting, etc.

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This definition is different of the status “internal use” that means a document is currently restricted to a group specified by the Document Owner until the document status changes: an internal documents is always restricted to the Episode 3 project team.

Because the use of these documents is limited, the approval procedures are optional and the Document Owner is free to decide the terms and conditions of related reviews. For instance the Operational Scenario documents are internal documents that use the approval procedures and the Review Room.

2.5 CONTRACTUAL DOCUMENTS

These documents are directly linked to the contract; they include the followings:

- Contracts with the European Commission or with contractors;
- Consortium agreement;
- Amendments;
- Transmittals *–i.e. letters, email from the EC or partners*; and
- Financial data.

This type of document has its own lifecycle that is closely linked to the administration. The Documentation & configuration management plan does not cover the lifecycle of contractual documents.

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3 ROLES RELATED TO THE MANAGEMENT OF EP3 DOCUMENTS

Name	Main responsibilities
Document Owner	Is responsible for the writing of the documents. That includes coordination of Contributors, reporting to WP Leader and Delivery Manager regarding the ready for approval date –i.e. planned start date for formal reviews by the project, provision of answers to Technical Reviewers, and update of the document during the approval.
Contributor	Writes a part of a specific document and can access the related folder in the EP3 library.
Document Owner's delegate	Is a Contributor who has been assigned as a delegate for a specific deliverable in the EP3 web site. He/she is able to perform the same actions as the Document Owner of this deliverable. Especially, Document Owner's delegate can manage the Review Room of the deliverable: provide answer to comments, close comments, participate to a discussion, etc.
Technical Reviewer	Performs technical check of a deliverable: the objective is to confirm by examination and provisions of objective comments that the particular requirements for a specific deliverable are fulfilled. In that context, Technical Reviewers use the Review Room to submit their comments and discuss with Document Owner or his/her delegates.
Quality Approver	Performs quality check and supports Technical Reviewers and Document Owners during the approval process.
Technical Approver	Is the EP3 work package leader or a delegate who has to check that a deliverable is consistent with the project objectives and constraints before the final step of the approval procedure.
Library Member	By default, any EP3 project team member is a Library Member.
WP Leader	Is in charge of a specific work package. In that context, he has to manage the planning of the approval with Document Owners and the Delivery Manager.
Project Coordinator	Approves an EC deliverable for submission for acceptance to the European Commission. Approves project deliverables.
Quality Coordinator	Provides guidelines, checklists and any useful material to make efficient quality control of documents. Checks the application of the project processes, procedures and rules. Ensures that documentation management approach is understood and adopted by the major actors of the project. Verifies that the documentation procedures are effective.
Delivery Manager	Tracks delivery dates taking into account necessary review time, ensures adherence to project rules on deliveries (Quality, version control), and overviews the review process in order to ensure documents reach the approved state after having undergone all necessary check steps.
Library Manager	Creates web site user accounts.

Table 2 - Roles related to the documentation management

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4 STATUS OF A DOCUMENT

4.1 DEFINITIONS

Document status is closely linked to the document lifecycle and defines the degree to which a document may be used. A status has one of the eight values described in the table hereafter.

The status is visible in the document itself (front page) and in the EP3 library.

Value	Description
Draft (working)	Document Owner, delegates and Contributors are working on the document. The use of the document is generally restricted to the related task.
Draft	The other Library Members can see the document.
Draft (under review)	The Document Owner has requested a quality check. Only the Quality Approver works on the document at this level.
Draft (under approval)	The Quality Approver considers the document as acceptable from the quality viewpoint. The technical review is currently under progress -i.e. Technical Reviewers have to submit their comments.
Approved	The EP3 Consortium considers that the document respects the acceptance criteria. Refer to Table 6 - EP3 Quality requirements for deliverable for more details regarding these criteria. Approved deliverables are available to all EP3 team members.
Under acceptance	The project coordinator has submitted for acceptance the deliverable to the EC. This acceptance is in progress. Refer to §5.7-“Acceptance of EC deliverable” for more details regarding acceptance.
Accepted	The document has been formally accepted by the European Commission.
Public	Approved or accepted deliverables could be published and available for consultation.

Table 3 - Document status values

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4.2 SPECIFIC WORKFLOWS

The following sub-sections describe how statuses evolve during the life of a document. These workflows are implemented in the EP3 project library.

In all cases, the Quality Coordinator can manage all steps of these workflows.

4.2.1 Project deliverable workflow

Figure 1 - Project deliverable workflow shows the roles that can change the document status from one level to another. At least one of them has to do it.

Start of approval corresponds to the status *draft (under review)*. Technical Reviewers receive notifications when the status becomes *draft (under approval*) and they can create new comments in the related Review Room during fourteen (14) calendar days after this notification.

Approved project deliverable can be published in the project web site.

Refer to §9.3-"Notifications by the web site" for more details regarding automatic notifications.

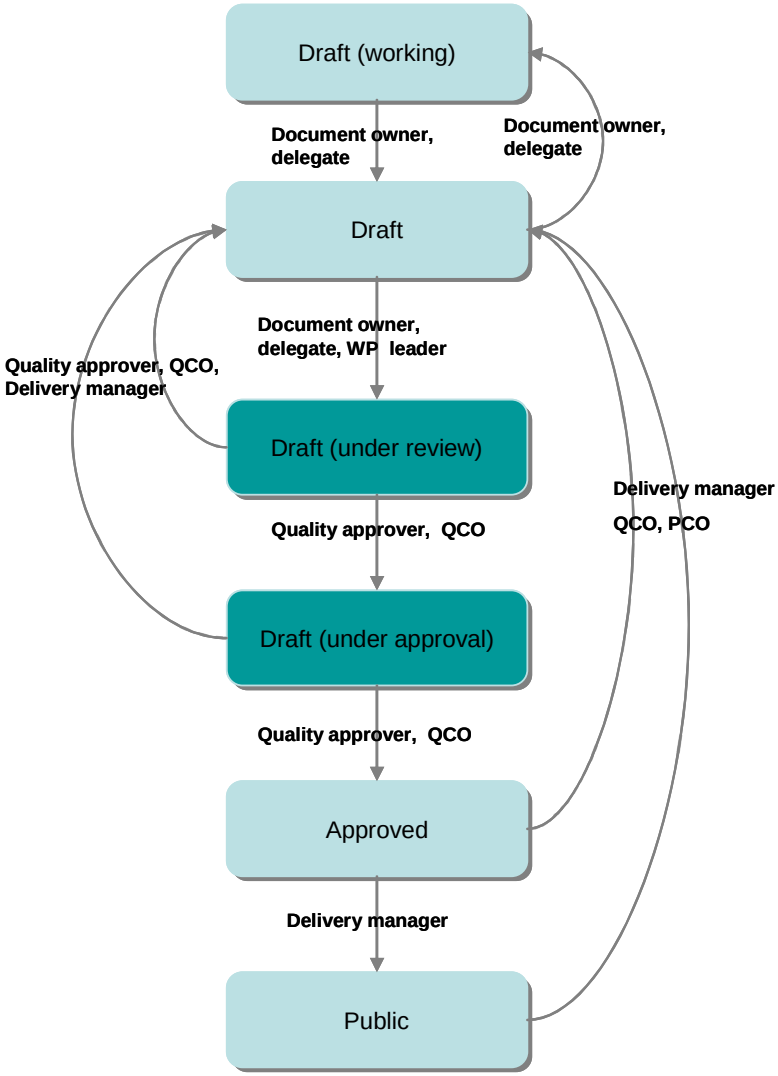

Figure 1 - Project deliverable workflow

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4.2.2 EC deliverable workflow

EC deliverable and Project deliverable have the same workflow until the document is approved by the EP3 Consortium. When the document is approved, the Project Coordinator submits the deliverable to the European Commission for acceptance.

When accepted, EC deliverable is publicly available within the project web site.

Refer to §9.3-"Notifications by the web site" for more details regarding the system of notifications in the project.

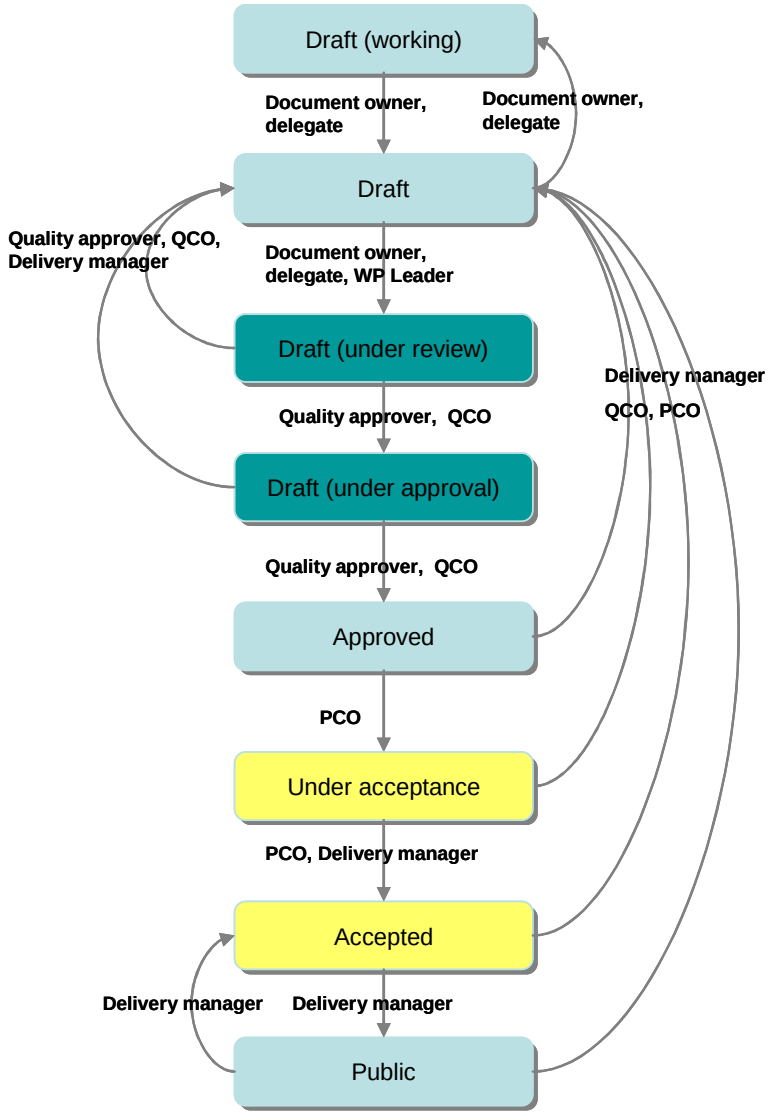

Figure 2 - EC deliverable workflow

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4.2.3 Internal document

This type of document is not managed by the Project Management Office. However, Document Owner and Contributors can use the Review Room to manage comments created during the writing of these documents. For this purpose, the status *draft (under approval)* has been created.

As this is an optional approach decided by the Document Owner, the Document Owner and their delegates are responsible for all stages of this workflow.

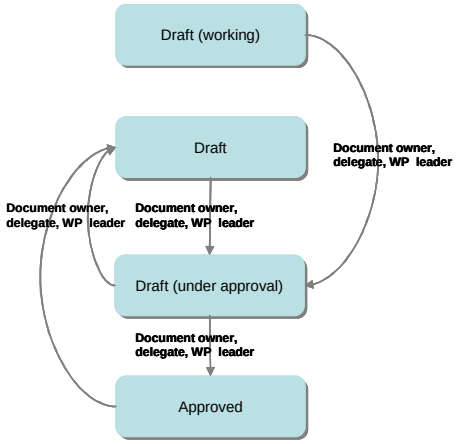

Figure 3 - Internal document workflow

4.2.4 Meeting document workflow

In practical terms, this could be summarised as follows:

- The chairman of the meeting is responsible for writing material, and especially agenda and minutes of meeting;
- Participants of the meeting are responsible for the approval of the material. They should have a special emphasis on minutes that must reflect what happens during the meeting; and
- When receiving the approval of the participants, the chairman could approve it in the EP3 library and the document is available to the EP3 team members.

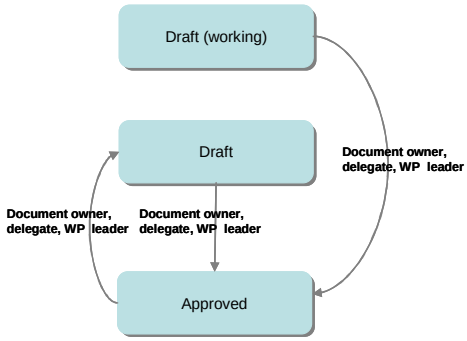

Figure 4 - Meeting document workflow

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5 DOCUMENTS LIFECYCLE

5.1 OVERALL APPROACH

"EP3 deliverable" means "EC deliverable" or "Project deliverable". There are four main periods during the life of an EP3 deliverable.

Period	Main activity
Writing	Document Owner and Contributors write and review the deliverable at the task-level.
Approval	Quality Approver, Technical Reviewers and Document Owner perform the quality check and the technical check of the deliverable.
Acceptance	The Project Coordinator submits the deliverable to the European Commission for acceptance. The European Commission makes comments and Document Owner changes the document if needed. The European Commission accepts the deliverable.
Publication	The Delivery Manager makes the deliverable publicly available.

Table 4 - Summary of EP3 deliverable lifecycle

EC deliverables follow the complete approval and acceptance cycle and Project deliverables follow the approval process only. For internal documents, the Document Owner decides how much of the process to follow.

There is a non-formal approach based on discussions if a Document Owner needs to re-enter a deliverable already approved: the Document Owner, the Technical Approver and the quality coordinator have to decide if a formal review is required.

5.2 WRITING

During writing period, Document Owner and Contributors are free to use the EP3 library or not.

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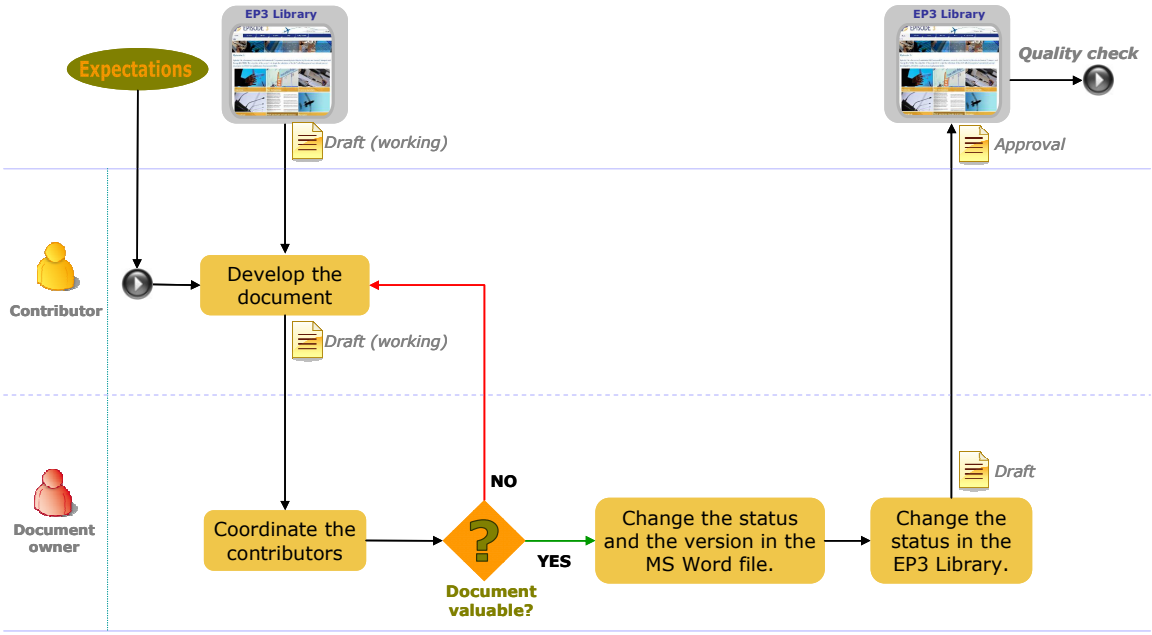

Figure 5 - Operational procedure for the writing

5.3 QUALITY CHECK DURING THE APPROVAL

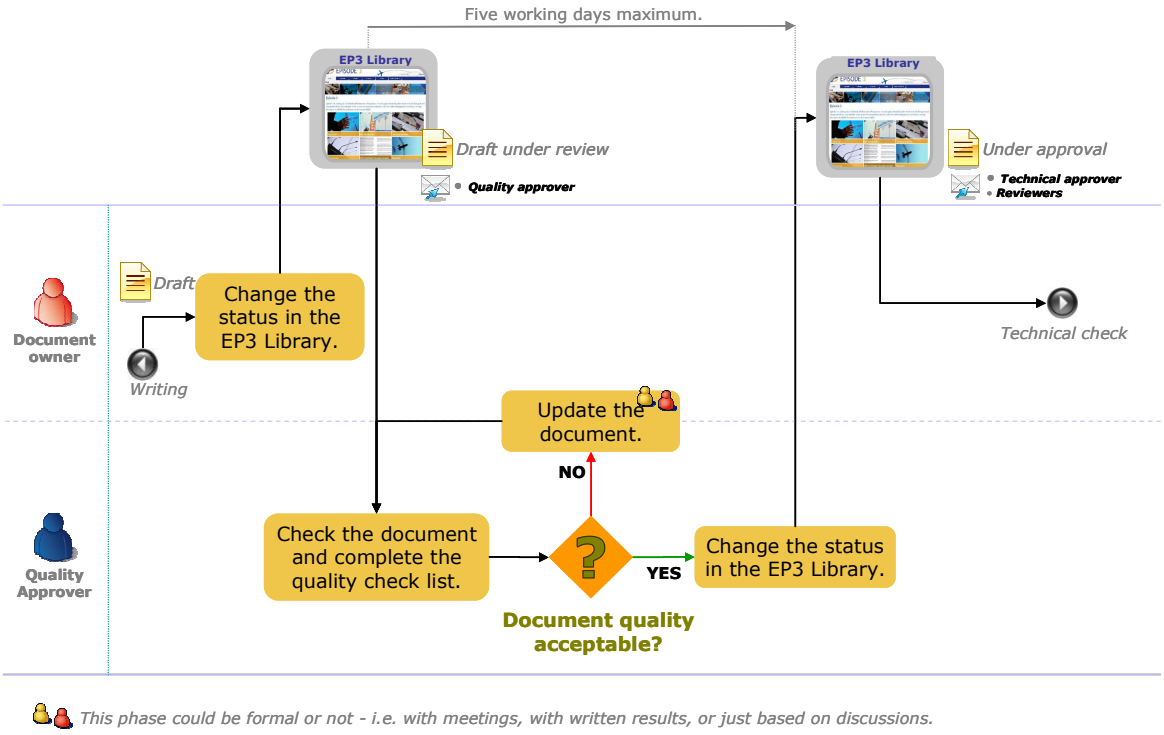

Figure 6 - Operational procedure for quality check

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When the document becomes *draft (under review),* the formal review process starts. The Quality Approver checks the consistency of the deliverable regarding the EP3 quality requirements and completes the quality check-list. If needed the Quality Approver adds comments in the Review Room.

Refer to §6.1.1-"Quality requirements" for more details regarding the content of the quality check-list.

The following figure shows the results of a quality check, as an example.

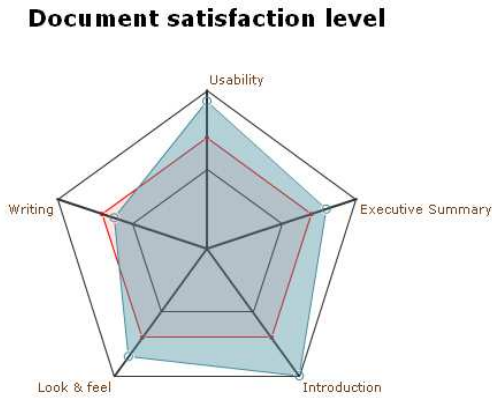

Figure 7 - Example of quality check results

Refer to the EP3 Quality portfolio [7] for more details regarding the quality check operational procedure: a complete description of this quality control is available.

The EP3 web site supports the quality check through different services:

- The quality check-list;
- The Review Room; and
- My Todo List. As shown in the following figure, Document Owner can see his/her documents under approval in this area.

Figure 8 - My TODO List during approval

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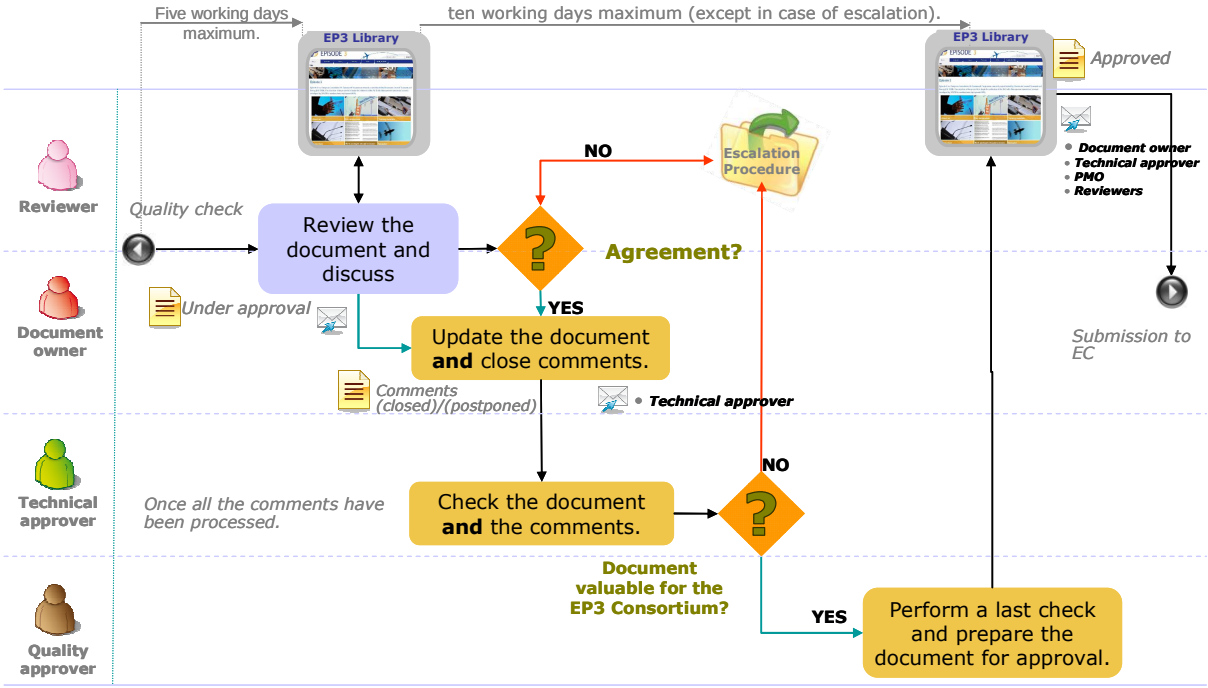
5.4 TECHNICAL CHECK DURING THE APPROVAL

5.4.1 Overview

When the document status becomes *draft (under approval)*, Technical Reviewers submit their comments within a limited period of time (fourteen calendar days). Document Owner and delegates have to answer and update their document according to the agreements obtained.



Please note that this is the last step for the Project deliverable. As soon as they are approved, they could be published.

Figure 9 - Operational procedure for technical check

5.4.2 Use of the EP3 web site

The EP3 web site supports the technical check through:

- The Review Room: to submit comments, to provide answers, to discuss about these comments and answers;
- My Todo List: reviewers can see the current reviews and the status of their comments (refer to Figure 8 - My TODO List during approval);
- The list of deliverables: Document Owner, reviewers and Technical Approver can see the review metrics. Refer to §5.6.1-"List of deliverables" for more details.

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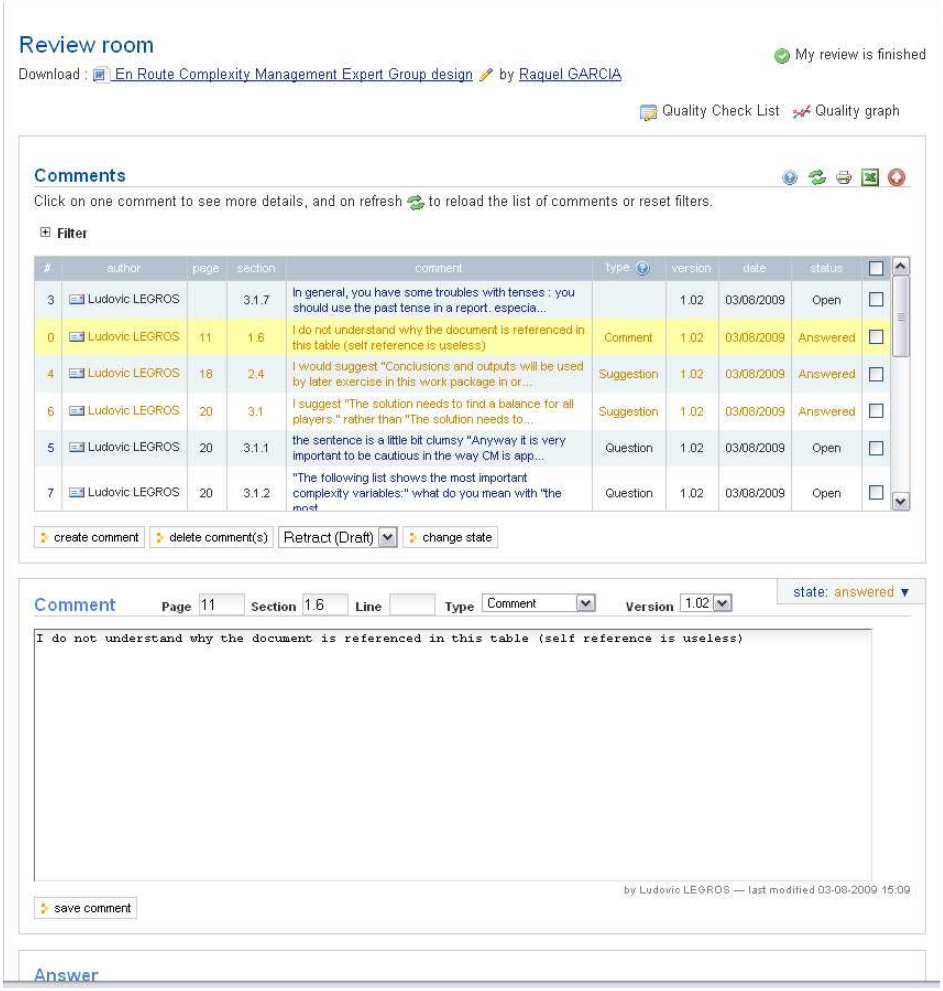

Figure 10 - Example of a Review Room

Document Owners and Technical Reviewers contribute to the lifecycle of each comment. The following figure shows responsibilities during review with a special emphasis on who changes the status of a comment in the Review Room and how to go to the next step.

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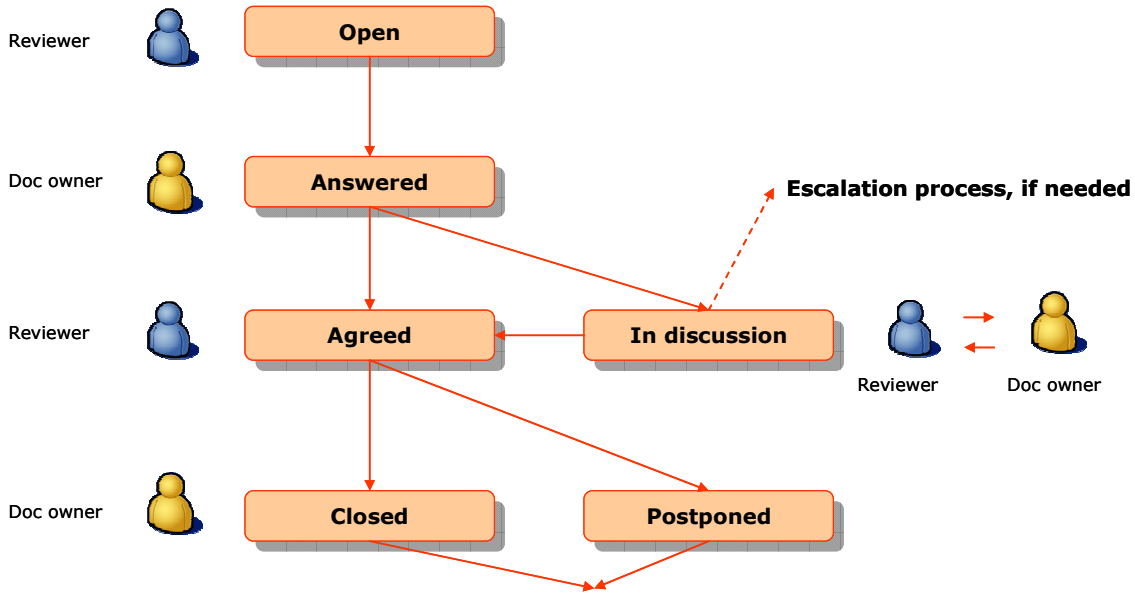

Figure 11 - Lifecycle of comments within EP3 Review Rooms

Refer to §5.5-"Escalation" for more details regarding the escalation process.

5.4.3 End of technical check

The Quality Approver informs the Technical Approver that he/she has to check the latest version of the document and comments in the relevant Review Room.

The technical check ends when the following conditions are fulfilled:

- All comments in the Review Room are closed or postponed;
- The Technical Approver confirms the approval to the Quality Approver;
- The Quality Approver assesses a sample of comments (20% of comments of the Review Room) to identify inconsistencies between agreements and the latest version of the document. If needed, the Technical Approver and the project coordinator are informed; and

Based on that, the Quality Approver performs a last check and changes the status of the document from *draft (under approval)* to *approved*.

5.4.4 Check-lists to support the approval

Specific check-lists from the EP3 Quality portfolio [7] are available for Document Owners, delegates, Technical Reviewers, Quality Approvers and Technical Approvers. As shown in the following figure, these downloadable checklists explain each step of the operational procedure and how to perform it.

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Your tasks as a Technical Reviewer

✓ **Plan the review in your work plan.**
Contact the EP3 Project Management Office if you feel you haven't received enough information on your future workload.

✓ **Perform the technical Check:**

1, Read and comment on the document in the Review Room. □

2, Inform the Document Owner. □
When you feel you have finished your review, you have to click on "My review is finished" (top-right of the screen) to inform the Document Owner who will receive an automatic notification by email.

3, Agree with the answers in the Review Room as quickly as possible. □
When the Document Owner has answered all your comments, you receive an automatic notification by email. But do not wait for this notification to check the answers.
*If **you agree** with an answer, change the status of the comment to "agreed".*
*If **you don't agree** with an answer, request a discussion by changing the status to "in discussion".*

Resources

As a Technical Reviewer, the following documents are the most valuable for you:
- **Validation, approval and acceptance of an EP3 deliverable**
- **Version and status of an EP3 deliverable**
- **EP3 Review Room**
- **EP3 Library**

But you can also refer to the other document of the EP3 Quality Portfolio:
- **Quality Management Organisation, roles and responsibilities**
- **EP3 Acceptance criteria**
- **…**

You will also find useful information in the FAQs folder.

And please do not hesitate to contact the EP3 Project Management Office if you have any question or comment, or if you feel a document is missing or should be updated…

Figure 12 - Example of check-list: Technical Reviewer.

5.5 ESCALATION

Escalation process is used in specific cases:

- An agreement is not found during a review –i.e. a comment remains *in discussion*;
- A risk or a problem linked to the deliverable occurs and requires a technical (through the coordination cell) or a managerial decision (through the Project Management Board).

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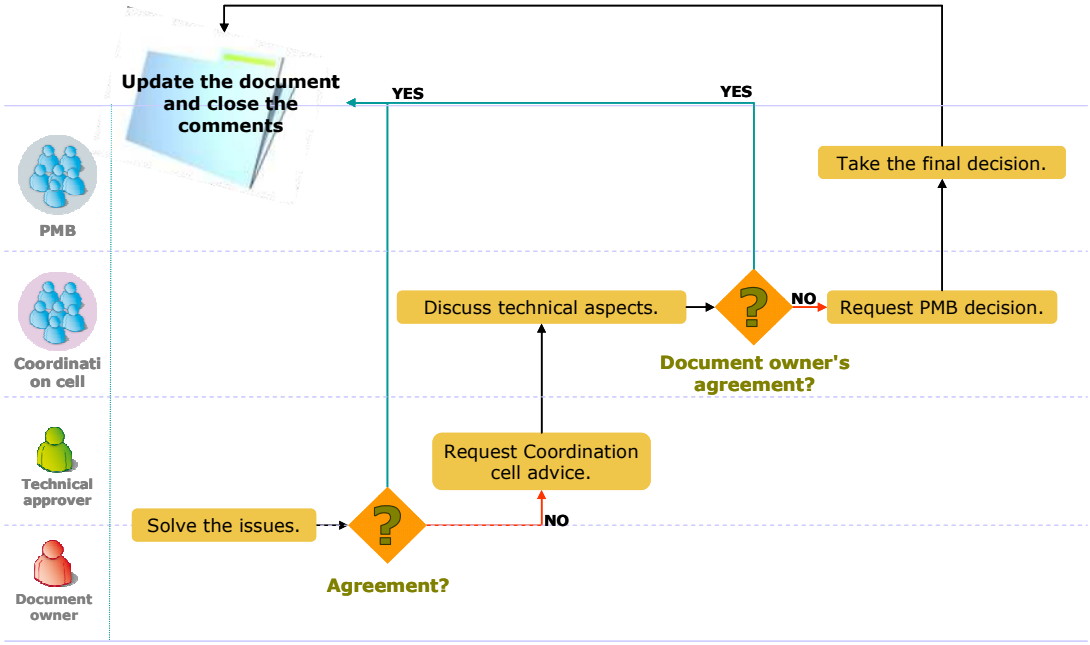

Figure 13 - Operational procedure for escalation

When creating an escalation, the Document Owner informs the Technical Approver who contacts the coordination cell and the project coordinator.

The process of escalation is based on the following principles:

- The idea is to reach an agreement as soon as possible to finalize the approval;
- Technical Approver formally ask the coordination cell to include the item in the next coordination cell meeting;
- Ideally, Document Owner, Technical Approver and Technical Reviewer should be present or representatives must be identified;
- After the coordination cell meeting, the Quality Coordinator and the Project Coordinator have to know if an agreement has been reached or not;
- If yes, the document is updated accordingly (if needed);
- If no, the item must be included in the agenda of the next Project Management Board to obtain a managerial decision that will close the discussion; and
- If an agreement is obtained at coordination cell level, the second stage can be omitted.

5.6 PREPARATION OF THE APPROVAL

5.6.1 List of deliverables

Any EP3 Library Member accesses to the list of deliverables by using My Space in the EP3 web site.

Document Owners and their delegates see their documents in the section “My documents” of this list of deliverables.

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There is a table for each work package that highlights the following pieces of information for each deliverable:

- Version of the document available in the EP3 library and deliverable ID;
- Status of the document in the lifecycle;
- Name of the Document Owner;
- Planned date for the submission to the European Commission (DOW date);
- Quality check report (if applicable), distribution of the comments made during the approval, distribution of the closed comments compared to the number of submitted comments, list of reviewers for the deliverable.

Figure 14 - List of deliverables

Furthermore, additional information is available in My Todo List of Document Owners and Technical Reviewers:

- *Ready for approval* date: planned date for the start of the approval; and
- *End of review*: last day to submit new comments in the Review Room. This is ten working days after the ready for approval date for upcoming reviews and fourteen calendar days after the start of the technical check for the current reviews.

Document Owners have to maintain the *ready for approval* date up to date. To proceed, they could contact the Delivery Manager or directly change it in the web site as shown hereafter.

Figure 15 - Change of ready for approval date by a Document Owner

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5.6.2 Priorities

To focus the project effort on important aspects, the list of deliverables has been identified with three levels of priority. Each priority implies different types of control during the approval.

A list of reviewers is identified for each document. In all cases, the period of time for submitting new comment is limited: no new comment after fourteen calendar days after the start of the approval –i.e. the status becomes draft (under approval).

Level	Types of control
Level 1	• A quality check; • At least two Technical Reviewers are assigned. Volunteers may provide their comments (by subscribing to the review directly through the EP3 library); • The Project Coordinator is involved in the technical check; and • The Delivery Manager checks availability of the Technical Reviewers before the start of the approval and inform work package manager in case of problem.
Level 2	• A quality check; • At least one Technical Reviewer is assigned. Volunteers may provide their comments (by subscribing to the review directly through the EP3 library); and • The Delivery Manager checks availability of the Technical Reviewer before the start of the approval and inform work package manager in case of problem.
Level 3	• A quality check; and • Volunteers may provide their comments (by subscribing to the review directly through the EP3 library).

Table 5 - Priorities during the approval

Any Library Member can subscribe to a technical check and become a volunteer. That should be done before the end of the technical check period. Library Member uses the right-click on the title of a deliverable and selects *subscribe to review*. That can be done everywhere in the EP3 web site for instance in the deliverable list as shown hereafter.

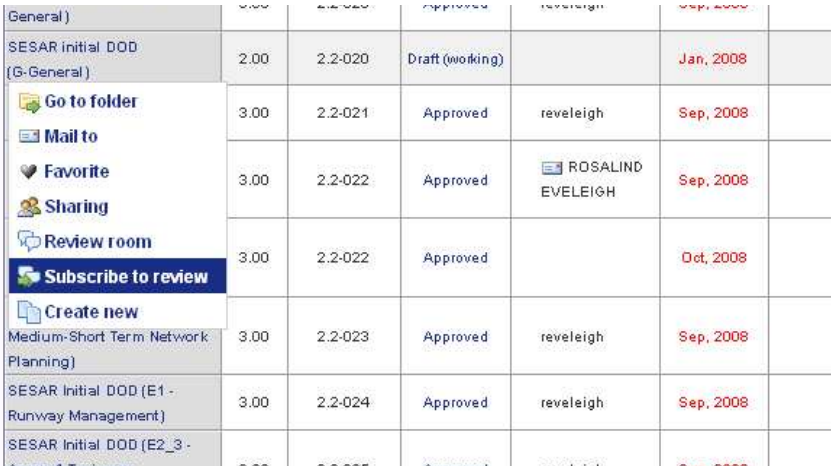

Figure 16 - Subscribe to a technical check

This is the same procedure to unsubscribe.

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5.6.3 List of reviewers

Technical Reviewers are assigned in the EP3 web site. As shown in Figure 17 - List of reviewers, there is a list of reviewers directly in the EP3 web site (in My Space) that allows the Quality Coordinator, the WP Leaders, and the Delivery Manager to check reviewers' assignment and detect any conflicts. Figure 18 - Conflicts in reviewer's assignments shows a view of one reviewer assignment.

Figure 17 - List of reviewers

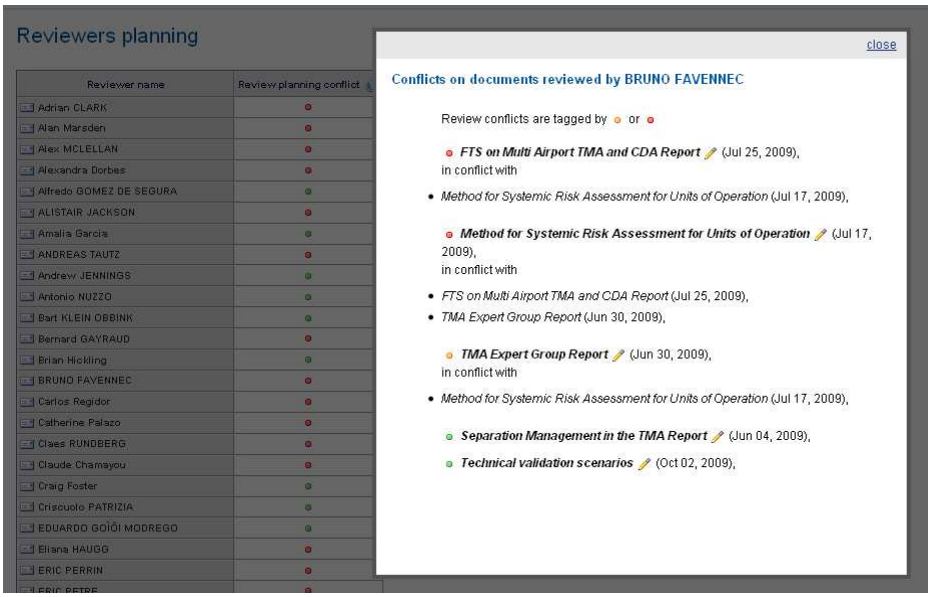

Figure 18 - Conflicts in reviewer's assignments

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5.6.4 List of reviews

The Quality Coordinator and the Delivery Manager have an overview of the EP3 reviews by using the web site. They meet each other on a weekly basis to manage reviews currently in progress and to anticipate upcoming reviews.

As shown in Figure 19 - List of reviews currently in progress, a list allows them to check the status of each review.

Review planning

Current reviews planning

Title	Version	Deliverable ID	Document owner	Status	DOW date	Ready for approval	End of comments submission	End of review
EP3 Staffing Plan - October 2008 (WP0)	1.00	0.1-01	Philippe LEPLAE	Under acceptance	Oct, 2008	Oct 07, 2008	Oct 14, 2008	Oct 22, 2008
EP3 Project Management Plan (WP0)	1.00	0.1-01	Philippe LEPLAE	Under acceptance	Jun, 2009	Jun 15, 2009	Jun 22, 2009	Jun 30, 2009
EP3 Quarterly Activity Report - 1st February to 30th April 2009 (WP0)	1.00	0.2-01c	Catherine Palazo	Under acceptance	Jun, 2009	Jun 11, 2009	Jun 18, 2009	Jun 26, 2009
Link between SESAR and Episode 3 project (WP0)	1.00	0.3-01	Philippe LEPLAE	Under acceptance	May, 2009	May 18, 2009	May 25, 2009	Jun 02, 2009
Dissemination and Communication Plan (WP0)	1.00	0.5-01	Catherine Gilleron	Under acceptance	Jan, 2009	Mar 06, 2009	Mar 13, 2009	Mar 21, 2009
Influence Diagrams - Annex to Performance Framework (WP2)	2.00	2.4.1-04a	Martijn KOOLLOOS	Under acceptance	Aug, 2009	Jun 03, 2009	Jun 10, 2009	Jun 18, 2009
User manual for the Influence model (WP2)	1.00	2.4.1-04c	Martijn KOOLLOOS	Under acceptance	Aug, 2009	May 25, 2009	Jun 01, 2009	Jun 09, 2009
SESAR Top-Down Systemic Risk Assessment (WP2)	1.01	2.4.3-02	ERIC PERRIN	Under acceptance	Apr, 2009	Apr 08, 2009	Apr 15, 2009	Apr 23, 2009
Note On Risk Model Validation (WP2)	0.01	2.4.3-03	ERIC PERRIN	Draft (under approval)	Jun, 2009	Jun 23, 2009	Jun 30, 2009	Jul 08, 2009
Method for Systemic Risk Assessment for Units of Operation (WP2)	0.02	2.4.3-04	ERIC PERRIN	Draft (under approval)	Jul, 2009	Jul 17, 2009	Jul 24, 2009	Aug 01, 2009
Measures to reduce local aircraft emissions (WP2)	1.00	2.4.4-04	Roel HOGENHUIS	Under acceptance	Apr, 2009	Apr 07, 2009	Apr 14, 2009	Apr 22, 2009
Experimental Plan on Global Performances at Network-Wide Level (WP3)	1.00	3.3.5-01	Marta SÁNCHEZ	Under acceptance	Apr, 2009	May 18, 2009	May 25, 2009	Jun 02, 2009
En Route Complexity Management Expert Group design (WP4)	1.04	4.3.1.1.1-01	Raquel	Draft (under	Jan, 2008	Aug 05, 2009	Aug 12, 2009	Aug 20, 2009

Figure 19 - List of reviews currently in progress

The same table exists for the upcoming reviews.

5.7 ACCEPTANCE OF EC DELIVERABLE

The Project Coordinator submits an approved EC deliverable to the European Commission for acceptance. The acceptance period starts as soon as the European Commission confirms the receipt of the approved deliverable.

The European Commission makes comments, proposes changes, or asks questions to the Delivery Manager who prepares answers with the Document Owner, the Project Coordinator and the Quality Coordinator.

The European Commission submits comments as soon as possible. If ongoing activities are linked to this document, this is highlighted in the transmission mail. The EP3 team members prepare answers to the comments and update the deliverables according to the comments received.

If minor changes are needed *–i.e. these changes do not need a formal review process*, the Delivery Manager submits a new version to the European Commission. For major changes *–i.e. changes that need to restart the review process*, the Delivery Manager formally informs the EC of the new delivery date.

The Delivery Manager submits EC comments to arbitration by the Project Coordinator who decides if the Technical Approver and the reviewers must agree the changes (major change) or not (minor change). If there three (3) loops for minor changes, the fourth is considered as a major change.

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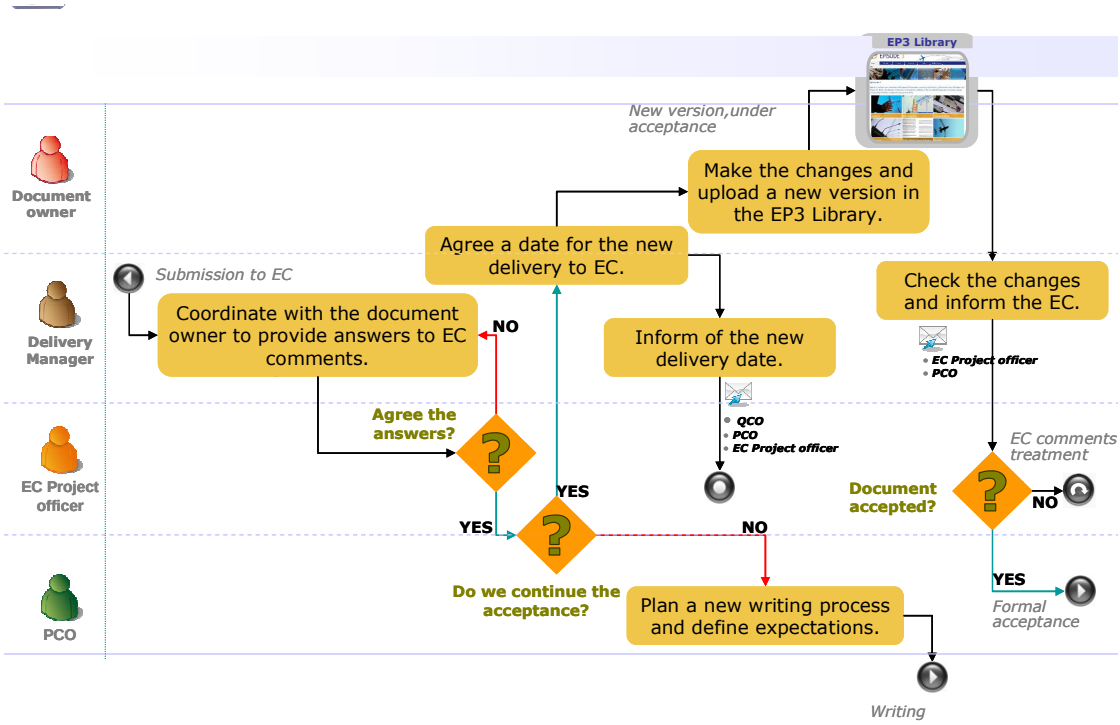

Figure 20 - Operational procedure for acceptance of EC deliverable

One of the following necessary and sufficient conditions is required to end the acceptance:

- The time passed since the start of the acceptance is greater than forty-five (45) Calendar days; no pending comment from the EC; the document is considered as accepted by the European Commission;
- Major changes are needed in the document, a new review process is required and the document returns to draft status;
- The European Commission accepts the deliverable.

5.8 PUBLICATION OF DOCUMENTS

At the end of the lifecycle, all EC deliverables and project deliverables are made publicly available.

As shown in the following figure, the Delivery Manager is responsible for this publication.

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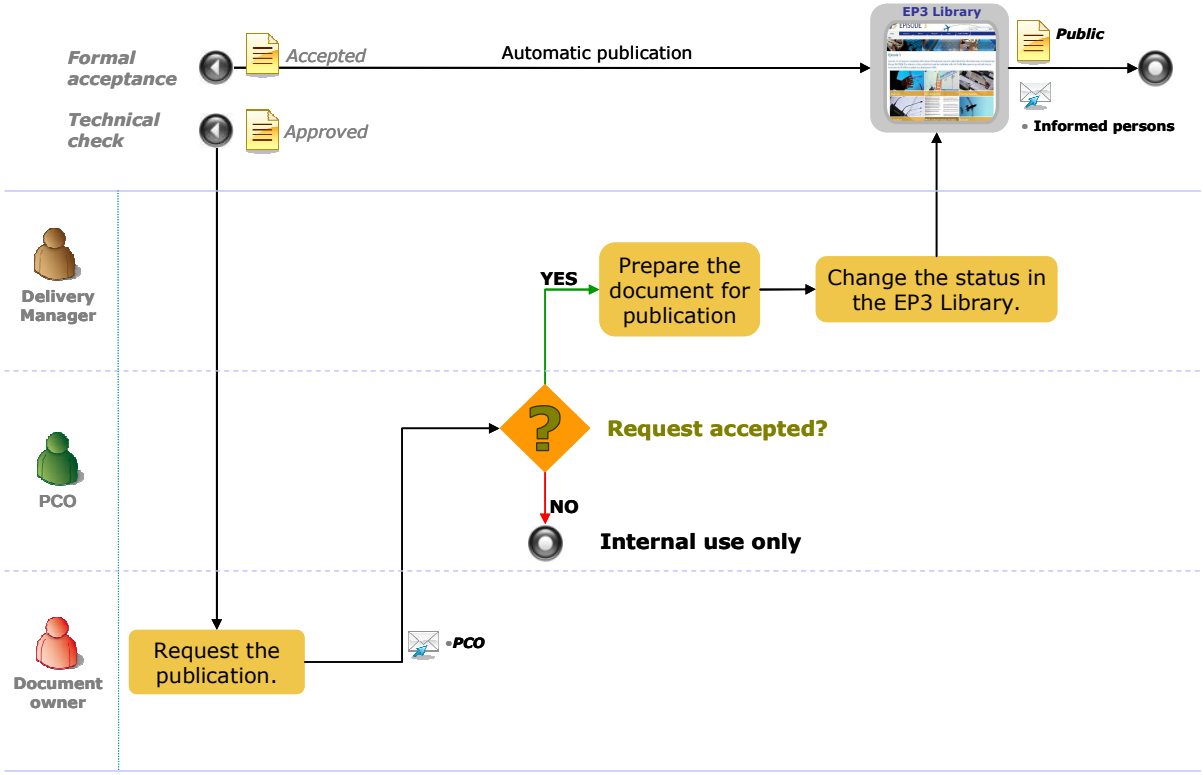

Figure 21 - Operational procedure for the publication

From the public viewpoint, public EP3 deliverables are downloadable through the section public deliverables of the EP3 web site home page.

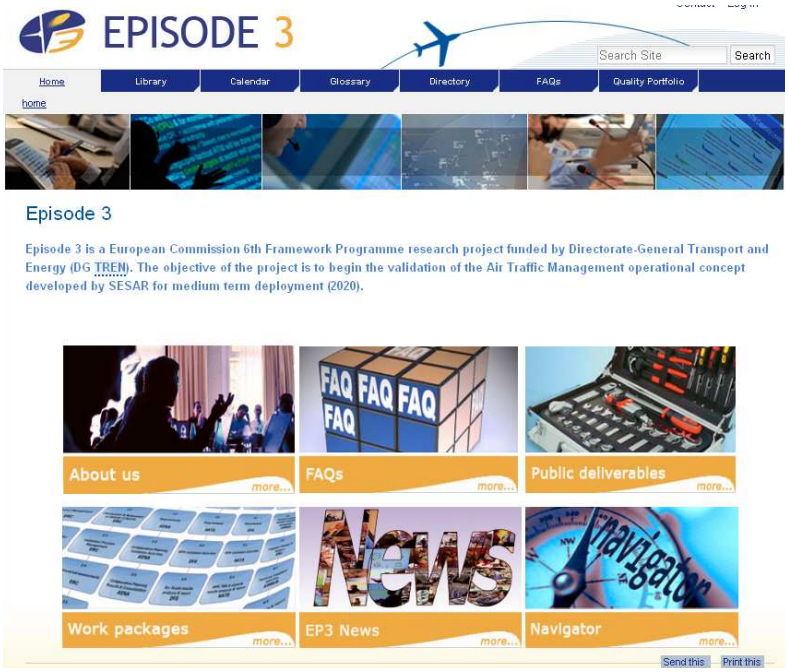

Figure 22 - Home page of the EP3 web site

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6 CREATION OF EP3 DELIVERABLES

6.1.1 Quality requirements

To produce rigorous and thinner documents, which should consequently be usable, each Document Owner must apply the basic principles below:

- Explain the reasons of any conclusion;
- Never write a sentence out of the scope of the current paragraph;
- One word should always have the same meaning throughout the project;
- Avoid writing several times the same ideas with different wording what can lead to ambiguity;
- Always associate a caption with a figure or a table; and
- Use the British English language.

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During the quality check, the Quality Approver controls these principles by checking the following points of control:

Type	Point of control
Usability	Spelling and grammar tool must be used before sending the document to the reviewers.
Usability	Empty rows in tables must be deleted.
Usability	Source of work packages must be clear e.g. SESAR, EP3, others.
Usability	All acronyms and abbreviations must be listed and defined in the appropriate section.
Usability	Document information "file/properties" must be completed and headers/footers updated.
Usability	Lines must be numbered to facilitate reviews.
Usability	The history version box must be filled in (status, date, and Document Owner).
Usability	In the body of the document, use subsections with appropriate headings as needed.
Usability	In the body of the document, the ideas presented should be organized in a logical and consistent order.
Usability	In the body,"%" must be linked to obvious references - "10%" could mean "10% of the delayed flights" or " 10% of the total amount of flight".
Usability	In the body, use of brackets must be limited. Use e.g. or i.e. instead. Examples: use " i.e. blabla." to clarify something and "e.g. blibli" to give examples". In the case of "e.g." the term "etc." is meaningless.
Usability	All comments must be deleted and the "track changes" tool must be deactivated.
Usability	Any TBC/TBD must be deleted.
Usability	All automatic tables -table of index, figures, etc. must be up to date.
Usability	All the references cited in the document must be fully listed in the appropriate section.
Usability	At the first time an excerpt from a reference is used, the author must clearly indicate (by using a footnote) the name, the section, and the page of the source.
Executive summary	Executive summary should be less than one page, except for very long document (more than 100 pages) for which up to two pages can be accepted.
Executive summary	Executive summary must not contain reference to subsequent sections in the document.
Executive summary	All statements in the Executive summary should be supported by facts.
Executive summary	Executive summary must briefly explain the method and approach used.
Executive summary	Executive summary must briefly explain the results obtained.
Introduction	The introduction must clearly state the topic of the document.
Introduction	The introduction must provide enough background information to orient the reader.
Introduction	The introduction must review previous work on this problem.
Introduction	The introduction must briefly state the organization of the document.
Look & feel	In the body, end of each bullet is ";". End of a list of bullets is "." or any other convention used consistently in the document.

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Type	Point of control
Look & feel	In the body, figures must be enhanced metafile (special paste MS office function).
Look & feel	In the body, you should use hypertext links (cross references) for referencing sections, tables, figures, and documents.
Look & feel	In the body, the text of a hyperlink toward a reference/applicable document uses the pattern: short title [N] (for instance: E-OCVM [1]).
Look & feel	All figures and tables must have a caption that is referenced in the table of figures/tables.
Look & feel	Body text must respect the styles of the template (body, comments, references, emphasis).
Look & feel	Titles and sub-titles must respect the styles of the template (titles 1 to 5).
Writing	If a figure is reproduced or copied or adapted from another source, that source must be properly acknowledged in the caption, and listed among other references.
Writing	Use figures - Charts, Tables, Diagrams, Photographs, etc - where it is helpful to communicate ideas, observations, or data to others.
Writing	Jokes or Puns must be avoided: all deliverables are formal documents.
Writing	Moral judgments must be avoided: words such as bad, good, nice, terrible, stupid, true, pure, etc.
Writing	Extremes must be avoided- e.g. perfect, ideal solution, obviously, clearly (sense of judgment).
Writing	Imprecision and vagueness should be avoided- e.g. today, nowadays, modern times (today is tomorrow's yesterday), soon (how soon?), seems, seemingly, would seem to show (any facts to show the evidence? Markov evolution?), few, most, all, any, every, much, many, number of (how many? Quantitative statement is preferred.). Examples of vagueness are: "lots of, kind of, type of, something like, just about, number of, In terms of, different (to what?)".
Writing	Clumsy phrases must be avoided - e.g. "you will read about …", "I will tell you …; I will describe …"; "We" (who we are? Authors and readers? Can use "the authors …"; "Hopefully, the programme would ..." (programme doesn't hope nor would ..."); "a famous researcher …" (such statements prejudice the reader.).
Writing	You must use active constructions, minimize passive mode (you should use "the EP3 Quality Coordinator must check the document" rather than "the document must be checked").
Writing	You must write in the present tense where possible. Clearly, the description of what took place in an exercise will be written in the past tense.
Correctness	You should address all comments to the satisfaction of the reviewers before submitting your document for approval. In the case of disagreement, the Technical Approver should be consulted.

Table 6 - EP3 Quality requirements for deliverable

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Furthermore, there are additional requirements specific to the EP3 reports:

- ✓ **In the body of the document, you must describe the observations and information, the data you obtained from the experiments you conducted, as well as describing the experiments themselves.**
- ✓ **In the body, If you do conduct a controlled experiment in either a lab or field setting, you have to describe your procedures well enough so that it could be reproduced by another scientist.**
- ✓ **Executive summary must clearly explain how the objectives of the exercise are achieved (does it provide the expected added-value). Deviations must be explained.**
- ✓ **Findings must be discussed In a way that leads logically to your conclusions.**
- ✓ **Evidence must be stated for each conclusion as clearly and concisely as possible.**
- ✓ **It is in the conclusions that you discuss whether or not the observations and information collected from experiments and that you validate the hypotheses you started with, answering your original questions.**
- ✓ **EP3 WP reports and Final report size must be closed to 25 pages + appendixes.**
- ✓ **The usual quality requirements (cf. the EP3 quality check-list) are applicable.**

Figure 23 - Quality recommendations for EP3 reports.

6.1.2 Templates

Templates are stored in the EP3 library as shown in the following figure.

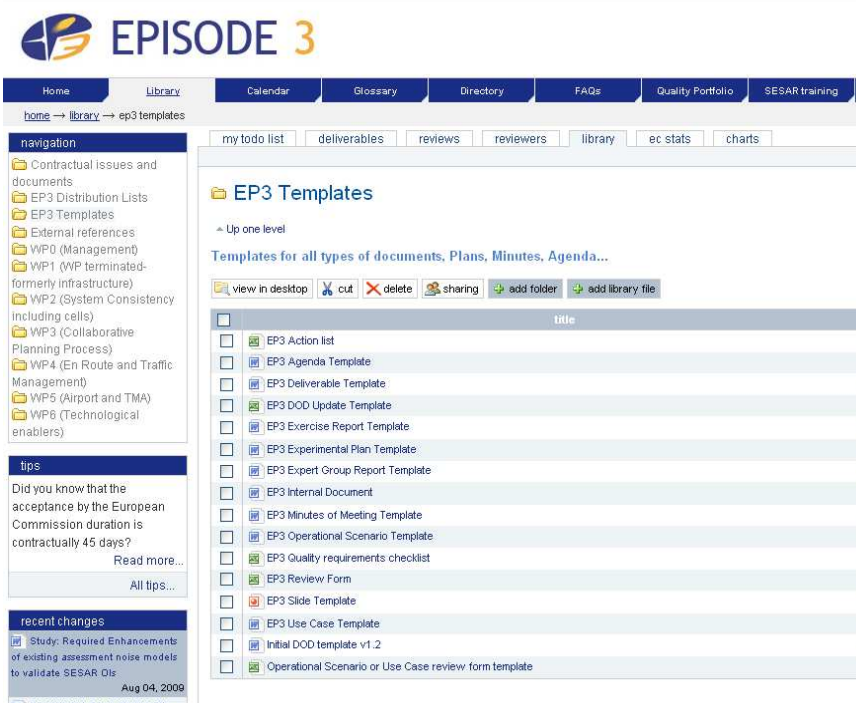

Figure 24 - List of EP3 templates

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By default, the template for the writing of deliverables is the document named “EP3 Deliverable template” that contains styles, proposes a minimal structure and related instructions, and is consistent with the EP3 look & feel. Furthermore, the Quality Coordinator maintains this file up to date.

6.1.3 Executive summary

An executive summary previews the main points of an in-depth document; it is written for no technical people who do not have time to read the main document. The executive summary contains enough information for a reader to be familiarized with what is discussed in the full document without having to read it. Here is how Document Owners have to write an executive summary:

- There is no need to include every point in the summary. Just to ensure that the major ideas are covered succinctly:
  - List the main points the summary will cover in the same order they appear in the main document;
  - Write a simple declarative sentence for each of the main points;[2]
  - Add supporting or explanatory sentences as needed, avoiding unnecessary technical material, jargon, and acronyms.
- Read the summary slowly and critically, making sure it conveys your purpose, message and key recommendations. You want readers to be able to skim the summary without missing the point of the main report;
- Check for errors of style, spelling, grammar and punctuation. Do not hesitate to ask support from the Quality Approver; and
- As non-technical person the Quality Approver has to understand the executive summary. If it confuses or bores him/her, the summary probably has the same effect on people external to the EP3 project (e.g. European Commission, SJU projects, etc.).

During the approval, the Quality Approver and the Project Coordinator check the executive summary.

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6.1.4 Practical terms

The following table identifies some practical tips and recommendations to optimise the writing of document.

Items	Requirements, request, tips	Example
Use of templates	You must use the proposed templates. Templates include styles that will improve the legibility of the document. If a template does not contain a style that you need, do not hesitate to request support from the quality coordinator.	Not applicable.
Paste of figure	To paste a figure in a MS Word file, you must perform a special paste and select a Picture (Enhanced Metafile). Sources of the figure (MS PowerPoint, etc.) must be stored in the Archives of the project. You should have a special care to the layout of the figure that should be wrapped in line with text.	With this operation you will reduce the size on disk (about 20% of the size without special paste).
Use of automated caption	You should use automated caption in a single document. You should not use automated caption in a composite document – except if the documents are based on the same template.	If the master document style for caption is “caption”, if first sub-document style for caption is “legenda” and the second sub-document is “légende”, then a conflict will occur during the integration and all captions of the sub-documents will be useless.
Language parameter	You should configure your windows environment with UK English regional and language options.	Some formulas could be useless in a French environment if they have been created in an English environment (and vice-versa) due to the use of “,” rather than “.” .
Cross references in a document	You should use MS Word cross references rather than manual references: MS Word cross references will be automatically updated during the evolution of the document.	

Table 7 - Practical terms for the production of a document

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7 VERSION OF DOCUMENT

The version of a document is managed according to the following rules:

- There is a major change of the version *–e.g. from 0.xy to 1.00-* when a document is approved*;* and
- There is a minor change of the version *–e.g. from 0.02 to 0.03-* when a file is uploaded in the EP3 library (by selecting replace with new file in the Edit form of the document as shown in the figure hereafter).

Figure 25 - Edit form and minor changes of the version

The EP3 Library includes a versioning system that allows the Library Members to:

- See the history of each document;
- Preview each version that has been uploaded in the EP3 library; and
- Revert to a previous version. That means this version is the file that is visible in the EP3 library.

Figure 26 - Example of history box for the versioning

The Quality Coordinator and his/her representatives have advanced services that allow them to:

- Assign a specific version to a document (e.g. if the current version is 1.03, the EP3 library will assign the version 1.04 to the next uploaded file. The Quality Coordinator can assign the version 1.10 for instance); and
- Upload a new file to an existing version: no change due to the new upload. In that context, the history box of the document shows two files for a same version.

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8 NAMING CONVENTION

As shown in the following figure, the naming convention is automatically managed by the EP3 library: by completing the Edit form of each document, the users create the correct name.

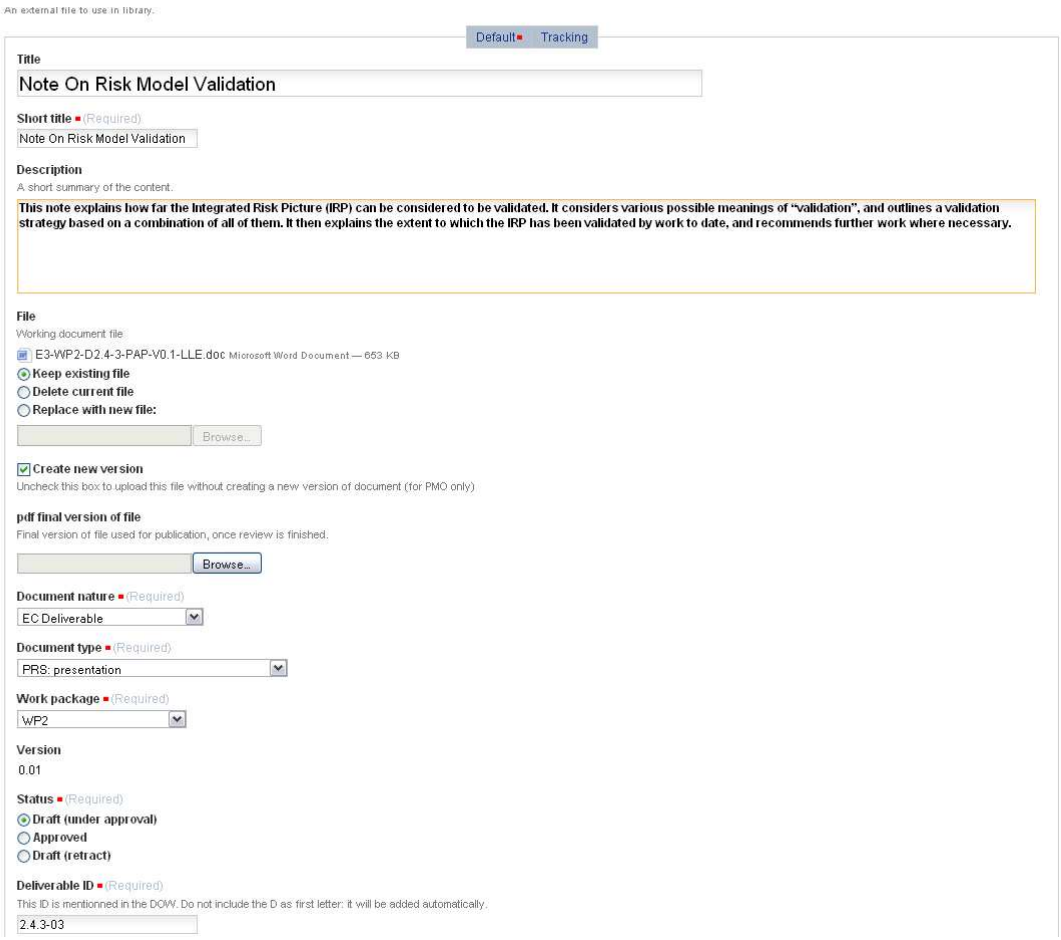

Figure 27 - Naming convention and the EP3 library

This naming convention is based on the following principles:

- Each instance of each document must have one unique document identifier and one associated file name; and
- The purpose of the document must be easily identifiable through its identifier and file name.

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The **document identifier** is composed of the items listed in the following table:

Item	Description	Values
Project	Name of the project	Project name = {E3}
Work package N°	Identification of the work package	WP ID level 1 = {WP1, WP2, WP3, WP4, WP5}
WBS and sequence number	Composed of a prefix, the WBS and the document sequence number	For deliverables = D[WBS][deliverable ID] For internal = I[WBS][sequence number] For meeting = M[type of meeting]&[date]
Document type	Type of the document that is selected in a defined list	Mnemonic of document (refer to the table 12)

Table 8 - Characteristics of the generic identifier

Document Name or File Name is composed of the items listed in the following table:

Item	Description	Values
Document identifier	As described in the previous table	As described in the previous table.
Version	Major and minor version	Version = V[00, ..99].[00, ..99]
Short title	Description of the document	Optional and free text

Table 9 - Characteristics of the Document identifier

Therefore, an entire document (or the entire name) is:

Document Name = Document identifier + version + Short title.

All these items are described in the following sections and the example of a step by step construction of a name is given hereafter.

8.1 PROJECT

The value of this field is always **E3** (for Episode 3)**.**

According to this field, the name of the present document is started by:

E3-xxxxxxxxxxxxxx

8.2 WORK PACKAGE NUMBER

It is important to identify from which work package comes the document. Episode 3 is composed of six work packages and the possible values [1]are: WP0, WP2, WP3, WP4, and WP5, and WP6.

For instance, the present document is created within the context of the WP0:

E3-**WP0**xxxxxx

8.3 WBS & SEQUENCE NUMBER

The document number is a sequence number managed according to the work package and depending on the nature of the document. A document could be: a deliverable (D), an internal document (I), or a document related to a meeting (M).

[1] The Work package 1 has been deleted after the suspension of the project.

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The WBS & Sequence number is composed of:

- A prefix [D, I, M];
- The WBS id;
- A sequence number.

8.3.1 For deliverables

For deliverables, the document number is as follow:

D[WBS]-[sequence number depending on the delivery date]

All deliverables have a unique deliverable number and all deliverables numbers are defined in the Description Of Work [5].

Refer to the DOW [5] for detailed list of project and EC deliverables.

For instance the deliverable number of the present document is **D0.4-02**.

According to this field and the previous element, until now, the incomplete name of the present document is:

E3-WP0-**D0.4-02**xxxxxxxxxxxxxxxxxxxxxxxxx

8.3.2 For internal documents

For internal documents, the document number is:

I[WBS][sequence number depending on the order of creation within the work package]

The sequence number is unique for each document of one work package.

The amount of documents created by one work package should be less than one thousand (1000) documents. Thus, the sequence number is from 1 to 999.

If the present document is an internal document, its incomplete name is

E3-WP0-**I1**xxxxxxxxxxxxxxxxxxxxxxxxx

8.3.3 For meeting documents

For document related to a meeting, the document number is:

M[type of meeting] & [YYMMdd]

The different types of meeting are listed in the following table:

Mnemonic	Meeting type
EXM	Executive Committee meeting
CCM	Coordination cell meeting
PMB	Project Management Board meeting
WPM	Work Package Progress meeting
PMO	PMO meeting
OPS	Operational meeting
WKS	Workshop
TEL	Teleconferences and webex meetings

Table 10 - Types of meeting

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For instance, the name of the document that comes from the project management board meeting is:

E3-WP0-**MPMB060323-**xxxxxxxxxxxxxxxxxxxxxxxx

8.4 DOCUMENT TYPE

The Episode 3 project documentation is grouped in accordance with the following domains:

Type of document	Mnemonic
Minutes of meeting	MIN
Agenda of meeting	AGD
Plan	PLN
Report	REP
Presentation	PRS
Technical or functional document	TEC
Guideline	GUI
Working document	WKP
Letter	LTR
List	LST
Memo	MEM
Research paper	PAP
Procedure	PRC
Schedule	SCH
Document coming from an other project	EXT
Review form	RWF
Operational scenario	OS
Use Case	UC

Table 11 - Types of documents

According to this field and the previous table, the complete document identifier of the present document is:

E3-WP0-D0.4-02-**PLN**-xxxxxxxxxxxxxxxxxx

For instance, the name (incomplete) of the minutes of the 23/03/06 PMB meeting is

E3-WP0-MPMB060323-MINxxxxxxxxxxxxxxxxxxxxxxx

8.5 VERSION

The version of a document is managed according to the rule defined in §7-“Version of document”. A version number is composed of:

- A **V**;
- One or two digits for the Version number (before the dot) Nx (0 to 99) – *i.e. major version;*
- One or two digits for the revised number (after the dot) nx (0 to 99) – *i.e. minor version*.

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According to this field and the previous, the incomplete name of version 0.91 of this document is:

E3-D0.4-02-PLN-V0.91xxxxxxxxxxxxxxxxxxx *(version 0.91 of the document)*

8.6 SHORT TITLE

This field is optional and used to make obvious the name. It is a free text field that could be used to identify the document. Document Owner could add the name of the document in this field.

According to this field and the previous element, the complete name of the present document is:

E3-WP0-D0.4-02-PLN-V0.91-**DCMP** (name or its file name) and the associated file is completed by an extension ".doc" as a word document (if the extension is not hidden).

For the Meeting example, the complete name of the minute of the meeting is:

E3-WP0-MPMB060323-MIN-V1.00-**Minutes of PMB.** In addition, the associated file is completed by an extension ".doc" as well, as a word document.

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9 EP3 WEB SITE

9.1 EP3 WEB SITE FEATURES

The project uses the web site http://www.episode3.aero to manage its documents.

Feature	objectives
Library	Store and share documents with the other EP3 team members. Manage the access to documents. Manage different versions of documents. Find easily documents and the documents from the others.
Review Room	Collect comments and provide answers. Comment a document. Discuss with reviewers or Document Owner in order to obtain an agreement and record the decision. See all comments and answers from other reviewers.
My Todo List	Reviewers and Document Owners see the actions they have to do. Access to the web tools.
Sharing	Assign the roles. Prepare notifications.
Reviews and deliverables	To see the information related to EP3 deliverables. Priorities, assignments, status of the reviews, Quality of the document regarding the project's standard, and Key dates.
Portfolio & FAQ	Find information related to EP3 processes and procedures. Find answers to questions related to the EP3 web site. Contact the Project Management Office.

Table 12 - EP3 web site features

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The following figure shows these features in relation with the lifecycle of EP3 deliverables.

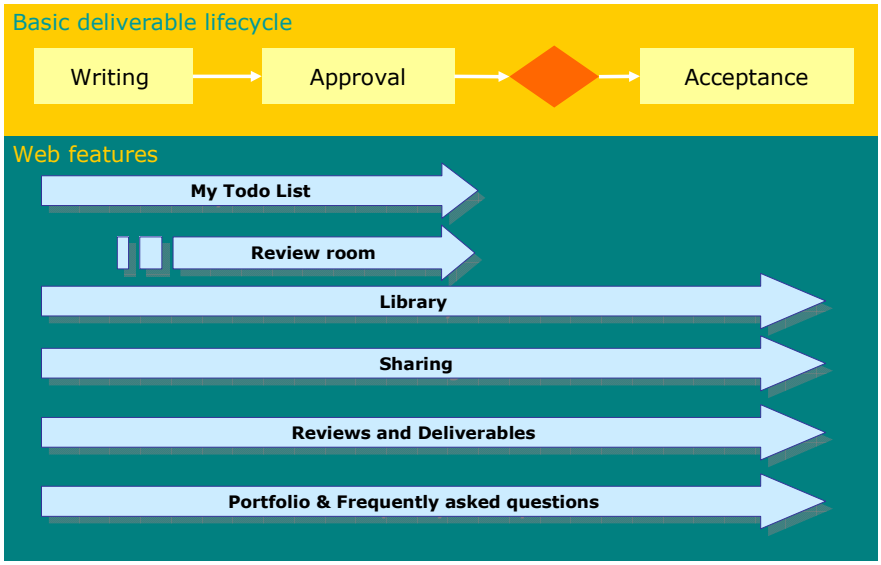

Figure 28 - EP3 web site features summary

To use these features, EP3 project team members have a user account and a password.

9.2 TOOLS HELP & GUIDELINES

Library members can find everywhere in the web site an online-help that describes key features of EP3 tools. By clicking on the button highlighted in Figure 29 - Help online button the help appears as shown in Figure 30 - Example of the help-online.

Figure 29 - Help online button

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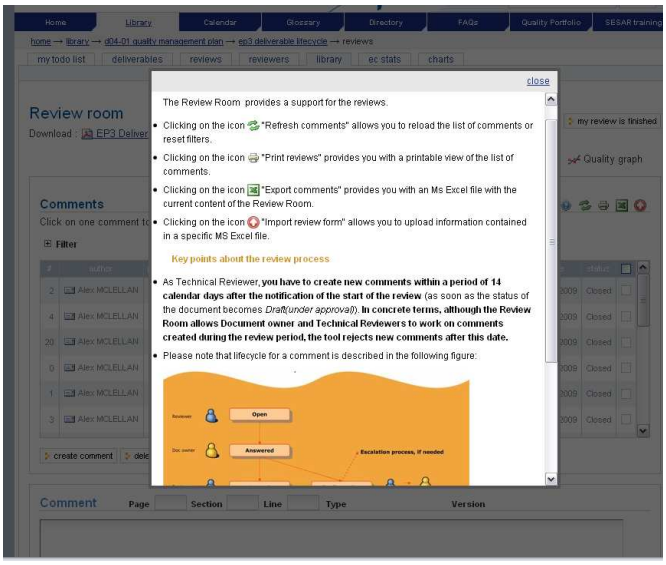

Figure 30 - Example of the help-online

Furthermore, the following user guides are downloadable from the EP3 Quality portfolio:

- Review room user guide [1];
- Library user guide [2];
- EP3 tracking system user guide [3]; and
- EP3 My Space user guide [4].

9.3 NOTIFICATIONS BY THE WEB SITE

The EP3 web site is linked to a notification system that sends an email to EP3 team members at key moments of the document life. The table hereafter describes these notifications and Figure 31 - Example of notification from the EP3 web site is an example of notification.

When	To	Required action
The status of a deliverable becomes draft (under review)	Document Owner Delegates Quality Approver Quality Coordinator Technical Approver	Quality check.
The status of deliverable becomes draft (under approval)	Document Owner Delegates Technical Reviewer Quality Approver Quality Coordinator	Technical Reviewers have to submit their comments before the end of the review period.
The ready for approval date is passed and the document is not approved	Quality Coordinator Delivery Manager	Contact the Document Owner to identify deviations and to plan a new date for the start of the approval. Inform the Technical Reviewers.

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When	To	Required action
A reviewer has submitted all his/her comments and click on “my review is finished”	Document Owner Delegate	Answer the comments in the specific Review Room
A Document Owner or his/her delegate answered all the comments of one specific reviewer	The specific reviewer	Agree the answers or put them into discussion in the Review Room.
The status of the document becomes approved	Document Owner Delegates Quality Approver Quality Coordinator Technical Approver Project Coordinator	Notification mainly informs about the end of the review process. If needed, the Delivery Manager prepares the document for acceptance and the Project Coordinator submits it to the EC. The Delivery Manager may prepare the document for publication.
The status of the document becomes under acceptance	Document Owner Delegates Quality Coordinator Project Coordinator EC representative	Notification mainly informs about the end of the submission for acceptance of the document. The EC representative makes his/her review.
The status of the document becomes accepted	Document Owner Delegates Quality Approver Quality Coordinator Technical Approver Project Coordinator EC representative	Notification mainly informs about the acceptance of the document. The Delivery Manager prepares the document for publication.

Table 13 - List of notifications from the EP3 web site

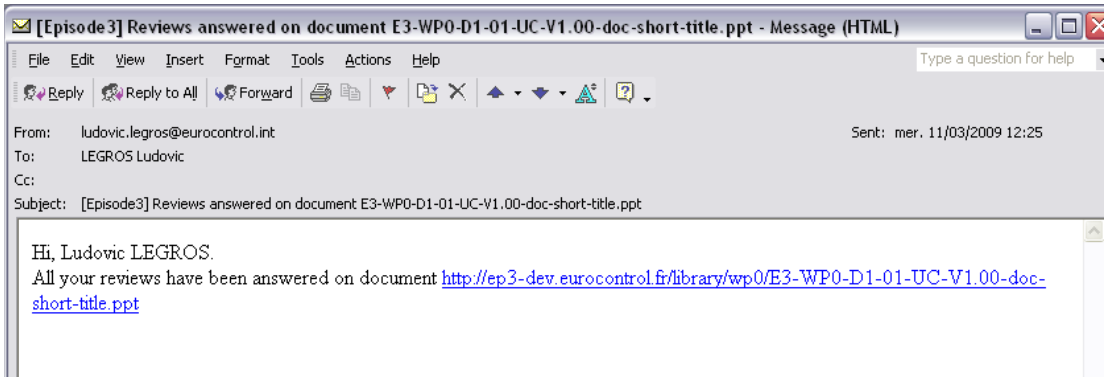

Figure 31 - Example of notification from the EP3 web site

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9.4 SECURITY AND CONFIDENTIALITY

9.4.1 Documents and intellectual property

By default, each document created within the project is copyright EP3 Consortium and is considered as confidential among the participants. Corresponding legal mentions are included in the document templates and should not be removed.

According to contractual requirements and the global objective of the project, all deliverables have to be disseminated at the end of the project.

As explained in §5.8-"Publication of documents" the web site includes a page dedicated to the promotion of public deliverables.

The dissemination level can be defined for each document using one of the following codes:

- Public: the document is at least approved by the EP3 Consortium and has "unlimited" circulation; and
- Coming soon: the document is not at a significant quality-level to be publicly available.

It is nevertheless possible to create later a public (probably edited) issue of a restricted document — *or a corresponding set of slides to be presented in public* — with the following restrictions:

- The owners of the restricted documents agree collectively in writing to release this public issue;
- The new public document is newly identified.

9.4.2 Access to the EP3 web site

Each EP3 team member has a user account and a password.

Each EP3 team member is responsible for this user account and has to inform the library manager about any issue related to this account.

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10 REFERENCES AND APPLICABLE DOCUMENTS

10.1 REFERENCES

[1] Episode 3 Review room user guide
http://www.episode3.aero/help/ressources/ep3-review-room-user-guide.html
version 2.0, 16-March-2009

[2] Episode 3 Library user guide
http://www.episode3.aero/help/ressources/library-guideline.html version 1.0; 30-October-2009

[3] Episode 3 EP3 Tracking system user guide
http://www.episode3.aero/help/tracking-system version 1.0, 16-June-2009

[4] Episode 3 EP3 My Space & planning user guide
http://www.episode3.aero/help/planning-reviews version 1.0, 16-June-2009

10.2 APPLICABLE DOCUMENTS

[5] Episode 3 Description of Work DOW 3.1, August 2009

[6] Episode 3 Project Management Plan D0.1-01 1.00, 29-July-2009

[7] Episode 3 EP3 Quality Portfolio http://www.episode3.aero/help

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11 APPENDIXES

11.1 EP3 PROJECT MANAGEMENT OFFICE

The Project Management Office supports EP3 project especially in the area of documentation management. The Project Management Office is responsible for:

- Preparing deliverables for approval and for acceptance;
- Preparing monthly EP3 key progress indicators for deliverables progress reporting;
- Preparing project corrective actions in case of non compliance with documentation & configuration management plan;
- Maintaining the EP3 web site; and
- Controlling and monitoring the approval of EP3 deliverables.

EUROCONTROL is responsible for the project management office that is composed (from the documentation management side) of the following actors:

Role	Surname and name
Quality Approvers	Frédérique Sénéchal, Catherine Palazo, Ludovic Legros
Project Coordinator	Philippe Leplae
Quality Coordinator	Ludovic Legros
Delivery Manager	Catherine Palazo
Library Manager	Patricia Tshombe
Communication Manager	Catherine Gilleron

Table 14 - EP3 Project Management Office

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END OF DOCUMENT

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